



# Policy Capacity Matters for Capacity Development

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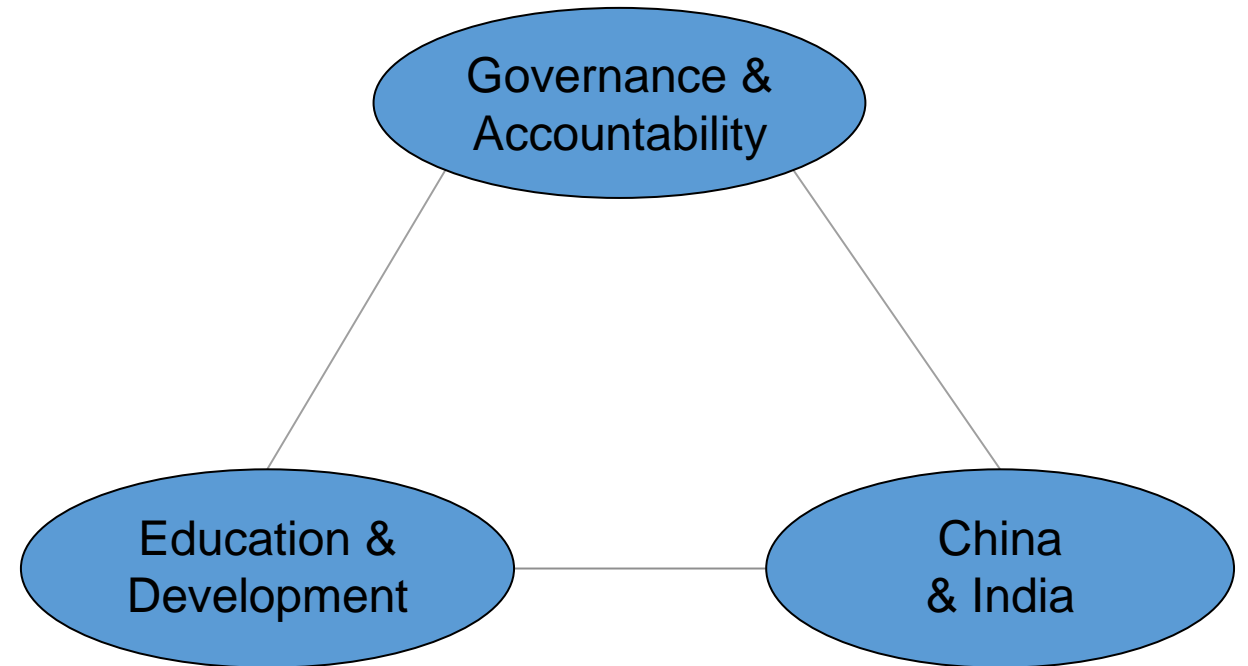
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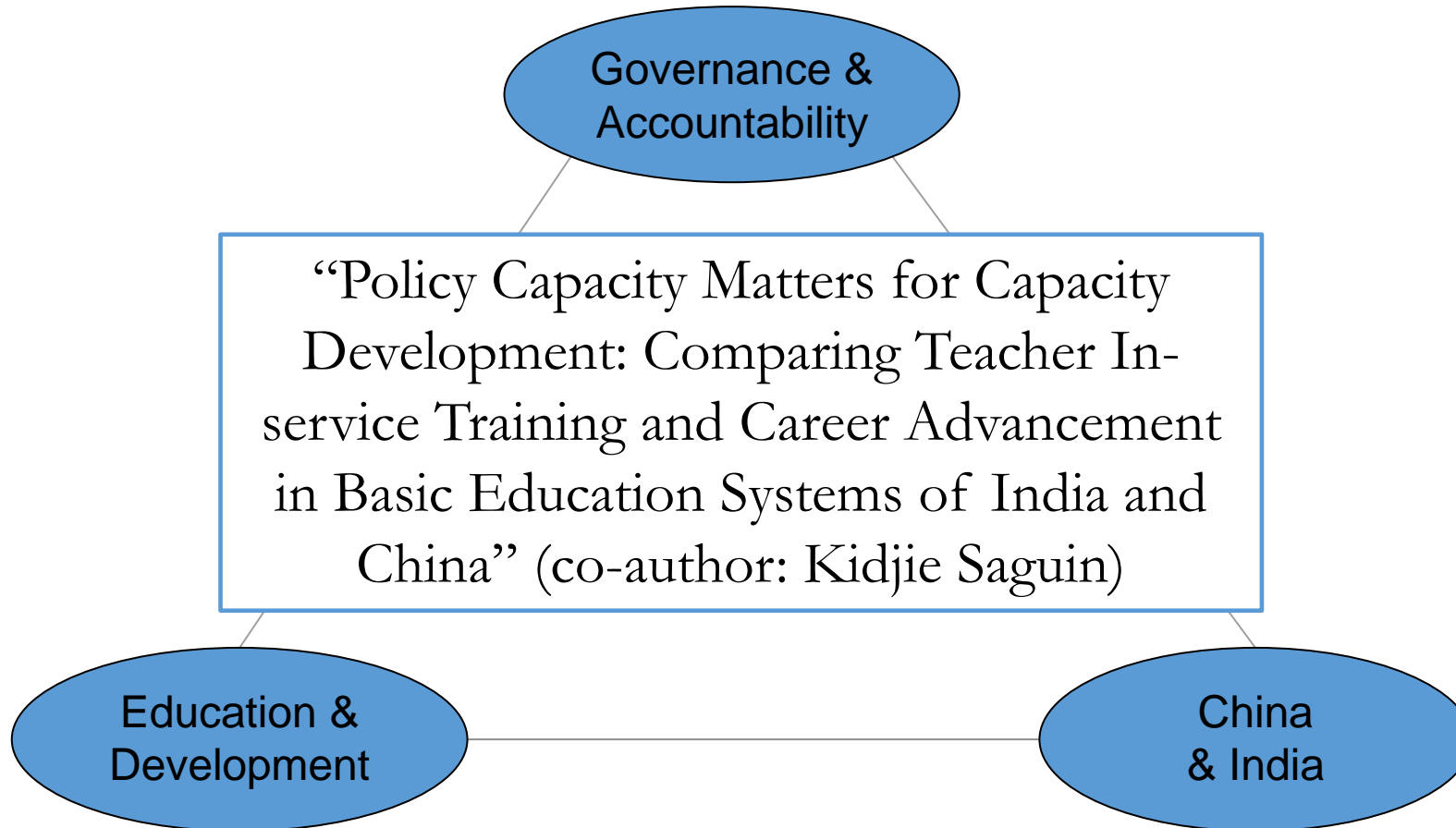
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# 1.1 About Me

- LSE Fellow since September 2019
- PhD in public policy, National University of Singapore
- Interested in **comparative public policy and administration**, with a focus on **Asia**



## 1.2 This research



## 2.1 How does policy capacity matter for capacity development (CD)?

- Policies and programs meant to address capacity deficits of individuals and institutions are crucial to improving public service delivery.
- One needs a right mix of capacity to properly design and implement these CD initiatives.
- Despite such recognition, existing understanding on capacity remains largely incomplete. A more generalized and nuanced understanding is needed.
  - Wu et al. (2015): **policy capacity** as the **set of skills and resources, or competences and capabilities, necessary to perform policy functions.**

## 2.2 Three dimensions of policy capacity

### Analytical Capacity

**In general:** generate intelligence; commit to evidence-based policy;  
**In CD:** track status and progress; identify CD needs and gaps.

### Operational Capacity

**In general:** use appropriate policy instruments and arrangements to solve policy problem;  
**In CD:** cover identified CD gaps in inclusive, relevant, tailored and sustained manners.

### Political Capacity

**In general:** align stakeholder goals and interest to gain support;  
**In CD:** engage various key stakeholders of CD programs, esp. whose capacity is being developed.

## 3.1 Empirical strategy- overview

Study	Main topic	Level of data collection	
		Broader	Narrower
Yan and Saguin (forthcoming)	Policy capacity in teacher CD (in-service training and career advancement)	Government middle schools in Beijing and Delhi	150 teachers in Delhi and 80 teachers in Beijing

- Focus on CD initiative catered to teachers to rectify prior focus of CD at organizational or system levels.
- Understanding how CD programs works would be incomplete without examining the experience of the recipients.

## 3.2 Empirical strategy- case rationale

Study	Main topic	Level of data collection	
		Broader	Narrower
Yan and Saguin (forthcoming)	Policy capacity in teacher CD (in-service training and career advancement)	<b>Government middle schools in Beijing and Delhi</b>	150 teachers in Delhi and 80 teachers in Beijing

- **India and China** as the focus of this exploratory study
  - Two of the world's largest basic education sectors
- **Beijing and Delhi** purposively selected as starting point

## 3.2 Education governance structure, Beijing and Delhi

India				China	
Level	Administration	Academic	Program	Level	Agency
<b>National</b>	Department of School Education and Literacy, MHRD	National Council of Education Research and Training	Education Division, Planning Commission	<b>National</b>	Department of Basic Edu I & II, MOE
<b>Delhi</b>	Directorate of Education	State Council of Education Research and Training	State Project Office	<b>Beijing</b>	Division of Basic Edu.& Beijing Institute of Education affiliated to it
<b>Districts</b>	Deputy Director of Education (DDE)	District Institute of Education and Training	District Project Office / DIC	<b>Districts</b>	Section of Basic Education
<b>Zones</b>	Zonal Officer			<b>Cluster</b>	Loosely coupled school groups (Jituan) or clusters (Jiqun)
<b>Cluster</b>	Cluster Resource Centre Coordinator				
<b>Schools</b>	School Management Committee and Head of School			<b>Schools</b>	Principal



## 3.3 Empirical strategy- sampling strategy and survey

Study	Main topic	Level of data collection	
		Broader	Narrower
Yan and Saguin (forthcoming)	Policy capacity in teacher capacity development	Government middle schools in Beijing and Delhi	<b>150 teachers in Delhi and 80 teachers in Beijing</b>

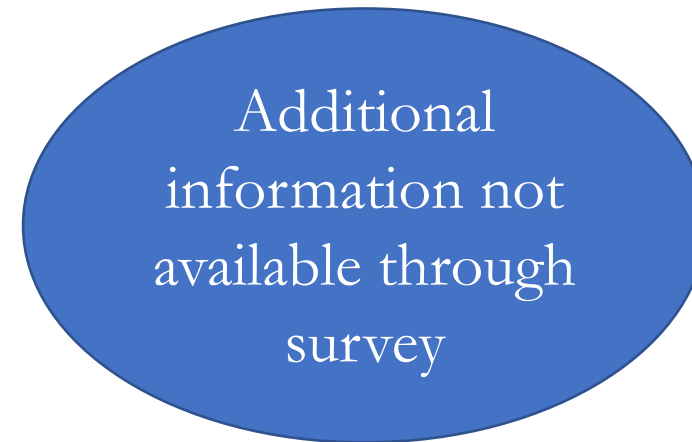
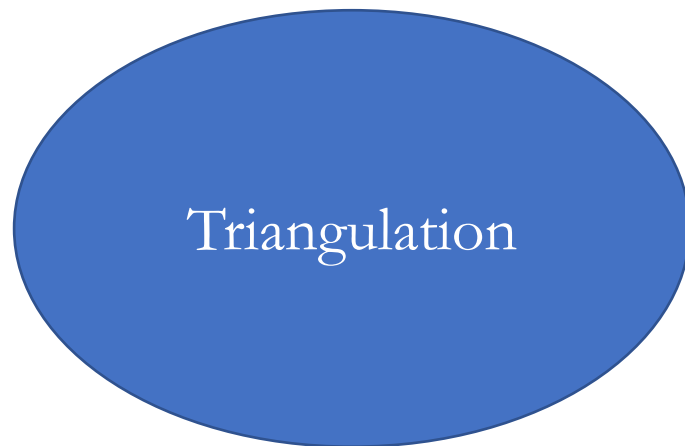
- **Purposive sampling** of one district within each site. Respondents from 33 schools in North Delhi and 22 out of 24 schools in Fengtai
- **Survey** as structured inquiry on how **in-service training** and **career advancement** are *actually* delivered and received.
- Explores recipients' levels and reasons of (dis)satisfaction together with **follow-up interviews**.

## 3.3 Teacher survey sample

Background characteristics	Delhi (N=150)	Beijing (N=80)
<i>By Gender</i>		
Male	84 (56%)	23 (29%)
Female	66 (44%)	57 (71%)
<i>By Professional Ranking and Years of Experience</i>		
TGT/ Middle School 1-3	20 (13%)	18 (23%)
TGT/ Middle School 4-10	30 (20%)	25 (31%)
TGT/ Middle School 11+	47 (31%)	27 (34%)
PGT/ High school	21 (14%)	10 (13%)
Guest Teachers	32 (21%)	0
<i>By Education Level</i>		
Bachelor/ Under-grad	19 (13%)	62 (78%)
Master/ Post-grad	120 (80%)	18 (23%)
PhD	5 (3%)	0
Others or Unspecified	6 (4%)	0

## 3.4 Supplementary methods

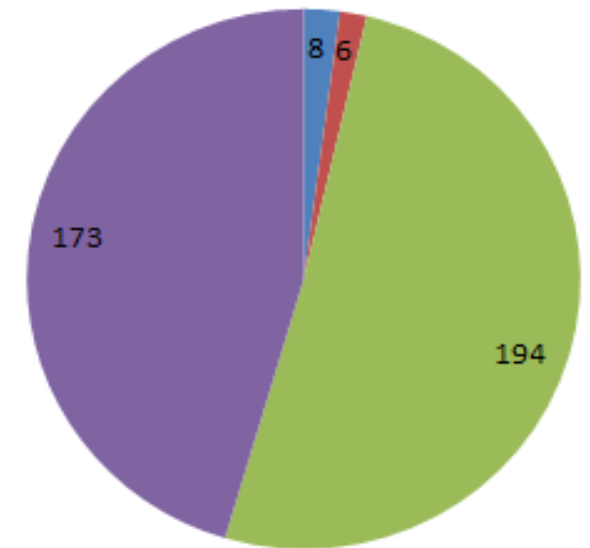
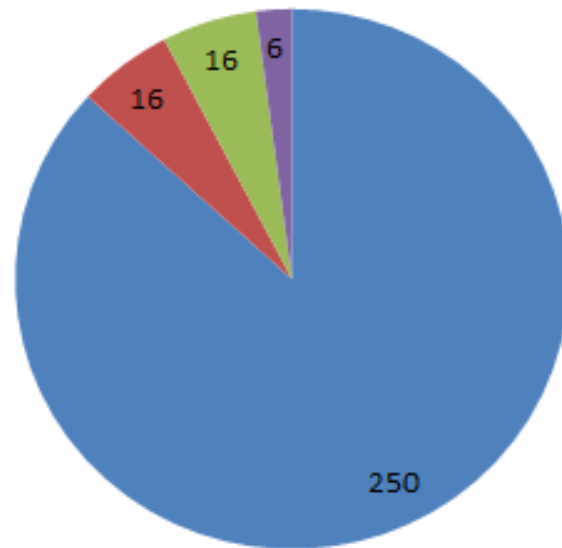
- School/ principal survey (whenever applicable)
- Expert consultations and interviews with NGO workers and government officials
- Read of policy documents
- Secondary analysis of administrative data (e.g. budget)



# 4.1 Variation of CD for teachers: in-service training

In-service training	Delhi (N=150)	Beijing (N=80)
Structure	Centralized, state authorities as major training provider	Decentralized, districts and schools as major providers
Main Format	Concentrated, during (summer) break	Dispersed throughout semester; monthly or weekly

% Received Training  
 % Felt training did not match needs  
 Average Satisfaction

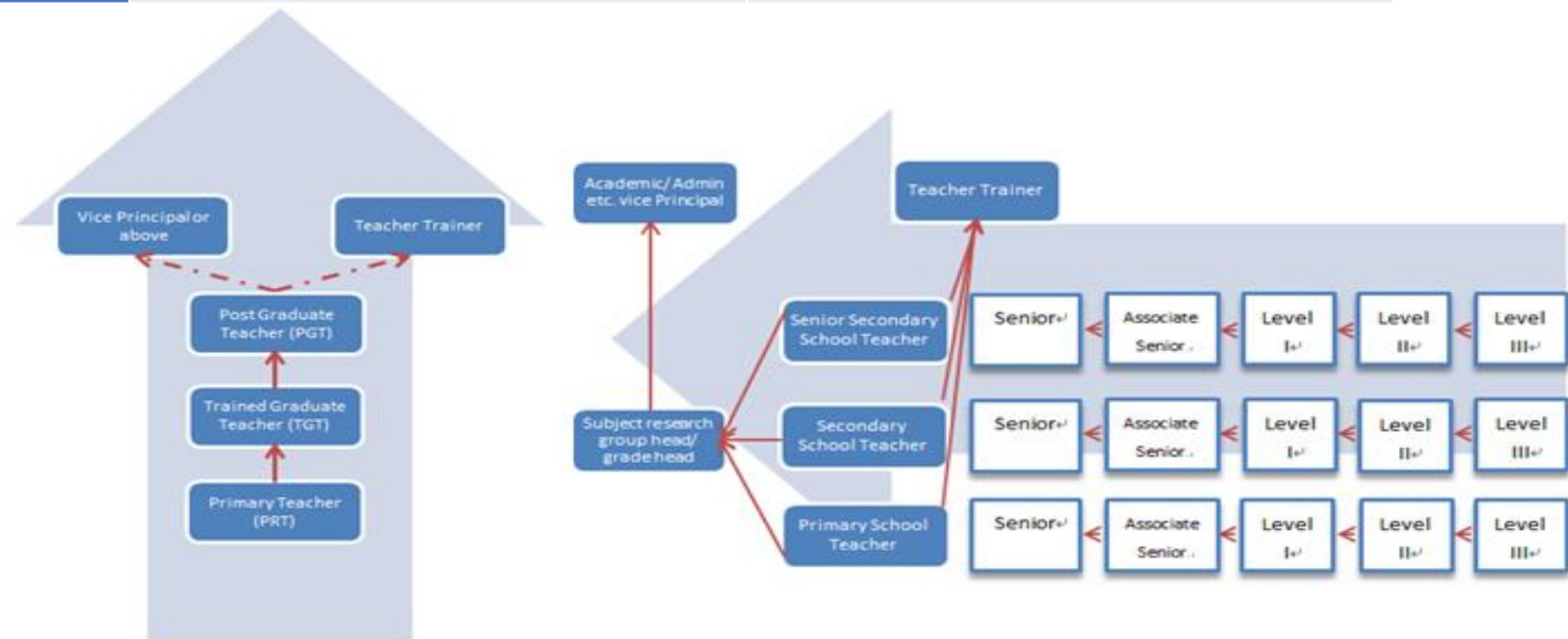


# 4.1 Variation of CD for teachers: career advancement

Career advancement	Delhi (N=150)	Beijing (N=80)
Promotion Structure	Single type; vertical career path; regular teachers only	Multiple types; horizontal career path
% Received Promotion	43.3%	52.5%

Average Interval between survey and promotion (for those promoted)

Average Satisfaction



## 4.2 Variations of analytical capacity

	Delhi	Beijing
Consulting teachers directly	10% of survey respondents consulted in advance for training needs and expectations	31% of survey respondents consulted in advance for training needs and expectations
Consulting experts	Mostly experts from <b>state-level</b> authorities or <b>university</b> professors	Broader involvement of expert <b>teachers</b> ; more <b>embedded</b> university experts
Collecting info from lower-level	DIET supposed to improve responsiveness to local needs, but in reality, quite <b>marginalized</b> .	<b>District</b> -level authorities enjoy more autonomy and also serve as important <b>source of information</b> .

## 4.3 Variations of operational capacity

	Delhi	Beijing
Training coverage	<b>Selective:</b> >60% of guest teachers did not receive training	<b>Universal</b> coverage by multiple providers; training offered is diverse, if not entirely complementary/ synergetic
Format and frequency	<b>'High-stake'</b> : Once missing training at one point, the next chance to catch up would not appear until the next training cycle.	Ongoing throughout term + special-purpose ones during vacation; Academic content/ pedagogy more frequent than student management
Targeted provision	No	E.g. district-level training provided to <b>"weak schools"</b> offers diagnostic feedback on teaching demonstration by expert teachers, action-research etc.

## 4.3 Reflecting overall differences of resources?

	Delhi	Beijing
Per student spending*	USD131 from Delhi government + USD 580 from Union government (2015 data)	USD 5200 (2013 data), highest amongst Chinese provinces
PTR	30 (2015 data).	8.41 (2015 data)

\* Could be biased due to different spending priorities and central-local dynamics

- Although absolute *number* of budgetary inputs differ, the *trend* of budgetary increase is observed in both cities.



## 4.4 Variations of political capacity

	Delhi	Beijing
Political commitment	<b>Strong</b> since AAP government in office: >20% budget allocated to the sector	<b>Strong</b> with largest growth of public expenditure on basic education in China from 2010 to 2015
Stakeholder involvement/alignment	<ul style="list-style-type: none"> <li>• NGO as alternative provider, but raises concerns and oppositions of being substitute to government role.</li> <li>• Lack of regular and institutional platforms to engage (esp. guest) teachers</li> </ul>	<ul style="list-style-type: none"> <li>• No NGO involvement</li> <li>• Multiple channels for eliciting teacher opinions that are conducive in building trust.</li> <li>• Training more <b>coordinated</b>: state government plays a supplementary role in areas which local levels are unable to cover.</li> </ul>

## 5.1 Summing up

- Variations of analytical, operational and political capacities jointly account for the perceived differences of CD effectiveness in the cases of Beijing and Delhi.
- Enriched discussions on teacher in-service training, which have presented a mixed record so far, by adding a more nuanced picture of how training as a CD measure works through the theoretical lens of policy capacity.
- Without understanding and catering to the needs of the targets, CD initiatives meant to be supportive are likely to be disappointing.

## 5.2 Moving forward

- Use cross-national **objective measurement** of effectiveness (e.g. on student learning outcomes) to triangulate with teacher perceptions.
- Use similar instruments to explore CD for principals, school management committee members, government officials etc. to gain the **more comprehensive picture**.
- Another round of survey to track **change** of policy capacity/ CD outcomes over time.
- Further explorations in **other regions or countries**.

Thank you! (And look forward to Q&A)



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# Significance of variations in CD for guest versus regular teachers, Delhi (t-stat)

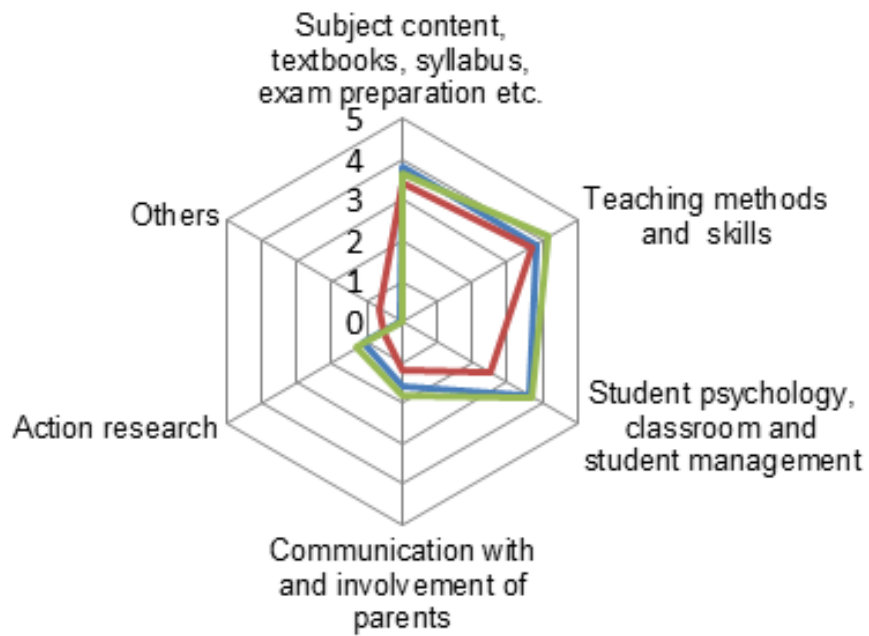
Items	Guest v.s. Regular, Delhi
- received training	-4.27*** (0.09)
- average training hours	-3.71*** (4.74)
- average satisfaction on in-service training	0.31 (0.54)
- received promotion	-6.22*** (0.09)
- average satisfaction on promotion status	-3.32*** (0.29)

\*: Significant at 10 percent level    \*\*: Significant at 5 percent level    \*\*\*: Significant at 1 percent level

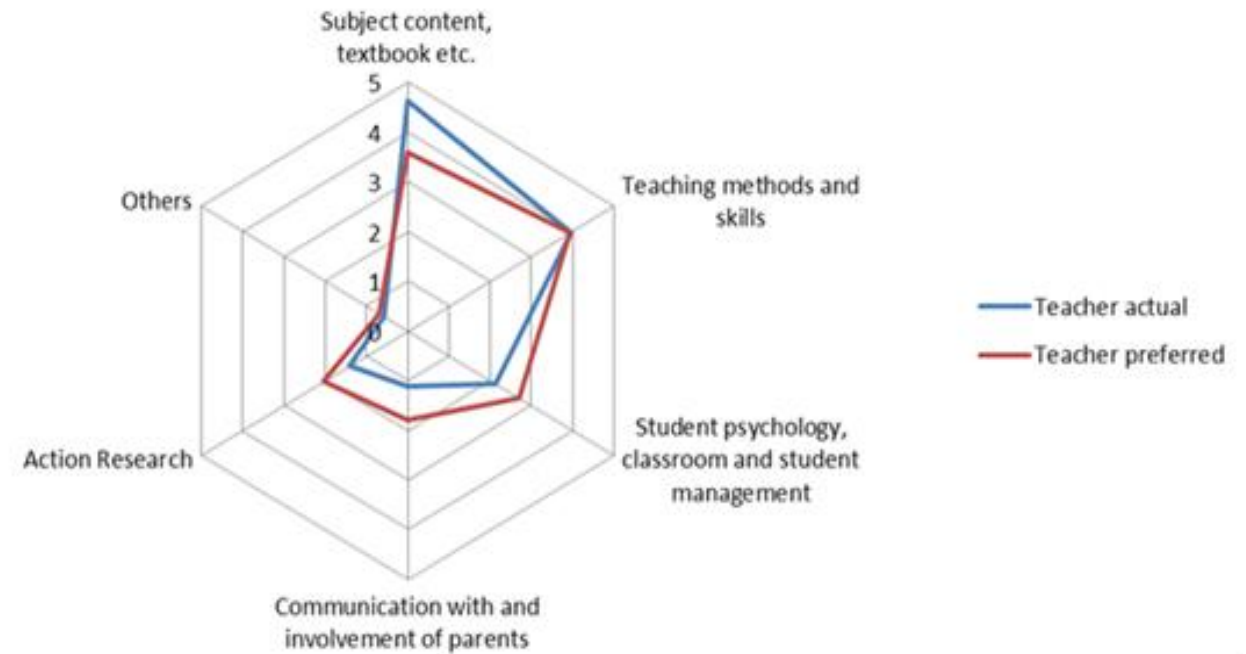
a: Standard errors in parentheses;

results read as the former category (=0) is higher (+)/ lower (-) than the latter category (=1)

# Perceived Training Priorities of Teacher Respondents, Actual and Preferred



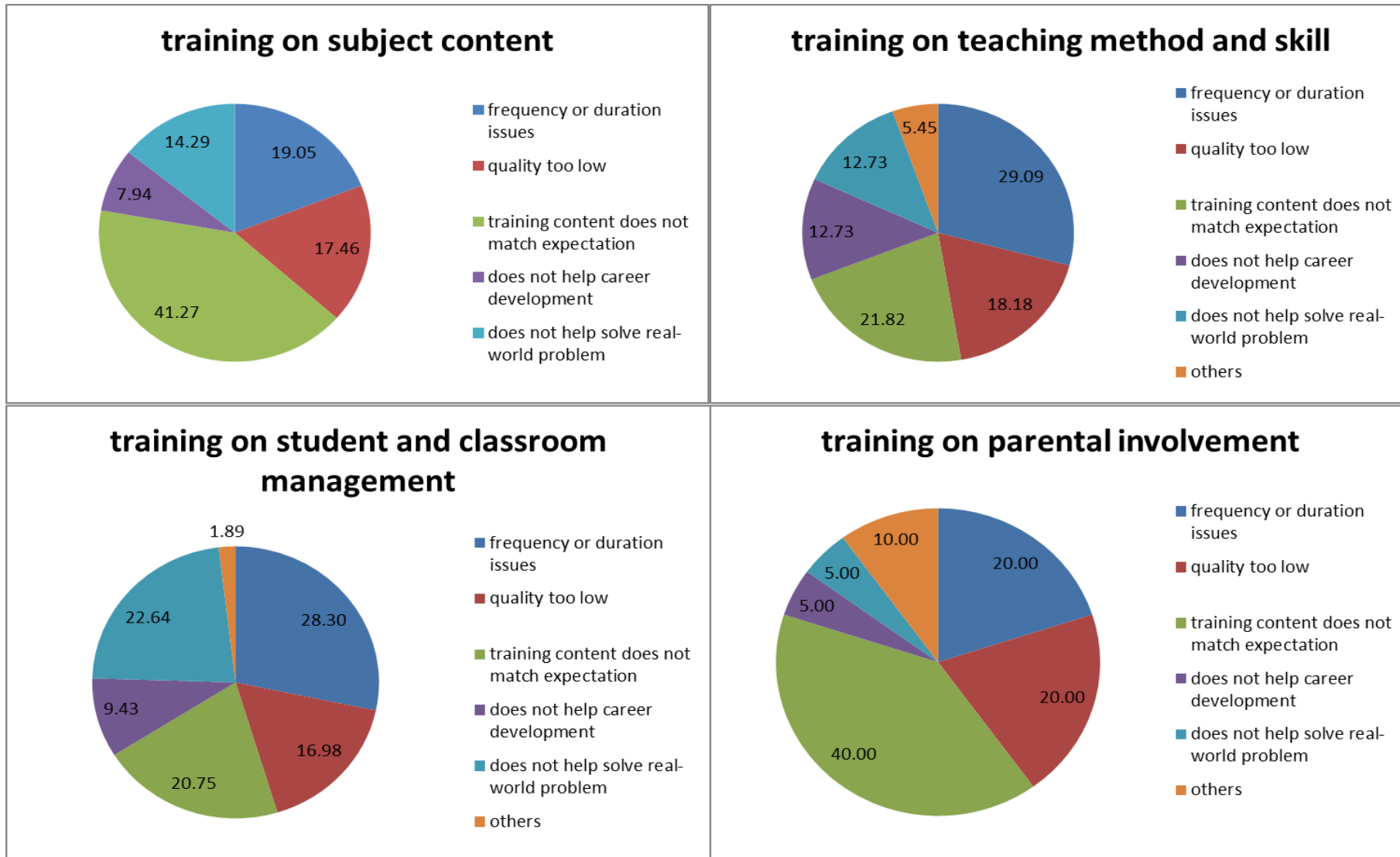
Delhi



Beijing



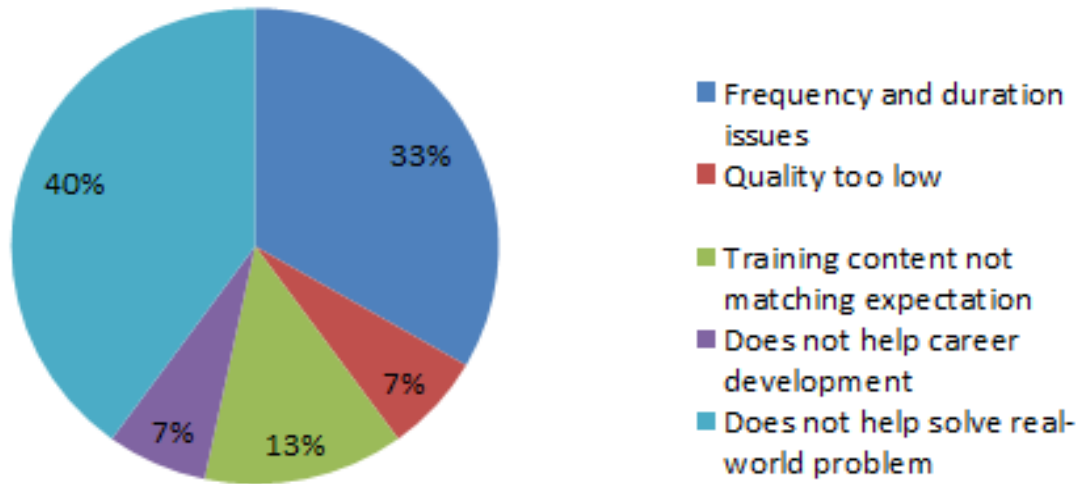
# Reasons of dissatisfaction on training, Delhi



\* For upper-left sub-figure, n=63; for upper-right, n=56; lower-left, n=53; lower-right, n=20

# Reasons of dissatisfaction on training, Beijing

Training on academic content and teaching skills  
(n=15)



Training on rest of contents (n=50)

