# CHAPTER ONE
## INTRODUCTORY ORIENTATION

## 1.1     INTRODUCTION

West-Burnham (1993:6-7) argues that appraisal in the context of school management is neither about personal and career development, nor is it about the accountability of educators through control procedures. It is argued that appraisal is to help the educator to be an effective member of the school as an organisation and to recognise that organisational effectiveness is a direct function of individual effectiveness. It is also important to stress that organisational and educator development could only be beneficial to the school. If appraisal is to be successful then it must be firmly integrated into the management structures and processes of the school. West-Burnham (1993:7) further argues that if this is done, then at worst it will become a marginal bureaucratic routine and, at best, mutual therapy. The integration into the management structure of the school ensures that appraisal is kept in perspective in that it is a process, a routine and a beginning to a larger end. Its success is subject to fundamental prerequisites in a management structure, facilitating the appraisal process.

Emerson and Goddard (1997:6) argue further that regular and formal appraisal of the performance of all educators is necessary if the Department of Education is to have reliable, comprehensive and up-to-date information. This is necessary for the systematic and effective provision of professional support and the development of educators to the best advantage of the school, with those encountering professional difficulties being promptly identified for appropriate guidance and support.

It is contended that a professional model of appraisal works from the naïve premise that no educator is perfect in the classroom situation. There is, however, room for improvement and review and training associated with development.

Equally, appraisal could serve as a vehicle to help educators come to terms with and prepare for change. So it is opportune for developmental appraisal at this current changing condition in the Department of Education for all stakeholders to prepare for change. Therefore, the implementation of the appraisal process cannot be over-emphasised.

Van der Westhuizen (Ed.) *et al.* (1999:1 – 2) argue that, as a result of the increasing complexity of the school as an organisation, educational leaders, staff development teams and all educators are now subjected to changing demands, especially with regard to their management tasks.

It is these days argued that managerial training is expected in addition to education training (on the part of the principal). In the past, the principal's task used to be focused mainly on management. In the new developmental appraisal system, however, all educators are involved in managerial duties. In short, it has changed to a more management-directed task for all educators, even in the classroom situation.

Educators as a whole can no longer be expected to perform their duties in a hit-or-miss fashion. There is an urgent need for all educational leaders to receive both academic and professional training in educational management and change and to equip them for the new classroom approaches (methodology). That is why the appraisal process was implemented in all South African schools in the nick of time.

Lemmer and Squelch (1994:136-137) concur in that change in any school is inevitable. All of us experience change, whether it is imposed upon us or initiated by us. The two authors further state that the question, therefore, is not whether or not to change, but how to manage appraisal and change in such a way that it makes the school more effective and does not disrupt the educational processes.

In this research, change will focus on the changing attitudes of educators, their behavioural performance and the way they act in the classroom situation. Educator-centred change has numerous implications for the educators themselves, who are required to create a classroom culture and the learning experiences that are relevant to all learners.

This study will look at the new development appraisal system, its basic processes, strategies, models, effective appraisal and change management, as well as at staff development teams. It is envisaged that the contents of this study may present stakeholders with a range of ideas, strategies and skills for building and maintaining effective schools through effective school management during this current changing environment in the Department of Education in South Africa.

West-Burnham (1993:9) is of the opinion that as appraisal is a process of review against needs and requirements, it allows for the negotiation of appropriate teaching and learning strategies in terms of content and subject delivery in the classroom. It is argued that although this may be a cliché, we never stop teaching and learning, and appraisal is a powerful means of managing that teaching and learning to optimum effect. Some educators argue that they are good in the classroom and therefore do not need appraising. This derives the reality of curriculum change, career development and the need to sustain high levels of delivery consistently over time. Professionalism implies a commitment to offer sustained excellence to learners and appraisal is the most effective vehicle for achieving this. The issue of appraisal in schools is a topical issue that may have an important influence on schools in the future.

## 1.2    ACTUALITY OF THE RESEARCH

The National Teacher Appraisal Pilot Report (1997:55-56) argues as follows:

One may ask the question: Why is this research so important for education at this stage? It signals a wanted shift from the *old* to the *new* and a sound basis upon which a *culture of learning and teaching* may be restored. This research bridges the old system of judgmental approach to the new system of developmental approach. It is argued that for at least the past decade, educators' morale declined and they have prevented any form of inspection in their schools as a result of unfair practices, political control and ground intimidation, as well as the harassment of educators through inspectoral processes and other forms of educator evaluation. The report further argues that, as such, the new developmental appraisal process is intrinsically linked to establishing a conducive climate wherein teaching and learning could actually occur. The process of appraisal may establish educators' trust and confidence in the fact that their work is being viewed fairly and justly, and that the processes they are part of are democratic, transparent and involve them every step of the way.  This goes a long way in restoring educators' faith in their work and in the authorities to which they are accountable.

At this stage of education in South Africa, this research is vital as it may change the mindset of the present appraisers, who have consciously or unconsciously been implementing a fundamental bureaucratic method to adapt a developmental approach, also changing the mindset of appraisers to accept that appraisal is necessary for the improvement of the education system. It could be a developmental and an evaluative process in which the staff development teams, appraisal panels

and all educators are involved - not only the principal, as it was in the old education system. This will be a system of retaining in South African education that which incorporates newly developing international trends in appraisal, which are relevant to our classroom situation. A Facilitator's Manual (1997:16) endorses the fact that this appraisal process is designed and intended to entrench strengths, develop potential and overcome the weaknesses in the educator's system. The above arguments are all in line with the Bill of Rights, as endorsed in the Constitution of the Republic of South Africa (1996:13). In fact, the new South African education policy has been influenced by the Constitution in that everyone has a right to a basic education, including adult basic education, as well as to further education, which the state, through reasonable measures, must make progressively available and accessible. Everyone also has a right to establish his or her own independent educational institution.

### 1.2.1 Previous Research

Previous research done of the concept of appraisal, the management of appraisal and change in the South African changing educational environment:

*1.2.1.1 South African research*

Ndlovu (1993:67-68) conducted a study on "Teacher evaluation as perceived by KwaZulu secondary school teachers," This research was not on the concept of developmental appraisal and change in the classroom situation, but was global research. He used the concept that was common during the apartheid era.

Authors like Those Having Torches (1985:142), Thomas (1985:374) argue that, "the essence of evaluation is a process of measurements. Although it is rarely precise and the only measuring scale, which might readily be used, it would be ordinal. It includes the whole process of information gathering, analysis of and reflection about this information, the weighing of alternatives and making a final judgement of their relative worth". Monk and Harris (1992:18) argue in the same way as the above authors. They all concur with Schumacher and McMillan (1993:518) in that evaluation is the application of research skills to determine the work of an educational practice. It aids in decision making at a given site(s) and adds to the research-based knowledge about specific practice that may or may not be relevant to more general audiences.

Chisholm *et al.* (1993) conducted a study on "National teacher appraisal pilot project, Education Policy Unit" under the auspices of the University of Witwatersrand, Johannesburg. This study was conducted on evaluation before implementation of the process of appraisal and concentrated on the past wrongs of evaluation, not on developmental appraisal in the classroom situation.

Munro (1993:80) conducted a study on "The potential of systematic staff appraisal for professional development of teachers in the KwaZulu-Natal province". The process of appraisal had not yet been implemented in the South African classroom situation. Munro's research did not concentrate on the in-depth investigation of the concept of appraisal and the management of change.

Between 1994 and 1999 the researcher conducted a study on appraisal (unpublished) on the management of educator appraisal in South African schools within the generally changing environment. The current study is, however, concerned with the practice of the appraisal concept in the classroom situation.

Jobodwana (1998) undertook a project number 975449 on "Critical analysis of teacher appraisal in African schools with special reference to the Eastern Cape." The aspect of management of appraisal and change was not treated. Under the auspices of the Rand Afrikaans University, Chauke (1999) undertook a project, number 975258, on teacher appraisal as an aspect of school management and the implications thereof for whole school development. This was a general study in South African schools. In the same year Jobodwana (1998) also conducted a study, project number 975446 on "Teacher appraisal in education" under the auspices of the Port Elizabeth Technikon. This was general research on education in the Eastern Cape.

In 2000, Mokgalane *et al.* (1997) undertook a project, number 972512, on national appraisal pilot reports, under the auspices of the University of the Witwatersrand. Mokgalane (1996) conducted another project, number 967709, on "Teacher appraisal: Project workshop proceedings. Under the auspices of the University of South Africa, Monyatsi (1999) undertook a project, number 975680, on "Teacher appraisal: An evaluation of practices in Botswana secondary schools." This research concentrated on secondary schools only and was not well represented. The current research, however, involves both secondary and primary school educators and is conducted in the province of KwaZulu-Natal.

This research is quite distinct from that of previous research studies in that it concentrates on the implementation of the appraisal process, the management of the appraisal system and on change in the classroom situation. It is conducted in the year 2000 (as mentioned before) and the resources mainly used are those approved by the present Department of Education.

Although many other research studies have been conducted in South Africa, only a few have been mentioned above.

### 1.2.1.2 Overseas research

Several relevant research studies have been conducted overseas and in Africa, but a few will be mentioned.

The authors Whitehead, Le Roux, and Munky (1992-1999/09) ED 430022 conducted research on "my learning curve" using visual rapid appraisal in the evaluation of the extended practicum in a teacher education programme. The response of thirty-one Canadian teacher candidates in four focus groups showed that the appraisal technique was effective when used within a focus group setting. McDowell (1999) ED 428419, conducted an investigation on "Administrators' perceptions of the performance appraisal interview." The study focused on departmental heads/chairs' perceptions of the appraisal interview. The results indicated that approximately twenty percent of respondents were satisfied with their performance during the appraisal interview, but eighty percent felt that their appraisal was reliable and valid.

Bullard (1998) ED 428074 presented a paper on self-evaluation. The paper exposed different methods in which teachers are able to make a useful assessment of their own teaching. These methods are reflective evaluation, an important part of the new approach to teacher self-evaluation; action research projects and teacher journals; professional development; peer coaching, etc. All of these approaches provide opportunities for teachers to engage in self-reflection and collegial interaction. The project number ED 424304 by Texas Education Agency in Austin, division of educator development projects on "Professional development and appraisal system", explains the professional development appraisal system and its requirements and implementation.

Mo (1998) ED 420720 conducted a study of the effectiveness of teacher appraisal in Hong Kong self-management schools. The paper exposed that teachers were more likely to benefit from appraisal if they perceive that it is helping them grow professionally, that the appraisal procedures are formative, and that the feedback provided is useful. Ware-William *et al.* (1992) ED 348401 on the factor structure of the North Carolina teaching performance appraisal instrument, analysed the chi-squared test for the model and the fit inside suggested an inadequate model. Halliday (1989) ED 341122 conducted a study on Teacher Management and Records in the National Education system. This study aimed at developing an information record system. Examples had been drawn from education systems in Africa, particularly Southern Africa. One of the aspects outlined is the planning of teacher management, which involves developing a formula for staff establishment and planning for teacher supply. Many other research projects have also been conducted overseas.

### 1.2.1.3 *The influence of previous research on this study*

The author undertook an in-depth literature study on the research projects conducted on the appraisal concept, the management of appraisal and the changes in this regard, both in South Africa and abroad. Examples of these are found in Chapters Two and Three of this research. The researcher has come across a number of research studies on appraisal in general. None of these were, however, based on the classroom situation in KwaZulu-Natal province in particular. Some studies merely outline the concept of appraisal, whereas in this study, the management of appraisal and change are also discussed.

Studies overseas, such as that of Brandley *et al.* (1989:28-31), discuss the professional growth of educators and assistance of schools to function more effectively, but do not deal with the skill of managing change in appraisal. This study again stresses the purpose of education management development to build the capacity of the system of appraisal management, beginning with the whole school level to effect transformation by improving the quality of teaching and learning in a different environment, not in South Africa in particular, but in the KwaZulu-Natal context. The Brandley (1989) research has some bearing on a report of the Department of Education (1996). This report stresses the purpose of appraisal in schools; similar to the purpose stressed in the report by Brandley (1989), but in a different environment. Studies conducted by Those Having Torches (1985:1987) argue that appraisal is designed to improve the quality of education for learners by assisting educators to realise their potential and to carry out their duties more

effectively. This, however, occurs in a different environment as mentioned above. The major difference again is that the South African research is conducted in alarming physical facilities.

### 1.2.1.4 *The purpose of exploratory and empirical research on appraisal and management of appraisal and change*

This study tables the results of an exploratory study and empirical research undertaken by the writer. Only the relevant stakeholders such as the principals, deputy-principals, heads of departments and educators are involved. The second part of this chapter constitutes mainly an empirical study of the implementation of the appraisal systems and management of appraisal and change in the classroom.

## 1.3    STATEMENT OF THE PROBLEM

It is contended that appraisal has always been and will continue to be contentious. This research does not pretend that a new form of appraisal, or any form of appraisal for that matter, will resolve all problems in schools. Instead, it seeks to emphasise two relatively simple points: firstly, that the way things are done is crucial to the success of any project and, secondly, that appraisal is not an end in itself but a means to the larger end. So the attempt to tie the appraisal more narrowly to new forms of control over educators is not part of the research.

Monareng (1998:3) has rightly said, "the statement of the problem is very important since it sharpens the focus, and with a sharper focus, one is able to determine the real scope of the topic". He further argues that it begins with a search for information that, correctly assembled, leads to valid conclusions. Mouton and Marais (1993:38) state that there are three factors that co-determine the manner in which research problems are formulated namely, the unit of analysis research, goal and research strategy. Monareng further argues that for educational change to occur and to be managed consistently, appropriate settings should be structured in such a way that optimum conditions are created and a conducive atmosphere is established in schools to accommodate all people who are affected by change at different levels of operation. The problems in this research are the following:

### 1.3.1.  Main problem questions

*How can the new developmental appraisal process develop and improve the quality of teaching and learning in the classroom in all South African schools?*

The management of appraisal and change will be researched. Focus will be on: approaches to appraisal; problems of appraisal; processes of appraisal; components of appraisal; types of appraisal; models of appraisal; systems of appraisal and also the management of change in South African schools, with particular reference to the KwaZulu-Natal schools. Here the focus will be on the role of the educator development teams, the task of the human resource manager and schools' management teams, the principal and appraisal teams as agents of change, managing resistance to change, strategies to curb resistance to change, usefulness of the instrument of appraisal and the usefulness of the development growth plan.

Based on a literature review in the research, appraisal in the Republic of South Africa, the United Kingdom and the United States of America will be compared.

### 1.3.2  Sub-problem questions

The following sub-problems will also receive attention:

- *What is the role of the appraisal teams in the appraisal process?*
- *How might a principal identify areas of teaching and learning where development is most needed, and further, can appraisal development teams identify the strengths and weaknesses of an educator?*
- *What are the educators' perceptions about appraisal?*
- *What criteria may staff development teams use in the appraisal of educators?*
- *Will all the teaching staff accept appraisal as the only instrument in the classroom?*
- *Why is classroom appraisal of importance?*
- *Can staff development teams measure the competency of an educator?*
- *Are there any obstacles and constraints hindering the appraisal panels' process of appraisal?*
- *What strategies can curb resistance to change?*

- *Can the staff development model improve the educators' classroom performance?*

All the above questions will be addressed. The development appraisal instrument is not the only one. This study will focus on appraisal, bearing in mind that there are other instruments that could be used in the classroom.

## 1.4    HYPOTHESIS

### 1.4.1    Definition

Schumacher and McMillan (1993:88) state that a research hypothesis is a tentative statement of the expected relationship between two or more variables. In other words, the statement describes the predicted results. The two authors further state that problem statements and hypotheses are similar in substance, with the exception of those hypotheses that are declarative statements, more specific than problem statements, clearly testable, and indicative of the expected results. Monareng (1998:5) argues that a hypothesis could be deducted in two ways: *inductively* from the researchers' observations and *deductively* from theories (Babbie, 1992:64). This research applies the deductive approach. It is argued that the thesis sentence guides the research. The thesis sentence is a kind of hypothetical proposition that requires evidence in order to support or test it. Monareng (1998:5) further argues that it is a conclusion in search of arguments, normally a deductive approach. De Vos (Ed.) *et al.* (2000:116-117), however, maintains that, according to Kerlinger (1986:17), a hypothesis is a conjectural statement of the relation between two or more variables. They argue that hypotheses are always in the declarative sentence form and relate, either generally or specifically, variable to variable. They add that there are two criteria for good hypothesis statements. These are hypotheses that are statements about the relationships between variables and hypotheses that carry implications for testing the stated relationships. Vos (Ed.) *et al.* concludes that hypothesis statements contain two or more variables that are measurable or potentially measurable and that they specify how the variables are related. It is evident that the definition of the above authors concur. Therefore, the negative findings of the hypothesis are sometimes as instant as positive ones, since they cut down the total universe of ignorance and sometimes point out fruitful further hypotheses and lines of investigation (see Chapter Four in this research).

## 1.4.2    Hypothesis formulation

This is formulated as follows: The new appraisal process may develop and improve the quality of teaching and learning in the classroom situation and the educator development teams may curb resistance to change in the classroom situation of South African schools. The above statements are testable and verifiable and may therefore lead to the solution of the problem in this research.

## 1.5    AIMS AND OBJECTIVES OF THE RESEARCH

De Vos (Ed.) *et al.* (2000:6-7) argue that, there is confusion about the exact meaning of the concepts: *purpose, aim* and *objective*. The above authors add that the Webster's Third International Dictionary (1959:972, 1556) defines both aim and objective as the end toward which effort is directed (that is the aim and purpose), whereas the Shorter Oxford English Dictionary (1980:865) uses the exact wording of the Webster for the definition of aim. De Vos (Ed) *et al.* also maintains that authors like (cf. Koontz, O'Donnell & Weihrich, 1980:189) draw a distinction between purpose, aim and objectives, but other authors (cf. Raymond, 1981:707, note 7) equate aim with objectives.

For the sake of clarity to the readers of this study, the researcher proposes to use the words *aims* and *objectives*. The aim of this research is professional development in the classroom situation, with appraisal as a tool and contributory element, not a focus in appraisal. Professional development is something that, hopefully, might be the end product. If professional development and educator appraisal are to be inextricably linked, schemes must consider how educators may improve their effectiveness, and also provide conditions which will sustain the process of appraisal and any resulting changes in the current situation of school education in South Africa.

The researcher aims at the improvement of the quality of learning and teaching across the whole range of performance in the classroom and therefore the professional development of educators must focus on the following:

- improved effectiveness of their role, making possible adjustment to their role in the classroom situation;
- opening up of possibilities for major changes in their roles in the classroom;

- recognising and developing professional potential among educators, even those outside the classroom situation;
- helping individual educators to recognise and identify their own professional needs through the process of appraisal in the classroom situation;
- preparing educators to assume more responsibility for their own performance by encouraging self-analysis, and
- providing regular, constructive and shared dialogue to sharpen and deepen educators' perceptions of their own performance in the classroom situation.

This research is aimed at achieving all the above aims and objectives. It aims at determining new roles for educators; identifying special talents in educators; upgrading service records on all educators; encouraging frequent interchange of ideas between levels and aiming at setting performance standards and monitoring the performance of educators through well-established systems of appraisal in all schools in South Africa.

In addition, this research aims at translating key responsibilities into essential tasks (accountability), so that it is of vital importance that educators should know exactly what they are being asked to do in their professional roles.

Another underlying aim of this research is self-diagnosis, whereby the principal and educators must agree on the nature of the job, creating a spirit of professional freedom for initiative and individuality among educators in the job, with a predominance of team teaching among educators.

Furthermore, this research should provide evidence of strengths and weaknesses on the part of the educators, identifying master educators and weak educators as well as finding out about learner learning and all evidence of classroom activities in the South African education system.

In short, classroom observation in this research will aim at giving credibility and relevance to the process of appraisal in the classroom and giving professionals an opportunity to display their acquired skills and professional expertise.

Without sound management skills, the aims of this research may not be achieved. Consequently, it must also aim at the tactical use of didactics and exploratory styles of teaching, promoting

regular and thorough markings, which is done at the appropriate time and meets the needs of individuals within the classroom situation.

This aim may attain a substantial rate of success by using a range of learning activities, which are appropriate for the age and ability of the learners at every level. It is argued that research should aim at unfolding staff potential that could best be realised in action in the organisation of the whole school. This research also aims at identifying the professional traits within educators and thus places the appraiser and appraised in a position of confidence with regard to the appointment of staff to promotion posts and by changing objectives and procedures in the classroom. Thus, educators' classroom performance may be improved in the whole of South Africa.

The research also aims at enhancing the quality of learning for learners by maximising the professional growth of educators, and thereby assisting schools and colleges of education to function more effectively. Whole school evaluation and individual appraisal are both complementary and inextricably linked. Accordingly, appraisal is a process that has to be seen in the context of the management of educators that may enable them to improve the quality of learning and teaching in the classroom situation. It also aims at improving teaching performance. However, it may be seen as a means of making the in-service training policy of schools' more effective in that it does not just provide assessment of performance, but focuses more precisely on identifying training needs.

Briefly, all aims of this research are concerned with the professional development and reviewing of the performance of the educator in the classroom situation. This is why educator appraisal plays such an essential part in the professional development of educators in South African schools.

## 1.6    RESEARCH DESIGN AND METHODOLOGY

### 1.6.1    Empirical study in this research

The researcher intends using literature review, the questionnaire and the structured interview for the collection of data in this research. Unless the research design and methodology are logical, the results that emerge from such a study would not be reliable. It is therefore imperative to go into some fair detail on the research methodology used in this study, which is descriptive. The design

is both quantitative and qualitative. De Vos (Ed.) *et al.* (2000:15) argue that qualitative research methodologies deal with data that are principally verbal in nature, while quantitative research methodologies deal with data that are principally numerical in nature. The authors De Vos (Ed.) *et al.* (2000:15) add that there is confusion about the exact meaning of these terms. They conclude that quantitative research approach in the social sciences is more highly formalised as well as more explicitly controlled, with a range that is more exactly defined and which in terms of the methods used, is relatively close to physical science. The procedures in qualitative approaches are not as strictly formalised, while the scope is more likely to be undefined and a more philosophical mode of operation is adopted.

### 1.6.1.1 The literature review technique

De Vos (Ed.) *et al.* (2000:64:66) and Schumacher and McMillan (1993:113) maintain that a literature study contributes towards a clearer understanding of the nature and meaning of the problem that has been identified by other authors. It is however unfortunate that not all researchers are convinced of the necessity of the literature review as an integral part of the research process.

Literature study may disclose that someone else has already performed essentially the same research with which you are busy and further provides a substantially better insight into the dimensions and complexity of the research problem.

It is also argued that literature study equips the investigator with a complete and thorough justification for the subsequent steps, as well as with a sense of importance of the undertaking. It is unfortunate that novice researchers commonly make the mistake of putting off their literature review until they have sharpened their research question and come up with a design to investigate it.

De Vos (Ed.) *et al.* (2000:66) state that, in short, literature study not only justifies the consecutive steps to be followed in the research process, but also demonstrates the underlying assumptions behind the general research questions. It also defines and redefines the research questions and related tentative hypotheses by embedding those questions in larger empirical traditions. It is also argued that a review of literature enables the researcher to define and limit the problem of

research; avoid unintentional and unnecessary duplication, relate the findings to previous knowledge and suggests further research.

### 1.6.1.2 The questionnaire technique

De Vos (Ed.) *et al.* (2000:89) maintain that a questionnaire is an instrument containing open or closed questions or statements to which a respondent must react.

In this research group questionnaires are used. The researcher conducted the group questionnaires.

The researcher held a discussion with the whole group and, after the discussion, completed the questionnaires himself, in accordance with the instruction of the groups. The researcher had to guard against bias. Finding a suitable venue for the groups was also a problem. Some educators had problems in understanding the questionnaires, as well as with some of the concepts used, such as appraisal; self-appraisal, etc.

The researcher has chosen to use four long questionnaires. The four questionnaires analysed the following:

Questionnaire 1:   Threats of appraisal;

Questionnaire 2:   Educator appraisal;

Questionnaire 3:   Management and change concepts;

Questionnaire 4:   Concepts of developmental appraisal;

                Appraisal problems in the classroom;

                Perceptions of the managers in the new education system in South Africa;

                Advantages and disadvantages of the process of classroom observation;

                Benefits and self-appraisal;

                The present system of education in South Africa;

                The concept of the human resource manager in the school, and

                The developmental plan in the classroom situation.

It should be noted that questionnaires one and four may be termed schedules (see questionnaires one and four in Chapter Four).

It is argued by De Vos (Ed.) *et al.* (2000:163-164) that it is difficult to get exact equal intervals and educators do not assess the degree of difference between the categories similarly. Murphy and Torrance (1987:67) concur with De Vos by saying that, unless most carefully prepared, questionnaires could lead to the mindless accumulation of non-interpretable data, expensive in time and resources. They must be weighed against the benefits that are likely to accrue. It is also argued that many recipients regard questionnaires as impersonal and intrusive in nature. The above authors share almost the same views about the questionnaires in this research.

### 1.6.1.3 The structured interview

To support this concept, the researcher closely studied the recent research books mentioned in this section below. The study has some focus on certain educators of the whole educator population. It is argued that an effective technique when collecting data is the face-to-face contact with the original source, because, according to Schumacher and McMillan (1993:426) and De Vos (Ed.) *et al.* (2000:90 & 313-326), the interview is the most appropriate technique for revealing information about complex, emotionally laden subjects or for probing sentiments that may underlie an expressed opinion. It must however be recognised that face-to-face interviews have several problems. They are time consuming, expensive and limit the number of participants. It is rightly observed that interviews cost money. There are travelling and subsistence expenses to be met, as well as payment to interviewers. Interviewers have to be briefed, organised, assisted and trained; as they may have to cover many dozens of sampling points all over the country. The structured interviews covered only a few educators from several schools in the KwaZulu-Natal province.

Admittedly, the face-to-face interview may be the most ideal and effective method of data collection, but we should not be oblivious to the fact that this also depends on the type of research. In this study, face-to-face interviews are essential, as the study will involve visiting educators in the Republic of South, Africa and beyond KwaZulu-Natal, where the researcher resides. It should be noted that the topics of discussion in a focus group interview are carefully predetermined and sequenced in an understandable and logical manner.

It is important to postulate that data can be collected in a number of ways. The method depends upon the nature of data to be collected and could include any or all of the educational research methods mentioned above, or others not mentioned in this research.

## 1.7 CONCEPT CLARIFICATION

### 1.7.1 Introduction

A number of concepts occur frequently in this thesis and in school documentation, for example, *appraisal, evaluation, management, change, the educator, staff development teams, the developmental approach, the staff development model, appraisal instrument* and *human resource manager.*

### 1.7.2 Appraisal

There are two main types of appraisal - the *judgmental* and the *developmental* approaches. A Facilitator's Manual (1997:11) maintains that the judgmental approach has an overall tendency to find fault, to be negative in reports that are written and does not acknowledge the positive things that educators do. There is also a tendency in this approach not to involve the educator who is being judged in the processes within which decisions about the judgement are made. It is maintained that a judgmental approach is thus clearly a way of inspecting and, as some would also argue, of policing educators' performances. A Facilitator's Manual (1997:11) argues that summative forms of evaluation tend to use the judgmental approach. They tend to be quantitative in nature and concerned about outputs or products, whereas a developmental approach rests on the belief that nobody is full of faults only. Nobody is only and totally negative. This research will fully address this approach. The notion of appraisal is tied decidedly to a more developmental approach and does not only focus on what the educator does wrong, but also on what the educator does right. Accordingly, the formative form of evaluation is linked to the developmental approach.

Suffolk Education Department in Those Having Torches (1985:142) maintain that appraisal emphasises the forming of qualitative judgement about an activity, a person or a school. Furthermore, Lemmer and Squelch (1994:114) argue that effective and efficient staff appraisal is a way of maintaining a high level of academic standard and achievement, as well as building and

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maintaining an effective school. Morris and Everard (1990:90) maintain that appraisal is or should be an opportunity for the individual to meet his or her manager in order to take stock of their individual and joint achievements. During the discussion there should be agreement on action needed to improve the performance of the individual educator in the classroom, improvement of working relationships with other educators and on developing the individual's career.

It is argued that well-developed appraisal systems are of considerable benefit to both the educator and the school. Appraisal motivates educators as it enables them to measure their achievement and to prepare them for advancement.

### 1.7.3    Evaluation

Evaluation is a general term and is used to describe any activity by the institution where the quality of the provision is the subject of systematic study. Suffolk Education Department in Those Having Torches (1985:142) and Thomas *et al.* (1985:374) argue that "the essence of evaluation is a process of measurement." Although it is rarely precise and the only measuring scale which might readily be used would be ordinal, it includes the whole process of information gathering, analysis and reflection of this information, the weighing of alternatives and making a final judgement of their relative worth. Monk and Harris (1992:18) argue in the same way as the above authors that evaluation of instructional personnel involves measuring and describing performances in an operation that is clearly related to the instructional programme in some way. The above authors concur with Schumacher and McMillan (1993:518) by saying that evaluation is the application of research skills to determine the work of an educational practice. It aids in decision-making at (a) given site(s) and adds to the research-based knowledge about specific practice that may or may not be relevant to more general audiences.

This research will not discuss this concept but mentions it here for the sake of differentiating it from the concept *appraisal*, which is now practised in the South African schools, contrary to *evaluation*, which was mainly used during the apartheid era.

### 1.7.4 Assessment

Assessment implies the use of measurement, or grading, based on known criteria in Suffolk Education Department in Those Having Torches (1985:142) and in Thomas *et al.* (1985:383). They argue that in a managerial set-up, super-ordinates in a hierarchy have a right and obligation to monitor and judge the work of subordinates. According to Schumacher and McMillan (1993:586), assessment is the act of determining the standing of an object on some variable, for example, testing students and reporting raw scores.

All the above authors in this study concur that appraisal is a way of maintaining a high level of academic standard and achievement. They also concur that evaluation refers to judgement; it is a process of measurement. Assessment implies the use of measurement grading, based on known criteria. The difference here is that while evaluation does not use known criteria, assessment uses known criteria. They maintain that this process creates prejudice in the work situation. Appraisal as such promotes staff development and also improves the educators' classroom performance. It is an accepted concept in the South African school situation.

### 1.7.5 School management

Van der Westhuizen (Ed.) *et al.* (1991:55) define educational management as follows: "Management is a specific type of work in education which comprises those regulative tasks or actions executed by a person or body in a position of authority in a specific field or area of regulation, so as to allow formative education to take place."

According to Morris and Everard (1990:4), "what management is not, is carrying out a prescribed task in a prescribed way." In its broadest sense in education, management is about setting directions; aims and objectives; planning how progress will be made, or a goal achieved; organising available resources (personnel, time, resource materials, etc.), so that the goal could be economically achieved in the planned way by controlling the process and setting and improving school standards.

According to the report, Department of Education South Africa, December (1996:27), education management is about doing things and working with people to make things happen. It is a process

to which all must contribute and in which everyone in an organisation ought to be involved. It is the purpose of education management in this study to develop educators and to build capacity into the system of education, beginning at school level, to effect transformation in terms of improving the quality of teaching and learning.

It should be emphasised that education management development cannot be equated simply with a focus on school principals, school superintendents of education, etc. As mentioned previously, all stakeholders must contribute.

Van der Westhuizen (Ed.) *et al.* (1991:38-61) further argues that school management implies a specific kind of working. Effective school management improves the culture of teaching and learning. It is argued that school management is brought into effect in a specific area of regulation. The aim of educational management is the realisation of formative education in a unique way and, furthermore, takes place in relation to a school. In education (school), various management areas vary according to the different levels of management at which an educational manager carries out his or her calling.

### 1.7.6    Change

Change in the context of education management means, for example, that school principals are exposed to new controls and regulations, growth, increasing competition, technological developments and changes in the work force. According to Van der Westhuizen (Ed.) *et al.* (1996:136), as well as to Lemmer and Squelch (1994:136), the argument is that change, no matter how insignificant it is, is the key to creating a different environment that is more constructive and pleasing. A starting point for understanding change is to examine potential areas or change in a school. These areas of change may be *structural change*, which refers to changes to policies, rules and procedures, and *people-centred change*, which focuses on changing peoples' attitudes, behaviour, performance and way of acting. Lemmer and Squelch (1994:136) further argue that people-centred change has many implications for educators who are required to create a classroom culture and learning experiences that are relevant to all learners.

Van der Westhuizen (Ed.) *et al.* (1996:172) argues that change in the school itself is an on-going process. De Villiers (1981:9), as quoted by van der Westhuizen (Ed.) *et al.* above, defines change in education more explicitly when he says that renewal in primary and secondary education

occurs regularly in respect of syllabi apparatus, techniques, buildings and administrative matters. The changes are also foreseen in respect of educator/learner numbers, as well as challenges for better instruction for more learners with the aid of technological aids.

It is argued that change does occur despite resistance to it, and that is why resistance should be seen as an inherent part of the changing process.

### 1.7.7 Educator

The Pocket Oxford English Dictionary (1992:276) maintains that the word *educator* is a verb meaning to give intellectual, moral, and social instruction to; to provide education for learners. The word educator as a noun from the verb 'educate', (the Latin word is educe-are rear). In this study, then, the name 'teacher' will be replaced by the term 'educator'.

Developmental Appraisal for Educators (1997:10) in supporting the Oxford Dictionary, maintains that, educator refers to any fellow whose conditions of employment are regulated by the Employment of Educator's Act, (No. 76 of 1998). This is not a conclusive explanation of the word educator as compared to the Developmental Appraisal for Educators above.

### 1.7.8 Appraisal instrument

A Facilitator's Manual (1997:33-35) states that, the developmental appraisal instrument is the actual tool that is used in the appraisal of educators. It has the guiding principles that underline it. It practicalises the developmental orientation to appraising educators and embeds in them clearly how the appraisal process in the professional development of educators may be promoted in positive ways. So far it is the only instrument that is used in the classroom to develop and improve the educator's performance. The use of one instrument for different educators, both experienced and inexperienced, is a cause for concern among some educators. They maintain that two instruments must be developed, one for experienced educators and one for inexperienced educators

### 1.7.9    The school staff development teams

Lemmer and Squelch (1994:71) argue that a staff development team in a school is a group of individuals working together in such a way that they could achieve more corporately than individually. In this study these teams initiate, co-ordinate and monitor the appraisal process in schools and ensure that training in the developmental appraisal system occurs. It is also incumbent upon the staff development teams to facilitate on-going professional support (A Facilitator's Manual, 1997:28). Gorton (1984:100) and Morris and Everard (1990:172) concur with the above authors that a staff development team in a school is a group of people that can effectively tackle any task in a school situation, which it has been set up to do.

It is argued that the functions that staff development teams need to fulfil should not conflate training and management roles, so that they are able to monitor the implementation of the developmental appraisal system.

### 1.7.10   The staff development model

It is argued that this is a continuous and systematic process, intended to help individual educators with their professional development and career planning, and to help ensure that the in-service training of educators matches the complimentary needs of individual educators and the school. Emerson and Goddard (1997:11) and Those Having Torches (1991:11) contend that the cornerstone of appraisal schemes is the belief that educators wish to improve their performance in order to enhance the education of learners.

The main feature of staff development in this research will be in identifying areas where the educator may be able to improve in classroom performance. These areas may be identified in different causes:

- The educator may not be aware of shortcomings in a particular area and the weaknesses may come to light during the gathering of evidence, whether this is inside or outside the classroom situation.

In a school situation, Fourie (1998:18) is of the opinion that the human resources manager manages educators. Educator management is therefore the management of the school's human resources through the performance of certain duties at different levels for the attainment of certain objectives (see Chapter Three, paragraph 3.10).

**1.7.12   Research programme**
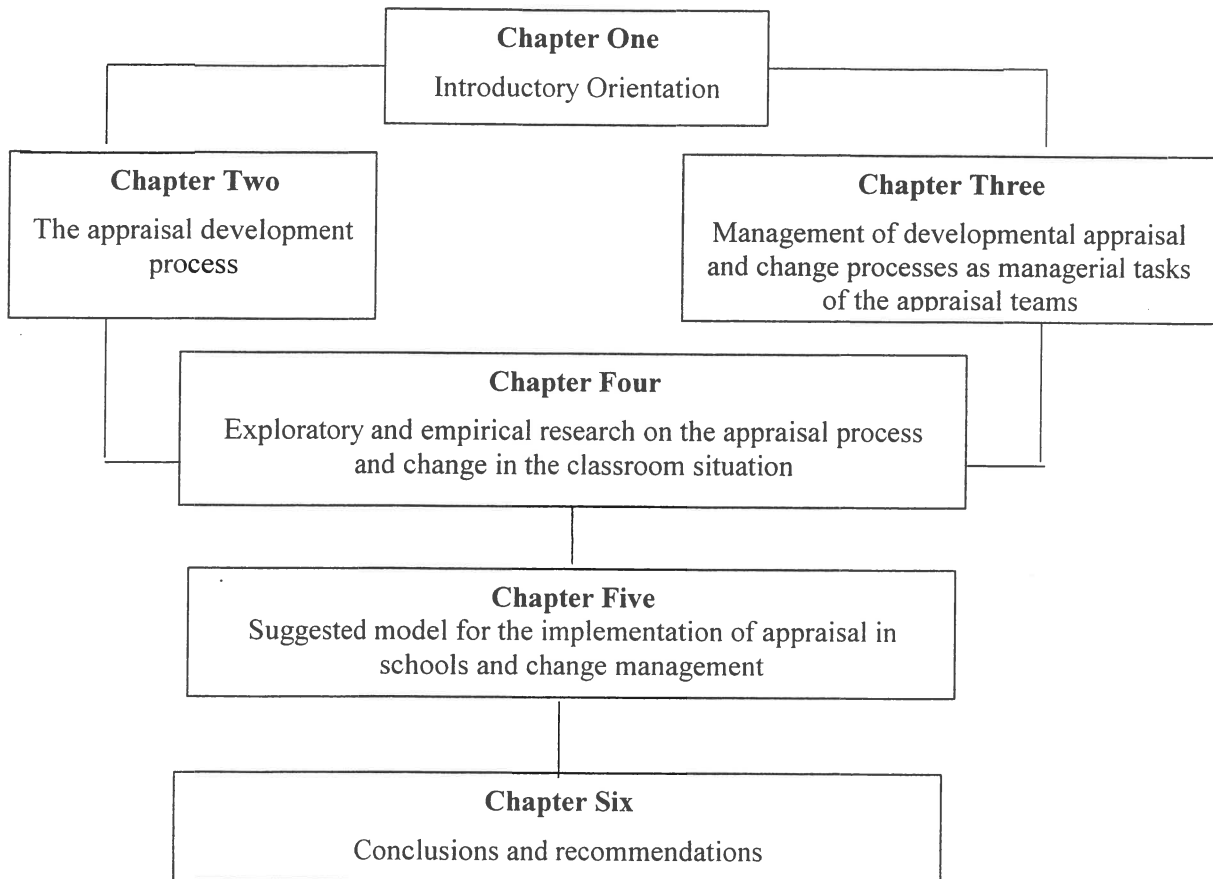


*Figure 1.1. Research Programme*

A summary of the structure and course of the research study is provided in the above flow diagram. In order to elaborate, Chapter One looks at the sequence of events of this research. This is the introductory orientation chapter, which introduces the theme of the study, the statement of the problem and determines the aim of the study. In Chapter Two, the appraisal concept is critically analysed and discussed. Its implementation in the classroom situation is carefully followed and problems tabled. In Chapter Three, the management of developmental appraisal and the change processes are discussed. Chapter Four maps out a report of the empirical study, which includes the analysis and interpretation of the data obtained through the questionnaires (one, two,

three and four). Chapter Five contains the model for the management of appraisal and change processes as major tasks for staff development teams. Lastly, Chapter Six consists of the conclusions and recommendations for further research. It is envisaged that this study will provide assistance to the research problem in the current South African education system, which is undergoing tremendous change.

## 1.7.13  Conclusion

Appraisal is located within a developmental approach seeking to build on the strengths of educators. The developmental approach uses what positively exists in educators' performance and attempts to erode the negative aspects of an educator's performance by providing ways in which such negative aspects may be responded to in a developmental way on the basis of strengths that exist. The new development appraisal process ensures that the educator being appraised is a part of the appraisal process and that he/she is able to contribute to decisions about his/her performance and ways in which this may be improved. The statement of the problem for this study was presented in this chapter.

The hypothesis was formulated, the aims and the research methodology were used and concepts were clarified. Finally, the research programme for this study is presented in the form of a flow diagram (Figure 1.1) in order to bring about a better understanding of the process of appraisal as implemented in South African schools. In Chapters Two and Three, a literature study on the appraisal concept is undertaken and the management of appraisal and change are analysed.