

# CHAPTER I

## INTRODUCTION

### A. Background of Research

The world of educational system has been timely transformed in order to seek a better development of education quality for serving the peoples' needs to job market access. In the 21<sup>st</sup> century of education, the school-based management (SBM) has been viewed largely as a political reform that transfers a central power over management of budget, personnel and curriculum to individual schools. The reform aims to drive greater school improvement by fostering principal's roles and involving stakeholders to school communities through putting the hard work and generating significantly better results for their students. The education reform helps create a school system that is geared towards improvement and results.

SBM is normally referred to the encouragement of all involved parties/ stakeholders to get involved in school-site managing or making decisions for school improvement. In another word, it is to foster the principal leadership (roles and responsibilities) of the local school principals to build good communications among school committee and all stakeholders by promoting their participations (participative decision-making) within the school (World Bank, 2007). SBM was adopted as a political reform that shifted the balance of power from the central office to the community level or the school sites (Murphy & Beck, 1995).

SBM implementation is to drive the effectiveness of school and extends to which the schools themselves can perform their core functions such as technical and economics, human and social, political, culture, and educational. In this sense, the effectiveness of the school shows effective school performance in improving the high quality of education (Teguh Sihono and Rohaila Yusof, 2012). They further explained that SBM is a form of some formal decision making authority in planning for schools' main functional areas such as budget planning, personnel and programs which is delegated to and often distributed among the site-level actors. And also, it is a formal structure (council/committee) often composed of

principal, teachers, parents and at time, students (high school), and community residents is created so that site participants can get directly involved in the wide school decision-making.

In Indonesia, the implementation of SBM was triggered by the fact that Indonesian educational stakeholders had been struggling with the quality of national education over the last two decades leading to the financial crisis in 1997, which created severe economic and social problems (Nurkolis, 2005; Mulyasa, 2004; Departemen Pendidikan Nasional, 2001). For these reasons, the Indonesian Ministry of National Education appointed a Komisi Nasional Pendidikan (KNP) or the Commission of National Education (CNE) in February 2001. The KNP worked until December 2001 with responsibilities to: (1) formulate the policy recommendations to have a better quality of education; (2) provide inputs to government about educational decentralization. The work of this Commission of National Education (CNE) would become a basis from which to comprehensively reform the Indonesian education. One of the recommendations of the KNP is to develop educational councils at district level and school councils at school level. Developing the educational council and school councils is one of the educational decentralization policies, aimed at devolving power and authority from central government to district authorities and schools, resulting in improvements of democratic principles, community participation, equity, and accommodation of the diverse local interests and needs (Departemen Pendidikan Nasional, 2001: 26).

Indonesia first applied SBM in 1999; the central government established a Commission of National Education (Journal of NTT Studies, 2009) in February 2001 on the basis of Law 22/1999 for decentralizing education. The commission recommended the formation of school councils at the school level to improve quality of national education. The government then embarked on the formation of school councils in Western Sumatera, Eastern Java, and Bali. On the basis of these trials, the councils were considered as a strategy in promoting the democratic

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principles in schools, creating higher levels of parental participations in school governance, and improving the quality of national education.

Until 2002, the government provided a set of guidelines to establish mandatory corporate governing body type school councils (the SBM-principles, Decree No. 044/U/2002 on the Education Board and School Committees) by defining the school committee as a community representative body at school level with members from parents, community leaders, education professionals, private sector, education associations, teachers, NGOs and village officials. Furthermore, the Education Act 20/2003 (art. 56) states that community shall take part in the quality improvement of educational services, which include planning, monitoring, and evaluation of educational programs through Educational Council and School Council/Committee.

Through decentralization of education reform, Indonesia's SBM design incorporates some features that are considered as essential to SBM effectiveness (Barrera- Osorio et al., 2009). First, the Indonesian reform is designed to provide a high level of autonomy to schools and encourage broad participation of the local community in school affairs. School principals and teachers are provided with increased autonomy to make decisions across key school areas related to school operations, budget, and education. However, the central government maintains authority over the hiring, assignment, and firing of civil service teachers. Second, SBM in Indonesia provides schools with the autonomy to exercise power in resource allocation over a block of discretionary funds, called BOS (*Bantuan Operasional Sekolah*). The BOS allows schools to cover operational costs based on annualper student basis. It is also administered with few restrictions, thereby facilitating autonomous SBM resource allocation regarding the disbursement of funds according to school priorities across almost all school activities (except paying bonuses to teachers, rehabilitation of facilities, and building new rooms or buildings). Third, through central government direction, the SBM reform calls for

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the creation of school committees, BOS teams and teaching boards that are made up of teachers, parents and community leaders. These groups serve to assist and advise principal and provide recommendation on the design and implementation of educational programs, policies, and the management of funds. Fourth, the reform encourages schools to engage in self-evaluation and monitoring of their processes. Under this SBM model, schools are expected to inform stakeholders for their decisions, and to be accountable for their decisions through monitoring by education districts, school committees, parents, and the immediate community (Vernez, G., Karam, R. & Marshall, J., 2012).

According the World Bank (RAND, 2012:1-4), although the Indonesian government has broadly implemented SBM policy since 2003, the national survey was conducted throughout the country with 400 principals in 2010 indicated that most principals consulted with teachers, district staff, and other school principals before making decisions, community and parent participation in school decision-making was very limited. Members of school committees, which were designed to facilitate parental and community involvement in education, rarely participated in school affairs. The survey revealed that school committee participated in decisions in 44 percent of schools. Principals mainly viewed the school committee as an intermediary between the schools and parents, and the school committee members expressed attitudes of noninterference with school matters and deference to school staff. Commonly, parents similarly expressed deference to school staff, and most principals and teachers reported feeling little or no pressure from parents to improve school performance. As a result, parents and community members are not participating as fully as envisioned, and the decision-making authority of principal at school level was: 88% in recruiting and hiring teachers; 99% in setting school vision and goal; 88% in developing school curriculum; 65% in setting school calendar; 88% in selecting textbooks; 96% in student administrating; and 99% in allocating school budget. The survey further emphasized that although the

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policy change toward local autonomy, districts still strongly influenced school policies and practices. Principals reported that they rarely made decisions without seeking district approval out of fear of making a mistake or appearing authoritarian. The findings show that the district influence was equal to/greater than that of teachers in all areas averaging 3.2 to 3.6 on a scale of 4—except in classroom instructional practices. Principals frequently had meetings with district staff, which indicated the district's continued prominent role in school decision-making.

## B. Problem Identification and Research Formulation

### 1. Problem Identification

Based on background of the study in educational reform above, it is seen that Indonesia started implementing school-based management and enforced the effectiveness of implementation, especially delegating the local authoritative power (decentralizing) to the school communities or local schools. In this regard, the empowerment of local schools is transferred to the individual schools for implementing school-based management (SBM) by strengthening the principal leadership (roles and responsibilities) and promoting the engagements of school committee through participative decision-making (PDM). Here, the term PDM refers to the involvements of stakeholders or shared decision-making and shared responsibilities among the principal, and school committee, (teachers, parents, and community residents) who are the key actors toward the effectiveness of SBM implementation.

SBM is a model of management providing more autonomy to individual schools and enhancing the direct involvements of school communities (head teachers, teachers, students, staff, parents and society) in making decisions to improve the quality of schools under the policy of the Indonesian Ministry of National Education (Fadjar, 2002). The concept of SBM was chosen based on the

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paradigm of decentralization of education which is being applied to solve the ineffectiveness of the centralistic educational paradigm formerly implemented. Centralistic management of education does not educate the school management to creatively develop the school organization, develop the curriculum, manage facilities and learning resources, nor develop community participation. SBM makes the school community an active participant involved in making decisions in relation to school programs including curriculum and its learning strategies.

In general, there are two pillars to help SBM implementation succeed the effectiveness; the influence of principal leadership and the engagement of school committee. The principal leadership refers to the performance of principal's roles and responsibilities such as role in instructional leadership, community leadership, and visionary leadership (Michael Usdan, Barbara McCloud, and Mary Podmostko, 2000). And the engagement of school committee refers to power and authority related to empowerment to: formulate and approve the school policies; formulate and approve the school's mission and vision; formulate and approve annual school programs including annual school budget; design strategic planning for school development; determine learning standards in the school; decide on the provision of incentives to the principal, teachers, and administrative staff; develop school potential factors for increasing student achievements both academic (school examinations) and non-academic (religious life, sports, arts, skills which are appropriate to school environment such as agricultural skills, weaving skills, and simple technology); raise school funds for the purpose of financing the school; mobilize school resources both financial and non-financial (human power for school building and facilities, ideas and recommendations); encourage more participation of school stakeholders in formulating, implementing, and monitoring school policies; create a transparent, accountable, and democratic atmosphere in the school for the purposes of quality education in the school; respond to the national and local curriculum requirements; coordinate networks and partnerships

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between school and external organizations for improving educational processes and outcomes; identify and solve school problems; and evaluate school policies and programs including the control of school buildings and facilities as well as school grants (SBM policy by the Indonesian Ministry of Education, 2002). These authorities can be briefed into the four major roles: (1) An advisory agency in determining and/ approving school policies, at the school level; (2) A supporting agency in supporting the school both in financial and non-financial matters; (3) A controlling agency for transparency and accountability at school level; and (4) A mediator between school, government, and community. In another word, the key roles of school committee are: (1) Making school policies; (2) School policy appraisal; (3) Supporting financial resources; (4) Bridging public relations; and (5) Educational planning and Evaluation (Foxborough Public School, 2008; and Triton Regional School, 2013).

To enforce SBM effectively, the Indonesian Education Act 20/2003 (art. 56) also defines that a school committee is an independent body established to provide advice, directions and support for personnel, facilities and equipment, and monitoring of a school. However, Indonesia still faces many problems in the real practice such as some local schools do not establish school committee or less participation from stakeholders, and even principal leadership's role seems to be in low performance so far, which must be more developed (World Bank, 2010).

Up to 2004, the SBM guidelines clarified that the school has to elect the school council (participative decision makers) with a minimum of nine members depending on the size of the school. The membership of a school council should comprise of community representatives, principal, teachers, school foundations, and local governments. The community representatives should consist of: (1) parents; (2) public figures, (3) educational experts; (4) industries or businesses; (5) professional organization of teachers; (6) representatives of alumni; and (7) representatives of students. Apart from electing and/or nominating a maximum of

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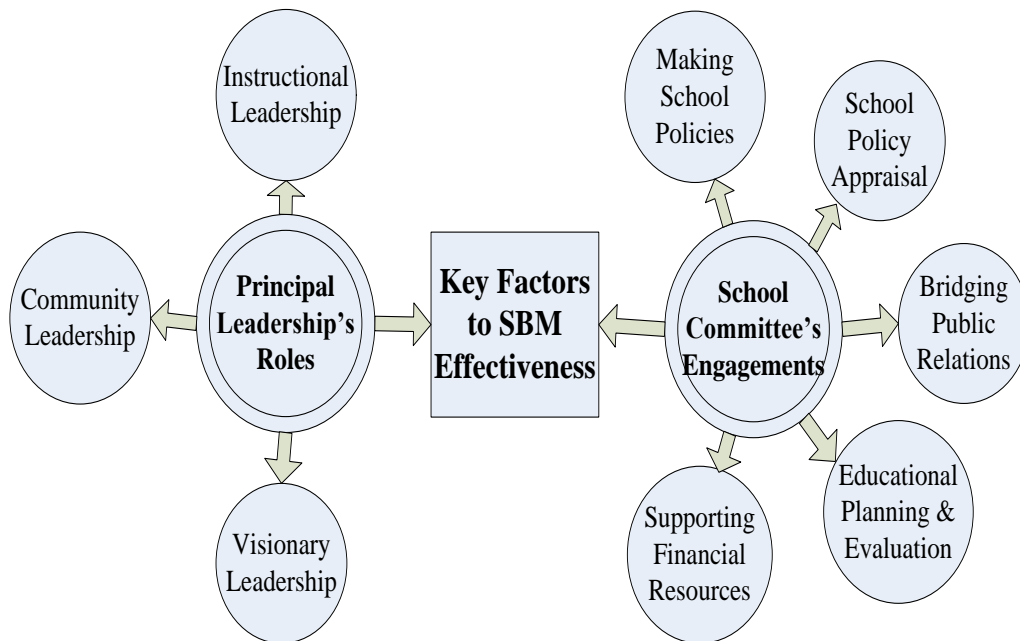
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three representatives only from teachers, school foundations, and Advisory Body for the Village Governance, there is no limitation of the total number elected from the representatives of the community members. And each school council has the authority to elect school council executive and standing committees. The council executive of each school council consists of at least the Council President, Secretary, and Treasurer. It is ruled out that a school principal cannot be elected as the Council President, while the executive members and standing committees are elected from and by school council members. Depending on the need of the schools, the standing committees of the school councils can be elected for: (1) Finance; (2) School Quality Control; (3) Partnership Networks and Information System; and (4) Buildings and School Facilities.

In summary, this study is primarily focused on the two key factors which contribute to the effectiveness of implementing SBM at school level. Those key factors are called as independent variables: the influence of principal leadership ( $X_1$ ) and the engagement of school committee ( $X_2$ ), which will make a positive influence toward the effectiveness of implementing school-based management ( $Y$ ) at school level. Therefore, the movements toward the effectiveness of SBM are to provide opportunities to all relevant stakeholders such as teachers, parents and community members with information about their rights and responsibilities, and about the general state of education in their community; training stakeholders in how to use information; delegating to stakeholders (school committee), a specific power (right to hire and fire the contract teachers/the responsibility for monitoring teacher performance); allowing the local authorities, such as a school committee or the principal to determine the use of school resources.

The figure below illustrates the key factors foster the effectiveness of SBM implementation at school level:





(Source: School Leadership for 21<sup>st</sup> Century Initiative, Leadership for Student Learning, Oct 2000)

Figure 1.1: Factors to foster SBM Effectiveness

## 2. Research Formulation

Based on background and problem identification of the research above, the problem formulations that are going to be explored and studied are primarily focused on the influence of principal leadership (roles and responsibilities), and school committees' engagement in participative decision making (PDM). These are the key factors for making positive influence toward the effectiveness of implementing school-based management. Thus, the research questions to be raised in this research study are:

1. How is the influence of principal leadership in performing roles and responsibilities strengthened at public elementary schools in Coblong sub-district, Bandung city?

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2. How is the engagement of school committee promoted at public elementary schools in Coblong sub-district, Bandung city?
3. How far is the effectiveness of implementing SBM policy at public elementary schools in Coblong sub-district, Bandung city?
4. How can the influences of principal leadership foster the effectiveness of implementing SBM policy in Coblong sub-district, Bandung?
5. How can the engagement of school committee foster the effectiveness of implementing SBM at public elementary schools in Coblong?
6. How much can the influence of principal leadership and engagement of school committee enhance the effectiveness of SBM policy?

### C. Objectives of Research

The overall aim in this research study is to describe the educational reform through fostering the influence of the school leadership in performing key roles and the engagement of school committee in sharing decisions and responsibilities in school operations toward the effectiveness of implementing SBM policy at the primary level of public schools in Coblong sub-district, in Bandung city.

With particular purpose, this study is discovered on the key factors of the effectiveness of School-Based Management (SBM) which has been firstly applied since 1999 in Indonesia. However, this study is explored only on the current situations at school level in the context of school community. In this research, therefore, the main purposes of study are:

1. To know the influence of principal leadership in performing key roles at public elementary schools in Coblong sub-district, Bandung city.
2. To know the engagement of school committee in sharing decisions at public elementary schools in Coblong sub-district, Bandung city.
3. To know the effectiveness of SBM policy at public elementary schools in Coblong sub-district, Bandung city.

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4. To critically analyze the influence of principal leadership contributing toward the effectiveness of implementing SBM policy.
5. To analyze the engagement of school committee contributing to the effectiveness of implementing SBM policy.
6. To know how the influence of principal leadership and engagement of school committee toward the effectiveness of implementing SBM.

#### D. Significance of Research

As a scientific research, the significances of this study are divided into two sides as the followings:

##### 1. Significance in Theory

With critical analysis and findings, this study is expected to be a useful instrument for students, teachers, principal or researchers who are interested in researching in field of educational administration. It will become a helpful tool to the next generation of researchers (theoretical-proofed document). Here, the study will come up with the new findings of the problems in implementing the concept of school-based management (SBM) such as how performance the principals do to improve education quality, the engagements of school committees, the challenges to theoretical implementation failures, and the factors to achieve a success of the school-based management.

##### 2. Significance in Practice

This study is expected to be a significant encouragement to the key actors of school such as: principals, supervisors, teachers, community leaders, parents/ stakeholders who involve in managing the local schools; since it gives a better understanding of what makes a difference in improving student outcomes and effective environments of schools at the primary level.

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## E. Structure of Research

Systematic writing in this study consists of five chapters in accordance with the Guidelines for Scientific Writing of Indonesia University of Education in 2012. The research study is illustrated with the organizational structure which is going to discuss with details in the specific chapters. Here, the structure of the research study is to describe how the thesis is organized in order to produce an appropriate format and research beauty with coherences as the follows:

In chapter I, the discussion starts with introduction to the research by over viewing the main issues such as background, problem identification, problem formulation, objectives of research, significance of research, and organizational structure of research.

Chapter II discusses on the literature review, research framework, and hypothesis of research. The study focuses are on issues of school leadership, school committee, school-based management, and hypothesis of research.

Chapter III focuses on the research methodology by explaining about how the study is conducted based on the rule of scientific method, including: research location, population and sample; research design; operational definition; research instrument; instrument development process; techniques of data collection; and techniques of data analysis.

Chapter IV states about the research findings and discussions.

And chapter V discusses about the conclusion and recommendations of the research study.