

Chapter Four

The research methodology

4.1 Introduction

While the previous chapter engages with the conceptual framing of the education policy change literature for this study, the purpose of this chapter is to clarify the study's research methodology. It begins with clarifying the methodological plan and events as they occurred. This chapter also includes some explanations on the analysis of data that were collected early in the process. However, the analysis of the workshops and interviews, the supporting policy and union documents, and the questionnaire data are presented in subsequent chapters. I will begin by noting the research design and methods of the study.

4.2 Research design and methods

As noted in Chapter 1, I formulated my original proposal for this study in 2003 and early 2004. However, the implementation of the DAS policy that I anticipated did not occur. Consequently my research had to shift its emphasis toward understanding why the anticipated implementation failed. In particular, the study now focuses on the gap between policy and practice (policy-making process), change management and organisational change. This next section will discuss briefly the methodology for investigating the gap between policy and practice.

4.2.1. The methodology for investigating the policy-practice gap (PPG)

First, the methodology for the investigation of policy analysis can be divided into (1) "conceptual policy analysis", where the link between policy determinants and policy content is examined; and (2) "applied policy analysis" where the link between policy content and policy impact is investigated (Pal, 1992, p.21). This study was concerned with both the generation of policy and its content and therefore, engaged in both kinds of analysis.

The process of investigating policy generation also needed to include the information which was available to policy makers, their own capabilities and expectations of the policy, and the tools and expertise available to them in formulating the policy. Policy makers might also use indicators and surveys as instruments to forecast the likely impact of policy, whether it involves action or not (Dunn, 1994, p.198). Furthermore, Dunn (1994, p.152) argues that a “policy model is useful and even necessary ... [to] ... distinguish essential from non-essential features of a problem situation“. It was therefore my responsibility to select an approach that would identify the correct documents for constant comparison, and tools which would illuminate the underlying theories used by policy makers as they generated the DAS policy.

Second, the methodology for the investigation of practice focuses on the linkages between policy and practice based on information about what happened or not at school level. The broad research approach was one which supported the construction of theory based on data gathered from the field to address the ‘how’ and ‘why’ rather than the ‘when’ or ‘how many’. Therefore, a form of case-study approach satisfied the requirements and limitations of the study. Since I had little or no control over the policy implementation process at school level, the case study became a strong reason for using it (Yin, 1994, p.1). This methodology was appropriate because the issue to be studied was not easily distinguished from its context, and because there were more variables of interest than the reform policy alone (Stake, 1995).

Therefore, the current study used a modified case-study approach to investigate why the DAS policy was not implemented at Cape Flats Secondary School. In an exploratory way, I utilised constant comparisons (Strauss and Corbin, 1998, p.67) to build theory using several workshops, school visits and interviews to understand the perspective of those involved. This modified case-study approach combined the observations and interviews with other data sources such as policy documents, systemic information about the school and questionnaires to explore the readiness of the school to implement the reform policy. My own experience of what should be achieved by the DAS policy could be compared with what was happening at the school during the workshops and other visits to the school. These events provided an opportunity for comparison of the relationship or gap between policy and practice.

4.2.2. Research methods

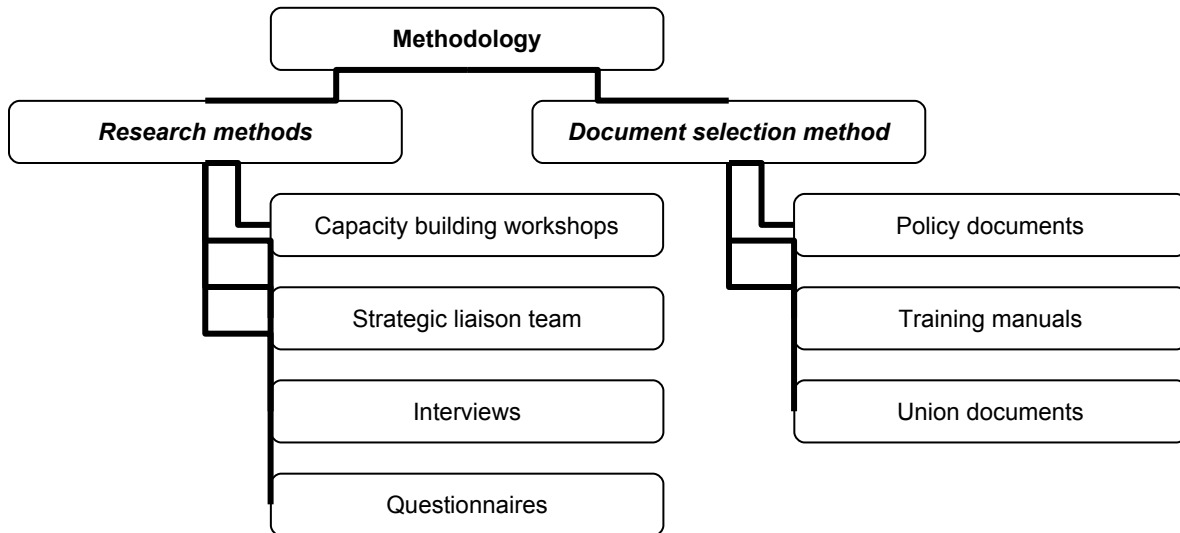
The shift in the study to the non-implementation of the policy changed the general research question to: What were the challenges facing the staff development team (SDT) and the staff, in translating the policy into meaningful action during the implementation process? The specific research questions were:

- (1) How did the SDT and staff conceptualise the intention of the DAS policy, and how did their conception compare with that of the written policy?
- (2) What were the critical decisions the SDT and staff made during the process of conceptualising the DAS policy?
- (3) What were the internal culture and the School Readiness Conditions for implementing the DAS policy?
- (4) How did the organisational and human elements influence the implementation process?

The following methodology (Figure 13) was used to generate the data needed to answer the specific research questions:

- (1) The interview process was used to get responses on the conceptualisation of the policy by the SDT and two other staff members, as well as the critical decisions they had to make during the conceptualisation process;
- (2) The National Appraisal Task Team (NATT) process and the policy documents were used to respond to the intention of the written DAS policy;
- (3) The interviews, questionnaires and capacity-building workshops were used to generate the data needed to respond to the questions relating to the internal culture and the School Readiness Conditions of the school, and;
- (4) The interviews and questionnaires were used to explain the organisational and human elements which influence the implementation process.

Figure 13: The research methodology



4.3 Data collection

A major issue identified by Sprinthall, Reiman and Thies-Sprinthall (1996) is the need for a broader conception of education policy analysis research, including the merging of qualitative and quantitative approaches. Suggestions by these authors include the use of participant observations and interview material along with quantitative data. A number of advantages have been identified using these approaches, including the added richness of data provided by the combined inputs from qualitative and quantitative sources and the improved credibility of research findings provided by the triangulation of data from different data-collection approaches (Fraser and Tobin, 1991; Firestone, 1987). The selection of research methodology for this study combining both quantitative and qualitative methods was therefore guided by these research trends in the field of education policy analysis. The three central methods of data collection in qualitative research namely (1) document analysis (2) interviews; and (3) observations, as well as one method from the quantitative research namely (4) questionnaires, were used.

4.3.1. Documents as data

The first source of data for this study was a range of appropriate documents. Hodder (1994) refers to a distinction between documents and records on the basis of whether the text was prepared to attest to some formal transaction. As he puts it:

Records are those texts which are the formal transactions, such as contracts, legal documents, official government gazetted statements and the like. Documents are prepared for personal rather than official reasons and include diaries, letters, field-notes and so on. (Hodder, 1994, p.394)

This classification is useful, but not entirely satisfactory for this study as there was much documentation that fell somewhere between Hodder's two categories. Instead, the use of the word 'document' in this study refers to all written sources of material evidence that were used for the purpose of data collection. These will be categorised below.

Documents were selected on the basis of knowledge gained from literature reviews and previous document analysis, which determined those that were most appropriate. Documents played three important roles in the collection of data. First, they were an important source of data in their own right, used to ensure "data rich in description" (Bogdan and Biklen, 1998, p.58) or 'thick description' (Punch, 1998). In particular, the documents elicited important data for the Policy Formulation stage in the policy-process. Second, careful analysis of the appropriate documents was necessary before conducting interviews as this directed the course and nature of the interviews and helped to elicit richer data from the interview respondents. The interview respondents had to make sense of the documents in order to facilitate the implementation of the policy. Elucidation of their meanings and understandings of these documents was part of the interview process. Third, the data from documents contributed to the process of triangulation within the data analysis, which contributed to the quality of the research undertaken.

For the purpose of data collection, particularly with regard to the Policy Formulation stage, the most important documents were the Resolution signed within the ELRC (1997) and the SADTU workshop pack (1999). Understanding these documents was not time-consuming since I had a hand in formulating both documents. Also included in the study of documents were the three sets of Provincial Handbooks for DAS training. They formed the basis of the Intervention Support stage and the readiness of schools to implement the policy. A third group of documents were articles and contributions from two teacher unions. In these documents, the unions were deliberately expressing their views, opinions and reactions about the

implementation of the DAS policy, to disseminate these views to a wider audience. These articles included observations and thoughts on the DAS policy and implementation process and, by being placed in the public domain in a formal manner they took on an 'official' status.

The use of documents enabled me to achieve the goals of “look(ing) at something holistically and comprehensively, [to] study(ing) it in its complexity, and [to] study(ing) it in its context” (Punch, 1998, p.192), as they provided significant data that built up a comprehensive picture of the policy-process. Data from the documents were also essential in analysing and understanding the predominant discourses that influenced or drove the policy-process, and they were the principal focus of the discourse analysis used in the research (Gee, 1999; Olssen et. al., 2004). Data from documents established the context for the data collected from interviews, and data from the interviews served to fill gaps in the contexts and understandings not furnished by the data from documents by adding extra information as to what was in them.

4.3.2. Observations

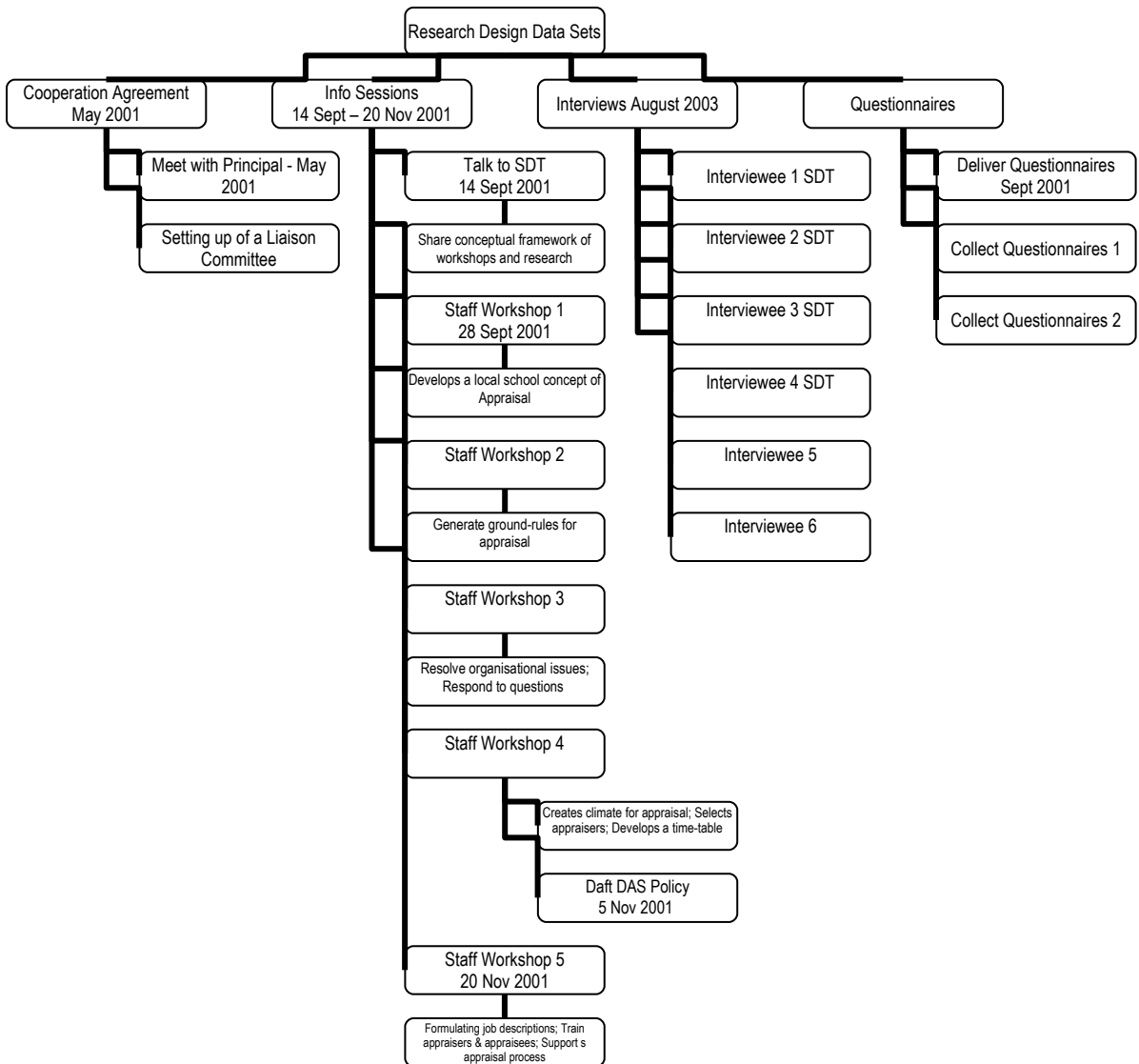
This study developed “thick descriptions” (Geertz, 1973) of: (1) the meeting held with the school principal during May 2001; (2) the meeting with the SDT; (3) the five information session workshops; and (4) the meeting that lead to the setting up and subsequent conversations with the liaison committee. All these meetings took place with me present.

My role on the participant observer continuum (Glesne, 1999) differed substantially at these four diverse meetings. At the principal's and liaison committee meetings, I allowed the principal to take ownership for my presence at the school. With the necessary consultation with his staff, my presence was therefore based on their request. I acted as a passive observer attempting to document verbal and non-verbal communication and context information (Carspecken, 1996). Given the concern with micropolitics and the influence of hidden or taken-for-granted power asymmetries, Wolcott's (1981) strategies of searching for paradoxes and problems facing the group helped guide the observation. Of interest within these meetings were power asymmetries related to agenda control, participation and the nature and

use of different types of power and authority. The nature of the communication between teachers and the principal and among the staff members was an object of focus.

Within the SDT meetings and information session workshops, my role shifted toward active participant. In particular, I used issues raised or noted in prior SDT and liaison committee meetings to pose questions regarding reform-related decision-making and planning. Again, I attempted to document verbal and non-verbal communication and context information. Of interest within these meetings and workshops were the identification of barriers to action, opportunities for ownership building, and plans for strategic action.

Figure 14: The different data sets and corresponding timelines



4.3.2.1 *Information sessions*

As indicated, the school requested me, as the education convenor of the provincial unit of SADTU, to do some capacity-building workshops for the school since the two members of their staff who were trained by the provincial Department of Education could not do the training.

Cape Flats was a school with a lot of union activists and union leaders. Based on information shared by the leadership of the school, I regarded it as a school having the potential to implement the DAS policy, but just lacking the technical and practical skills. I assumed at that point that the staff only needed to understand the DAS policy and its corresponding mechanisms in order to implement it successfully.

These capacity-building workshops (5 x 2 hours) were conducted during the second semester of 2001, with the understanding that the school would implement the policy during 2002. The workshops were conducted with the entire staff, minus those who had permission to be absent on particular workshop days. Discussions and conversations during the workshop sessions were not efficiently recorded, since these sessions involved the whole staff and the distance between the different speakers and the tape recorder resulted in poor recording quality. Despite this, a thirty-nine page transcript was generated from these five workshop sessions (see Chapter 6). Those participating freely expressed their observations, opinions and own understanding of the DAS policy.

4.3.3. Interviews

The use of interviews was the complementary method of data collection for this study and was the principal means of determining the understandings of the key actors or stakeholders involved in the policy trajectory. In interviews respondents told their stories and versions of events, decisions and practices, and it was to satisfy this end that a flexible interview technique was selected.

For the purpose of this study, I preferred the semi-structured interview, lying somewhere in the middle of this continuum. The reason for this was that some structure to the interview was necessary since there was a need to ascertain the respondent's opinions and interpretations of particular decisions and events, often in

relation to gaps identified from the analysis of documents. At the same time, it was also my intention that each respondent would feel comfortable enough to talk freely about the policies and the meanings of the policies they held at the time, or later; their roles in the operationalisation of the policy, and their understandings of subsequent practice and developments. The limited structure of each interview was initially based on the three research questions of this study.

The interviews were organised around ten specific questions, related to the three research questions. Depending on how the interview was flowing, these questions were asked in a particular way, but did not deviate totally from the basic focus of the questions that would fit into the already existing mood and flow of the conversation. The questions were organised in the following way:

- (1) Who are you? How long have you been teaching? and What is your position at the school?
- (2) What is your role in the DAS policy implementation process?
- (3) What are the skills that you bring to the Staff Development Team and to the school in general?
- (4) What is your opinion of the DAS Information Sharing workshops which were organised to empower the staff?
- (5) Did you implement the Developmental Appraisal Scheme at your school? How? or Why not?
- (6) What is your perception about the DAS policy? and How does it compare with the previous Inspection policy?
- (7) What is the climate at your school right now, and how does it contribute or militate against the implementation of DAS policy?
- (8) What is your perception about the management of your school, and its contribution to the implementation of this policy?
- (9) Give us a sense of the power relationships at your school, if any, and whether different cliques exist, and why, at your school? and
- (10) Is there anything else that you want to raise (that needs to be said) during this interview?

Although this was the order of the questions, in most cases the order was not strictly adhered to since teachers wanted to share their stories with me. The sample of respondents for the interviews involved key actors or stakeholders identified in the operational implementation stage, either from the literature and documents reviewed, or from the recommendations of the liaison committee. As such, it represented a deliberate, purposive sample. The respondents included: four members of the SDT and two additional members of staff who were recommended by the SDT. The six respondents interviewed proved to be a useful sample of the staff and individuals identified for data collection, reflected in the quality of the data provided by them.

Successful interviewing demanded careful attention to several phases of the process. The first of these was preparing for the interview beforehand. Preparation involved two considerations; preparation of the interviewer and preparation of the respondent. In the case of the former, attention was paid to the drawing up of a schedule, a loose structure to ensure that the situation was always under the control of the interviewer. The semi-structured nature of the interview demanded that certain questions were put forward to elicit understandings of the respondent about certain matters. Hence there was a need to draw up a list of questions before each interview. Some of these were common to most interviews; others were specific to one person. To further enhance the quality of interviewing, Burns (1997), Berg (1998) and Seidman (1990) advised the use of a pilot interview with a suitable candidate, to rehearse and familiarise oneself with the procedure, and to foreshadow any difficulties, and this was done with the help of a 'critical friend' (Vidovich 2003, p.86).

Preparation of the respondents was also important, to ensure that they were at ease as far as possible. To assist this, Burns (1997, p.334) suggests that a 'cover story' be given to the respondent beforehand. Therefore, each participant was formally invited during a meeting with the SDT which included a short presentation about the interview and the aims and nature of the research. During this meeting, I also let the participants know what would happen with the data; how it would be recorded and analysed; how long a session would last; and the name of my supervisor. Since the entire staff identified me as a 'critical friend' to them, with free access to themselves

and information at the school, this agreement yielded significant results in terms of the quality of the data generated.

Successful management of the interview demanded careful attention to a number of techniques, handled in such a way that the respondent felt comfortable and relaxed. Patton (1990), Fraenkel and Wallen (1993) and Fontana and Frey (1994) stress two features: (1) the importance of establishing rapport with the respondent and (2) ensuring that the empirical data is collected and recorded. Ensuring rapport with the respondent was achieved partly by the agreement with the entire staff and the quality of preparation beforehand, as described above. It was furthered by attention to presenting oneself as a highly motivated, well organised and knowledgeable interviewer (knowledgeable about both the topic and the respondent). Interviews were handled in a friendly, open manner in which every effort was made to make the respondent feel at ease and talk willingly. The success in achieving rapport can be measured by three outcomes. The first was that most interviews extended well beyond the hour requested and set aside by the respondent; the second was in the quality of the data provided which in turn was reflected in the third outcome, the nature of the subsequent transcript. Bogdan and Biklen (1998) make the point that the transcript of a successful interview can be seen in the proportions of the interviewer's statements to those of the respondents. The best interviews are usually those in which the statements of the respondents heavily outweigh those of the interviewer.

To ensure that the empirical data were collected and recorded, interviews were recorded electronically, by means of a tape recorder with the prior permission of the respondent. This generally ensured that both parties were relaxed; surreptitious placement of the recorder, and the absence of feverish note-taking, meant that the interviewer and the respondent could focus on the flow of the conversation. Nevertheless, some brief notes were taken during the interview. This helped in recalling particular points of emphasis from the interview, and often aided clarification in the transcribing process. Some note taking was also suggested in case of recording equipment failure (Vidovich, 2003), but such a situation never occurred.

Following the interview, each tape-recording was fully transcribed. All the respondents were given a copy of their own transcription, for them to make some additions, alterations or deletions. The selection of transcript extracts that I intended to be used was made available to the respondents and the liaison committee, in order to ensure that they did not feel 'compromised' as a staff through the direct quotations. This list of quotations was accepted by the committee without any alteration. All transcripts were typed up by me, which served to increase familiarity with and understanding of the data. Each transcript was given a reference number to preserve the anonymity of the respondent, in the form of the letter 'P' followed by a number. This reference number was used throughout the study.

After the interviews were conducted and transcribed, the need for questionnaires aimed at all staff members became necessary in order to corroborate statements made by interviewees. Most of these related to the lack of effective management and, in particular, to change management-capacity at the school.

4.3.4. Questionnaires

I reviewed a number of studies examining questionnaire design prior to this study. They indicated that critical design elements include the structure, length, and appearance of the questionnaire, its accompanying covering letter, and approaches used in follow-up reminders to questionnaire participants (Boser and Clark, 1992; Fox, Crask and Kim, 1988; Lindsay, 1985; Sudman, 1985). An overview of the questionnaire design adopted for the study and incorporating these design elements is shown in Table 5.

This questionnaire, focused on Cape Flats' 'level of school functionality', and included ten main headings with ten questions each, totalling one hundred questions. The ten headings were: (1) school ethos; (2) vision, aims and strategic planning; (3) the principal; (4) the principal and the senior management team; (5) structures, roles and responsibilities; (6) decision-making and communication; (7) professional working relationships; (8) links with parents and the community; (9) the governing body and Department of Education; and (10) managing change. These headings and most of the questions were arrived at after I thoroughly scanned the literature on the contextual conditions elements present at schools when policy is

implemented (Cheng and Cheung, 1995; Gebhard, 1998; and Joyner, 2000) as well as the literature on levels of school functionality (Sayed, 2001; Karavas-Doukas, 1998; Fullan, 1998; and Michael, 2000), already described in Chapter 2. In particular, the individual items within the ten headings focused on (1) the internal differences in a school (support structures; enabling environment; available resources; community it serves; capacity of individuals and collective; relationship between different individuals and groups; and leadership to manage the reform); and (2) the internal differences among teachers (their work; interest; development; beliefs; reasoning; buy-in; and mission for being involved in education).

Table 5: Summary of questionnaire design elements used

Design elements	Questionnaire
Questionnaire items	<ul style="list-style-type: none"> • Use of the Likert scales (3 scales only – Yes, No, I don't know) • Each item and response scales appear on the same page
Questionnaire length	<ul style="list-style-type: none"> • 100 items on 10 pages
Questionnaire appearance	<ul style="list-style-type: none"> • Professionally printed • One blank page at the end of the questionnaire for additional respondent comments • Instructions for completion of questionnaire placed on cover page
Covering letter	<ul style="list-style-type: none"> • Name of participants was optional • Brief explanation of proposed research and outline of benefits • Statement of confidentiality
Distribution of questionnaires	<ul style="list-style-type: none"> • Personally delivered to school, in the care of a senior member of staff • Enough questionnaires for every staff member, including the temporary personnel • Questionnaires to be distributed by senior staff member, as agreed to by liaison committee and SDT
Follow-up reminders	<ul style="list-style-type: none"> • Approximately two months following initial distribution • Re-distribution and collection after another two months

I personally delivered the questionnaires to the school in August 2003. These questionnaires were delivered to the school in the care of the deputy principal who delegated the responsibility of distributing it to a senior member of the staff. The questionnaires contained directions on how to complete them. Thirty-one staff members received questionnaires during August 2003. Since the principal did not receive a questionnaire during the first distribution process, I corrected this oversight during the second collection process, and the principal then completed his

questionnaire. The total number of questionnaires available for return remained at thirty-one since one staff member in 2003 left the school and could not be traced to submit the questionnaire. The principal's questionnaire replaced the departed teacher's questionnaire as number thirty-one, for possible return. Teachers returned the questionnaire to the chairperson of the school's Staff Development Team. I phoned different members of the consultative group, in an attempt to increase the rate of questionnaire return, and collected these bundles of questionnaires three times during September 2003 until March 2004. As the result of my attempts, the questionnaire return rate was 83% (26 of the 31 questionnaires). Of the 5 questionnaires not returned, 4 of those are attributable to temporary teachers who did not feel part of the school and therefore did not regard it as important (non-committal) or appropriate (afraid to make comments that might undermine their continued temporary employment at the school) to comment on the functionality of the school.

4.3.4.1. *Questionnaire analysis*

The scale of responses was based on one of three possible options for each question (yes, no, I don't know). Unlike the Likert-type scale which includes five possible responses (always yes, yes, don't know, no, always no) for each item, I reduced my questionnaire to three to encourage either a definitive negative, positive or 'don't know' answer from the respondents. Questions posed in this way aided in the efficient quantification and analysis of results (Borg and Gall, 1989). I reversed some items from the others, so that not all statements would be written in similar (positive) format, and imply that every answer should be marked "yes" to be 'correct'. The length of both the individual items and the total questionnaire was a concern at first, but after piloting it in four schools in Polekwane (old Petersburg, in Limpopo province), I decided to retain all hundred items. The questionnaire pilot took place in two secondary public schools (Mokgapi and Matshele), one primary public school (Malope) and one private school (Pietersburg). The schools were asked to comment on the 'easy understandability' of each item, whether the question made sense to their contexts, and to make any suggestions to improve the questionnaire. Based on the information received from the principals of these schools, the instrument was

revised. Based on the experience of the four schools, the initial instrument took approximately thirty minutes to be completed.

In an attempt to ensure a high number of questionnaire returns, I employed several devices to encourage timely participation, including phone calls, the assistance of the consultative group and personal contacts. After the questionnaires were returned, I entered the responses into a Microsoft Excel spreadsheet programme. Two of the returned questionnaires had no responses from the participants and could not be entered into the spreadsheet. I processed the questionnaires in the order they were returned in their envelope, and merely gave them a numerical number. Twenty-four questionnaires were well completed, but some of them did not have responses to certain questions. I interpreted this to mean that the participants in question did not fill in because they did not know, or that they were unsure. Instead, they left the space totally blank. I decided that those blank spaces would be regarded as a 'no response' and thus could not be used as part of the calculations of opinions. Those would then be deducted from the total number of questionnaires received (twenty-six), to ensure that when a percentage is calculated, it is a true reflection of the total responses.

For example, if two participants did not provide an answer in a particular question and the total number of "yes" responses were twelve, then the percentage of "yes" responses was calculated to be fifty percent (50%) – twelve out of the twenty-four, not twelve out of twenty-six. A table (see Appendix D) was developed to facilitate the calculation of item responses on the three options (yes, no, don't know), in percentages, generated with the Microsoft Excel spreadsheet using the following formula - [$\text{sum}(\text{response} = \text{'yes', 'no' or 'don't know'}) \div \text{sum}(26 - \text{'no responses'})$] and then turning the entire answer column into a percentage] – (Table 6).

Table 6: Example of a questionnaire item result taken from Appendix D

A. School Ethos

Questions

1.1 Are attendance, discipline and vandalism by learners, major problems in school?

Summary Responses				%		
Yes	No	I don't know	Non-responses	Yes	No	I don't know
23	1	0	2	95.8%	4.2%	0.0%

If we take the real example of question 1.1 – in total we have 24 (23 + 1) responses, meaning 2 did not respond. The “yes” responses would thus be 23 responses from a possible 24, which gives us a 95.8% “yes” response rate. It must be noted that the percentage of non-responses, meaning the exclusion or deduction of the 2 respondents who did not complete their questionnaire at all, is only 1,08% (26 non-responses out of a total of potentially 2400 responses [26 – 2 = 24 respondents X 100 questions]) – (see Table 7 for frequency of ‘non-responses’).

Table 7: Non-responses (including two who did not complete questionnaires)

Sections in Questionnaire	Frequency of Non-responses		
	Two	Three	Four
1. School Ethos	7	3	
2. Vision, Aims and Strategic Planning	8	2	
3. The Principal	8	2	
4. The Principal and Senior Management Team	9	1	
5. Structure, Roles and Responsibilities	5	5	
6. Decision Making and Communication	6	4	
7. Professional Working Relationship	8	2	
8. Links with Parents and Community	9	1	
9. Governing body and Department of Education	7	3	
10. Managing Change	8	1	1
Total non-responses other than the two questionnaires not completed		24	2

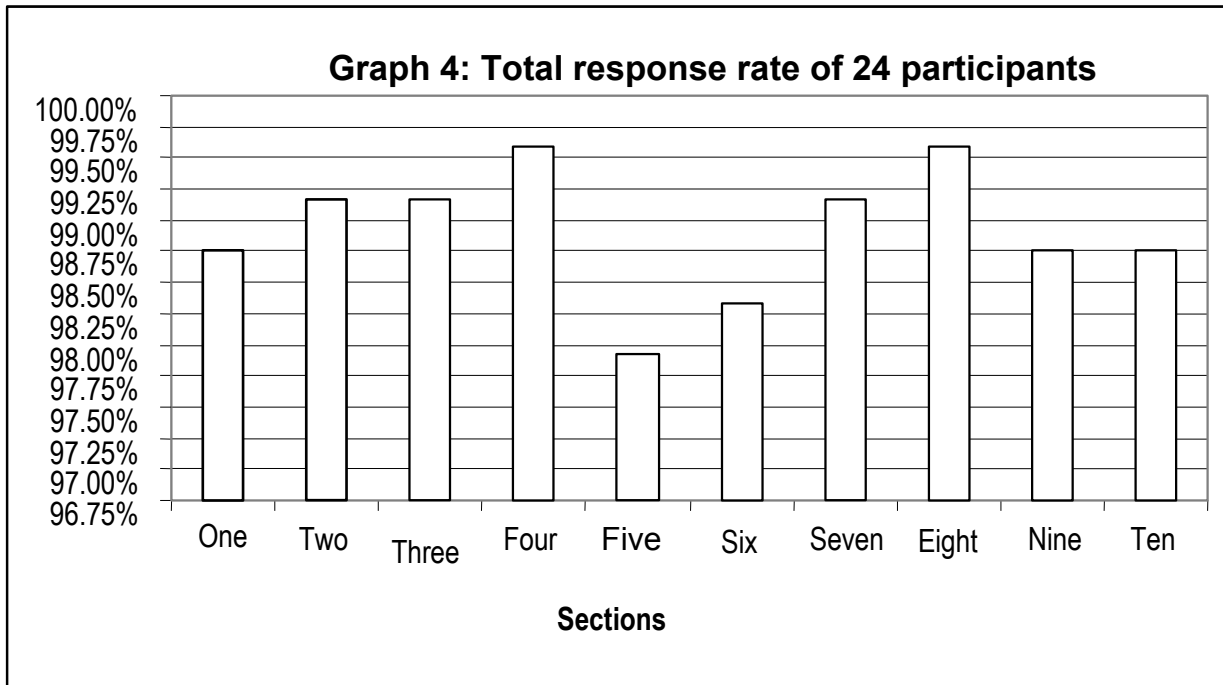
In section One, the column marked ‘two’ (in Table 7) indicates that seven (7) questions out of the ten had two non-responses and three (3) questions had three non-responses (the total of the three columns, marked ‘two’, ‘three’ and ‘four’, must always add up to ten). Because the column marked ‘two’ only included the non-responses from the two participants who did not answer any question on their questionnaires, these totals were excluded. Otherwise, only on Question 10.8 did two participants not respond to a question (see column ‘four’ in Table 7 and shaded

block in Table 8). In all the others questions (see column 'three'), only one participant out of the twenty-four, did not respond to the questions.

Table 8: Total of responses (%) and non-responses (%)

Section	Q 1	Q 2	Q 3	Q 4	Q 5	Q 6	Q 7	Q 8	Q 9	Q 10	Total
One	24	24	24	24	24	23	23	24	23	24	237
Two	24	24	24	24	24	24	23	23	24	24	238
Three	24	24	24	23	24	24	23	24	24	24	238
Four	24	24	23	24	24	24	24	24	24	24	239
Five	24	23	23	23	23	23	24	24	24	24	235
Six	23	24	23	23	23	24	24	24	24	24	236
Seven	24	24	24	24	24	23	23	24	24	24	238
Eight	24	24	24	23	24	24	24	24	24	24	239
Nine	24	24	24	24	24	23	24	24	23	23	237
Ten	24	24	24	24	23	24	24	22	24	24	237
Total Responses											2374
Total Responses as %											98.92%
Total Non-response											26
Total Non-response as %											1.08%

Table 8 displays the total response rate of 98.92% (2374 out of a possible 2400). The lowest response rate of the ten sections occurred in section five (see Graph 4), which yielded a response rate of 97.92% (235 out of a possible 240). The highest response rate was 99.58% in sections four and eight (239 out of a possible 240). By using the summary of total responses (calculating the average of all the responses), I generated graphs that will be displayed in Chapter 7, which deals with the interviews and questionnaire responses. Data collection and analysis took place simultaneously through a process of reduction, display and verification. When data from one source was collected, it was coded and compared with data collected from the same source at another time, as well as data collected from alternative sources.



It was hoped that patterns would emerge during this collation process from which themes would be formed.

4.4 Validity, trustworthiness and limitations of the study

This study is a case study of non-implementation challenges of a reform policy within a single secondary school. Because it is a social research, both quantitative and qualitative, focuses on social action and its patterns, this study includes subjective experiences and conditions influencing action and experience (Carspecken, 1996). However, the “thick description” (Geertz, 1973) resulting from this study is appropriate given the interest of participants to reveal the subtleties of non-implementation at school level.

From a validity point of view, this study was therefore concerned about three “communicative validity claims” (Carspecken, 1996), associated with three ontological categories, namely (1) objective claims; (2) subjective claims; and (3) evaluative claims. First, objective validity claims are the descriptive statements and not inferences that may be judged as true or false by others. Second, subjective validity claims focus on individual emotions, desire, and intent. Third, evaluative validity claims are about what is proper, appropriate and conventional based on the

conformity to conventions. To help minimise these validity challenges of personal perceptions and analytical bias by myself, I employed Denzin and Lincoln's (1994) 'member checking' to increase the trustworthiness of this study. The fully transcribed interview data was scrutinized and authenticated by the interviewees. To help alleviate a major limitation of data being interpreted by myself alone, data analyses were discussed with other policy makers to see if their experiences resonate with my interpretations and findings. The recommendations and conclusions were also examined by the 'strategic liaison team' of the school to provide a further filter for my interpretation. All these mechanisms of scrutiny were not employed to get agreement among the interview participants, strategic liaison team or policy makers, but rather to reveal that such claims exist and should be understood, at least implicitly by those interested by this study.

This study used interviews and questionnaires as data collection instruments from the teachers of a secondary school in Cape Town. As a result, it has all the inherent limitations of interviews and questionnaires. These include the limited nature of information which can be gathered by a closed form questionnaire, possible self-reporting distortions, rate of return concerns, and the possible non-random nature of non-respondents.

Furthermore, the study was designed and executed within a single case study school, which has a limited target population of teachers, which may not represent all schools in the education metropole development centre (EMDC), the province or the country. The teacher population is also not representative of all teachers in the country. Their educational experiences, class status, level of qualifications and attitude towards the profession might differ totally from other schools.

Finally, the school was located in a disadvantaged working class community, thus putting a limit on the participation and financial contribution that could be expected from parents and the community. The social challenges of the community frequently found their way into the school, thus limiting the opportunity for focussing on policy implementation with all the support for external forces. Therefore, a school with a different social context and economic set-up might experience totally different challenges.

4.5 A summary of the chapter

In this chapter I present an insider account of the policy deliberation process in order to illuminate the rich and complex antecedents of DAS, and which in part will explain the subsequent trajectory of policy implementation. In presenting this account, the data I draw on are policy documents and manuals, the workshop sessions, and the interviews and questionnaires.

I clarify two distinct paradigms that shaped different stages of this work. It explains the importance of context and how it often shapes the thinking, methods, meaning of concepts, and the approach and processes of research. Furthermore, I explain the different methodologies for investigating the three policy-process stages within the DAS policy in order to respond to the policy gap debate. Finally, I explain how the different data sources will be used, in conjunction with the 'policy-practice gap' literature. Chapter 5, 6 and 7 are indicated as the main data analysis chapters of this study.

The next chapter discusses the Policy Formulation stage of the research by using policy documents and manuals relevant to the DAS policy.

Chapter Five

The level of complexity and depth of the DAS policy

5.1 Introduction

In this chapter I present an insider account of the policy deliberation process in order to illuminate the rich and complex antecedents of DAS, and which in part will explain the subsequent trajectory of policy implementation. In presenting this account, I draw on data from the policy formulation stage, the complexity and depth of the pre-implementation, implementation and post-implementation steps. First, I share an insider view of the policy formulation stage, stretching from 1996 to 1998. Second, I clarify how the literature and conceptual discussions were used as evaluation mechanisms to gauge the level of complexity and depth of the teacher appraisal policy. Third, I discuss the different pre-implementation, implementation and post-implementation steps in order to gauge the complexity and depth of change inherent in each step. Finally, I review implementation comments from two provincial workshops about the complexity of the DAS policy.

5.2 An ‘insider’ view of the policy formulation stage

One of the unique contributions of this study is that it offers a perspective on the DAS policy change from *inside* the policy formulation stage, given that I was the representative of one of the teacher unions (SADTU). Although I acknowledge the dangers or limits of insider accounts, I will show that at least for this study, the richness of the data generated and shared far outweighs the dangers. Furthermore, documentary evidence as well as comments from teachers at the school will be used to corroborate the insider data.

I was involved in the policy-making process as a teacher union representative from 1996 to 1998. Since this process took place soon after the emergence of the new democracy, the working relationships between different teacher unions were very hostile. The interactions were still at a level that reflected the huge disparities in

facilities and opportunities between the white and black (meaning Coloured, Indians and African) schools. The effects of racial discrimination over a period of more than forty years were visible during the debates within the National Appraisal Task Team (NATT), of which I was a member. Those who represented black teachers were strategically trying to gain access to the perceived opportunities and privileges of the previously white education system. Representatives of white teachers engaged in the policy debate to retain, as much as possible, what was prevailing at that point in white schools. On the other hand, representatives of teachers in black schools wanted teacher accountability to be as far from anything resembling the punitive inspection policy of the past.

My responsibility, as a SADTU representative, was to influence the construction of the DAS policy more towards a professional development policy. This was not the initial thinking when SADTU embarked on the DAS process with the Witwatersrand Education Policy Unit (Wits EPU). At first the pilot project, which took place during the Wits EPU processes, was based on intentions to make the inspection system more transparent, especially in relation to expectations and evaluation criteria. This pilot project took place during 1990 to 1993 (see Mokgalane et. al., 1997). It included discussions between representatives of SADTU and the Department of Education and Training (DET - the previous Department of Education for black Africans) when the apartheid education system was still in place. With the emergence of the new democratic government in 1994, SADTU took this discussion to the newly-formed Education Labour Relations Council (ELRC). This appraisal policy was first discussed by representatives of SADTU and the new national Department of Education (DoE) in 1995, leading to the formation of the National Appraisal Task Team (NATT) under the auspices of the ELRC in 1996.

The policy intention during the Wits EPU process was mostly evaluative, despite the fact that the name 'developmental appraisal' appeared in the early documents developed for SADTU. The employer representatives (education departmental officials) were looking to develop a more acceptable 'inspection' instrument, even if the policy is called the 'developmental appraisal system' (DAS). This 'employer idea' of making inspection more transparent was initially presented to the DoE officials by the 'negotiation team' of SADTU. But SADTU was represented by the

'professional development team' of the union in the NATT. This professional development team saw the NATT process as an opportunity to develop an instrument that could respond to the many 'ills' which existed in black schools, one of which was the presence of unqualified teachers. This shift in idea and position of SADTU had to be sold to the representatives of the DoE in the NATT. It was only during a caucus meeting in June 1996 that the Gauteng DoE representative (a previous member of SADTU) and I (as the representative of SADTU) agreed to use the DAS policy as a 'transformative tool', unrelated to the previous inspection policy. The basis of this shift in position was that, while the initial DAS documents attempted to make the inspection policy more acceptable to teachers, the task team found itself within a democratic dispensation and eager to get rid of the legacy of apartheid.

The small core group of policy makers, including representatives of the DoE and all current and previous SADTU members, saw the opportunity to design a more developmental instrument. The main features of the DAS policy developed are captured in Chapter 1 (pages 5-8). These features in the DAS policy instrument resulted in the formulation and adoption of the 'job descriptions for different teachers', the '80-hour professional development', and the 'workloads for different teachers' agreements. It was the intention of this core group that the DAS policy should influence both teacher accountability and professional development. This perspective of the core group assumed that the development of quality teachers would result in quality education and therefore improved learner results. During the policy formulation stage, the core group was faced therefore with the need to reconstruct the existing conditions, culture and low expectations prevalent particularly at black schools.

5.3 The evaluation mechanism that was used to gauge the complexity and depth of the DAS policy

The evaluation of the DAS policy in terms of its complexity and depth will be measured based on the five types of reform policies I presented in Chapter 3 (see Figure 8 on page 66). Within the argument raised in the said chapter, I identified five reform policies currently present in education. These five reform policies display five

different ‘natures of change’, ‘focuses of change’ and ‘levels of change’ (see Table 9). The Type 1 to Type 5 policies increase progressively in complexity and depth of support. Furthermore, the difficulties are incremental, meaning that (1) the Type 1 policy deals with the difficulty of ‘individual’ capacity and support building and implementation; (2) the Type 2 policy deals with the difficulty of ‘individual and team’ capacity and support building and implementation; (3) the Type 3 policy deals with the difficulty of ‘individual, team and institutional’ capacity and support building and implementation; (4) the Type 4 policy deals with the difficulty of ‘individual, team, institutional and structural’ capacity and support building and implementation; and (5) the Type 5 policy deals with the difficulty of ‘individual, team, institutional, structural and systemic’ capacity and support building and implementation. Although these complexity types were explained separately, most reform policies are not formulated in such a categorical way, meaning that policy makers combine different levels of complexity and depth in one policy. The different levels of complexity and depth concentrated in one policy are expressed in the implementation steps of the policy.

Table 9: The different dimensions of five types of reform policies

Types of Reform policies	Nature of Change	Focus of Change	Level of Change	
Type 1. Single Component	1. Procedural	Learner, teacher	Classroom/ Individual	School Change – Innovation
Type 2. Comprehensive	2. Programmatic	Subject area, curriculum team	Department/ Team/ Group	
Type 3. Organisational Development	3. Technical	Operational decision-making and Vision building	School	
Type 4. Redesign	4. Structural	Develop accountability and stakeholder systems	Structures	System change – Reform
Type 5. Rethinking	5. Paradigm	Shifting the initial paradigm or focus of the policy	System	

In analysing the level of change embedded within the DAS policy, I will deal with the various implementation steps to ascertain the average difficulty and complexity level of the policy. These levels vary from individual, team, school, structure and system

change. I will argue that an individual change will be less challenging than a team change, while a team change is less challenging than an entire school change.

In Table 9, I show that the Type 1 reform challenge will focus on learner or teacher change, and will therefore be limited to a level of change within the classroom or individual teacher. The Type 2 reform challenge will focus on the subject area or curriculum team, and therefore the level of change will involve a whole department, team or group of teachers working together. The Type 3 reform challenge will focus on operational decision-making and vision building, and will therefore affect a level of change at the entire school staff level. From Type 1 to Type 3, the number of people involved in the level of change progressively increases. The next level of change, the Type 4 reform challenge, will focus on the school staff, whether individually, or as a group, or as a staff, to agree on setting up structures that will systematise the development of accountability among stakeholders. This Type 5 reform challenge will focus on shifting the initial paradigm or focus of the policy, to re-conceptualise it and the systems to implement it.

I will now describe the level of complexity and depth assumed in the DAS policy, and the change management skills and capacities needed to implement the policy.

5.4 The level of complexity and depth of the 22 steps of the DAS policy

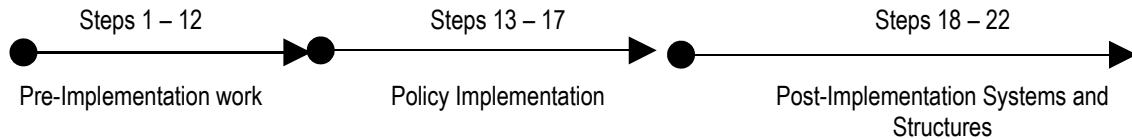
In this section, I will firstly introduce the origin of the 22 implementation steps of the DAS policy, and thereafter discuss each of these steps in detail to ascertain at what level of change the action within the step is located.

5.4.1. The origin of the 22 steps of the DAS policy

After the formulation of the DAS policy, I was requested by SADTU to produce a discussion document (SADTU, 1999) that would facilitate the successful implementation of the policy by teachers at school level. Presenting the 22 steps to facilitate the process of appraisal implementation, I argue in the document (SADTU, 1999) that the preparatory work for successful appraisal implementation makes up more than two-thirds (12 out of 17 steps) of the tasks in the policy support and implementation process. The preparatory work needed before DAS was

implemented, ranging from steps 1 to 12, intends to achieve an organisational climate and culture that facilitates the implementation process.

Figure 15: The 22 steps (from pre- to post-implementation)



These first 12 steps need to be put in place before appraisal (the next five steps) actually can take place. These five steps are about the professional development of teachers. Since provinces never developed regulatory frameworks for this policy, these 22 process steps are merely the interpretations of the national appraisal task team of SADTU. They were created to give guidance to its members on how to implement the policy at their schools. Since the policy lacked a regulatory framework, teachers found it difficult to contextualise it at their schools. The national appraisal task team of SADTU argued that translating the policy into a specific plan of action (like the 22 steps) would assist its members in implementing the policy. This approach took into account the argument of Hall (1992, p.2) which states that “contextual factors, social definitions, power and resources, and contingent interaction transform the received policy by elaborating as well as altering it” during the translation of the policy by the school staff.

I will next discuss in detail the 22 steps, with their related complexity levels.

5.4.2. The 22 implementation steps of the DAS policy

The 22 steps are grouped into three broad sections: (1) the preparatory work before embarking on the activity of appraisal [12 steps], (2) the appraisal interview meeting [5 steps], and (3) the follow-up meeting [5 steps].

5.4.2.1 The preparatory work before appraisal

Step 1 involves setting up a Professional Development Committee (PDC) at school level as required by the South African Schools Act of 1996. It involves both parents and teachers who have an interest in staff development. This committee liaises with the School Governing Body (SGB) to ensure that individual development plans of teachers contribute towards the school

development plan. The PDC will ensure that, during the budget planning process of the SGB, funds are allocated towards staff development. The difficult issues the PDC will face include (1) the separation of punitive processes from the developmental process of DAS and (2) setting 'deep objectives' for the process of appraisal, like the development of short, medium and long-term strategies for teacher development and utilisation. In schools where there are no SGBs or where they are not operative, this first step will be compromised. This step is also compromised in schools where there is no working relationship between the SGB parents and the staff. Therefore, both parents and teachers will have to develop tolerance and a working relationship, and move beyond petty or personal difference in the interest of the broader aim of the policy, which is the professional development of teachers.

This step includes the setting up of a structure expected to perform a developmental duty or function that is a shift away from the punitive operations of governing bodies. I therefore allocate a level 5 difficulty to this step.

Step 2 involves the election and setting up of a Staff Development Team (SDT) at school level whose responsibility it is to monitor, oversee, organise and manage the DAS process. Since members of this committee are elected from their peers, the staff must match up the responsibilities of this committee with the abilities and qualities of potential members during the election process. Therefore, staff members have to know their fellow colleagues' capacities, abilities and commitments in the field of teacher professional development. The principal of the school is a member of the SDT, but should not necessarily be elected as the chairperson or coordinator of the team. At schools where there is a 'power struggle', the principal will either insist on being the chairperson, or will be prevented by teacher cliques from becoming the chairperson of the team. Therefore, setting up the SDT needs a staff that is mature, open, trustful, and with a good professional working relationship.

This step also includes the setting up of a structure expected to perform a monitoring, overseeing, organising and managing duty or function that is a

shift away from the core duties of teachers. I therefore also allocate a level 5 difficulty to this step.

Step 3 involves the identification of two SDT members who will receive training from the Provincial Appraisal Task Team (PATT), and then, after their training, will provide training to the entire staff. These two teachers must possess the skills and capacity to facilitate training to their peers and to answer questions which might emerge during the training sessions. Performing this role will be new to most teachers since they were only trained at college and university to facilitate learning to learners and not to teachers (adults who might have among them individuals with more capacity than the trainers). Furthermore, the capacity of these two trainers to facilitate the training and to respond to questions will depend on the quality of training they received from the PATT, and the approach followed during their PATT training. If the PATT training process was only about information sharing then that is all these two members will do when they engage in their school training. Understanding the purpose, process and procedure of the DAS policy will enable these SDT members to respond adequately to questions.

This step includes the training of the entire staff by the two staff members who received training from the PATT. This training of staff members is new to the functions and duties of teachers, and I therefore also allocate a level 5 difficulty to this step.

Step 4 involves the entire staff, based on sound democratic principles, to identify the first half (50%) of the staff complement to be appraised during the first phase of the appraisal cycle. The second half will be appraised during the second phase of the appraisal cycle. This demarcation allows the SDT to manage the operationalisation of the DAS policy in a systematic way.

Although this step includes an activity that involves the entire staff, it is a function that is common within the operations of all schools. I therefore allocate a level 3 difficulty to this step.

Step 5 involves the appraisee, in consultation with the SDT, establishing the rest of the Appraisal Panel. It is advisable to spread the responsibility of being an

appraiser as widely as possible among the staff to avoid over-burdening one person or a small group of people. It will also assist schools if appraisal panels could be identified for a designated group of appraisees. The appraisee must be given the opportunity to propose the peer teacher and union representative, while the SDT will identify the most appropriate senior teacher and outside person. It must be emphasised that this process is not an act of 'power play', but more a process of consensus seeking.

The policy proposes a school-based process of panel identification, involving professionals who would choose appraisal panels to advance and enhance their professional development. The appraisers would be members on the school staff, as well as people from outside the school. It is suggested that the appraisers should be people who have the skills, experience and professional standing necessary to ensure that the appraisal meets the needs of the appraisee and the school. The appraisers are thus people who professionally 'adopt' the appraisee in order to contribute to his/her professional development.

Furthermore, teachers would participate in, but not normally choose, their appraisers on their own. But they would have the right, after clear motivation, to request an alternative appraiser in particular circumstances (e.g. if they feel that the designated appraiser might discriminate against them). The recommended ratio of appraiser to appraisee is a minimum of one appraiser for every three appraisees (1:3) and a maximum of one appraisee to four appraisers (1:4). The rationale for following a hierarchical, seniority pattern when selecting the senior teacher appraiser is that teachers in managerial positions have the responsibility for developing staff within their subject/learning area departments.

This step includes a team or group expected to perform a developmental duty or function that is a shift away from the core duties of especially post level one teachers. I therefore allocate a level 5 difficulty to this step.

Step 6 involves the SDT completing the list of appraisal panels for all staff members at the school. Collectively and in a consultative way, the appraisal panel will

identify dates for the initial meeting of the appraisal panel. It is crucial that appropriate venues be identified for all the appraisal activities, and therefore management skills will play an important role.

This step includes decision making among the entire staff at the school. Such decision making is common within schools, and I therefore allocate a level 3 difficulty to this step.

Step 7 involves an activity where appraisers familiarise themselves with the institution, the appraisee and the broader school community. This is an important activity, since schools without vision, mission, objectives and operational activity plans will have to find a common way of appraising teachers within the school. The activity of familiarising themselves with the broader school community in particular will have to go beyond the opinions of teachers. A school that has operated for a period of time without vision and mission statements, and operational plans will inevitably struggle with the drawing up of such plans because their non-existence either demonstrates that it is difficult to find common positions or that such vision and mission statements are not owned by all stakeholders. This activity of drafting common statements and plans also includes the recording of the history of the school as seen by all stakeholders. This activity can cause tension among stakeholders.

This step includes the development of a common perspective and perception of the school, its vision, mission and operational plans among the entire staff. For schools with such plans, the level of difficulty will be at level 3, but schools without these plans will find its implementation difficulty at level 5.

Step 8 involves the appraisee doing a self-appraisal in order to facilitate the discussion during the initial meeting. Self-appraisal ensures that the appraisee becomes part of the process of appraisal, and not just an 'object' which is under 'investigation'. Appraisee self-appraisal is arguably one of the most important parts of the whole process. By definition a self-appraisal cannot be mandated but unless the appraisee is prepared to spend some time before the appraisal interview systematically reflecting upon work done

in the past year and thinking through future aspirations and plans, there is a risk that the appraisee will not contribute fully to the dialogue during the appraisal interview. Experience from the pilot project has shown that self-appraisal is not easy. Teachers tend to find it easier to be self critical than to be positive about their strengths.

This step includes individual teachers reflecting on their development. Reflection is a common activity for teachers, but only as far as their core duty and the work of learners are concerned. It is uncommon for teachers to reflect on their development and share the results of such reflection with other teachers or people, and I therefore allocate a level 5 difficulty to this step.

Step 9 involves the pre-appraisal meeting, which is often termed the 'initial meeting' for the appraisal panel. Although the DAS policy document does not specify this step, in practice it is difficult to see how the appraisal process would run smoothly without having an initial meeting. The central purpose of such a meeting is to clarify the context in which the appraisal will take place. It is not an open-ended discussion, but focuses on the appraisee's specific job in a particular school at a particular time. The teacher's job description and performance indicators are the obvious starting point. This has to be examined in the light of the school's visions/aims and policies as set out in the school development plan and its professional development policy and programme. The initial meeting provides an opportunity for the appraisers and appraisee to establish a rapport, to clarify their mutual understanding of the process, to agree on what areas would be useful to focus on in the appraisal cycle, and to decide what data should be collected and when (e.g. which learning activities should be observed, which other people should be consulted about the teacher's work). Experience from the pilot project has indicated that the initial meeting could take up to an hour at the start of the first appraisal cycle but that on most occasions half an hour would probably be sufficient. It is proposed that the time committed to the initial discussion should not be skimmed if appraisees are to feel confident and clear about the process. The pilot experience has shown that very brief initial meetings have

often been followed by a mismatch of expectations and perceptions during the remainder of the process. This is in contrast to those initial meetings where care and time had been taken. The latter approach led to the smooth running of the rest of the process. The following are some of the concrete activities during the initial meeting:

- (1) To elect the chairperson of the appraisal panel.
- (2) To clarify the aims and purposes of appraisal to the entire panel.
- (3) To set the tone and direction for the appraisal process by clarifying the roles and responsibilities of both the appraisers and appraisee.
- (4) To share possible misgivings and problems which appraisers and the appraisee might hold as individuals.
- (5) To identify who, when and how the data that will be collected for the appraisal interview (at this point, any optional or/and additional criteria which the appraisee wants to include must be identified in order to facilitate the verification of this data).
- (6) To identify the information that will be needed from the appraisee, how the information will be used as well as what will be expected from the appraisee during the appraisal interview.
- (7) To discuss the date for the appraisal interview meeting.
- (8) To agree on the procedure of how to conduct the appraisal.
- (9) To discuss whether classroom observation will be appropriate in the case of the specific candidate, and, if yes, to determine who, when, the nature, and how often it will be performed.
- (10) To identify the criteria that will be used, taken from the appraisal instrument.
- (11) To agree on the time-frame of the appraisal process.
- (12) To agree on the repeat of the process if an 'agreed-upon statement' cannot be reached.

This step includes a meeting between a group of people expected to perform a developmental duty or function that is new to teachers and other panel members. I therefore allocate a level 5 difficulty to this step.

Step 10 involves the completion of the Personal Details form by the appraisee. This form will be filed at the school in the teacher's personal folder, which will contain all the relevant professional development reports. The inclusion of any report must be discussed with the teacher involved.

This step includes an activity by an individual teacher, and therefore should be easy to perform. I therefore allocate a level 1 difficulty to this step, but at schools where a culture of democratic decision-making is lacking, this step could become a level 3 difficulty in order for the entire staff to make a decision in a staff meeting.

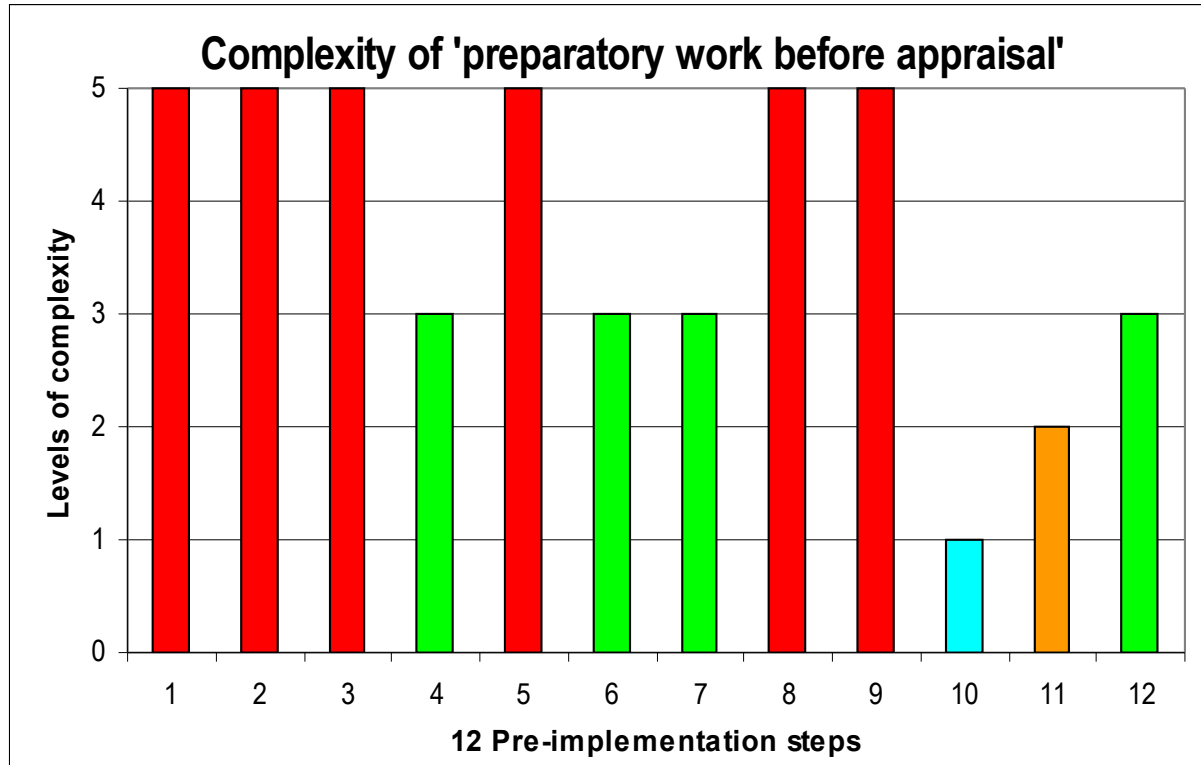
Step 11 involves the distribution of copies of the Prioritisation forms to the entire appraisal panel. The appraisee alone will complete the first column, and the peer and/or senior teacher will complete the second column of the prioritisation form. The last column will be completed by the entire appraisal panel.

This step includes a group of persons expected to express their opinion on a developmental duty or function that is common among teachers. I therefore allocate a level 2 difficulty to this step, but at schools where there is no common operational plan, this could become a level 3 difficulty in order for the entire staff to make a decision in a staff meeting.

Step 12 involves the collection of data by the appraisers, as well as the appraisee's self-appraisal. During this activity, the SDT will act as the support structure to the appraisal panel.

This step includes an activity by the group expected to perform a developmental duty or function that is a shift away from the core responsibility of teachers. Since data collection means classroom observation by inspectors, a collective decision by the entire staff is crucial for the successful implementation of this policy. I therefore allocate a level 3 difficulty to this step.

Graph 5: Degree of complexity of 'preparatory work before appraisal'



Of the 12 pre-implementation steps, six are at a complexity level 5 (see Graph 5). The significant part of this is that the first three steps are at complexity level 5. This phenomenon will result in challenging schools not even attempting the policy because of its complexity level. The first 'easy' level (complexity level 1) only occurs at step 10, and then a complexity level 2 at step 11.

5.4.2.2 *Appraisal interview meeting*

It is recommended that not more than half a term should be allowed for data collection and that the appraisal interview should follow shortly afterwards. This is intended to prevent the information from becoming outdated. However, experience during the pilot project has shown that unless the appraiser ensures that there is sufficient time to reflect on the data in advance the interview may not adequately cover all the issues that both parties intend to raise. The data gathered will inform the agenda for the appraisal interview.

The appraisal interview is the key activity of the appraisal process and it should provide an opportunity for genuine dialogue. The list of issues to be discussed during the appraisal interview includes:

- (1) The consideration of the job description and key performance areas.
- (2) The review of the teacher's work since the last appraisal.
- (3) The discussion of the professional development needs.
- (4) The discussion of career development.
- (5) The discussion of the teacher's role in and contribution to school management and policies and identification of any constraints which the school places on the teacher.
- (6) The identification of targets for future action and development.
- (7) The clarification of issues to be included in the appraisal statement.

The interview is likely to take at least an hour, and might take longer in particular cases. If the aim of the appraisal interview is to achieve a genuine dialogue then the conditions have to be right. For instance, it should take place in a private, comfortable room where the discussion will not be interrupted.

Step 13 involves the appraisee submitting his/her self-appraisal to the appraisal panel (this will be transferred onto the first column on the prioritisation form).

This step includes an activity by an individual who is expected to perform a developmental duty or function with a team that is a shift away from what teachers normally do. Since this activity is new to teachers, I allocate a level 5 difficulty to this step.

Step 14 involves the appraiser, who has been identified to do classroom observation, to collect and submit the information to the appraisal panel, and to facilitate the completion of the Learners' Feedback Questionnaire where agreements were made to this effect (this will be translated onto the second column of the prioritisation form).

This step includes an activity by an individual, on behalf of the group, to report on a developmental duty or function that is very controversial but not new to teachers. This step also includes opinions from learners which, is new to teachers, and I therefore allocate a level 5 difficulty to this step.

Step 15 involves a professional development conversation between the appraisee and appraisers (appraisal panel), based on the information at hand. Any data under dispute which cannot be verified independently by either the appraiser or appraisee will be ignored when deciding on the strengths and weaknesses of the appraisee.

This step includes an activity by the group expected to engage in a developmental duty or function that is a shift away from the core responsibility of teachers. Since data collection on teacher performance is new to teachers, I allocate a level 5 difficulty to this step.

Step 16 involves the drafting of an Agreed-upon Statement (Appraisal Report) based upon the assessment of the previous year's PGP (but not during the first cycle of appraisal). This statement is the final stage in the appraisal process. It allows the appraisers, in consultation with the appraisee, to write a statement summarising the key issues that were agreed upon in the appraisal process and listing the targets for professional development. This statement has to be counter-signed by the appraisee. If the appraisee feels that she/he would like to add a written comment to the statement he/she must do so within ten days. Occasionally an appraisee might want to make a formal complaint about an appraisal process, and the unhappiness must be addressed before the finalisation of the statement. When a complaint surfaces, the SDT has to appoint someone with the relevant knowledge who is not involved in the appraisal to conduct the review.

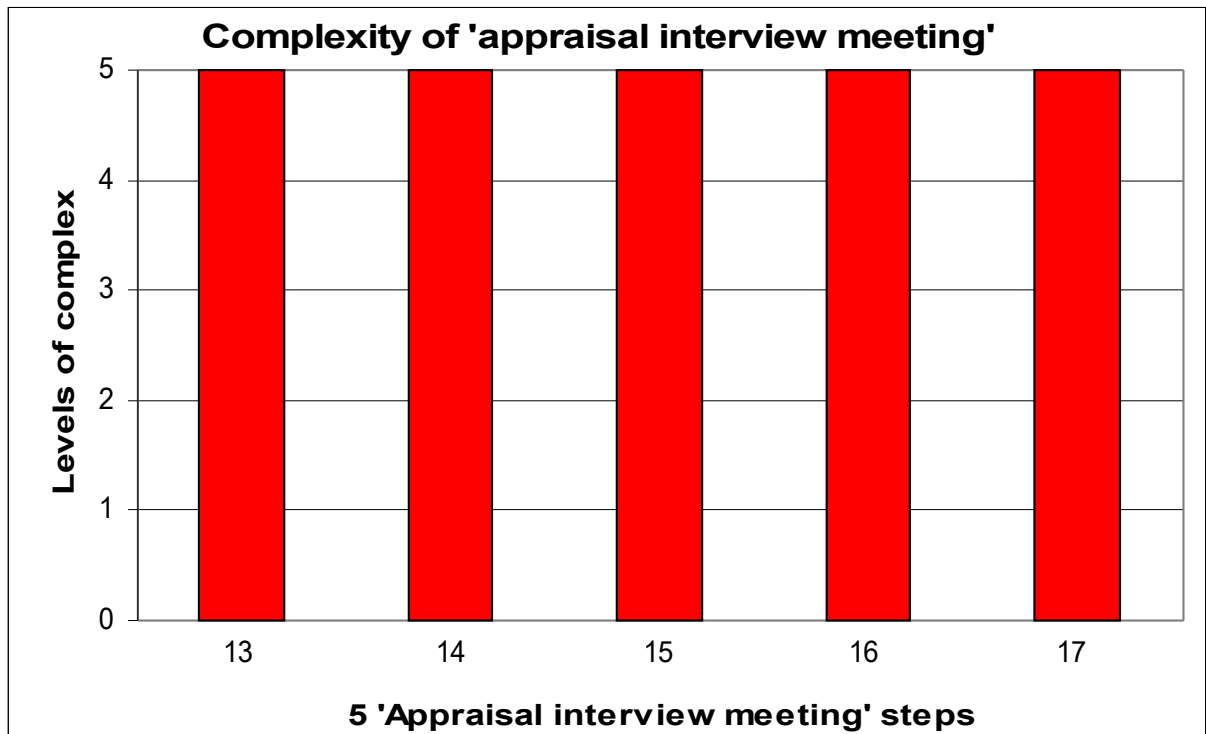
This step includes an activity by the group which is expected to perform a developmental duty or function that is new to teachers' individual decision-making approach. Therefore, working towards an agreement within the team is crucial, and I therefore allocate a level 5 difficulty to this step.

Step 17 involves the completion of the Professional Growth Plan (PGP), after the 'agreed-upon statement' has been endorsed by both appraisee and appraisers. Time frames will be built around the implementation of the PGP. In consultation with the SDT, the appraisal panel must ensure that the agreed growth needs should be implementable (e.g. whether such developmental

agencies are available to develop teachers and whether monies are available where necessary). The appraisee will now implement the PGP, with the support of the SDT.

This step includes an activity by the group which is expected to perform a developmental duty or function that is a shift away from the core responsibility of teachers. Since this activity is new to teachers, I allocate a level 5 difficulty to this step.

Graph 6: Degree of complexity of 'appraisal interview meeting'



Graph 6 displays all five 'appraisal interview meeting' steps, each at complexity level 5. A huge paradigm shift is thus needed to implement the policy. Taking into account the previous 12 steps during 'pre-implementation', challenging schools will not move beyond these steps due to the level of complexity of the 12 'pre-implementation' steps. Those schools that make it past these 12 steps will certainly be confronted by another set of highly challenging steps, all at complexity level 5.

5.4.2.3 Follow-up meeting

The appraisal process is intended to be a continuous cycle over three years. During the implementation of the PGP, the appraisers and appraisee must constantly

review the appraisal statement and the progress made with the agreed targets to check professional development delivery and to revise the targets if they seem appropriate. During the pilot project the appraisal process indicated an overwhelming demand for continuous professional development of teachers. Professional development courses would have to take into account the needs identified during the appraisal process, and not all needs would require financial resources. For example, individual teachers spoke of the value of clarifying their job descriptions and the constraints that hinder their effectiveness. Principals and other teachers with managerial responsibility spoke about the value of increased information about individual staff members and the contribution of appraisal to improved teacher morale.

Step 18 involves the continued implementation of all the PGPs by the SDT. If PGPs are not implemented, the SDT must identify the problems, and find solutions.

This step includes an activity by the group expected to perform a developmental duty or function that is a shift away from the core responsibility of teachers. Since this activity is new to teachers, I allocate a level 5 difficulty to this step.

Step 19 involves a formal meeting, normally during the middle of the second phase of appraisal, between the appraisal panel members to assess individual implementation, if any.

This step includes an activity by the group expected to perform a developmental duty or function that is again a shift away from the core responsibility of teachers. I allocate a level 5 difficulty to this step.

Step 20 involves the re-assessment of the PGP by the appraisal panel. If the PGP has under-stated the potential development, the panel can agree on enriching the PGP by recommending further development.

This step includes an activity by the group expected to perform a developmental duty or function that is a shift away from the core responsibility of teachers. Since this activity is new to teachers, I allocate a level 5 difficulty to this step.

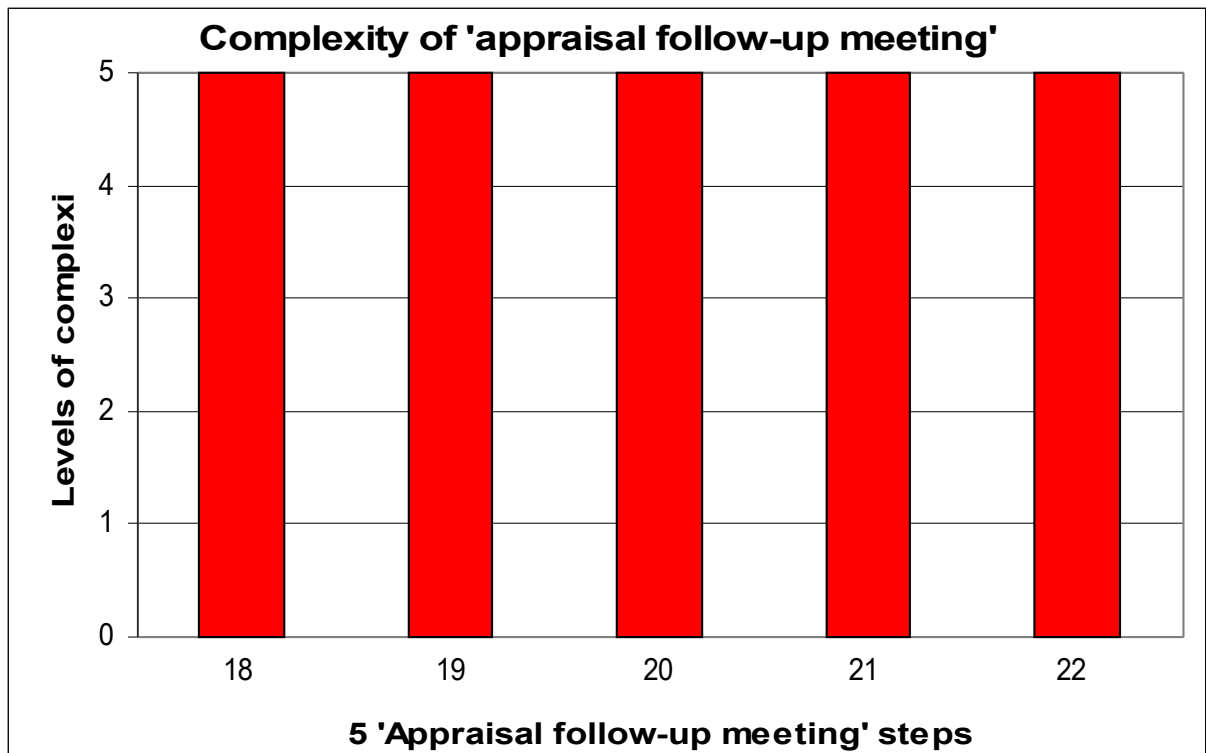
Step 21 involves the completion of the Discussion Paper by the appraisee to be submitted to the appraisal panel. This report gives the appraisee's opinion of the PGP implementation phase.

This step includes an activity by the group expected to perform a developmental duty or function that is a shift away from the core responsibility of teachers. Since this activity is new to teachers, I allocate a level 5 difficulty to this step.

Step 22 involves the drafting of the Appraisal Report, with adjustments where applicable. The appraisee, after implementing the adjustments, will be ready for the next cycle of appraisal.

This step includes an activity by the group expected to perform a developmental duty or function that is a shift away from the core responsibility of teachers. Since this activity is new to teachers, I allocate a level 5 difficulty to this step.

Graph 7: Degree of complexity of 'appraisal follow-up meeting'



Graph 7 displays another set of five 'appraisal interview meeting' steps at the complexity level 5. Therefore, the last ten steps, out of the 22, are all at a

complexity level 5. Taken as a whole, these 22 steps involve paradigm changes in the way most schools in South Africa operate, largely because they require a deeper commitment to education and professional practice than is the case at present.

5.5 Data from provincial education departments workshops

In this section I capture the comments made by teachers and departmental officials from Gauteng (DAS Workshop manual held with District Teams on 24 to 26 April 2002) and from Mpumalanga (review findings and recommendations on pages 34 to 36 in their training manual). The first set of comments is specifically related to the complexity and depth of the DAS policy. The second set is related to systemic and paradigmatic difficulties of the policy.

Within these manuals, 11 of the 22 steps were commented on. In particular, comments were made on:

- Step 5 - Gauteng indicated that the setting up of the appraisal panels was “too difficult”, while Mpumalanga indicated that the process involved the setting up of “too many” panels.
- Step 9 - Mpumalanga commented that the process of hosting the initial meeting involved “too many” meetings (not just referring to the initial meeting).
- Step 11 - Gauteng commented that there is a “lack of consensus on the criteria” and on their interpretation of the criteria when completing the Prioritisation Form, while Mpumalanga again indicated that this activity included “too much paperwork”.
- Step 12 - Gauteng indicated that there was a “lack of feedback and support” for the appraisee in the process.
- Step 15 - Gauteng indicated that “very few actual appraisals” took place, while Mpumalanga commented that the appraisal process involved “too many” meetings, especially when it has to be done for every teacher.
- Steps 10, 13, 16, 17, 21 and 22, which deal with the Personal Form, the self-appraisal form, the agreement, the PGP, the discussion paper and appraisal

report, Mpumalanga again made mention of the “too much paperwork”, since all of these involve agreements in writing.

Apart for the comments on the different steps, Gauteng and Mpumalanga made comments on three systemic issues:

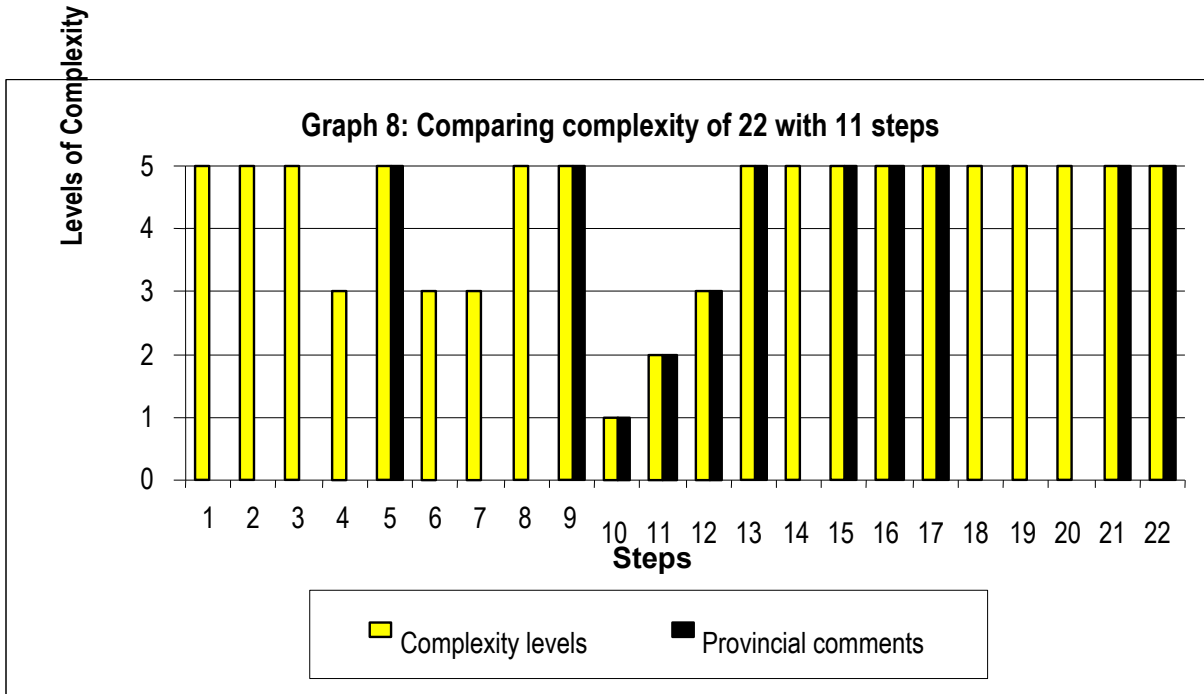
- Implementation instrument of the DAS policy – Gauteng and Mpumalanga felt that the instrument was generally “too difficult to use”, while Mpumalanga called it “burdensome”. This last comment can be related to their frequent reference to “too many meetings” and “too much paperwork”.
- Other initiatives – Gauteng felt that the government’s “rationalisation and redeployment” policy had “a negative effect and attitude from teachers” on the DAS policy, while Mpumalanga had reservations about the lack of “link with Whole School Evaluation policy, and the District Improvement Plan”, and that it would even cause “clashes”.
- Career paths of teachers – Gauteng felt that clarity was needed on the career paths of teachers in order for the policy to be implementable.

5.6 A Summary of the chapter

This chapter reflects on the DAS policy formulation stage from an ‘insider’ point of view. In particular, I share some of the micro-political tensions which prevailed during the formulation stage, as well as how the initial intention of the DAS policy was re-directed because of the different contextual terrain and political space that opened up after 1994.

The major part of this chapter analyses the complexity and depth of each of the 22 steps necessary to implement the policy. Of these 22 steps, I argue that 16 (73%) are at a ‘level 5’ complexity and depth difficulty, with a ‘level 4.3’ difficulty average for the entire policy. I further corroborate the high complexity level of the DAS policy with comments made during workshops of two provincial education departments (PED). These steps indicated by the PED workshops as “too difficult” even include some of the steps at levels 1 to 3 (see Graph 8). Only three of the 22 steps (4, 6 and 7), excluded from the PEDs comments are below a ‘level 5’. In particular, the

first three steps (1, 2 and 3) are not commented on in the workshops, since most workshop participants were not aware of the importance of them.



In the next chapter I discuss the necessary conditions for successful implementation of reform policy at schools in detail.

Chapter Six

The intervention support given to Cape Flats Secondary School

6.1 Introduction

This chapter investigates the intervention support given to Cape Flats Secondary School (CFSS) in order to facilitate the successful implementation of DAS. The first section focuses on the evaluation mechanism that was used to gauge the intervention support given to CFSS to implement DAS. The second section focuses on how the Provincial Appraisal Task Team (PATT) information session and the school information sessions attempted to establish the elements which facilitate successful implementation. In particular, I will use the five key conditions of successful change described by Schwahn and Spady (1998) as the framework for this phase of the analysis in order to evaluate the data from the interviews and questionnaires from teachers and the comments from two provincial education departments.

6.2 The evaluation mechanism that was used to gauge the intervention support given to CFSS

In Chapter 5, the complexity of the DAS policy was identified to be at a complexity level of 4.3 (with a complexity level 5 as maximum). From the 22 steps to implement the DAS policy, 16 steps are at a complexity level of 5. Out of the first nine steps, six steps are at a complexity level of 5, and the first three steps are at a complexity level 5. From this information it is clear that the DAS policy will present a challenge to all schools where it has to be implemented. Such a complex policy has to be resourced and supported extensively, in order to give a reasonable chance of success in any school in South Africa.

Furthermore, the DAS policy makers decided, based on their lack of trust in the district capacity and support capabilities, to limit the provincial role in implementing DAS to that of providing an information workshop session. The DAS policy makers assumed, based on the fact that the teacher unions initiated the policy in the first place, that teachers would be eager to implement it at school level. Therefore, they allocated the responsibility of implementing the policy to the school level SDTs, as well as pursuing a 'quick fix' strategy in an attempt to fill the vacuum left by the unions' objection/resistance to the inspection system since the late 1980s. To what extent these provincial information workshop sessions established the five Schwahn and Spady (1998) conditions of successful change will be evaluated by analysing the National Department of Education's DAS manual (The developmental appraisal for teachers – A facilitator's manual, 1998), which was developed for the PATT to use in its provincial appraisal training sessions.

The analysis of this evaluation will be done on the five conditions of Schwahn and Spady (1998), in the following way:

- (1) By first examining whether a compelling purpose for the implementation of the policy was established. The evaluation for a clear purpose will be based on whether enough information about the policy was shared with the teachers at Cape Flats Secondary School (CFSS).
- (2) The second examination focuses on whether a vision of possibility for implementing the policy was created. The evaluation for a vision of possibility will be based on whether a deep understanding of the policy implications was created among the teachers at CFSS.
- (3) The third examination focuses on whether an organisational ownership was orchestrated and shaped in order to implement the policy. The evaluation of ownership will be based on whether the workshops assisted teachers at CFSS in making sense and creating meaning of how the policy will affect and change their current operations as well as their acceptance of these changes.
- (4) The fourth examination focuses on whether enough capacity was created in order to ensure successful implementation of the policy. The evaluation of capacity will be based on whether the workshops instilled the required technical

and practical skills, quality standards, effecting methods and procedures among the teachers at CFSS to implement the policy.

- (5) The final examination focuses on whether enough support was created in order to sustain successful implementation of the policy. The evaluation of support will be based the creation of structures, new policies and priorities, realigned processes and enthusiastic people among the teachers at CFSS to implement the policy.

All five conditions needed to be established at a high level, given the complexity level of the DAS policy. The next section will interrogate the documents of the two training workshops in order to establish to what extent these conditions were created at CFSS.

6.3 The provincial and institution appraisal training sessions as a mechanism for intervention support

After the completion of the negotiation process by the NATT, the national DoE outsourced the responsibility for developing an implementation workshop pack to the Witwatersrand Education Policy Unit (EPU). Under the leadership of Nazir Carrim, the team used the SADTU discussion documents produced by the Witwatersrand EPU during the DAS pilot process, and the DAS instrument developed by the NATT, to construct the workshop pack. This section focuses on the limited data available, namely the analysis of the content of the National DoE DAS manual to ascertain the intended support envisaged by the developers of the pack, and on the process of the institutional workshop sessions that I facilitated with CFSS teachers, as well as their responses to it.

6.3.1. The NATT workshop pack for provinces

The workshop pack, known as the “National Department of Education – Developmental appraisal system for teachers”, contains four documents (NDoE, 1998, p.2) namely,

- (1) Preamble;
- (2) Instruments for developmental appraisal;

- (3) Forms for developmental appraisal; and
- (4) Implementation.

The first three documents are numbered together, running up to page 40. The fourth document, which discussed implementation, is a separate document titled “The developmental appraisal of teachers – A facilitators’ manual”, consisting of 59 pages. For the purpose of this study, the 40-page document will be referenced as ‘NDoE, 1998[a]’, and the 59-page document will be referenced as ‘NDoE, 1998[b]’.

The preamble document clarifies the features, the aims, and the career timelines of DAS (NDoE[a], 1998, p.3). In particular, it argues that the DAS policy possesses the following features, namely:

- (1) Simplicity; It is easy-to-understand and applies to all teachers.
- (2) Feasibility; It can be administered within different types of institutions.
- (3) Legitimacy; The unions were involved in formulation, hence teachers take ownership.
- (4) Flexibility; It is used for developmental purpose and confirmation of probationers.

These key features noted in the workshop pack are the same as those I described in Chapter 1 (p.5 – 8).

The authors of the workshop pack also argue that “the following requirements” must be prevalent at school, “in order to achieve the aims of developmental appraisal”:

- (1) A democratic organisational climate
- (2) A learning culture at institutions
- (3) A commitment of teachers to development, and
- (4) Openness and trust (NDoE[a], 1998, p.3)

Since these organisational capacity requirements, which will be discussed as the functionality of schools in Chapter 7, were assumed to be prevalent at schools, the workshop programme contained nothing to ensure that these organisational capacity requirements would be developed if they were weak or missing.

In the facilitator’s manual (NDoE[b], 1998, p.3), the authors’ suggestions about the programme for the workshop (Table 10) include “a minimum of two days ... required for conducting the workshops for training people in the new development appraisal system.”

Table 10: Suggested programme for workshop

Day One	
10h00 – 11h00	Introduction and the historical development of the new teacher developmental appraisal system
11h00 – 12h00	The nature of the new developmental appraisal system
12h00 – 13h00	Lunch
13h00 – 14h00	Locating the DAS within Whole school development and educational reform
14h00 – 15h00	The guiding principles of the new DAS
Day Two	
10h00 – 11h00	Procedures for setting up Appraisal panels and the roles of the members on the panel
11h00 – 12h00	Provincial and district development teams
12h00 – 13h00	Lunch
13h00 – 16h00	The developmental appraisal instrument and conducting the appraisal
16h00 – 16h30	Synthesis and evaluation

Since the actual workshops facilitated by the NATT and PATT were two-day workshops, with the standard programme captured in Table 10 above, it is apparent that the time allocated to each section only enabled these workshops to provide a basic description and understanding of the DAS policy. This analysis is supported by a statement within the manual that it “is meant to equip people within the South African educational system with an understanding of the development and nature of the new teacher developmental appraisal system.” (p.4) No consideration is given to the piles of research which indicate that having the ability to understand a policy is a far cry from having the ability to train (do) and convince others about a policy. This gap between ‘knowing’ and ‘doing’ appears clearly within the language used to define the intended outcomes of the workshop sessions and what the participants would then be able to do at their schools. The authors of the manual (p.4) declare that “(a)fter using the manual people should be able to demonstrate:

- (1) A general understanding of the historical development of the new developmental appraisal system;
- (2) An operational understanding of the guiding principles of the new developmental appraisal system;
- (3) A critical understanding of the notion of ‘appraisal’ and its links within ‘whole school development’ and processes of educational reform;
- (4) A clear understanding of the composition of ‘appraisal panels’ and the roles of its members;
- (5) A clear understanding of procedures and processes the ‘appraisal team’ needs to follow; and,
- (6) A thorough understanding of the nature of the ‘appraisal instrument’ in all of its aspects.”

The authors, therefore, assume that “demonstrating an understanding” (understanding the information that was shared) of the history, principles, processes, roles and appraisal instrument would be enough to enable participants to train their colleagues at school. At best when comparing the five conditions of Schwahn and Spady (1998, p.22-23) – Purpose, Vision, Ownership, Capacity, and Support – with what the workshop intended to achieve, all six outcomes above focus on an understanding of the Purpose and Vision of the DAS policy, but they do not ensure that the participants embrace that Purpose and Vision. Ownership is simply assumed to exist by policy makers and departmental officials since it is the teacher unions who put the policy on the table in the first place.

This assumption continues in Section 8 (p.49), which discusses the focus on “conducting the developmental appraisal”, whose aim is “to consolidate people’s understanding of the developmental system and to apply the departmental appraisal instrument in practice” (p.50). Furthermore the 11 steps (p.53) within the manual are all covered within the 22 steps of SADTU as discussed in Chapter 5 (see Appendix E – Comparing the 22 steps of SADTU with the 11 steps of the facilitator’s manual).

In my view the NDoE manual shares enough information to establish a purpose as well as an understanding of the vision of DAS. However, the workshop failed to establish any of the other necessary conditions like ownership, capacity and support.

6.3.2. The school information workshop sessions

The request from CFSS staff for more capacity-building workshops was a direct result of the unsuccessful two-day workshop facilitated by the PATT and NATT in establishing the five change condition elements. As I indicate in the section above, the PATT workshop focused on ‘understanding the purpose and vision’ while the SDT members were expected not only to share information about the DAS policy, but also to respond and/or convince their colleagues about the ‘non-threatening’ nature of the policy during implementation. Furthermore, they were challenged with ‘contextual’ questions for which the SDT members had no answers. Since I facilitated national and provincial workshops for SADTU, and argued during these workshops that there are solutions to the numerous contextual questions teachers raised, the MMS staff requested my capacity-building workshops.

Cape Flats was, during 2001, a school with a lot of union activists and union leaders from SADTU. Based on information shared by the leadership of the school, I regarded it as a school which would have the motivational potential to implement the DAS policy, but that it was just lacking the technical and practical skills among SDT and staff. I assumed at that point that the staff only needed to understand the DAS policy and its corresponding mechanisms in order to implement it successfully.

These capacity-building workshops, consisting of five sessions of two hours each (see Table 11), were conducted during the second semester of 2001 (28 September to 20 November), with the understanding that the school would implement the policy during 2002. The workshops were conducted with the entire staff, excluding those who had permission to be absent on particular workshop days owing to personal or work-related issues. I facilitated one workshop per week to give teachers the opportunity to reflect on, discuss and attempt to practice some of the things raised during each workshop session. Discussions and conversations during the workshop sessions were not efficiently recorded, since these sessions involved the whole staff and the distance between the different speakers and the tape recorder resulted

in poor recording quality. Despite this, a 41-page transcript was generated from these five workshop sessions but as mentioned in Chapter 4, the recordings were not so clear, and therefore the information will not be used in this study. Those teachers who participated freely expressed their observations, opinions and personal understandings of the DAS policy.

Table 11: The five workshop sessions (Jones, 1993, p.15-29)

Workshop Sessions	Topics	Questions relating to the topics
One	a) Developing a local concept of appraisal.	<ul style="list-style-type: none"> • What does your school understand by appraisal? • How does this fit in with your overall professional development plan and teacher quality? • Describe your concept of appraisal.
Two	b) Generating ground-rules for appraisal.	<ul style="list-style-type: none"> • Generate a set of ground rules for your appraisal programme (scope, confidentiality, access, information, feedback, period, etc.).
Three	c) Resolving organisational issues. d) Responding to the questions of colleagues.	<ul style="list-style-type: none"> • What organisational issues does appraisal present you with? • How do you propose to build trust and establish understanding about the system? • Who will conduct the appraisal? • What training will there be for appraisers and appraisees? • What will be appraised and what criteria will be used? • What data will be collected for the appraisal? • What use will be made of the appraisal record? • What time will be available for the process? • How will appraisal influence the management and organisation of the school? • How will appraisal influence decisions on promotions?
Four	a) Creating a climate for appraisal. b) Selecting the appraisers. g) Develop a time-table.	<ul style="list-style-type: none"> • What is the existing climate of opinion and feeling about appraisal? • Is there trust and openness between teachers? • How do you intend to approach this issue? • Make a list of possible appraisers for you school. • Who would appraise whom? • What factors do you need to take into account in coming to these decisions? • How will you find and allocate time to accommodate appraisal?
Five	h) Formulating job descriptions. i) Training for appraisers and appraisees. j) Supporting the appraisal process.	<ul style="list-style-type: none"> • Provide a framework for action. • Do all staff members have accurate and up to date job descriptions? • If not, what is to be your strategy to update and correct the job description of all staff members? • Who will need training and at what level? • What in-service training is likely to be needed by appraisers and appraisees? • What support, both internally and externally, will be required by groups or individuals at the school in order to implement the appraisal policy successfully?

These workshops focused only on the sharing information and developing understanding among the staff of CFSS, and therefore on building a compelling purpose and clear vision of the DAS policy. The sessions that focused on

'organisation capacity requirements' only attempted to allow staff members to reflect on, for example, their 'existing climate', and their 'trust and openness between teachers'. It was only during the period of non-implementation that individual teachers started raising the lack of 'functionality' of the school. These comments from CFSS teachers are covered in the next section.

6.4 Evaluation data on DAS intervention support from various data sources

This section will focus on data of intervention support attempts from the two provincial workshops, and the school workshop sessions. Data on the school workshop sessions is generated through the interviews (quotations in italics) and questionnaires (question number).

6.4.1. Data from the PATT workshops from two provincial groups

At the Gauteng workshop, district officials indicated that the cascade training model, meaning the responsibility of the two SDT members to train the rest of their staff, would not work. During the Mpumalanga and Gauteng workshops, teachers further commented that since the SDT training was not going to be monitored, its quality would be doubtful.

Another issue that was important to Mpumalanga teachers was the lack of support from the bureaucracy of the provincial education department. They felt that the low priority given to the implementation of DAS found its way into the PATT workshops. The workshops turned out to be more about 'telling' than 'capacity building' of the SDT.

6.4.2. Data from CFSS teachers about the school workshop sessions through interviews and questionnaires

Teachers unanimously felt that the workshops (information sharing sessions) were very useful in clarifying doubtful issues about the policy instrument. Teacher P2 said that, "I found the workshops as very enlightening I didn't think of the things you opened up." Teacher P3 further said that,

"We were very fortunate in getting you." He continued by saying that for me *"to come in and workshop the developmental appraisal system*

with us and that shed a lot of light on the whole system and it made us aware of the enormous task which lies ahead in trying to implement this system and also looking at all the technicalities of implementation of the system.”

Teacher P4 also mentioned: *“Definitely, it enlightened me.”* The benefits derived from the workshops were strengthened also because of the easy access teachers had (67%) to policy documents at the school [question 5.8].

To describe the effect of the workshops, teacher P3 said:

“When you came – it was like people did not know what the fuss was all about. Many people were under the impression that it was another form of inspection and the comments that came out were ‘Oh, now I understand, if it is this, then, what is the problem?’”

This confusion about whether the policy was still the old inspection policy or a new developmental policy could be based on the lack of clarity about the lines of accountability (52%) within the school [question 5.3], and who actually needs to be listened to when they express an opinion. This contradiction was expressed during the discussions within the SDT team. Management members had a ‘control approach’ to the DAS policy, while others (those who are not part of the SMT) approached the policy in a more developmental way.

Despite the positive response on the information sharing sessions, teacher P6 placed the positiveness of teachers in its proper context by saying:

“It made a massive impact on the insight and the thinking of teachers, but I’m afraid to say that very little of it had been good in practice. It was a mind-shift and a fine-tuning of a mind-set, but the transfer of knowledge from the workshops to actual practice was not done to my recollection and I have not left the school since the inception or since you very competently conducted the workshop. So from my personal opinion I felt enlightened by it and I felt vigorously encouraged to want to implement some of the learning skills as such, but it wasn’t coming through.”

Teachers (52%) felt that management did not take these positive feelings forward by putting systems in place for monitoring and reviewing the practice [question 5.5].

6.5 A summary of the chapter

This chapter focuses on the intervention programmes of the PATT and the school workshops in support of the implementation of DAS. The PATT workshop, at best,

only focuses on 'information sharing' or 'understanding' of the purpose and vision of the policy. The institutional workshop at CFSS attempts to assist teachers with practical and technical capacity building through simulation activities. None of these workshops attempts to establish a deep, clear and compelling capacity building among the SDT and teachers, or ongoing support to all teachers in implementing the DAS policy. The commitment and will that exists among CFSS teachers only extends as far as their political commitment is concerned and not as a commitment to accept the personal, practical and organisational changes necessary for the successful implementation of the DAS policy.

The next chapter will focus on the level of readiness or functionality of CFSS.