

# Teacher Management

## Module 7

# Institutional and organizational aspects of teacher management



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*Cover photo: Teachers in class at the Teacher's College, Zambia, by photographer Alexandra Humme/GPE.*

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# Table of contents

List of boxes.....	2
List of tables .....	2
List of figures .....	2
List of abbreviations.....	3
<b>Part 1. Institutional and organizational aspects of teacher management: an analytical framework.....</b>	<b>7</b>
1.1 Introduction.....	7
1.2 Definitions and analytical framework.....	7
1.3 Signs of an ill-adapted institutional and organizational framework .....	8
<b>Part 2. Implications of the institutional and organizational aspects for teacher management</b>	<b>10</b>
2.1 Introduction.....	10
2.2 Structures.....	11
2.3 Rules and procedures .....	13
2.4 Management and monitoring tools .....	15
2.5 Management personnel .....	17
2.6 Communication and social dialogue .....	19
<b>Part 3. Institutional analysis for teacher management: approach and tools.....</b>	<b>22</b>
3.1 What is an institutional analysis applied to teacher management? .....	22
3.2 Key questions to guide an institutional analysis .....	23
3.3 Methods of data collection.....	25
<b>References.....</b>	<b>34</b>

## List of boxes

Box 1.1: Distinction between 'institution' and 'organization' .....	7
Box 2.1: Some examples of problems connected to the multiplicity or ineffective operation of teacher management databases .....	16
Box 2.2: Problems associated with the decentralisation of data collection in Benin.....	17
Box 3.1: Section of a questionnaire assessing to what extent the tasks performed by officers correspond to their official roles .....	29
Box 3.2: The analysis of relevance, effectiveness, efficiency and coherence of the management processes .....	32

## List of tables

Table 2.1: Institutional and organizational aspects, criteria and difficulties observed .....	10
Table 2.2: Agreement with the statement – “teacher salaries are paid on time” (rounded percentages).....	12
Table 3.1: Key questions to guide an institutional analysis applied to teacher management	23
Table 3.2: Sample list of general documents to be requested for the initial document analysis .....	26
Table 3.3: Sample list of specific documents to be reviewed in the analysis of different institutional and organizational aspects.....	26

## List of figures

Figure 3.1: Matrix of a process.....	30
Figure 3.2: Process analysis matrix .....	31
Figure 3.3: An example of the filled process analysis matrix: teacher demand projections ....	31

## List of abbreviations

CfBT	Education Development Trust
CGCE	Canadian Global Campaign for Education
DEO	District education officer
EMIS	Education Management Information System
HRM	Human resource management
IMF	International Monetary Fund
INEE	Inter-Agency Network for Education in Emergencies
MoE	Ministry of Education
MOEASAC	Ministry of Education, Sport, Arts and Culture (Zimbabwe)
PRR	Procedures, rules and regulations
TSC	Teaching Service Commission [Anglophone Africa]
UN	United Nations
VSO	Voluntary Service Overseas



# Module 7 - Institutional and organizational aspects of teacher management

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Teacher management does not happen in a vacuum. It is regulated, framed and supported by an institutional and organizational framework, i.e. the structures, rules and procedures, tools, management personnel, and communication and social dialogue mechanisms. In order to build effective teacher management systems, it is crucial that these aspects are adequately established and enforced. Inconsistencies in the institutional and organizational framework in which teacher management takes place can have a negative impact on teacher distribution, supply, utilisation as well as other aspects. In order to understand the causes of these weaknesses and to provide suggestions to overcome them, it is helpful to conduct an analysis of the functioning of the education administration, with a particular focus on human resource management.

**Part 1** sets out an analytical framework to analyse the functioning of an educational administration in relation to teacher management. This framework is used in **Part 2** to illustrate frequently reported challenges and constraints when managing teachers. **Part 3** proposes methods and tools to collect data that can inform an institutional analysis with regards to teacher management.

Whereas the first three modules were entirely focused on secondary teacher management, this module provides information that applies across all education levels.



## Objectives of the module

This module will:

- Provide an analytical framework and practical guidance to better understand and analyse factors that influence effective teacher management;
- Present a method (institutional analysis) to explore the functioning of the educational administration with a particular focus on human resource management.



## Expected learning outcomes

By the end of Module 7, participants should be able to:

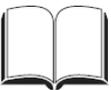
- Analyse key factors that influence effective teacher management;
- Understand the objectives and main steps of the institutional analysis methodology applied to teacher management.



## Questions for reflection

Before reading this module, we invite you to reflect on the following questions:

- What institutional and organizational challenges related to teacher management have you noticed in your country? For example:
  - Is it clear which actors intervene in teacher management and how they coordinate their actions?
  - Are teachers easily added/removed from the payroll?
  - Has the personnel in charge of teacher management been trained?
  - Are the rules and procedures for different acts of teacher management known and applied?
  - Is the information available to managers up-to-date and reliable?
  - Are teachers involved in consultations processes for reforms that concern them?



## References and further reading

With a view to achieving the objectives related to Module 7, we strongly recommend that, in addition to the material in this document, you consult the following documents:

- De Grauwe, A. 2009. *Without capacity, there is no development*. Paris: IIEP-UNESCO.
- IIEP-UNESCO. 2013. *Assessing the educational planning capacity of a ministry of education. Analytical framework*. Paris: IIEP-UNESCO.
- Poisson, M. 2011. *Guidelines for the design and effective use of teacher codes of conduct*. Paris: IIEP-UNESCO.
- Sack, R.; Saïdi, M. 1997. *Functional analysis (management audits) of the organization of ministries of education*. Paris: IIEP-UNESCO.

# Part 1. Institutional and organizational aspects of teacher management: an analytical framework

## 1.1 Introduction

Studies on teacher management generally concern quantifiable aspects that are related to supply, deployment, attrition and absenteeism (as well as pedagogical issues) of teachers. Yet, studies addressing the institutional and organizational barriers to effective and efficient teacher management are rare. With a view to developing more effective teacher management systems, it is important for the basic structures, rules and regulations to be adequately established, respected, and supported by effective planning, procedures and monitoring mechanisms. It appears just as important to build teachers' trust in the management system such as through transparency measures and to establish opportunities for consultation between teachers and management (HR staff, finance managers, inspectors, etc. at central and decentralized levels).

A better understanding of how teacher management systems function is needed to rectify imbalances. The key institutional and organizational aspects of teacher management are analysed in more detail in the following sections.

## 1.2 Definitions and analytical framework

The concrete actions related to teacher management are directed and shaped by the organizational and institutional framework in which they take place. Before presenting a framework of analysis to approach these issues, it is important to first define 'organizations' and 'institutions' (see Box 1.1).

### Box 1.1: Distinction between 'institution' and 'organization'

**Organizations** are “groups of individuals bound by a common goal, with clear objectives and the internal structures, processes, systems, staffing and other resources to achieve these objectives”.

**Institutions** refer to the “formal ‘rules of the game’ and the informal norms that provide the framework of goals and incentive measures within which organizations and people operate”.

A Ministry of Education is, therefore, an organization, while the public management rules and regulations it has to apply belong to the institutional sphere.

A UNESCO survey, undertaken as part of the programme on capacity development in Africa, used the following working definitions:

- **Organizational capacity:** resources (human, intellectual, financial, physical, infrastructural, and so on) and other organizational characteristics (structure, mandate, management, leadership, and so on) that influence an organization's performance.
- **Institutional environment:** the environment and conditions – beyond the capacity of an individual organization – necessary for organizations and individuals to demonstrate their capacity, including formal institutions (laws, policies, membership rules, and so on), informal institutions (customs, norms, and so on), social capital and infrastructures.

Source: De Grauwe, 2009

In order to comprehend the institutional and organizational aspects that have an impact on teacher management, we shall look at the frequently encountered problems from five different angles. These angles constitute the analytical framework of analysis that will be used in this module to examine institutional and organizational aspects.

- (i) **Structures:** What are the mandates, tasks and coordination mechanisms of organizational units in charge of teacher management? Do these organizational units have clear responsibilities and adequate resources to fulfil their role?
- (ii) **Rules, and procedures:** Are the rules and procedures governing teacher management coherent? Are they known by all and effectively applied? How do actual practices differ from the official norms? Are teacher management actions conducted transparently and without interference? Is commendable/reprehensible behaviour by teachers rewarded/sanctioned?
- (iii) **Management and monitoring tools:** Is useful information for teacher management reliable and regularly updated? Is the information collected sufficient for teacher management needs?
- (iv) **Management personnel:** Is the number of actors/personnel in charge of teacher management sufficient and do they have suitable profiles (training, skills, etc.) to fulfil their respective functions and tasks?
- (v) **Communication and social dialogue:** Do frameworks for consultation between management and teachers exist? Are teachers consulted on a regular basis in the framework of reforms?

### 1.3 Signs of an ill-adapted institutional and organizational framework

New teacher management policies or measures are sometimes adopted as a matter of urgency to address pressing constraints or requirements. Educational development dynamics have led some countries to recruit a large number of additional teachers, create new statutory teacher categories, and involve administrative levels and structures in the process. Laws and regulations have often not kept up with these changes. Even when these adaptations have taken place at the legislative level, they have sometimes been hasty and lacking in coherence, and/or not they have not always been based on extensive prior consultation among all concerned.

At the education system level, inequitable teacher distribution, teacher absenteeism, attrition and sub-optimal utilisation of teachers compromise the effectiveness of the education system and reveal signs of ineffective teacher management.

- **Distribution:** There are substantial disparities in teacher deployment among provinces (urban-rural) and among schools, per gender, specialisation and qualification. This raises critical questions concerning teacher management *norms and procedures* and their *actual application*.
- **Teacher supply:** In terms of teacher supply, there are situations of under and overstaffing depending on the areas (urban-rural) and subject matter. These situations highlight *inconsistencies* in the planning, recruitment and deployment processes.
- **Under-utilisation:** High teacher absenteeism and/or a low number of working hours, along with unbalanced utilisation rates, lead to high costs for the system. These situations highlight *problems of poor monitoring and inadequate or unenforced norms*.

In these conditions, an analysis of the different inefficiencies, their causes, motivations and effects would be beneficial to develop strategies, for example, to update legal frameworks, or to enforce the application of norms and procedures.



## Highlights

- Teacher management is inevitably influenced by the rules and regulations that govern the larger public administration and education administration, and mandates, functions and structures of organizational units responsible for teacher management. Incoherencies in this framework can affect teacher distribution, supply, utilisation and other teacher management areas. It is therefore important to examine and consider them in detail.
- These aspects can be explored looking at five different angles that constitute the analytical framework: (i) structures; (ii) rules and procedures; (iii) management and monitoring tools; (iv) management personnel; and (v) communication and social dialogue.

## Part 2. Implications of the institutional and organizational aspects for teacher management

### 2.1 Introduction

The table below sets out the main institutional and organizational aspects of the educational administration<sup>1</sup> linked to teacher management. The table also provides the criteria for analysing frequently observed challenges in teacher management according to the analytical framework

**Table 2.1: Institutional and organizational aspects, criteria and difficulties observed**

ASPECTS	CRITERIA	DIFFICULTIES OBSERVED
<b>Structures</b>	<ul style="list-style-type: none"> <li>• Clear mandates and tasks of organizational units responsible for teacher management</li> <li>• Decision-making power and responsibilities</li> </ul>	<ul style="list-style-type: none"> <li>⇒ Multiplicity of actors</li> <li>⇒ Imprecise and uncoordinated roles and responsibilities</li> <li>⇒ Limited autonomy of ministries of education</li> </ul>
<b>Rules and procedures</b>	<ul style="list-style-type: none"> <li>• Internal coherence and homogeneity</li> <li>• Knowledge and respect of rules and procedures</li> <li>• Respect of ethical norms (or values) and rules of professional conduct</li> </ul>	<ul style="list-style-type: none"> <li>⇒ Inappropriate norms</li> <li>⇒ Lack of transparency and interference</li> <li>⇒ Low level of application of rules and procedures</li> <li>⇒ Adoption of unethical unprofessional behaviour</li> <li>⇒ Malfunctioning in reporting irregularities and in applying sanctions</li> </ul>
<b>Management and monitoring tools</b>	<ul style="list-style-type: none"> <li>• Reliable information</li> <li>• Up-to-date information</li> <li>• Complete information</li> </ul>	<ul style="list-style-type: none"> <li>⇒ Contradictory information</li> <li>⇒ Delayed information</li> <li>⇒ Incomplete information</li> </ul>
<b>Management personnel</b>	<ul style="list-style-type: none"> <li>• Adapted qualifications</li> <li>• Relevant recruitment</li> <li>• Sufficient number</li> </ul>	<ul style="list-style-type: none"> <li>⇒ Mismatch between posts and personnel profiles</li> <li>⇒ Ineffective recruitment process</li> <li>⇒ Imbalances in current staff numbers</li> </ul>
<b>Communication and social dialogue</b>	<ul style="list-style-type: none"> <li>• Two-way consultation mechanisms</li> </ul>	<ul style="list-style-type: none"> <li>⇒ Limited consultation process</li> <li>⇒ Non-adhesion to reforms</li> <li>⇒ Poor representation</li> <li>⇒ Weak communication channels</li> </ul>

The sections that follow will explore each of these elements in more depth.

<sup>1</sup> The educational administration refers to those public bodies (ministries, departments, agencies) responsible for the planning and management of the education system at central and decentralised levels.

## 2.2 Structures

### 2.2.1 Why explore structures?

Why examine the structures in charge of teacher management? As explained by Sack and Saïdi (1997), when looking at management structures, it is important to assess their *mandates and roles* as well as to identify the share of the Ministry of Education's operational control over important activities related to education sector personnel. This will help to determine if mandates and roles are clear, understood and sufficient to successfully implement national educational policies and human resource plans. When other ministries or organizations are involved in teacher management functions, the role of each, and their articulation, must be clearly defined.

In most countries, teacher management is handled by a large number of structures, at national level and at the level of the ministry of education itself:

- **At national and sub-national level**, teacher management falls under the responsibility of multiple ministries, including the MoE. Areas where responsibilities are frequently shared include preparation of the education budget (Ministry of Finance), management of civil servants (Ministry for Civil Service), infrastructure and investment planning (Ministry of Planning or Ministry of Civil Works), examinations (Examination Board), and teacher training (universities, teacher training institutions or the Ministry of Tertiary Education). In addition, when the Ministry of Primary Education and Secondary Education are separate, the articulation and lines of communication between the two are important for planning, teacher training and personnel management.
- **Within the ministry of education**, several structures are generally concerned with teacher management, such as the personnel department (or human resources department), in coordination with the department for primary/secondary education, and the planning department. Besides, Teaching Service Commissions play an important role in teacher management in some contexts, sometimes under the authority of the Ministry of Education, or as semi-autonomous organizations.

### 2.2.2 Difficulties observed

As indicated in *Table 2.1*, the following challenges related to structures in charge of teacher management can be singled out among those frequently observed:

- a multiplicity of structures with unclear roles and/or overlapping responsibilities;
- a lack of coordination between different structures;
- limited autonomy for ministries of education.

Let us now consider some examples of these frequently encountered issues.

#### a) **Lack of coordination between multiple actors responsible for teacher payments**

One aspect of management that is often characterised by a lack of coordination at central level is **teacher payroll management**. In general, in countries of Anglo-Saxon tradition, teachers are recruited directly by the Ministry of Education via the Teaching Service Commission (TSC). There are often serious shortcomings in coordination between the Ministry of Education, the TSC and the Ministry of Finance leading to problems in the teachers' files and in payroll management (VSO, 2002). This can have major consequences on teacher satisfaction (and eventually on retention). In some countries, newly recruited teachers must wait for one year or more before figuring in the pay register. Once registered, only up to 50% of teachers interviewed in rural schools in Ghana said that they were paid on time (see *Table 2.2*). However, in some countries the situation is even worse.

**Table 2.2: Agreement with the statement – “teacher salaries are paid on time” (rounded percentages)**

Country	Rural	Urban
Ghana	50	57
Lesotho	25	75
Sierra Leone	0	20
Tanzania	12	17
Zambia	14	17

Source: Bennell 2007, p.38

According to Goldsmith, “Ministries of Education have little or no control over, or information about, who gets paid/pay and/or appointment” (Goldsmith, 2010:3). Establishing effective payroll systems – which requires reliable databases and effective communication between the different actors involved – constitutes one of the essential conditions for teacher satisfaction and their commitment to be present and deliver quality education.

**b) Imprecise roles and tasks of organizational units responsible for teacher management**

Unclear mandates and roles of actors responsible for teacher management can create a “professional blur”. Moreover, the lack of precision of the roles of the different Departments/divisions (planning, HRM, teacher training, etc.) often leads to inconsistencies in the collection and analysis of teacher-related data, and to errors or delayed management actions (assignment, etc.).

Over the last decades, an increasing number of countries have implemented decentralisation reforms including decentralised teacher management carried out by regional offices. The imprecise formulation of roles and tasks of these regional offices and the lack of delegation of competencies and required resources can limit the capacity of decentralised personnel to intervene effectively in teacher management.

For example, in Tanzania, while the government had, in theory, agreed with the principles of the decentralisation of responsibilities, decision-making power and resources, top-down patterns of control and communication of decisions still persisted. Delegation of power and authority remained limited because no formal definitions of the roles were stipulated in the Education Act (Chedié, 2010).

Similarly, in Morocco, the regional education offices were officially assigned certain responsibilities at the end of the 1990’s, but this was not put into practice for many years because they did not have the necessary institutional capacity (human resources and effective decision-making power) to administrate the tasks satisfactorily (Tazi, 2005). In other cases (Kenya, Uganda, Lesotho), teacher management has remained relatively centralised, despite an officially proclaimed decentralisation, leading district education officers (DEO) to express their frustration at not being in a position to intervene in the fields of teacher selection, recruitment and promotion (De Grauwe, 2011).

**c) Limited autonomy of ministries of education in public service matters**

The limited mandate of ministries of education in the field of human resources management reduces their capacity to develop and implement effective teacher management strategies. For instance, the ministries of education seldom control the rewards and incentives device applied to teachers as it is often common to all public administration personnel and therefore established by another ministry (Civil Service) or a specific department or commission (Civil Service Commission in Anglo-Saxon countries).

When policies and criteria for recruitment, promotion and the level of pay are the same for all civil servants including teachers, ministries of education have only a very restricted influence on the key aspects of human resource management which can limit their capacity to implement the national education policy.

## 2.3 Rules and procedures

### 2.3.1 Why explore rules and procedures?

Understanding the functioning of the educational administration requires a clear understanding of the existing **procedures, rules and regulations (PRR)** that guide its daily activities. PRR provide the information on *which actors have the formal power to make decisions* related to different activities linked to teacher management. More precisely, the PRR prescribe who gives the authorization for such activities as staff transfers, promotion, recruitment and salary measures, school admissions among many others. In addition, the PRR may also prescribe partial approvals necessary for the final validation by the highest authority. The PRR might be dispersed in a number of different sources such as administrative or operational manuals, directives, circulars, decrees, laws, etc. (Sack, 1997: 39).

The analysis of existing PRR and their implications in teacher management in a given country focuses on several aspects, more particularly 1) internal consistency and homogeneity, 2) awareness-raising and adhesion, 3) dissemination and knowledge and 4) practical application.

As far as internal consistency and homogeneity are concerned, it is important to verify the contradictions in required approval controls and, where there are chains of partial approval, the estimation of the time needed for the final green light. It is just as important to assess awareness, knowledge and respect of the PRR as their internal consistency. When the practice followed is not on the books, it may have perverse effects. Non-respect of PRR represents a problem of accountability and undermines its value. Wholesale violation of existing PRR can lead to “arbitrary application of PRR, to arbitrary sanctioning for non-application and enforcement, to administrative anarchy and chaos” (Sack, 1997, p. 40).

### 2.3.2 Difficulties observed

When it comes to the procedures, rules and regulations, the following difficulties can be singled out among those frequently observed:

- Absence of rules and/or their dissemination;
- Inappropriate management norms;
- Interference and absence of transparency;
- Absence of sanctions and mechanisms to ensure their application.

#### a) Nonexistence of rules and/or absence of dissemination

In some cases, regulations and rules do not exist or are not disseminated to relevant actors. Research carried out by Mulkeen (2010, p. 61) in eight sub-Saharan African countries indicated that teacher utilisation was poorly regulated in general and that, in some countries, working hours were not clearly stipulated and/or known. When official norms governing the attribution of working hours are non-existent, insufficient, or not disseminated, then it is hardly surprising that teachers are not used rationally and equitably.

Another important aspect is that without the existence and effective communication of manuals of rules and procedures to be applied, effective teacher management is hardly possible. Thus, according to a study conducted in Morocco in 2004, the opacity, complexity and lag in teacher management was connected primarily to the absence of a manual of procedures to facilitate

the improvement of practices, the optimisation of operations and the monitoring of management practices (Tazi, 2005).

Nevertheless, most countries have manuals of procedures for teacher management. Where no manual or regulations exist specifically for education, then those used for civil servants are generally the reference.

#### **b) Inappropriate management norms**

In some cases, norms and criteria applied to teacher management can accentuate problems rather than settle them. Let us consider an example of norms that regulate teacher deployment.

‘Spousal reunification’, applied to assignments and transfers of female teachers in some countries, inevitably leads to a concentration and potential surplus of teachers in large towns. Moreover, sometimes, teacher deployment rules even contain “exception clauses” that can be perceived as “negative incentives”. Thus, teachers in Morocco who had not obtained their transfer through the regular process could apply again via the “exceptional movement” of teachers organized once the regular annual movement of personnel was over. Such “rules of exception” are contrary to rational teacher deployment and accentuate regional disparities. Following this observation, the minister himself suspended the rule of exception in Morocco in 2005 (Tazi, 2005).

#### **c) Interference and absence of transparency**

Teacher commitment can be affected by a lack of transparency in the management system resulting in ineffective teacher deployment and the non-respect of the norms and procedures set by the Ministry of Education. Not all absences are notified, leading to classes being left without supervision and high rates of teacher absenteeism. “One of the most frequent cases of unethical behaviour is negligence, such as irregularity in classroom presence and becoming absent from the school without prior notice and even without taking leave” (Van Nuland et al, 2006, p. 129).

A number of studies have pointed out corruption and political interference in the process of teacher assignment (VSO 2002; Hallak and Poisson 2006; Bennell 2007; CfBT 2008). For example, in Eritrea, Zambia and Liberia, studies concluded that head teachers were appointed largely at the discretion of local or regional education officials, involving favouritism in selection or even corrupt practices (Mulkeen, 2010). Similarly, in Uttar Pradesh (India), “it is perceived that teachers try to influence decisions regarding transfers and promotions either through the teacher unions, political pressure and even, in some cases, by providing monetary and other favours to administrators” (Van Nuland et al, 2006, p. 128). A study in Togo found that it is not unusual for teachers to call on political or family connections, or even doctors (fake medical certificates), in order to obtain assignments in urban centres or in a more well-to-do area (Segniabeto, 2006).

The problem does not only exist where management systems are centralised, but has been replicated at the local level. Local administration can also influence teacher assignments. There are, for example, cases of recruitment of family members or friends as teachers (De Grauwe, 2005).

#### **d) Absence of sanctions or their application**

When circumvention of rules or corruption is common knowledge, and sanctions are not applied, this is apt to tarnish teachers’ confidence in the management structures.

Indeed, official sanctions in some contexts are rarely applied. In India, despite a 25% rate of teacher absenteeism, only one school head, from a sample of almost 3000 Indian public schools, had notified a case in which a teacher had been dismissed for repeated absence (World Bank, 2006). In the same way, a study in Mozambique revealed that, in 2005, only seven

teachers had been dismissed and 23 suspended, from a total of 46 000 teachers (Mulkeen et al, 2005).

Bennell and Akyeampong point out that a major problem in many countries is that head teachers lack the authority to be able to discipline teachers effectively (Bennell, 2007). This is particularly obvious in the case of unacceptable behaviour (absenteeism, lateness, poor teaching, abusive behaviour towards pupils) that remains unsanctioned by head teachers.

One of the reasons why disciplinary sanctions are rarely applied is that procedures are often long and difficult. By way of example, in Uganda, procedures took four years to be handled (UNESCO, 2010). In these cases, head teachers prefer to avoid the complication of lodging a complaint against a teacher and simply choose to transfer them to another school. This has very negative consequences, since the problem is not settled but simply moved elsewhere. It is particularly serious in the case of teachers who abuse pupils. Moreover, transferring teachers to rural areas as a means of punishment plays on the morale and motivation of the teachers in the host school.



## Questions for reflection

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Consider the challenges presented above. Do you notice similarities or differences with your own context, in relation to:

- I. nonexistence of rules and/or absence of dissemination;
- II. inappropriate management norms and/or lack of sanctions?

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## 2.4 Management and monitoring tools

### 2.4.1 Why explore management and monitoring tools?

Information is the basis for management, planning and evaluation. Whether for diagnosis, policy formulation, projections and simulations, monitoring and evaluation, or any other analytical, management or monitoring activity, information is essential in order to understand a situation and take evidence-based action. As such, it is necessary to have information systems within the ministries that are adapted to collect, store, process and disseminate data and information targeted at the different management and decision-making authorities. At the education system level, the Education Management Information System (EMIS) serves this function. The Teacher Management Information System (TMIS), which must be an integral part of the EMIS<sup>2</sup>, aims to provide reliable and operational information to carry out the different human resources planning and development functions such as:

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<sup>2</sup> Nevertheless, it is important to note that in some contexts the information on teachers might be collected in the Human Resource Management Information System (HRMIS) that would include teachers and other staff. Other alternative names and structures might be found in specific contexts. However, for the purpose of this module we will refer to the TMIS.

- checking teacher allocation to schools on a regular basis against the number of posts in order to identify surplus/lack of staff;
- preparing annual budgets and financial reports;
- identifying personnel to be promoted;
- developing training plans at national level;
- estimating the number of teachers per category to retire each year;
- estimating the number of teachers to be recruited in future and so the number of candidates to be trained in the training institutions/universities, etc.

#### 2.4.2 Difficulties observed

Despite substantial progress over the last two decades, effective information systems often lack in many developing countries. Education sector managers usually have to cope with databases that are incomplete, obsolete, unreliable and uncoordinated. *Inconsistencies in teacher-related data* point to numerous flaws in the information system:

- **incomplete, unreliable data** due to lack of regular updates because of difficulties in accessing personnel files or updating existing electronic files, and to the dispersal of staff over vast territories, where some rural areas are hard to reach;
- **delays** in data collection, transmission and processing (in manual or computerised management), which generate slow completion of tasks and make controls even more difficult. This is particularly true when teacher data control and processing comprises several levels (regional and district offices) and ministerial departments. This raises problems not only for the teachers (e.g. in terms of the adjustment of special allocations and issuance of certificates, etc.) but also for planners and managers, who are incapable, at a given time, of knowing if teachers assigned to a school have indeed accepted the post or if posts have become vacant or are liable to become vacant (Dhersigny 1999; Tazi 2005);
- **multiplicity of databases** with creation and maintenance of several bases containing data of an identical nature (Civil Service file, Ministry of Finance file and different Ministry of Education files) and an absence of liaison between the different files resulting in multiple entries for the same item of information, with increased risk of divergence;
- **lack of qualified personnel** particularly at decentralised levels.

Some examples of possible issues in this area are summarised in the box below.

#### Box 2.1: Some examples of problems connected to the multiplicity or ineffective operation of teacher management databases

##### *Senegal*

- In 2009, teacher databases were merged to reveal the existence of over 1000 ghost teachers, which represents a loss of billions (in local currency) for the education system. After that, an initial audit of the personnel of the Senegalese ministries in charge of education was launched in order to shed light on the situation of 1400 presumably fictive teachers (APS, 15/06/2009<sup>3</sup>)<sup>4</sup>.

<sup>3</sup> <http://fr.allafrica.com/stories/200906151072.html>

<sup>4</sup> This was followed by a biometric audit of the civil service initiated by the Senegalese government in 2013 in order to detect cases of fraud.

### Zimbabwe

- “Visits to the MOESAC (Ministry of Education, Sport, Arts and Culture) revealed that the human resource management information system in place was not versatile enough to generate a variety of information when required. MOESAC was therefore unable to provide information on numbers of teachers, by province, district, age, gender and other variables, who had retired, were on indefinite sick leave, or had died” (Murimba 2010).

The situation is exacerbated by the *lack of responsiveness of the existing education management information system (EMIS) to the specific needs and constraints* of personnel management at decentralised levels. All these shortcomings are considered as largely contributing to the ineffectiveness and lack of equity in the main areas of teacher management.

### Box 2.2: Problems associated with the decentralisation of data collection in Benin

“Sector-related statistical production is one of the key missions of educational planning departments. It usually takes the form of a chain ranging from the collection of basic information, to data processing and finally the dissemination of results and their utilisation. To be successful, this process must be based on a legal and institutional framework and benefit from competent human resources, as well as adequate financial and material resources.

(...) Allocated resources are globally insufficient, particularly regarding the availability of computer and human resources. More precisely, the number of executives in charge of statistics is insufficient and their training not always adapted, especially at decentralised level where it is difficult to maintain a stable core of competent executives due to high personnel turnover.

Moreover, the central level uses the weakness of skills at decentralised levels as an argument to refuse their involvement in the data collection and analysis process. However, two other factors also help to explain their lack of involvement. Firstly, monopolising skills at central level enables the central actors to continue undertaking a number of activities that have to be carried out in the field and so benefit from certain allocations. Secondly, decentralised offices do not use, or only marginally use, the statistical information to guide the planning and management of schools and teachers. There is therefore no demand from the decision makers at these levels for a better analysis of the statistical data.”

Source: De Grauwe, 2009, p. 26.

Finally, head teachers often complain about the time it takes them to fill in long questionnaires for different structures (sometimes duplicating information) without knowing how the information will be used nor how it could be of use to them for their own management needs.

## 2.5 Management personnel

### 2.5.1 Why explore the personnel in charge of teacher management?

The effectiveness of the organizational unit depends on the profiles and the performance of individual officers (educational planners and managers). Their effectiveness in turn depends on the combination of qualifications, experience and training, and on the relevance of this combination to their mandate and tasks. Individual officers require specific technical skills or management skills to fulfil their tasks. Each individual should be aware of the specific task he or she is required to perform and of the skills he or she needs. The availability of professional development activities plays an important role in ensuring the match between profiles and tasks of individual staff members.

It is important to make a distinction between two types of staff (Sack and Saïdi, 1997):

- teachers (i.e. teachers actually teaching and not teachers who have been reassigned to office work);
- non-teaching staff (i.e. school directors, inspectors, office staff, MoE directors, policy-makers, planners, statisticians, etc.).

If teacher managers are not correctly trained or qualified, the effect can be detrimental and result in different types of malfunctioning.

### 2.5.2 Difficulties observed

A visible obstacle to good human resource management is the poor quality of a portion of the management personnel as well as the mismatch between their profile and the posts occupied. In reality, the problem stems from shortcomings on three levels: (a) candidates' profiles, (b) recruitment procedures, and (c) the way in which job offers are organized.

- (a) Firstly, there is a problem related to the *profile of management personnel*. Staff recruited have often not been trained to face the challenges and demands of the job. In fact, in many countries the majority of administrative officials is made up of teachers and inspectors.

In the Ministry of Primary and Secondary Education in Benin, at central level, 72% of the managers – 70.2% senior managers and 75.4% middle managers – are teachers or considered as such (secondary school teachers, primary school teachers, inspectors, pedagogical advisers) who, aside from their pedagogical competences have had little training in the field of planning and management. At decentralised level, this percentage is substantially higher since the corps of education administration and management executives in the *départements* and districts is made up of 96% of teachers or considered as such (97.5% senior managers and 93.8% middle managers) (De Grauwe et al., 2009).

Consequently, this distribution leaves very little place for executives who are truly competent in the field of education system planning and management. In fact, only 20% of available posts in the planning department are actually occupied by specialists (economists, statisticians, planners, etc.) trained in this field. (...) there is also a problem in terms of candidates. In Benin, there is not a true corps of administrators, and even less planners and managers of education (De Grauwe et al., 2009: 15, 17, 20)'.

- (b) The latter issue is linked to *recruitment criteria and procedures*. There is often no official recruitment procedure, consisting of the advertisement of a post with specific terms of reference, the identification of candidates with a relevant profile and selection through an interview or a test.

A study in Benin found that the procedure seemed to follow an opposite logic: a teacher, for personal or health reasons, is appointed to an administrative post after submitting a formal or informal request to an office, without any description of the specific post to be occupied, and generally without any preliminary discussion about his/her tasks with the director or manager. The survey of 50 administrative officials at central and decentralised levels confirmed that at least 83% of individuals had followed this kind of 'procedure' and that a mere 17% had gone through a formal selection process before being appointed to their post (De Grauwe, 2009).

- (c) The mismatch between human resource management posts and the profile of those occupying them is also encouraged by *the way in which job offers are organized or not*. Ministries often have no precise idea of the number of posts needed in each unit, nor of the qualification criteria required for the candidates. At best, existing decrees describe the global responsibility of the departments and units, but these documents

(some of which are often outdated) give no indication as to the number and precise profile of the jobs.

In Benin, there are no management rules for posts in any of the central or decentralised structures visited for the aforementioned study. This has led to significant variations in staff numbers among the different ministerial departments at central level and among the offices at decentralised levels: in two regional offices in charge of managing roughly the same number of teachers, staff numbers varied by a factor of two (De Grauwe, 2009).



## Questions for reflection

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Consider the challenges presented above. Do you notice similarities or differences with your own context regarding:

- I. candidate profiles,
- II. recruitment procedures,
- III. and organization of job offers?

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## 2.6 Communication and social dialogue

### 2.6.1 Why explore communication and social dialogue?

Teacher involvement in the design of policies that concern their work as well as an adequate communication channels with them are very important.

Firstly, ensuring teacher buy-in and commitment for new policies is key to their success and the long-term sustainability. Moreover, teachers' opinions are crucial for the effective implementation of reforms and their design. Their consultation is essential for taking into account the main aspects of proposed reforms as to whether they are appropriate, financially accessible, feasible in terms of implementation, and sustainable. Policies that do not engage teachers or their representatives right from their inception are likely to fail (Cornett and Gaines, 2002; Word Bank, 2012). Many authors have noted the dangers of the top-down approaches in any reform efforts (e.g. Bennell and Akyeampong, 2007). Appropriate consultation channels should therefore be in place.

Secondly, it is important to communicate about the reform, its goals, and means at all phases especially to those that have not been involved in its design. The implementation process should consist of exchanging different realities among implementers (Fullan, 2016).

### 2.6.2 Difficulties observed

At national level, teacher involvement in the consultation process on education reform can be limited. This is often the result of a lack of time for consultation (which can be a long process), high potential costs of conducting a vast consultation process with all concerned, uncertainty of reaching a consensus and risk of demagoguery. Besides, teacher representatives do not always have a say in negotiations involving external donors with already-defined reform objectives. In fact, governments tend to decide on educational policy as a matter of urgency, hiring

consultants or following the advice of donors, the IMF, World Bank or the UN agencies, rather than carrying out a rigorous consultation process (GCE, 2006: 52).

Research conducted by CfBT and VSO (2008) showed that the main source of teacher demotivation was their absence of participation in the decision processes concerning them. In the surveys conducted by VSO, teachers repeatedly stressed their appreciation at having been consulted. As it has been previously noted, teachers are both the beneficiaries and the actors of change and have a better understanding of what might or might not work. If teachers do not support the implementation of a new policy, it is unlikely for it to be successful.

Including teachers' voices in the consultation process by way of their union representatives and through civil society coalitions is still extremely rare or non-existent in many countries. The search for effective models of social dialogue and the implementation of "controls and equity" in decision-making on the major questions of teacher management have often been particularly neglected. Bidirectional communication platforms for constructive dialogue with the teacher unions are among the promising avenues for encouraging teacher participation in the design and implementation of education reforms and other initiatives.

At decentralised level, the regional offices and local authorities are often underfinanced, in both financial and human resources, leading to a lack of capacity for establishing communication and information systems in both directions. It is not unusual for important information on educational reforms not to reach teachers in remote or isolated schools, due to postal services not functioning properly or a lack of capacity in the regions and the provincial education offices for the production and dissemination of newsletters.

For effective regulation of newly implemented measures, special attention should therefore be paid to the consultation of the concerned actors on new measures being envisaged related to teaching staff and to the formalisation (by laws, regulations, legal procedures, etc.) of new measures, taking into account consultation results.



## Highlights

A number of shortcomings related to various institutional and organizational aspects at central and regional levels influence the way teachers are managed and ultimately affect their work.

- Unclear roles and/or overlapping responsibilities among ministry departments and units responsible for teacher management (at central and decentralized levels) may lead to a lack of coordination and transparency and to ineffectiveness in some areas such as payroll management, teacher assignments and transfers. The limited mandate of ministries of education in the field of human resource management further reduces their capacity to design and implement effective teacher management strategies.
- The lack of coherent procedures, rules, and regulations results in inefficient teacher management. This also applies to rules, regulations, and procedures that are not known by education staff. In addition, the absence of sanctions and mechanisms to ensure their application also reduces their effectiveness. Finally, certain regulations are sometimes inappropriate and only exacerbate the existing imbalances (this is often observed in teacher deployment regulations).
- Even if the effective Teacher Management Information System is crucial for various activities involved in teacher management, education sector managers usually have to cope with databases that are incomplete, obsolete, unreliable and uncoordinated. Inconsistencies in teacher-related data point to numerous flaws in the information system related to incomplete and unreliable data, delays in data collection, transmission and processing, multiplicity of databases with creation and maintenance of several bases containing data of an identical nature and a lack of qualified personnel particularly at decentralised levels.
- A sufficient number of competent and qualified personnel is needed to administer the teacher management structures. The mismatch between the profiles of personnel and the posts occupied, in large proportions at central and decentralised levels, is an issue.
- Communication and teacher consultation mechanisms are key for new policy design and implementation. Nevertheless, at national level, teacher involvement in the consultation process on education reform can be limited. This is often the result of a lack of time for consultation, high potential costs of conducting a vast consultation process with all concerned, uncertainty of reaching a consensus and risk of demagoguery. Including teachers' voices in the consultation process by way of their union representatives and through civil society coalitions is still extremely rare or non-existent in many countries. Communication channels are also sometimes poor and it is not unusual for important information on educational reforms not to reach teachers in remote or isolated schools.

## Part 3. Institutional analysis for teacher management: approach and tools

Part 2 has demonstrated that teacher management issues can be explained by inconsistencies related to institutional and organizational aspects. In order to understand the root causes of these weaknesses and to improve teacher management, it is helpful to conduct an analysis of the functioning of the education administration, with a particular focus on teacher management.

This section aims to define and explain the objectives of an institutional analysis applied to teacher management. It then identifies key questions to explore as part of this process, following the structure of the analytical framework used in this Module to approach teacher management institutional and organizational aspects. Finally, this section offers a toolbox of methods to collect relevant data that informs the institutional analysis.

### 3.1 What is an institutional analysis applied to teacher management?

Improvement of the educational system strongly depends on how effectively the education administration plans the sector development and manages human, financial and material resources. It is therefore useful to examine the various factors that can hamper the effectiveness of the education administration.

An institutional analysis seeks to identify the main strengths and challenges that the educational administration faces in the areas of strategic planning, policy design and implementation, management of information systems, human resource and financial management.

The educational administration has a wide range of responsibilities. In most cases, the time and the necessary resources are not available to conduct an extensive analysis of all functions exercised by the educational administration. The focus of the institutional analysis should therefore be on one or more of those functions.

As part of this course, we are interested in conducting an institutional analysis on the *focus area*<sup>5</sup> of human resource management, i.e. the management of human resources of the education system, including planning teacher supply and demand, recruitment, deployment and evaluation. This analysis is guided by the following core question:

*“To what extent and how effectively is the educational administration performing its human resources management functions, and more specifically those related to teachers, and how can its performance be explained?”*

Beyond this core question, the specific methodological design and implementation of an institutional analysis strongly depends on the individual country being analysed. Attention to the context and the willingness to adapt the process to the encountered conditions are important elements of a fruitful institutional analysis. For example, organizational units involved in human resource management may need to be examined at the central and decentralized level.

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<sup>5</sup> Unless the institutional analysis was requested for a specific function or unit of the administration, the overall focus of the analysis must be determined at the start of the analysis through a scoping exercise. This scoping exercise aims gaining a broad overview of the educational administration in question, since challenges and good practices rarely reside within a single unit of the administration and are frequently tied to the dynamics of the larger sector.

An institutional analysis is meant to serve as basis for suggestions on how to improve the functioning of the educational administration. It is a method that can help analyse the causes (other than external causes) of specific problems such as overstaffing, delays and/or complaints of favouritism in decisions related to assignments, transfers and promotions, etc. and provide ways to rectify them.

This section is adapted from IIEP-UNESCO's *Analysis of the functioning of the educational administration: A Guideline* (forthcoming). Other approaches can also be used to identify strengths and challenges that an educational administration faces in terms of human resource management, such as functional analysis or management audits<sup>6</sup>.

### 3.2 Key questions to guide an institutional analysis

The analytical framework explored in Parts 1 and 2 can be used to guide the institutional analysis applied to teacher management. Each aspect previously presented may be approached through three sets of recurring questions:

- What are the *legal provisions* related to teacher management that govern the functioning of the administration?
- What are the *actual practices*, and how different are they from the legal norms?
- What are the *opinions and perceptions* of the stakeholders in the education system?

Table 3.1 below presents a list of key specific questions that will guide the analysis of the different institutional and organization aspects related to teacher management.

**Table 3.1: Key questions to guide an institutional analysis applied to teacher management**

Institutional and organizational aspects	Key questions to guide the analysis
<b>Structures</b>	<ul style="list-style-type: none"> <li>• Which ministries or institutions are involved in teacher management? Within the ministry of education, which structures (departments, units, etc.) are concerned with teacher management?</li> <li>• What are the missions of these structures? Are roles and responsibilities of these structures clearly defined and known by the staff?</li> <li>• Which structures are in charge of specific human resource management tasks? Are the related responsibilities dispersed over different services within the unit or are they under the responsibility of only one service?</li> <li>• Are there overlaps of functions or functions that are not well covered?</li> <li>• What is the degree of coordination between structures or units in charge of teacher management?</li> <li>• Do the structures in charge of teacher management have adequate material and human resources to fulfil their responsibilities?</li> <li>• Does the distribution of responsibilities related to teacher management within the public administration, and the autonomy of each main agency allow each level to carry out its main functions effectively?</li> </ul>

<sup>6</sup> Further information can be found in: Sack, R.; Saïdi, M. 1997. *Functional analysis (management audits) of the organization of ministries of education*. Paris: IIEP-UNESCO.

<b>Rules and procedures</b>	<ul style="list-style-type: none"> <li>• What are the official rules and norms related to human resource management for both ministry and teaching staff? To what extent are the staff aware of their content?</li> <li>• What are the actual practices, and how different are they from the official norms, rules, and regulations?</li> <li>• Are the rules and procedures governing teacher management coherent?</li> <li>• Are teacher management actions conducted transparently and without interference?</li> <li>• Is reprehensible behaviour by teachers sanctioned?</li> </ul>
<b>Management and monitoring tools</b>	<ul style="list-style-type: none"> <li>• Which databases contain information related to teacher management? Do they complement each other in a coherent way or do they contain the same information?</li> <li>• Does the structure in charge of human resource management have the information that it needs to effectively carry out its tasks? Is this information sufficiently recent, regularly updated, complete and trustworthy? How is this information organized: within a computerized database, on paper files, etc.?</li> </ul>
<b>Management personnel</b>	<ul style="list-style-type: none"> <li>• What material and human resources exist within the structure in charge of teacher management? How many staff work within the structure? Are there any vacant posts? Are they concentrated in specific posts? What are the causes of such vacancies?</li> <li>• Is the number of personnel in charge of teacher management sufficient? Are there imbalances in current staff numbers?</li> <li>• Do officers have a job description or any other documents which provide similar information? To what extent do the tasks performed by officers correspond to their official roles? What are the activities on which the officers spend most of their time?</li> <li>• What qualifications do the officers have? How do they compare to the qualifications requested for the post they occupy? Do they consider these qualifications to be sufficient and pertinent for the tasks they are asked to do?</li> <li>• How much experience do they have? In which areas? Are these areas relevant to and useful for the post they occupy at the moment?</li> <li>• How are human resource managers managed? How are they recruited? On the basis of which criteria, through which procedures?</li> <li>• What are the policies and practices by which management staff in the public service are recruited, deployed and evaluated?</li> <li>• What are support tools (e.g. job descriptions, guidelines, manuals of procedures) and processes (e.g. meetings) available to staff?</li> <li>• What kind of training have the officers received during their career? Have they received any specific training before occupying their present post or since they started working in their current position (please specify its duration, form, organizers)? What are their present training needs?</li> <li>• Does a system exist to assess staff performance? Who is in charge of evaluating the work and the performance of the different services and officers? What form does such</li> </ul>

	evaluation take? What is its impact on staff motivation and morale?
<b>Communication and social dialogue</b>	<ul style="list-style-type: none"> <li>• Are there any formal and informal, internal or external communication mechanisms within the structures in charge of human resources? Do they also exist between local levels of the educational administration? What communication tools exist (fax, telephone, internet, etc.)? To what extent are they effective?</li> <li>• Do frameworks for consultation between management and teachers exist?</li> <li>• Are teachers or their representatives consulted on a regular basis in the framework of reforms?</li> </ul>

### 3.3 Methods of data collection

The following methods of data collection will provide you with the most important tools to analyse questions presented earlier in the analytical framework.

The first group of methods is the general basis to every institutional analysis. The second group should be considered as a toolkit. It is important to bear in mind that the methods can be combined in different ways in accordance with the needs of the specific country case using some more extensively than others. Not all methods will yield useful information in every situation depending on the existing challenges. The choice of methods should therefore be made after an initial scoping analysis of the functions, strengths and weaknesses of the administration. It is also probable that the initial methodology will need to be adapted as the institutional analysis progresses.

It is important to note that an institutional analysis does not follow a linear process of first choosing a focus, then the methods, collecting the data and eventually analysing it. Rather, it requires an iterative process that alternates between data collection and analysis. The analysis proceeds in a step-by-step manner in which the design of the exercise (e.g. choice of individuals to be interviewed, or units to visit), as well as the findings are refined with every round of data collection. It starts with limited information (documents) from which preliminary findings are drawn, and proceeds towards first interviews, the results of which may alter the initial conclusions.

#### GENERAL METHODS

Document analysis, individual semi-structured interviews as well as focus group discussions are general data collection tools that are indispensable for the institutional analysis.

##### 3.3.1 Document analysis

The **analysis of the existing documentation** is the first and key step in the institutional analysis. It provides a broad description of the functioning of the education system, its administration and particular management areas (human resources in our case). In addition to a broad overview of the system, it also allows to understand the specific rules and regulations. The official documents such as decrees, manuals, policies, reports, etc. are particularly valuable to the analysis of human resources. The examination of the existing documentation can provide a lot of valuable information to explore each of the institutional and organization aspects presented in the analytical framework.

Tables 3.2 and 3.3 provide a sample list of documents that can provide useful information in the early stages of the analysis. Table 3.2 presents a list of general documents that concern the education sector as a whole. However, many of them include large sections related to teacher management and therefore can be useful in the analysis. Table 3.3 presents relevant documentation as per different institutional and organizational aspects. However, it should be noted that some of these documents can provide information on several aspects of the analytical framework.

It is important to underline that the availability or lack of such documents, as well as the ease with which they can be found, are the first indication of potential strengths and weaknesses of the administration.

**Table 3.2: Sample list of general documents to be requested for the initial document analysis**

<ul style="list-style-type: none"> <li>- Documentation of public sector reforms</li> <li>- Documents on overall government strategy and vision</li> <li>- Legislation outlining organization of the education system</li> <li>- Annual sector review reports</li> <li>- Current and previous education sector plans</li> <li>- Documentation of ongoing education sector reforms</li> <li>- Previous external evaluations of the administration</li> <li>- Reports by national or international agencies on the functioning of the public administration (such as previous sector analyses)</li> <li>- Policy documents such as national development plans, operational plans, sector reviews</li> </ul>
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**Table 3.3: Sample list of specific documents to be reviewed in the analysis of different institutional and organizational aspects**

Aspects	Documents to review
Structures	<ul style="list-style-type: none"> <li>⇒ Official documents (decrees, laws and the like) on the role of different administrative levels in the management of education and teachers</li> <li>⇒ Legislation and organigrams on the structure, mandate and organization of the ministry of education at central and decentralised levels</li> <li>⇒ Reports of programmes and projects that units of the MoE are responsible for</li> <li>⇒ Legislation and organigrams of other ministries involved in the teacher management</li> </ul>
Rules and procedures	<ul style="list-style-type: none"> <li>⇒ Documents on the staffing of the administration at central and local levels</li> <li>⇒ Documents describing human resource management for both ministry and teaching staff</li> <li>⇒ Inventory of guidelines, manuals, and similar documents available to staff and relevant to their functions</li> <li>⇒ Manuals of procedures for teacher management</li> </ul>
Management and monitoring tools	<ul style="list-style-type: none"> <li>⇒ Documents presenting the structure of the existing EMIS and TMIS</li> <li>⇒ Evaluation reports</li> </ul>

<b>Management personnel</b>	<ul style="list-style-type: none"> <li>⇒ Organizational charts of the units (ministries and offices) in the educational administration (linked to teacher management)</li> <li>⇒ Official job descriptions and vacancy announcements</li> <li>⇒ Performance evaluation forms</li> <li>⇒ Reports from staff meetings</li> <li>⇒ Data on staff profiles, offers and participation in training activities from the unit in charge of personnel or human resources management</li> <li>⇒ Individual and Ministry-level training plans and/or professional development plans</li> <li>⇒ Records, implementation and evaluation reports of training programs and courses</li> </ul>
<b>Communication and social dialogue</b>	<ul style="list-style-type: none"> <li>⇒ Formal or informal documents setting up the dialogue and/or coordination structures with teachers and their representatives, and directing their functioning</li> <li>⇒ Minutes and reports of meetings of these structures</li> </ul>

### 3.3.2 Interviews

The second important tool in the institutional analysis is the **semi-structured interview**. While the document review provides insights into official legislation, interviews shed light on actual practices, the perceptions of problems, hidden dynamics and larger contexts. The advantage of an individual interview is the possibility of going into detail and of inquiring into personal perceptions which an individual may not voice within a group of peers. A lot of thought should be given to the preparation of the interview guide making sure that questions are open, clear, and not biased.

Semi-structured interviews can be carried out with a number of different actors and it is indeed important to ensure their diversity. The latter actors can include senior decision-makers, staff occupying positions of authority or leadership within the departments involved in the planning and management of teachers, and key informants, i.e. people who have extensive experience in the public administration, and who are able to analyse developments over an extended period of time. It can also be very helpful to interview people outside of the public service, e.g. within research institutes or civil society organizations.

*A list of potential official informants:*

- Political representatives of the educational administration
- High-level and mid-level managers of the educational administration
- Heads of units related to teacher management
- Former and current staff members
- Upper and middle-management staff of the ministry at central and local levels
- Head of human resources

*Other potential interviewees:*

- Representatives of teacher unions and associations
- Researchers
- Donor agencies, NGOs and development partners

### 3.3.3 Focus group discussions

During focus group discussions data is collected through a discussion with a small group of individuals. The interviewer acts as the moderator and there is a clear focus on one topic. The focus group discussion brings together several informants and allows to collect and test more data than the individual interview. This may be especially useful at the local level. The exchange between informants can also help to produce a more holistic view of a topic as individual knowledge gaps can, for example, be filled by others, or may reveal themselves as collective knowledge gaps. Disagreements may also be more easily identifiable in group discussions than by comparing individual interviews.

Focus group discussions may also be used to test preliminary results of the data analysis. In this case, group members should be able to consult the results in advance.

While focus group discussions may be very informative due to the interaction of several individuals, it is also possible that more constraining dynamics emerge due to the composition of the group (e.g. official or parallel, hierarchies or personal relations). Some individuals may not feel at ease and not wish to voice their opinion, while others may dominate the exercise. These dynamics should be observed by the interviewer and taken into account for the interpretation of the data.

## TOOLKIT

The following sub-sections present data collection tools that also might assist you in the analysis of the institutional and organization aspects. The relevance of their use will depend on the particular context.

### 3.3.4 Questionnaires

Interviews and focus group discussions with selected staff can only reach a limited amount of actors. This is why some data are best collected through a questionnaire as it allows to reach a wider audience. The questionnaire should therefore be administered to a wider range of officers (e.g. all professionals in the planning department, or senior staff in all provincial offices). At decentralized levels, selected groups, districts or regions, which have contrasting characteristics, can be covered.

Two types of questionnaires can be identified and have proved to be useful in the institutional analysis:

**1) Fact-based questionnaires** collecting data on the profiles of individual staff members, concerning their tasks, job descriptions, their educational background, the potential participation in training activities, etc.

**2) Opinion-based questionnaires** that cover both knowledge of official rules and regulations, as well as the subjective perception of the administration's functioning, concerning such areas as knowledge of overall mandate, the availability of support or communication structures, etc.

Although in the questionnaire it is possible to cover the whole range of the analytical framework, it is advisable to limit it to core issues. Questionnaires yield large amounts of data and are more relevant when they address precise questions. The design of the questionnaire should ideally take place after a first round of data analysis and a first set of interviews to allow for such a focus on core issues. The latter is also beneficial in terms of length since response rate tends to decline as the length of the questionnaire increases. *Box 3.1* provides an extract of a sample questionnaire that could be used to assess to what extent the tasks performed by officers correspond to their official roles (i.e. management personnel aspect of the analytical framework).

**Box 3.1: Section of a questionnaire assessing to what extent the tasks performed by officers correspond to their official roles**

**Your tasks**

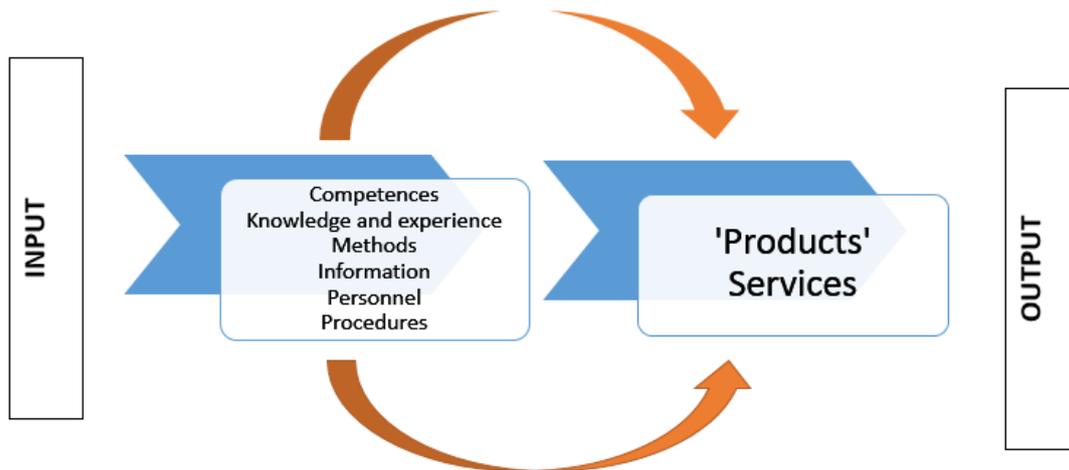
1. *Is there an official document such as a job description, which identifies the tasks you are expected to perform?*
  - a. Yes
  - b. No
  - c. I don't know
  
2. *If so, what type of document is it?*  
 \_\_\_\_\_
  
3. *Do you find that this document is ...?*
  - a. Very precise
  - b. Not very precise
  - c. Not precise at all
  
4. *Have your official tasks changed since you started working in your present post?*
  - a. Yes, important changes
  - b. Yes, but small changes only
  - c. No
  
5. *Can you identify the three tasks on which you spend most time and list them in order of importance, starting with the one taking most time ?*  
 Task 1. \_\_\_\_\_  
 Task 2. \_\_\_\_\_  
 Task 3. \_\_\_\_\_
  
6. *Are these three tasks listed in the official document mentioned under question 2?*

	Yes	No
Task 1		
Task 2		
Task 3		

**3.3.5 Process analysis**

**Process analysis** is used to inquire into the individual steps of actual processes linked to teacher management. Its objective is to explore how the key outputs are produced given the existing inputs (see Figure 3.1). The process analysis also aims to explore why the process takes its present form, whether it is functional and who is responsible for what. Finally, it allows to analyse whether existing practices respect the existing rules and regulations. This method is especially useful in situations where there is a broad lack of guidance in the educational administration because key legislation, and/or manuals are missing, or where the actual processes clearly deviate from official manuals.

Figure 3.1: Matrix of a process



The process analysis will follow four key steps (please see *Figure 3.2* that shows how it can be visualised and *Figure 3.3* for the concrete example):

1. The first step of a process analysis is to select the output that you want to analyse (e.g. teacher demand projections, teacher deployment): it corresponds to the Action 6 in the *Figure 3.2*.
2. The second step consists of identifying actors that are involved in this process (Actors 1, 2, 3, 4, etc.) placing them in the first row of the matrix.
3. You then have to identify the starting point of the process (Action 1-start) before identifying all the steps (activities) that are required to produce the outcome (Action 2 to 5). Make sure that each activity is in the right column aligned with the actor (Actor A, B, C, etc.) who is responsible for performing the activity.
4. It is then necessary to add the duration of each activity in the first column (timing).

The following aspects are important to consider in the process analysis:

- ✓ which rules and instructions do actors receive?
- ✓ what information and tools are available?
- ✓ at which stage are decisions taken?
- ✓ who is responsible for these and who is informed?
- ✓ how are the logistics organized?
- ✓ what is the duration of each activity?

The data for a process analysis is typically collected in a workshop or through other collection tools (e.g. interviews, document analysis).

Figure 3.2: Process analysis matrix

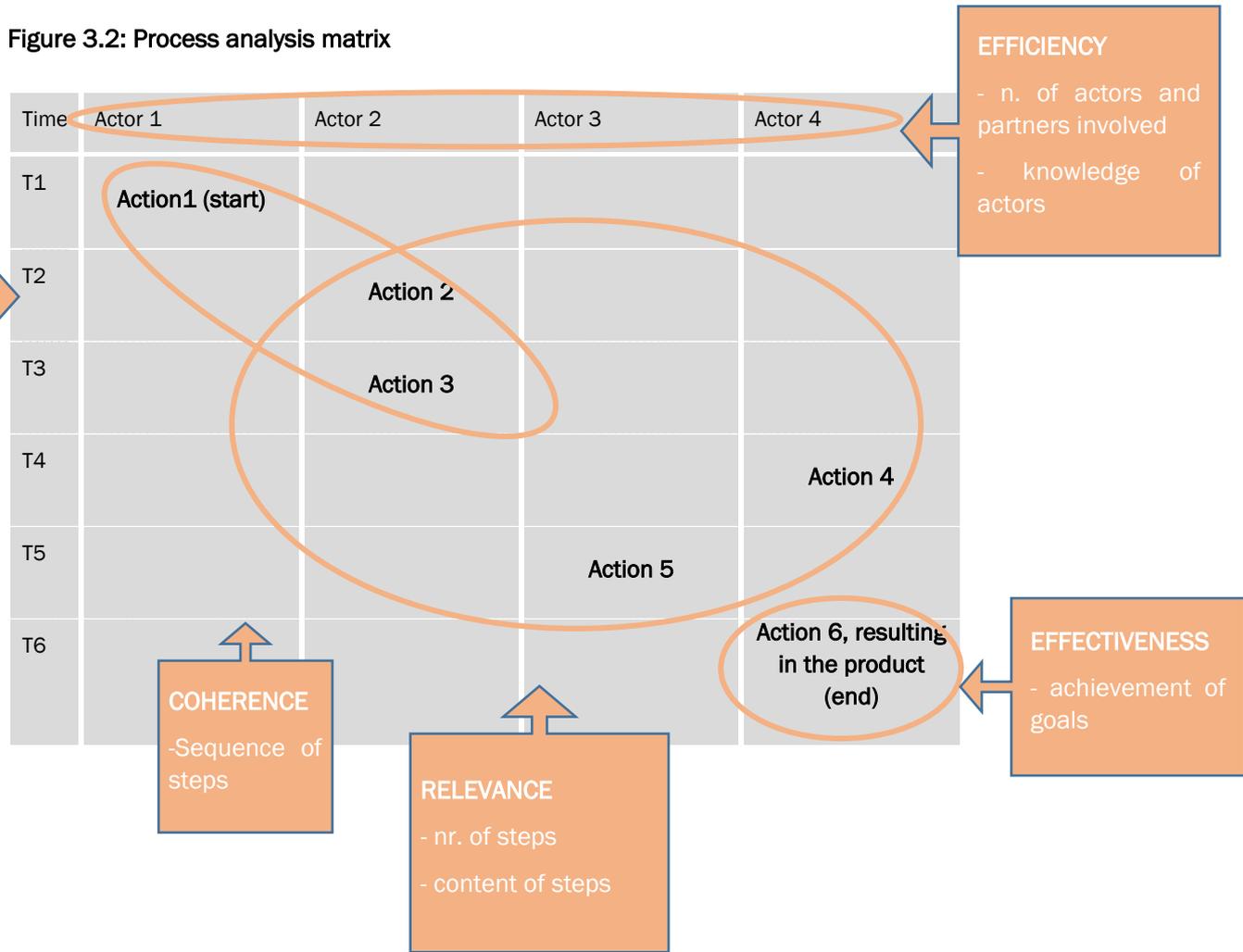


Figure 3.3: An example of the filled process analysis matrix: teacher demand projections

Time	District administration	education	Province administration	education	MoE: Division of information and planning
T1					Indication of norms and calculation methods (1)
T2				Transmission (2)	
T3		Projections on enrolments and teacher demand for the upcoming 10 years (3)			
T4				Control and consolidation of projections made at the district level (4)	

T5

Control and consolidation of projections made at the province level (5)

The process analysis allows to evaluate the relevance, effectiveness, efficiency and coherence of the processes involved in teacher management (please see *Box 3.2*). The links between different actors in different stages of the processes together with other questions previously noted allow to generate a lot of valuable information.

**Box 3.2: The analysis of relevance, effectiveness, efficiency and coherence of the management processes**

**Relevance of the process and of its components**

- ⇒ What is its goal?
- ⇒ Is the goal justified or accepted?
- ⇒ Were the components/successive actions of the process appropriate for the goal or general objectives to be reached?

**Effectiveness of the process**

- ⇒ Do the results correspond to what was desired?
- ⇒ Has the process reached its general goal and key objectives?

**Efficiency of the process**

- ⇒ Do the results obtained justify the time spent and resources used throughout the process?
- ⇒ Have there been any repeated actions or successive controls that have not added anything to the value of the process?
- ⇒ Does the process make use of the available information or does it mobilise new information each time to achieve its specific goal?

**Coherence of the process with other processes** in order to reach the desired result (e.g. in terms of time-spread, norms applied, etc.).

**3.3.6 Consultative workshops**

Like a focus group discussion, a consultative workshop is meant to collect the cumulated expertise of a group of informants. These workshops can be very useful to gather the necessary information for the process analysis previously described. It is an exercise that may take between half a day and several days, depending on the amount of terrain to be covered. The advantage of a workshop is that it can take several formats such as presentations, group work and plenary discussions.

A workshop also brings together a large number of individuals for accelerated data collection. A further positive aspect of a consultative workshop is that it helps to raise the overall awareness of the participants regarding the strengths and challenges that they have identified in their educational administration.

**Source:** adapted from IIEP-UNESCO's *Analysis of the functioning of the educational administration: A Guideline* (forthcoming).



## Highlights

- Institutional analysis focused on teacher management is a tool that helps to explore the institutional and organizational aspects that strongly influence teacher management. This tool allows to examine the latter aspects in five key areas as identified in the analytical framework before.
- The institutional analysis can be guided by a set of questions in each of the items of the analytical framework that will allow you to explore in detail the institutional and organizational aspects linked to teacher management. It requires an iterative process that alternates between data collection and analysis.
- The institutional analysis will rely on a set of data collection methods such as the document analysis, interviews, focus group discussions, questionnaires, process analysis and consultative workshops.

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