

CHAPTER TWO

EDUCATOR APPRAISAL IN SOUTH AFRICAN SCHOOLS With Particular Reference to KwaZulu-Natal

2.1 INTRODUCTION

This chapter is mainly concerned with the concept of appraisal in South African schools, with particular reference to schools in KwaZulu-Natal. Appraisal, as has been said, is a prominent feature of the educator's professional life. According to Lemmer and Squelch (1994:113-114) "Appraisal is common practice in many schools. Schools are complex organisations that should have an effective appraisal system to improve and maintain a high standard of teaching and learning. So appraisal forms a very important part of educators' work and is done regularly. Educators use a variety of formal and informal methods of appraisal to assess educators' performance and progress. This appraisal is necessary to ensure that learners are learning effectively and are achieving their potential." This also applies to educators.

According to Munro (1995:22), "the nature of any appraisal system will depend on the purpose for which it is adopted, and one of the fundamental purposes of this system of appraisal, is to focus in on the individual educator" (Thurlow, 1992 Lecture Notes). It is argued that appraisal also relates to school purposes, plans and policies. The focus is essentially on an individual review and an individual's professional development. This research has the same purpose as that of Munro above, namely, educator development and improvement of the quality of education in the classroom situation. West-Burnham (1993:3) argues that it 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 and deployment of educators matches the complementary needs of individual educators and the schools. West-Burnham (1993:7) also emphasises that appraisal is a process, that is, an on-going activity in the school situation.

Broadly speaking, therefore, all the above authors agree that appraisal is an on-going process that focuses on educator development and the improvement of learning in the classroom situation.

As has been said, educator appraisal is an important management task of the school principal and management team. In many schools appraisal has been ignored and instead evaluation has been the order of the day for principals and inspectors of education in South Africa. Vinjevold *et al.* (1993:2), in confirming that evaluation was common in South Africa before the new system of

education came into being, maintains that South Africa's system of appraisal has largely been inspectoral and bureaucratic. It has shared with all other aspects of the education bureaucracy a top-down, closed, hierarchical and authoritarian character. However, the principle in our current appraisal system is that the appraisal process is conducted by an appraisal team, which should be inclusive of all stakeholders (appraiser; a peer appraiser; a union representative; head of department; deputy principal; principal; director and a person outside the school).

At the school level in the Republic of South Africa, supervision has been oriented towards improving examination results in grade twelve. This is a narrow objective, which does not improve educational processes in general. It has been focused on assessing educators with a view to monetary rewards and has been overwhelmingly concerned with compliance with harsh departmental regulations rather than engaging educators in their work. The policy has changed drastically in the new South African Education System. Transparency prevents the appraisals being done in secretive and/or corrupt ways. As the process needs to be open and transparent, all decisions need to be made explicit and stated openly.

It is argued that the above approach to educator appraisal has been or is unprofessional and may lead to negative attitudes towards staff appraisal. It is therefore imperative for the principal and the school appraisal teams to implement a formal appraisal system that is accepted internationally and which should become an integral part of the school programme, to benefit both the school and the individual educator. West (1990:23-31), Lemmer and Squelch (1994:113), Morris and Everard (1986:75) concur that the appraisal system, which makes use of a variety of appraisal methods, should provide an opportunity for the appraisal team to meet individual educators to discuss work, performance, progress and achievements. It should enable educators to become more effective and to improve the quality of their teaching in the classroom. In addition, effective and efficient educator appraisal is a way of maintaining a high level of academic standards and achievements, as well as of building and maintaining an effective school.

Vinjevold *et al.* (1993:2) strongly opposed educator evaluation during the apartheid era. As a result, the authors maintain that educators' perceptions of the current appraisal system reflect a strong sense of distrust and anxiety and policy-makers should be mindful of these as a benchmark against which educators will judge any new system of appraisal. This idea has been opposed by Chisholm *et al.* (1997:33) who report that this appraisal process has not only motivated

educators, but has changed their attitude towards their work and also changed learners' attitudes towards their subjects. Educators' self-confidence and hard work has also been enhanced.

2.2 WHAT IS APPRAISAL?

Research views appraisal as a system or process whereby an institution or department within it is enabled to identify its relative strengths and weaknesses. Within this context, the assessment of the individual may operate by focusing on the educator's abilities and successes, analysing the role that he/she should be playing in meeting the school's future needs, identifying educator development required to achieve this, and classifying any factors which hamper him/her from obtaining full job satisfaction.

As mentioned in Chapter One, there is a tendency to confuse appraisal with assessment. Assessment is a concept with narrowly defined limitations. It is concerned with quantifiable evaluation, i.e. awarding marks, distinguishing good from bad, with the likelihood of promotion for those with high scores and demotion or worse for those who attain a low score. Appraisal has much broader connotations and refers to a regular, positive and creative process by which good educators are helped to improve, while weaker educators are encouraged and strengthened (Delaney, 1986:12-44). Whereas Her Majesty's Inspectors' Study (1985:7) views appraisal as involving qualitative judgements about performance and may start as self-appraisal by the educator, it will normally involve judgement by other persons responsible for that educator's work – a head of department, the principal and/or a member of management. This appraisal may include the identification of professional developmental needs and also views evaluation as a general term used to describe any activity by the institution where the quality of provision is the subject of systematic study while assessment implies the use of measurements or grading based on known criteria. Those Having Torches (1985:142) concur with the above authors in supporting the fact that these three concepts are different from each other. Quality in Schools (1986:7), however, assert that appraisal could be referred to in different terms as assessment, inspection and review, without mentioning any reason in their argument. They stress that they must not appear judgmental, critical or damaging, but rather constructive and developmental in the school situation. The above two authors further argue that the three concepts above should provide information upon which policies for change and development of the school and the development and growth of the individual educator are constructed. All the above authors concur in that appraisal should not be seen as an isolated event. To be worthwhile, it should be a continuous

process throughout an educator's career; a developmental progression with the emphasis on a joint examination of the tangible results of the educator's performance. It is a process of co-operation that does not focus on one person, but on the results of the interaction of many factors that are involved in performing the job.

2.2.1 Approaches to appraisal

There are two main approaches to appraisal. These are the *judgmental* and the *developmental* approaches. This research will mainly discuss the developmental approach in the classroom situation, as it is solely concerned with educator development.

2.2.1.1 *The judgmental approach*

Development Appraisal for Educators (July 1997:55-56) critically argues that the appraisal of educators has been done under the concepts of inspection, assessment and evaluation. In most cases these are judgmental without considering the educators' development - always finding fault, being negative in written reports and not acknowledging the positive things that educators do. There is also the tendency not to involve the person who is being judged in the process within which decisions about the judgement are made, unlike the developmental appraisal, which involves the person who is being appraised. The developmental appraisal capitalises on the positive things that educators do.

The judgmental approach tends to point out the negative aspects of the educators. It is thus clearly a way of inspecting, criticising and, as some would also argue, the policing of educators' performance. In contrast, the developmental approach guides, motivates and develops educators. The summative forms of evaluation tend to use the judgmental approach at all times. It also tends to be quantitative in nature and mainly concerned with output or production (good results only). Senior management in schools views evaluation as a top-down bureaucratic exercise Chisholm *et al.* (1997:25). Chisholm indicates that the evidence shows that one of the reasons that evaluation is unpopular is that it involves inspectors and subject advisors in the process of inspection. It should be noted that the vast majority of educators are not against appraisal as such, but the manner in which appraisal is conducted. Educators are against judgmental appraisal, but even developmental appraisal must be negotiated with the educators (see paragraph 2.2.1.1 in Chapter Two).

2.2.1.2 *The developmental approach*

The developmental approach that is being practised in schools, is aimed at an acknowledgement of the positive aspects of educators' performance. It rests on the belief that nobody is only full of faults. Nobody is only and totally negative. Assessments of educators' performances therefore also need to note the good things that they do and the positive aspects of their practices. Thus, in the current system of education, the notion of appraisal is tied decidedly to a more developmental approach as opposed to a judgmental one. In contrast, the formative form of evaluation is one that is qualitatively framed and emphasises process rather than product. The formative form of evaluation is linked to the developmental approach and does not only focus on what the educator does not do right, but also on what the educator does right. In this form of appraisal, there is recognition of the fact that teaching and learning are complex processes, and the reason why desirable results may not be achieved may be due to various reasons. When observing an educator's performance, the appraiser in the formative form of evaluation, will look at the ways in which the work occurs as well as how and why it occurs. The focus will be on the quality of performance processes.

The developmental approach 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. In this process, the developmental approach ensures that the person being appraised is part of the appraisal process and that the person is able to contribute to decisions about the his/her performance and the ways in which performance may be improved. Thus, although the developmental approach to which the notion of appraisal is tied, is one that is not judgmental, is more positive and acknowledges people's strengths. It does not mean that the developmental approach is blind to the negative aspects that may exist in educators' performances. Rather, it notes such negative aspects, should they exist. Instead of blaming the educator in a fault finding way, the developmental approach tries to find ways in which such negative aspects may be responded to within developmental programmes that would enable the educator to improve his or her performance in that area. It thus acknowledges that such an educator also has something positive in his or her performance which is not in need of immediate improvement and upon which further professional development may be based.

2.3 THE PURPOSES OF APPRAISAL

The main purpose of appraisal is professional development, with appraisal as a consequential and contributory element, not a focus on appraisal with professional development as something, which hopefully, might be the end product. Delaney (1989:4) argues that, if professional development and appraisal are to be inextricably linked, schemes must consider how educators could improve their effectiveness and provide conditions that will sustain this process and any resulting changes. This link is important, since both aspects can be developed as complementary parts of an integral process.

It must be borne in mind that educator appraisal will only make sense if it reflects the real needs of the educators, as they are directly affected by the results of the process. The educators, learners and parents will ultimately decide whether appraisal works and whether they themselves work harder and better as a consequence. This research is fully aware that the educators themselves are finally responsible for the quality of the education that learners receive in the classroom.

The important purposes for future review include the improvement of current performance among educators, the setting of performance objectives and the assessment of training and development needs as mentioned in Chapter One of this research.

It is further maintained that the purpose of appraisal is, amongst others, the improvement of the quality of teaching and learning across the whole range of performance and professional development of educators and is aimed at improving effectiveness in their current roles.

The managerial purpose of appraisal is to encourage open management for the educators in order to activate frequent interchange of ideas between levels in the schools. That is, educators will move between schools, in order to make better use of their talents, where numbers are falling in one region and increasing in another. Because of the current redeployment of educators from region to region, this movement between schools is not a problem in KwaZulu-Natal,. The only problem encountered in this process is that educators with special expertise are found in urban areas such as Durban and Pietermaritzburg and are very reluctant to move to rural areas like the Nkandla, Pongola, Mahlabathini, Nongoma, Umbumbulu, Ubombo, Hlabisa and Ingwavuma districts.

2.4 THE IMPORTANCE OF EDUCATOR APPRAISAL

Educator appraisal was once misunderstood, once feared, but is now seen not only as necessary but as the lynch pin of professional development and an issue of central importance to the future progress of the educational service.

Impact on in-service training

Educators appear to emerge from appraisal with a clearer view of their needs and greater confidence in asking for these needs to be met. This has sometimes been accompanied by the development of a broader view of in-service training, which is more than only going on a course, West *et al.* (1990:55). In KwaZulu-Natal schools this has taken the form of visiting other classes or learning from educators in the same or another school. For example, there are educators now doing in-service training who had not done this before. Where the in-service training is school-based, there is some evidence to suggest that school in-service training co-ordinators feel able to approach these with a clearer view of their school's needs. Appraisal itself has appeared as a form of professional development, as well as leading to development. To cite an example, this has occurred as a result of classroom observation, when observer and appraisee have identified specific aspects of classroom practice for observation, feedback and development. The educators have been activated to request the quality assurance co-ordinators to hold in-service training for quality assurance. This is because they are still unclear as to what it refers to. The concept *quality* in this context refers to the particular effectiveness or may refer to the value or effectiveness of a practice or of a teaching practice. How good is it? Does it require the minimum criteria? Are the educators satisfied with what they get? The researcher maintains that appraisal has unlocked professional development expertise within a school. This has involved some educators in running school-based in-service training. Some educators have found this to be time consuming and stressful, or have felt that they lacked the skills to provide effective training. Nevertheless, educators can see the positive benefits of this approach and possibly such anxieties will lessen with greater experience.

Appraisal has enabled in-service training groups to approach in-service training co-ordinators with a clearer view of their schools' needs, but they have sometimes felt that the in-service training arranged through the group is a compromise that does not cater sufficiently and

specifically for their own school. This appears to be a particular problem for those from small schools. Development in school appraisal also seems to give schools a greater sense of coherence in the way it has often prompted a review of job description. This has often been regarded as an important backdrop to the appraisal process. The appraisees have sometimes commented that both the specific work on job description and the appraisal process as a whole have given educators greater awareness of their roles and responsibilities with greater commitment to them. One educator referred to the benefits of this as follows: “Now the educators have a genuine job description as well as a specific description for their post and so we are all working with common aims and this has also helped us to clarify the aims of the school much better than before” West (1989:58).

The whole process of appraisal has increased communication within the school with more co-operation and discussion taking place. Educators feel less isolated as a school and more worthwhile as educators. The educators are now more prepared to work together and to discuss individual problems more openly. This seems to have led to greater continuity for the learners in the schools.

Specific improvements in teaching have arisen from appraisal, pointing to examples where educators have worked successfully on particular aspects of their teaching. These are: liaison with other educators over learners and work schemes; classroom organisation; the use of resources and displays; making use of alternative teaching strategies and approaches; ways of dealing with particular learners and schemes of educators’ work programmes.

Finally, it appears that the potential usefulness of appraisal as an aid towards school development could be further exploited. This could be done, for example, by generalising from the results of individual appraisal and providing feedback to the staff in the form of a general report, or making use of this information when drawing up a school development plan.

2.5 THE FEATURES OF EDUCATOR APPRAISAL

The success of educator appraisal is dependent on many factors. To help educators to develop an effective educator appraisal policy, every educator should keep the following essential features of effective appraisal in mind.

2.5.1 Job description

Job descriptions are essential to the appraisal process as they help to identify aspects that should be appraised. Appraisal should be based on a current job description to which the educator has agreed. The job description should evolve from consultation and allow for personal and professional development. The problem with job descriptions is that educators are inclined to be adamant when requested to help in fields or areas outside their job description, even in critical cases when learners are without educators. This is important, especially during these changing times when educators need to be redeployed, when found to be in excess in their schools.

2.5.2 Goals of the school

Appraisal should be in keeping with the goals of the school. Constructive appraisal is one way of establishing whether the goals of the school are being achieved through effective teaching and learning. In our changing process of education, it is shocking to find that schools that have been appraised perform worse than schools that have not been appraised during that current year. The reason for this needs to be researched and is not within the scope of this research.

2.5.3 Planning

For appraisals to be meaningful they must be well planned and co-ordinated. Appraisal in schools involves setting goals, scheduling times for classroom observation and appraisal interviews, reviewing tasks and keeping records. The fact that educator unions are opposed to classroom observation is the only barrier against this. NATU and SADTU claim that their members are professionals who need no further training and coaching in classroom teaching. It is however argued that although they are professionals, educators need new skills in order to face the new challenges of the education system.

2.5.4 Openness

Constructive appraisal depends on the willingness of educators to listen to each other, to be open and honest and to be receptive to constructive criticism.

2.5.5 Self-improvement

Appraisal should open up opportunities for personal growth (attainment relevant to teaching skills), improved performance, better relationships among educators, job satisfaction, a higher level of motivation and the reaffirming of sound teaching practices.

2.5.6 Co-operation

Lemmer and Squelch (1994:116-117) maintain that, appraisal is more likely to be successful if it is based on co-operation and consultation with the people who are being appraised. If there is no co-operation, the process might fail.

2.6 THE AIMS AND OBJECTIVES OF EDUCATOR APPRAISAL IN THIS STUDY

One way of confronting the question of the objectivity of appraisal is to think of each of the various individuals and interest groups. For many educators, the principal purpose of appraisal will be to improve the quality of learning of learners and, in this respect, the interests of learners may coincide closely with the professional development needs of the educators.

The ultimate aim of teaching staff appraisal is to enhance the quality of teaching and learning effectiveness of the general education programme in the school. It is concerned with diagnosing strengths and weaknesses, finding ways and means of developing strengths and remedying weaknesses of the educators as a whole. Supporting this notion, Stenning and Lyons (1986:63) maintain that appraisal is concerned with performance review and is designed to identify standards of performance, to praise work well done, to rectify weaknesses and to set further targets. In some cases, its purpose is to identify an individual educator's capacity of subjects and to ensure that a developmental programme is set in place to realise his or her potential according to a timetable of the organisation's requirements. The views of Stenning and Lyons are supported by reports published by the Department of Education (Report, 1996), Chisholm *et al.* (1997:33) and Butler (1999:35).

The achieved aims will not only be those of effective appraisal exercised by the school appraisal developmental team.

The objectives of appraisal will be to provide a basis on which to build the educator's self-confidence. This manner may enhance the quality of teaching and learning in the current classroom situation as mentioned in the introduction and will also determine the educator's effectiveness (performance) and the standard of teaching in the classroom. The emphasis is to make all educators aware of their professional accountability in the classroom and also to praise work well done, not to weed out bad educators in the field.

It is the aim of the developmental appraisal process to build the capacity of the process in schools and to effect transformation in the classroom in terms of improving the quality of teaching and learning. In this line, the report by the Department of Education (1996:28) argues that in improving the quality of teaching and learning, education management must be more supportive than directive of the change process. This means re-conceptualising - firstly, the management of schools and, secondly, the ways in which other bodies in the overall education system relate to schools. Taken together this means whole new ways of doing business in the classroom situation. The report continues to point out that it is very important to examine the role of other organisations in the education system and how they support or detract from the efforts of schools of teaching and learning. In the South African education context, this is imperative at this time when so much change is occurring at every level of the system and where the concept of the self-managing school is still very new in the classroom. The report is aware that organisations never remain static and that education management development is about developing the capacity to manage the process of change, as managing people is managing change. Both from the task team's own experience and the lessons learned from abroad, we know that one cannot mandate change to occur. It is argued that passing a law will not by itself ensure that change will occur (Department of Education 1996:29). Neither the Labour Relations Act No. 146 of 1993 nor the Schools Act No. 84 of 1996 could do this in South Africa., Negotiations in the classroom will, however, help the process of appraisal to effect change in current teaching methods.

As appraisal is a two-way process; it aims at drawing on the insights of the educators involved as well as providing an assessment of their performance. It should be emphasised that this process should not impede the real day-to-day work of the school. The school organisation (1984, Volume No. 4, 291-303) states that with this in mind, even annual appraisal of educators may be too frequent. No one, however, should contend that the system should be scrapped without anything provided to replace it. Educators unions Naptosa, Sadtu, etc. were not in favour of

appraisal, (when it was first introduced) but parents' associations in South Africa are mainly in favour of appraisal (as of now) – they believe that learners, especially in KwaZulu-Natal, may not pass without being supervised by the subject specialists and superintendents of education. This was supported by the reports in the *Sowetan* (December 31, 1996) when Senior Certificate results were announced. West *et al.* (1989:31-61) emphatically state that appraisal aims at diagnosing the individual needs of the educators and that it forms a basis for the formulation of the whole school direction, identifying its roles and responsibilities and also identifying a focus for classroom observation.

The purpose of appraisal is instructional improvement. In the study, Nassp, (1993:11) conducted in Texas, educators' perceptions on this issue varied. Sixty-two per cent of the principals surveyed said that instructional improvement showed to be the purpose of appraisal and more than 65% of Texas educators saw the renewal and cancellation of contracts as the real purpose of evaluation (Gray, H.L. (Ed.) (1982:11). Although this study was conducted abroad, it has some implications for the appraisal process of our schools (not only in KwaZulu-Natal but in the whole of South Africa), as the process involved educators, learners and parents. This is also the case in the transformation of our education system. The Report Task Team (1996:21:27) stresses the importance of educator and parent involvement in the education system. This also concurs with Nassp's research above. Appraisal nationally aims at the professional growth of educators. Kappan (1993:203) observes that professional growth not only involves learning. It is more than learning, as it implies the transformation of knowledge into the development of the individual educator.

It is argued that professional growth is hindered by the use of the same criteria for both experienced and inexperienced educators, year after year. Educators believe that this lowers the standards in the classrooms. Supporting this argument, Kappan (1993:202) and Lusty (1985:377) are convinced that, in general, appraisal should aim at unfolding educators' potential and this potential may be realised in action within the organisation of the school.

Appraisal and educator development is a key of personnel management and the pursuit of these objectives and aims will enhance the quality of learning and teaching in the South African schools.

Appraisal should be an opportunity for the individual to meet with his or her principal in order to take stock of his or her individual and joint achievement. There should be an agreement on action needed to improve the performance of the educator, to improve working relationships and to develop the individual's future career.

The process of new developmental appraisal should not intimidate educators in any manner of approach.

2.7 THE PROBLEMS OF EDUCATOR APPRAISAL IN THIS STUDY

2.7.1 Problems of the achievements of the aims and objectives in the classroom situation

The appraisal system may be distrusted by many educators and regarded as a judgement by the appraiser, rather than a means to future improvement. The appraiser and appraisee may be afraid that criticism or a difference of views will lead to conflict, or that the normal resistance to change phenomenon may come into play. The emphasis in this thesis is that the introduction of appraisal is in itself a professional development need of organisational proportions.

2.7.2 The problems in introducing the above procedures of appraisal

It is not easy to introduce procedures where they do not already exist, as is the case in KwaZulu-Natal (appraisal in some schools does not exist). It will not be easy as it has not been practised before and might take some time. Educators may resist ideas that are foreign to them and of which they have not been part. There is also a fear among educators that they may be labelled as incompetent and that they dislike paperwork. There is also a general feeling that university education, which is purely academic, may not be sufficient for a modern educator, especially during this transitional period. Professional performance should be above judgement (inspection). This word spells fear to the educators, as they fear that apartheid education is still alive and kicking.

2.7.3 The re-entry problem

Seyfarth (1991:36-37) and Morris and Everard (1990:92) agree that the entry problem is particularly apparent after an intensive programme away from the school. Returning ex-autocrats,

determined to partake and appraisal managers are often surprised to find their subordinates not responding with 'Hallelujah'. People feel uncomfortable if one of the 'norms' in their environment appears to have changed. They are suspicious and, unfortunately, response may cause the returned trainee to doubt the validity of what he/she has learned and the development effort will therefore have been wasted. It is contended that the re-entry problem will be easy if the trainee is aware of it, bides his time a little, and makes an attempt to discuss his intended changes with his or her appraisal team and involves these parties in helping to implement it soon. The trainee's superior, who has hopefully been a key party to initiating the development, provides support and counselling, on and after re-entry. Sadly, the appraisal interview meetings do not always take place and this is a serious dereliction of managerial duty, that wastes training investment and demotivates educators in a school.

On the other hand, well-developed appraisal systems in schools are of considerable benefit to both the educator and the organisation. Indeed, staff may complain if their appraisal interview is overdue as they are highly motivated educators (some are), as this will enable them to measure their teaching achievements and give them recognition for these achievement. This shows that the judgmental appraisal is still in existence in schools (see paragraph 2.2.1.1).

2.7.4 The problem of objectivity

The measuring instruments and those that implement them are subjective.

The in-service appraisal of professional staff like educators has been severely criticised as it lacks objectivity. It is argued that the measurability of the actual influence of teaching and education is not balanced, with the result that measuring instruments, and particularly those that implement them, are accused of being subjective.

There is an appraisal team in every school. The question is whether the team members all have the necessary professional capability to make reliable judgements in respect of the daily tasks of educators. Better Schools (1985:68-74), Van der Westhuizen (1991:257), Morris and Everard (1986:25-79) and others concur that the problem becomes even more critical when the question is whether the appraisal team is capable of making an in-depth diagnosis of the situation so that effective support may be put into operation.

2.7.5 Peer appraisal problem

The technique of educators and learners helping each other is rarely used in our situation. Educators feel intimidated by the presence of colleagues in their classroom. Peer appraisal does not concentrate on learners. This is a deficiency, as it may also play a crucial role among learners. It is at this stage that learners should be encouraged to form study groups, especially amongst the black learners.

2.7.6 The self-appraisal problem

Appraisal should be aimed at self-improvement. It should open up opportunities for professional and personal growth, improved performance, better relationships, job satisfaction, a higher level of motivation and the re-affirmation of sound teaching practice.

2.7.7 Job description problem

It is agreed that the format and content of the job description should contain the following essential aspects: title of post; the person(s) to whom the post holder is responsible; areas of operation and duties associated with each area, (see chapter 4:4.4.21).

The main problem lies mainly with the detailed duties associated with each area. Emerson and Goddard (1997:80-91) believe that there is a question as to the degree of detail that should be employed. It is argued that educators are professionals and should be allowed wide scope to use their flair and to apply their qualities and skills in ways that seem most appropriate to them and that the job description should leave ample discretion to the educator. It is appropriate in a job description to include either detailed goals or the means of reaching those goals. The job description must only confine itself to detailing the areas in which the educator will be working.

The job description should confine itself to the clear definition of the tasks to be undertaken. This forms the basis for planning, development and implementation of that work, for its monitoring and support by the management team, and for its appraisal in due course, should that be appropriate (Emerson & Goddard 1997:81). It is inappropriate in a job description to include either detailed goals or the means of reaching those goals.

2.7.8 Classroom observation problem

Numerous problems are encountered in classroom observation. The usual practice in our schools has been that the educators are never told when a panel of Superintendents of Education will visit a school. During the apartheid era in particular, inspectors would take educators by surprise. Classroom observation would take place without any prior notice. Educators regarded this as sabotage. It is only now that appraisal is being introduced in schools whereby, prior to any school visitation by the district officials for school evaluation, educators would know in good time.

There is a pitfall if, after classroom observation, the observer does not provide feedback. This creates problems as educators are left in the lurch, and chances of professional development and improvement are meagre. If feedback is immediate, however, this will encourage educators to reflect on the observer's perceptions before the two meet to formally discuss their perceptions of the lesson.

2.7.9 The problems of completed forms encountered by the appraisal team

The standard staff appraisal form, including the checklists, that are completed by the appraisal team create a problem for educators. This form is printed in one official language only (English) and might be a problem for some members (Zulu, Xhosa, Sotho, speakers etc.) of the governing body who wish to see it. These members will have to depend on second-hand information. The appraisee may therefore be disadvantaged by the revelation of his or her weaknesses, which may lead to him or her being judged as being weak by the parents or learners. Parents may demand that good educators teach their children only.

2.7.10 The time factor problem

The appraisal timetable may clash with the educator's class timetable. This is detrimental to the process of teaching and learning. The educator may be behind in teaching the syllabus, which may hinder the learners' progress at the end of the year. It might again be contrary to the policy of the province, which prohibits the absence of the educators during school hours, as promulgated in the South African Schools' Act No 84 of 1996.

2.7.11 The problem of educator appraiser's skills in a particular subject or field

It is argued that professional skills cannot be developed in isolation. Educators need each other. Feedback from others needs to augment personal introspection. It is therefore imperative that an educator who is a member of the appraisal team be qualified to appraise an appraisee in his or her own subject field. Lemmer and Squelch (1994:125) and Delaney (1989:54) support this argument.

2.7.12 The problem of educator co-operation

If appraisal is implemented in an autocratic way, without the co-operation of educators, educators may view appraisal in a negative light. However, if it is seen as something positive that provides a means of expressing appreciation for educator's work and efforts, as well as a way of offering support and improving the quality of the educator's work, appraisal is likely to be well received. West-Burnham (1993) quoted by Lemmer and Squelch (1994:115) states that appraisal will only be successful if it is firmly integrated with the management structures of the school as is the situation in KwaZulu-Natal schools.

It is agreed that developmental appraisal consumes much teaching time in schools.

2.7.13 The problem of appraising all school levels

The problem of appraising all school levels i.e. educators, clerks, typists, cleaners, security staff, and governing bodies in the school is obvious. Staff appraisal should form an integral part of the school programme.

To be worthy, all staff members should be appraised in order to close the gap among the staff members working in the same school. The clerks, typists, cleaners, security staff and governing body should be given some basic knowledge in the educators' work to avoid them disturbing the school routine. This is the line of function of the human resource team. The Department of Education and Culture in the province has started this staff development process. This programme consumes much time and consequently administrative work suffers in most educational institutions.

2.7.14 The problem of implementation of an appraisal policy in the school as a whole

The school governing body is authorised by the South African Schools' Act No 84 of 1996 to develop a policy for the school. All the schools in KwaZulu-Natal have developed their own policies. These policies should not be contrary to the national policy and should be in accordance with departmental regulations. The problem is that school governing bodies are still stereotyped and the old policy of judgmental evaluation is contrary to the Labour Relations Act, 1995. From this it is evident that all staff members in the school should be appraised.

2.7.15 The problem of one group recognition in school

Appraisal only concentrates on educators. The appraisal process in South Africa concentrates only on appraisal teams, as the argument is that learners do not know what they are supposed to be taught, say, in grade one or seven, even in grade twelve, for that matter. It is suggested that learners be involved in the appraisal process and be included as observers in the appraisal team of the school.

The above problems of this research will all be taken into account in the empirical study, which is chapter four.

2.8 THE PROCESSES OF EDUCATOR APPRAISAL

The following processes of appraisal may improve learning opportunities for all learners. They may also improve, develop and support the learning educator in the classroom:

2.8.1 Phase one –preparation

Those Having Torches (1985:5) argue that this process involves planning for appraisal, analysing specific situations, setting specific objectives and deciding on the means to measure the process. Those Having Torches further argue that this process gives an explanation so that all educators understand the intentions of the appraisal concept and agree on the logistics of the scheme in a particular school. This also includes gathering information about educators' performance in class and re-evaluation of the educators' job description.

2.8.2 Phase two – classroom observation

Lemmer and Squelch (1994:122) argue that classroom observations should be carried out regularly to keep in touch with what is happening in the classroom and with the work being done. This research found that classroom observation is not negotiated with class teachers in most cases. Those Having Torches (1985:5) and Lemmer and Squelch claim that most teaching and learning takes place in the classroom situation. Consequently, classroom observation offers the most practical procedure for collecting data about educator performance. However, educators also argue that observers are an intrusion in the classroom and that their presence changes the situation.

Educators and appraisers need to view observation in a constructive way, as a co-operative venture between them leading to improved classroom performance.

2.8.3 Phase three – the interview

Those Having Torches (1985:6) maintain that the focus should be mainly on the educator's performance in the defined job description, rather than on the personality of the educator.

The authors emphasise that a genuine dialogue must take place comfortably, quietly and without any interruption. Adequate time should be given and the educator's views solicited.

Morris and Everard (1990:85) stress that progress notes must be made during the interview to avoid taking extra time to do this at the end of this process. This research adopted this style (see Chapter Four procedures followed by each questionnaire, paragraphs 4.3.1, 4.4, 4.5 and 4.6.1 in this chapter).

2.8.4 Phase four – results

Those Having Torches (1985:6) claim that the educator's feedback on the outcome of the appraisal process and agreement about other approaches will be vital in maintaining the educator's performance in the classroom. It is argued that although it is difficult to measure

human behaviour by means of the rating scale, there should be a rating scale and checklists, which have been agreed upon by both appraisers and appraisees.

2.8.5 Phase five – the monitoring

Those Having Torches (1985:6) maintain that educators should be given training and time to achieve their targets. Regular supervision, advice and support should be given constantly. Some targets may be recycled for another effort.

2.8.6 Phase six – moderation

Those Having Torches (1985:6) and Lemmer and Squelch (1994:113-116) concur that moderators in appraisal should be well trained in supervision and observation skills. The school appraisal team should be involved in this moderation process.

2.8.7 Phase seven – evaluation

Those Having Torches (1985:6) is of the view that the system of appraisal should be evaluated regularly by finding ways to assess whether or not the stated aims are being met. All problem areas should be identified and solutions sought.

It is the sole duty of the appraisal team to see that:

- the formal appraisal system is only one stage in a continuous process;
- classroom observation is central to the process of appraisal;
- the appraisal interview is conducted in optimum physical conditions and stresses performance rather than personality;
- the results of the interview are practical and attainable and support to achieve these results is forthcoming;
- time and encouragement is given for the attainment of targets; and
- regular monitoring, moderation and evaluation takes place.

A manual should be available that details the philosophy and procedures for the appraisal processes; the appraisal team should be trained in interviewing and classroom observation

techniques; the school year programme should be adjusted by a sufficient number of days to allow adequate time for educator development.

2.9 COMPONENTS OF EDUCATOR APPRAISAL

2.9.1. Criteria for educator appraisal

Criteria are statements that describe the level of performance of an individual after a planned sequence of study.

It has been mentioned that during phases of appraisal, appraisal interviews should provide the opportunity for genuine dialogue between the appraisee and appraisers. Furthermore, to be effective, the dialogue must be set clearly within the context of the appraiser's work, the precise stage of his or her development, and the constraints within which he or she operates. This dialogue should be sufficiently detailed to be of use to the appraisee and will normally focus on a small number of fairly specific areas. It is clear therefore that appraisal cannot, and should not, be designed to provide a simplified account of the appraisee's performance against a set of fixed criteria of good practice. This research strongly opposes the mechanistic use of standard checklists of performance, as these are claimed to be judgmental in nature.

If appraisal is to be meaningful, it must be conducted against the background of certain expectations about teaching and, in the case of principals, the management of schools. Indeed, it must be conducted against the background of sound professional criteria if it is to lead to improved learning for learners. Moreover, educators and principals have a right to know what these criteria are. The policy regarding the process of appraisal in schools should recommend that all governing bodies, in consultation with educators, should consider and prepare guidance on the criteria which inform the conduct of appraisal. This guidance should take account of the full range of the national policies for education, including the national curriculum and, where appropriate, the work of educator training institutions. The appraisal criteria may need to take account of any specific aims of the school that are reflected in the job descriptions of those being appraised.

2.9.2. Different strategies for appraisal criteria

Because of its commonality and the importance of the interview criteria in schools, it is important for this research to show different strategies of the interview appraisal criteria. Different authors have different appraisal interview criteria. The appraisal criteria of Lemmer and Squelch and those of Bennet have been used as samples in this research (see below).

2.9.2.1 *Lemmer and Squelch (1994:127 – 128)*

An example of a set of appraisal criteria for communication skills (modified):

- ORAL COMMUNICATION: Is it clear and effective? Do learners easily understand the language used?
- MAINTAINS EYE CONTACT: Does the educator maintain eye contact with the learner? Is the educator shy?
- LISTENING SKILLS: Do learners listen to the educator's question? Do they understand?
- QUESTIONS: Does the educator ask questions relevant to the subject matter?
- DIFFICULT WORDS AND PHRASES: Are these carefully explained to the learners? Are there no means of eliminating these difficult and clumsy words and questions?
- LANGUAGE: Does the educator use simple straightforward language?
- DISCUSSION: Does the educator encourage discussions in class? Does he or she assist where necessary?
- FEEDBACK: Does the educator give timeous feedback to learners? Is there a way forward in this feedback?

An example of a set of appraisal criteria for communication skills adapted from Lemmer and Squelch (1994:127-128) states that educators need to be excellent communicators and should constantly be improving their communication skills. In black schools particularly, communication between learners and educators is still a problem, as learners' vocabulary and expression leave much to be desired. English as instruction medium is a problem, but all parents in South African schools support this medium. Parents want their children to be taught in English. Learners also need Zulu and Afrikaans as a second or a third language. Parents argue that wherever you go beyond South Africa, English is the common language, not Zulu or Afrikaans.

CLASSROOM ACTIVITY, OBSERVING TEACHING IN THE CLASSROOM

The following is the set of agreed appraisal criteria that may be used for peer appraisal. This is only a framework, which is optional. This has been adapted from Lemmer and Squelch (1994:128).

- **PREPARATION:** Is the preparation detailed and to the point?
- **TEACHING AND INSTRUCTIONAL TECHNIQUES:** Is the methodology suitable to the subject matter. Does it arouse interest in the learners?
- **RELATIONSHIP WITH LEARNERS:** Is there a smooth relationship between the educator and the learners?
- **DISCIPLINE:** Is the discipline conducive to learning? Is it fair?
- **CLASSROOM ORGANISATION:** Is the classroom well organised? Are there no disturbing structures?
- **ENVIRONMENT:** Is the environment conducive to learning. Is the classroom clumsy?
- **PROFESSIONAL ATTITUDE AND PERSONALITY:** Does the educator have a smiling attitude and personality? Does it attract learners?

Classroom observation is one of the important parts of the collection process. Many educators have a significant management role to perform. The disadvantage thereof is that some principals might not have a management role to play in the classroom situation. The main purpose of classroom observation is to improve educators' performance.

It is argued that if the appraisal process is to result, as it should, in the dove-tailing of the needs of the educators with the forthcoming needs of the organisation, then the school needs to be clear about what it is trying to achieve prior to the individual appraisal, both strategically and at an operational level. The appraisers should also bring to the fore organisational issues about which they require the assistance and co-operation of the individual being appraised.

2.9.3.1 Self-appraisal

Lemmer and Squelch (1994:120 – 122) argue that self-appraisal cannot be enforced. Educators should be encouraged to reflect constructively on what they are doing and to regulate themselves.

It is vital for the educators to do this in writing so that this may be referred to in future appraisal interviews.

Self-appraisal provides a means of improving one's performance and may serve as a guide for setting goals and standards as well. Self-appraisal must precede formal appraisal, as the information gathered by the educator may serve as a basis for further evaluation and discussion. The two authors illustrate the self-appraisal component as follows:

SELF-APPRAISAL



Figure 2.9.3.1 Diagrammatic representation of self-appraisal – 'modified'.

Adapted from Lemmer and Squelch (1994:120).

Lemmer and Squelch (1994:120) state that one way of doing self-appraisal is to measure one's performance against a set of appraisal criteria. For some, self-appraisal has been the most significant part. The whole process would not have amounted to much without it. In South Africa the implicit assumption seems to be that educators are either unwilling or unable to participate in a programme of self-appraisal as one of the criteria, which lead to self-development. In contrast to the above, West (1989:57, 63-64), contends that some educators have suffered from self-analysis overload, which certainly in the short term, has led to repressed self-images and feelings of inadequacy. The above writers agree that its precise importance will vary with the appraisal scheme and indeed in some it assumes overriding importance.

Bennet (1992:18-19) points out that, "what is known to ourselves may also be problematic in that human nature is capable of self-deception, there are things about ourselves and about our professional work, which we prefer to relegate to the sub-conscious, and one of the

uncomfortable consequences of the appraisal process, may be to press us to re-consider aspects of our work which we have tended to gloss over or ignore”.

West (1990:30-31) has this to say about self-appraisal: “there was also some uncertainty about how frank the educator should be in reporting self-appraisal. For some, there was tension between being totally honest and screening out reflection which could possibly be misinterpreted or abused by the appraiser, or by others beyond the appraisal context.”

2.9.3.2 Classroom observation component

In the current appraisal process, educators still find it difficult to assess one’s work (see 4.5.26 in Chapter Four of this research).

The authors Lemmer and Squelch (1994:122-123) concur with the researcher in expressing in this context of the research that classroom observation by the appraisal team is the most common component of staff appraisal. This component enables the appraiser to witness the appraisee at work. That is why staff appraisal remains a crucial part of the management task of the team in a school. Lemmer and Squelch (1994:122) and Delaney (1989:53) say that classroom observation is concerned with values and priorities in considering educator effectiveness and a vision of the educators’ role, which involves them in learning to work with one another.

Some educators appear to subscribe to the myth of complete educator autonomy. They see themselves and their class as a kind of community and the classroom as somewhat insular. It is argued that educators see themselves on an island with their learners, resources, a preferred style of teaching and emphasis and treatment of content. However, the educators must as a whole be able to work with and through others. The educator may be considered effective only when his or her teaching contribution is congruent with the work of colleagues and when his or her classroom contribution is, therefore, the end result of professional discourse, negotiation and collaborative planning among the educators in a school.

Delaney (1989:54) and West-Burnham (1993:50-51) further state that classroom observation is regarded as a supportive structure or mechanism to help staff to face up to the implications of self-appraisal. It is not about catching people out, but giving staff a chance to reveal the best of their teaching.

All the above authors concur that classroom observation should be done regularly to keep in touch with what is happening in the classroom and with the work being done. This will enable the appraiser to obtain accurate, first hand information that can be used in the feedback session.

The researcher and all the above authors emphasise that classroom observation is not intended to police an educator's work, but rather to provide him or her with help, encouragement and guidance, particularly in the case of beginner educators. According to Bennet (1992:44-71) processes of classroom observation may be broken down into four main parts, i.e. what preparation is required before classroom observation; how the observation itself will be conducted; how the information collected will be processed; and how the information collected will be communicated to the appraisee and expressed as a part of the appraisal record in the school situation.

Before the lesson, the appraiser and appraisee need to agree on the purpose of the observation – that means that the appraiser's function is to look with the appraisee at what is happening in the classroom, not to look for particular strengths and weaknesses as if this was a student educator being observed. There must also be agreement on what is to be observed. At this stage it could be appropriate to focus on the learners, rather than the educator, since it is the quality of learning experiences for the learners that is of paramount importance. Although the educator's role is a major contributing factor, it is not the only one.

Who is to carry out the observation is a factor that may also vary according to the adopted focus and the particular circumstances. Although it is assumed that the appraiser is the appraisal team, this assumption was found to be very common in our situation in schools in the KwaZulu-Natal Department of Education and Culture. *When* the observation is to take place is also at the discretion of the appraiser, but if this were a test of the educator's competence, it might be appropriate to select the most troublesome class with which the educator has to deal. For the majority of our educators, however, it is far more important that their achievements are recognised and praised, rather than their faults castigated. *How* the observation is conducted and recorded also needs careful negotiation. The lesson plan, the educator's aims and objectives for the lesson and any potential difficulties or constraints that the educator might envisage, need to be discussed.

It should be noted that the point of this preparation is to reduce the degree of stress that the educator will experience and to ensure that the information collected, as well as the form in which it is recorded, is valuable to the appraisee and the appraiser.

The observation itself is a critical issue. The appraiser must approach the observation positively, although it is difficult for an untrained and inexperienced appraiser to prevent making judgements and comparing how the educator is operating with how he or she would have done it, had he or she been in the educator's place. This factor is common in the KwaZulu-Natal Department of Education. In some cases, the researcher is forced to bring the appraiser and appraisee into friendly terms. Some experienced appraisers only record what they see happening and avoid any kind of interpretation at the observation stage. This kind of crude classroom observation was common in the Department of Education during the apartheid era, at which time a panel of inspectors could stop a lesson in front of the learners if it was convinced that the educator was teaching incorrect things. How embarrassing! The new approach and the Bill of Human Rights Act No 108 of 1996 protects our educators from this type of bad approach to the appraisal of educators.

Follow-up to observation is also crucial, as there must be feedback from both the appraiser and appraisee after the observation. The appraiser needs to be aware of the sensitive nature of the task ahead and eschew criticism. The feedback may begin with active observation, rather than with interpretation, and with information, rather than with advice or suggestion - starting by concentrating on what went well and dealing with problematic areas of the observation later.

2.9.3.3 The appraisal interview

The appraisal interview is conducted between the appraisee and the appraisal team of the school (principal; deputy principal; head of department; educator; union member and an outsider). This is an opportunity for the appraiser and the educator to have a face-to-face discussion of the educator's performance and progress. It also provides a valuable opportunity for the principal to keep in touch with what educators are doing, not to 'keep tabs on them', but to show a personal interest and be aware of the workload achievements, needs and concerns (Lemmer & Squelch, 1994:123). It is argued that the purpose of the appraisal interview is to agree on a job description; on areas of development; on training priorities; and also to agree on setting targets for action and producing motivated appraisal statements. That is why this research will not go into job

description in this context, as this component is catered for in the classroom observation and the appraisal interview components.

The appraisal team must determine and set a suitable date and time for a meaningful discussion well in advance. Care should be taken not to try and cram everything into one interview. A well-detailed agenda should be drawn up well before the time and a decision made on areas for discussion. The interviewer must gather all the necessary information about the educator to be interviewed beforehand. In most cases, the above steps are not followed in our current school environment and interview appraisal. This disturbs the smooth process of the appraisal interview. The interview should take place in a comfortable, non-threatening environment, as there is a need for privacy. If the interview takes place in the principal's office, there should be no telephone calls or any other interruptions.

An effective appraisal interview requires a high level of interviewing skills – including listening skills, questioning skills, problem-solving skills, and verbal skills. The appraiser (interviewer) should be a competent communicator. He or she should use appropriate verbal and non-verbal communication and questioning techniques, display good listening skills and provide suitable feedback (Lemmer & Squelch, 1994:125).

The interview should be a two-way communication so that both parties have the opportunity to contribute to the discussion and to ensure that the person being interviewed receives feedback that is informative and likely to motivate him or her. The interview should focus mainly on the person's strengths, weaknesses and achievements. Appraisers commonly make the mistake of highlighting only the weaknesses. It is also essential to identify areas for improvement and to arrive at practical ways in which this improvement may be achieved. At the end of the appraisal interview, the appraiser and appraisee should reach agreement on the appraisal statement. This is a concise written account of the appraisal and decisions reached.

It is maintained that the appraisal statement should contain at least a summary of the main issues discussed, the strengths and achievements of the appraisee and, most importantly as emphasised by the above authors, a statement of the agreed goals or targets. This may take the form of a letter, report, or form, giving the appraisee the opportunity to discuss the appraisal statement *before* it is finalised and signed by both parties.

The follow-up: Lemmer and Squelch (1994:126) and West-Burnham (1993:55-58) emphasise that, after some time has elapsed, it is important to follow up on the interview, in order to review and assess the decisions that were taken at the interview and to set new targets. The main purpose of follow-up is to discuss the educator's performance in the classroom and to highlight mainly the good points of this performance.

2.9.3.4 *Peer appraisal*

Peer appraisal is not common in South African schools. Educators seldom appraise or observe each other, or even engage in team teaching. Educators often feel intimidated by the presence of their colleagues in their classroom.

Peer appraisal presents the opportunity for educators to work more closely together and to share ideas, experiences, knowledge and expertise and may help them improve their performance (Lemmer & Squelch, 1994:127). It should be noted that educators lack respect for evaluation by their peers and they fear that the evaluation may result in staff tension. West *et al.* (1990:28) support Lemmer and Squelch's view.

2.10 MODELS OF EDUCATOR APPRAISAL IN SCHOOLS

The following five models that will be discussed in this section are almost diametrically opposed attitudes of educators in South African schools. As these models are amalgamated in this research, educators may view the hybrid scheme with confusion and suspicion. Each one of them will thus be carefully analysed in order to explore the advantages and disadvantages of each.

2.10.1 **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 complementary needs of individual educators and the schools. Emerson and Goddard (1993:11) 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." In the above two quotations we get closer to the definition of a staff development model of appraisal. An appraisal scheme starts from the

assumption that educators could improve their performance. This, however, is not seen as criticism of educators.

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

- The educator may not be aware of his or her shortcomings in a particular area – the weakness may however come to light during the gathering of evidence, whether that is inside or outside the classroom situation.
- The educator may be aware of a weakness in performance, but does not know how to remedy it. He or she may ask for a particular area to be the focus of appraisal in order to discuss the difficulty more fully and to obtain help and guidance.
- The educator may be aware of a problem but believes that its resolution lies outside his or her control. This is perceived as being caused by external factors such as lack of resources or managerial deficiencies. Appraisal may provide the arena for a proper analysis of the problem and for a reference to the appraisal team, if the source of the problem lies outside the educator's own discretion.
- In some cases, the shortcomings may be caused by personal difficulties experienced by the educators (stress or overwork at school, or personal problems that are impinging on the work).

In all, appraisal provides an opportunity to examine the problem dispassionately, to identify causes and to seek solutions.

2.10.2 The accountability model

This model has the task of identifying and dealing with any educator incompetence and lies firmly with the school (the governing bodies). This model was introduced in South African schools with effect from 01-01-1997 and is now in operation. In September 1997, a code of conduct for educators was also introduced. Consequently, it is only in the best interest of the educator that an appraisal system is used to identify incompetence. Although not aimed at weeding out weak educators, but to develop their professional expertise, an appraisal is not a substitute for effective management. Unsatisfactory performance by educators should be dealt

with through the normal management procedures, rather than by waiting on appraisal. These two models (staff development and accountability) are similar as they both identify areas where the educator may be able to improve. On the other hand, the purpose of identifying weaknesses is to help determine disciplinary proceedings, but this may lead to difficulty in obtaining educator co-operation in the scheme. This is most common in schools in this country, especially in the new South African education system era.

If a professional development model is to succeed, it requires that educators should be open, honest, self-critical during the process, and willing to comment frankly on their own position, and not to hide any weaknesses or to blame management or others for any deficiencies in their performance. Educators in schools look after their own interests, rather than those of the school or their learners. Especially these days when the education system is changing in our country, they try to negotiate targets that are as unchallenging as possible. For this reason, this model may encourage educators to serve their own interests and to maximise their own predetections.

2.10.3 The remedial model

Seyfarth (1991:36-37) and Those Having Torches (1985:9) both maintain that appraisal is planned to select educators for merit pay awards. They assert that teaching instruction is more important as a criterion for appraisal. They tentatively suggest this model (remedial model), and the next two models (goal setting model and product model) of appraisal, which might lead to the professional growth improvement and compensation of effective educators.

The remedial model is directed at identifying weaknesses, promoting the educators' performance, and providing clear and specific direction for the educator, though not offering any noticeable challenge to the said educator.

2.10.4 Goal setting model

This involves educators choosing appraisal criteria, which may lead to productive channels but lacks consensus on what constitutes attainment of objectives. Both the goal setting and product models contribute to educator development and performance.

2.10.5 The product model

This model holds educators accountable for the outcome of the students' results, judging what is fit between that which is taught and outcome measures, although it is characterised by inadequate measures of student performance and educator resistance. Also refer to the goal setting model above.

All five models emphasise the importance of free professional growth among the teaching staff. In this atmosphere, principals will still try to keep a professional vision for their staff, knowing that if the quality of education is high, the external indicators will improve. However, there may be a difficult struggle to bring professionalism and collegiality to the fore. Appraisal could be the point at which educators feel most vulnerable in this brave new world in the South African education system and it could be at this point that professional development loses out to accountability. Senior managers may need all their powers of leadership and inspiration to make this otherwise (Emerson & Goddard, 1997:19).

2.11 ADVANTAGES/DISADVANTAGES OF THE APPRAISAL PROCESS IN SCHOOLS

Educator appraisal has various advantages and disadvantages. It is argued generally and in this research, that appraisal clarifies what is expected from educator performance, indicating who is responsible for supporting the educator, helping in the development of the school, making the educator's problems the appraiser's problems and by being aware of them. This places the appraiser in a better position to advise, assist and support the educator.

In the school situation as a whole, the appraisal process has some implications for the organisational and professional development of the school. It encourages openness in problem solving, with staff feeling free to signal their awareness of difficulties, as they expect the problems to be dealt with. It exposes the policy of the school in terms of written work, regular marking of the educator, etc. Such vital aspects of the school may enable the principal to diagnose and remedy the work to the advantage of the learners.

As against advantages, it is contended that additional time is necessary for the line manager to collate the evidence for all of the elements in the appraisee's job description, to prepare for the appraisal interview, to conduct the interview itself, and to produce the agreed record. On average, these tasks may take four to five hours per appraisee, which is excessive.

It is also argued that appraisal is a backward-looking practice. Inevitably, what is being appraised is last year's performance. Although this information may help in predicting potential for future promotional positions, it may demotivate educators should no promotions be possible.

The form of appraisal may expose the weaknesses and inadequacies of the educator, but does little or nothing to help strengthen, support and develop him or her. To be effective, the process of appraisal should use certain criteria when appraising the educator in the classroom. These criteria must be agreed upon by all the stakeholders in education.

To be effective, a dynamic model of professional development must be designed in which the responsibility of every educator in the school is to ensure that the educators for whom they are responsible are performing at the highest level of their capability. This is emphasised by the Department of Education: Report South Africa, December (1996:21-7).

2.12 THE SYSTEMS OF EDUCATOR APPRAISAL IN THE UNITED KINGDOM, UNITED STATES OF AMERICA AND THE REPUBLIC OF SOUTH AFRICA

2.12.1 Introduction

There is an increasing interest in, and experimentation with, appraisal schemes of various kinds in the United Kingdom, United States of America and the Republic of South Africa. There have been a few schemes that have been well established and these have been in operation for five to ten years or longer. The majority of these schemes have, however, been tentative, embryonic and experimental.

In their South African study, Lemmer and Squelch (1994:113) have said, "Teachers use a variety of formal and informal methods of appraisal to assess pupils' performance and progress. This appraisal is necessary to ensure that pupils and teachers are learning effectively and teachers are achieving their potential."

2.12.2 The aims and objectives of the system of education

Goodey in Van Schalkwyk and Dekker (1995:171-217) stresses that in the United Kingdom, the main objectives of appraisal are that learners are channelled to devote themselves to a particular task, to master physical skills and to acquire knowledge and skills necessary for adulthood and for practising a profession in a rapidly changing world (Van Schalkwyk & Dekker (Ed.) *et al.* 1995:183). The efficient use of the language of their country and of numbers is one of the major objectives in education in the United Kingdom.

Van Staden, and Theron, in Van Schalkwyk and Dekker (Ed.) (1995:537-603) state that in the United States of America the system is called 'Educator Evaluation'. Educators are evaluated by procedures that owe more to the performance review system of industry than to those of education. While these educators expect to be held accountable for the way in which they perform their duties they claim that this system is aimed at facilitating their dismissal. They also claim that this instrument invites a subjective judgement and is straightforwardly summative, offering little or nothing in the way of constructive advice or help and merely reports on retrospective performance. Educators in the United States of America deplore the use of such systems, their sterility inhibiting improvement rather than encouraging it. All educational objectives are geared towards a way of developing the learners' ability to think.

Claassen, in Van Schalkwyk and Dekker (1995:447-492), argue that in the Republic of South Africa, the objectives of educator evaluation are to identify an educator's successes and failures with a view to appreciation, encouragement, motivation and guidance, in order to ensure improvement in his or her work and to raise the standard of education in general. Lemmer and Squelch (1994:114) are of the opinion that the main aim of appraisal is to improve the quality of education. This means that staff appraisal is necessary for improvement of teaching performance, encouraging personal growth, improving the quality of teaching and learning and helping and supporting educators in the classroom situation.

The South African curriculum is aimed at developing a thinking, problem-solving learner who will be empowered to participate in the development of South Africa in an active and productive manner. These aims are directed to change and improve the school situation and the society. This will depend on the knowledge, expertise and motivation of the classroom educators in South

Africa. It will also depend on the willingness of the learners to take the responsibility. All this is mapped out in the Outcomes Based Education: A Teacher's Manual: Van der Horst and McDonald (1997:6). It must be noted that Kader Asmal, the Minister for the Department of Education, has requested a task team under the leadership of Professor Linda Chisholm to amend Outcomes Based Education.

The aims of the United Kingdom and Republic of South Africa are more or less identical in nature, but those of the United States of America are different as their aims, as noticed above, are directed at dismissing educators. In the Republic of South Africa and in the United States of America, the process has been referred to as 'Educator Appraisal', but in the United Kingdom the process has been called 'Appraisal'. Appraisal in the United Kingdom is voluntary and educators are not forced to be part of this process. This is unlike that of the Republic of South Africa where it is government policy that all educators should participate.

2.12.3 Financial resources in the United Kingdom, United States of America and Republic of South Africa

The perceived needs are always readily available in the United Kingdom. Nonetheless, schemes are inevitably seen as encouraging the maintenance of standards of teaching performance – offering time, support and as much help as possible, an opportunity to give encouragement, praise, sympathy and, generally, to enhance staff relationships. In the United States of America, schools receive additional resources for staff development, a per capita allowance for educators, agreed 'release' time, and can call on master educators for advice and support. Further opportunities for professional meetings are also afforded during the compulsory three days, which educators work in at the end of the school year when learners are not in school. It is argued that this allocation of time designated for professional needs contrasts with the voluntary notion of time given to such activities in the United Kingdom and may well be an important influence on the educators' perception of themselves as valued and effective professionals.

It is claimed that performance evaluation and staff development are distinct and separate activities. The attention and resources given to meeting the needs of individual educators as developing professionals, and to improve the quality of their performance as providers of educational opportunities for learners, would seem to suggest that the two are necessarily interrelated if they are to be effective in achieving their intended aims. It should be borne in mind

that the most important resource in education is the educator and that this system does work at upholding that belief. In terms of human resource in the Republic of South Africa, there is a shortage of qualified educators and educators qualified to teach technical, commercial and science subjects, while there is a surplus of unqualified or under-qualified educators. Subject specialists in mathematics and physical science are also in short supply. Professional support staff, such as psychologists, therapists, social workers and nurses are unequally distributed. So are adequately trained administrative support staff. In the KwaZulu-Natal Department of Education and Culture there is no budget set aside for the appraisal process in schools.

2.12.4 The system's previous approaches

Goodey in Van Schalkwyk, and Dekker (1995:170-220) state that most schools in the United Kingdom tend to be idiosyncratic in the best sense, as their appraisal schemes have been developed in-house, usually on the initiative of the principal. Every scheme has an interview as a central part of the process and the nature of the interview varies from a general discussion to a dialogue of some rigour. About half of the schemes investigated have educator self-appraisal as an agenda item in the interview.

The formal observation of classroom performance was or is not practised at all. Principals do not pay great attention to the educator's lesson preparation, marking, report writing, meeting of deadlines, etc. In some schools all staff, as many as 20 to 80 according to an established rote, the educators are appraised. Most schools have a no-opting-out policy once the scheme has started, but this is more apparent than real. It appears that all schemes are voluntary. Those who take part are those educators who realise the benefits gained from participating.

Van Staden in Van Schalkwyk and Dekker (1995:535-603) states that in the United States of America, there are agreed, relatively objective criterion for classroom observation, self-appraisal criteria and absence of grading or marking of educators' performance against a national norm and this report is shared with the educators concerned.

Claassen, in Van Schalkwyk, and Dekker (1995:447-493) argues that from 1989 to 1993, South Africa's system of education has largely been inspectorial and bureaucratic in nature. It has had a top-down, closed hierarchical and authoritarian character, which has drastically changed into the

new system with the appraisal process as the new instrument of assessing the educator's performance.

In the United Kingdom the system of appraisal is voluntary, whereas in the United States of America the system has agreed upon criterion. In the Republic of South Africa evaluation is compulsory for all educators. In most cases this type of evaluation develops the educators professionally. As mentioned earlier, the Department of Education has introduced the new developmental appraisal system, which is transparent and democratic in nature.

2.12.5 Training for the scheme

The United Kingdom's education department takes pains to train educators in appraisal interviewing techniques. Among all educators there is unanimity about the need for training and for in-service provision. There are developmental systems that imply a focus on the future. Some schools refer to the importance of target setting and the acquisition of new skills, the enhancement of already acquired skills and the attainment of targets, which require in-service provision.

In the United States of America principals are not well trained in evaluation procedures. The educators are not well versed in the criteria for evaluation or in the use of vague subject criteria, as they are not trained. In the Republic of South Africa educators are trained in appraisal criteria and Superintendents of education conduct this in-service training. There is professional development of educators by appraisers and the system of appraisal benefits the education system considerably. As in South Africa, the United Kingdom trains its educators in the appraisal process.

2.12.6 Results and features of the scheme

In the United Kingdom, appraisal has brought about tremendous change in the attitudes of educators, burgeoning skills and emerging potential. Discussions leading to more openness and a freer exchange of ideas are the characteristics that are evident among all the educators. Principals are committed to the schemes of appraisal. Appraisers are enthusiastic and are fully trained for the process and, consequently, each and every educator understands the process and is aware of his or her responsibilities.

In the United States of America there are an agreed upon objective criterion for classroom observation, support and resources are identified and self-appraisal is emphasised as opposed to the South African context where this is meagre and all reports are fully discussed with the educators. The system works well and is efficient and impartial. Nevertheless, the scheme may be open to criticism.

In the South African appraisal schemes, identified effective teaching strategies are addressing the question of how to change teaching behaviour. If at all our purpose and intent is to change the practice of those who teach, it is necessary to come to grips with subjectivity and the reasonable beliefs of educators, and to create internally verifiable knowledge, rather than imposing rules of behaviour on educators. The process of appraisal in South Africa has, because of appropriate training; been characterised by the following: failure to understand the process; interruption of classroom observation or interview; a lack of commitment from some of the educators; a lack of attention to monitoring of targets and follow-up and is too cosy a process.

Summative evaluations are destructive – they harm educators’ morale and create lasting grudges among educators. This was evident in the South African evaluation schemes previously practised in South African schools.

2.13 EDUCATORS’ CONCERNS ABOUT THE SYSTEM OF APPRAISAL IN THE UNITED STATES OF AMERICA, UNITED KINGDOM AND THE REPUBLIC OF SOUTH AFRICA

Those Having Torches (1985:32) argues that educators are necessarily antipathetic to appraisal, and have genuine fears and worries. These perceptions must be addressed in order to de-myth perceptions about educator appraisal. The appraisal process wastes a lot of teaching time as the cycle takes one to two hours per educator. In some cases there is a lack of training in appraisal skills. Above all, the cost effectiveness of such an exercise is not worth it. The fears and threats of the educators are analysed in the first questionnaire of Chapter Four in this research.

Van Staden in Van Schalkwyk and Dekker (1995:552-553) maintains that, in the United States of America, the educators are concerned as the reliability and validity of the appraisal schemes are doubtful in terms of accountability. They argue that instruments and appraisers need to be as

objective as possible and procedures should be understood and accepted as fit by all participants. Lack of reliability, which encompasses consistency in and between appraisers as well as in common standards and criteria for appraising classroom performance, is indeed a cause for considerable concern among educators. However, the educator's concerns in the Republic of South Africa more or less share the same concern as those of the United States of America. Schalkwyk and Dekker (1995:466-468) support this view, as stated by the above author, Claassen, in Van Schalkwyk and Dekker (1995).

Van Schalkwyk and Dekker (1995:2-3) argue that in the United Kingdom, educators' concerns are not so much different from those of the United States of America. This is maintained by author Goodey, in Van Schalkwyk and Dekker (1995 121-217).

The appraisal process in the United States of America is geared towards industry. Education is founded on the idea of leading the learner in such a way that the educator should be able to successfully tackle the problems and challenges of his or her practical world of experience.

2.14 LIMITATIONS OF THE APPRAISAL PROCESS IN THE REPUBLIC OF SOUTH AFRICA

The validity of an appraisal process depends on assessing the quality of teaching in relation to its definition by agreed criteria. Many educators expressed concerns about not knowing the criteria, or the use of vague or subjective criteria. Some are cynical about criteria, which they find professionally unacceptable, and others are angered by the use of rating scales and scores, which could fluctuate wildly in the hands of the evaluators.

It is argued that (see paragraph 4.6.2) some of the principals and educators are ill qualified to appraise educators on their qualifications without any inferiority complex. This is human nature. The KwaZulu-Natal Department of Education and Culture has the policy that learners must not be left without educators. At the same time we expect these educators to be appraised during teaching hours. The Department contradicts itself and this becomes a hindrance in achieving the aims and objectives of appraisal in the classroom situation.

2.15 CONCLUSION

Appraisal refers to a regular, positive and creative process by which good educators are helped to improve, while weaker educators are encouraged and strengthened. Appraisal is used as a part of wider staff development to improve the quality of education for the learners.

Appraisal has revealed that classroom observation is seen to be central to the process of appraisal as a whole. As a process, appraisal cannot and should not be designed to provide a simplified account of the appraisee's performance against a set of fixed criteria of good practice.

The self-appraisal process, classroom observation process, interview process and peer appraisal process all aim at developing the educator professionally and also at improving educators' performance in the classroom. The main problem created by the appraisal process is that it may divide educators into two groups – those who are labelled poor educators by the learners and parents and those who are labelled good educators by both the parents and the learners. Those labelled as poor educators will lose confidence in class and this may consequently affect their classroom performance.

The researcher has established (from 1994 – 1999: Empirical Study) that among those studied in this research, no country has well-established principles of appraisal. The professional leaders in the school situation are not yet certain about what appraisal really is – they are not yet clear what the main differences between appraisal, evaluation and assessment are in the school situation.

The researcher maintains that to be effective and comprehensive, programmes for the professional development of educators must start from an accurate identification of the training needs of educators, and of the education service at school, as well as at regional and national levels. This requires appraisal of the performance of individual educators. It is argued that a sound appraisal scheme makes it possible to recognise and support good practice, to identify the strengths and weaknesses of the teaching force and to devise appropriate programmes of support, particularly that needed to cope with change.

CHAPTER THREE

THE MANAGEMENT OF DEVELOPMENTAL APPRAISAL AND CHANGE AS MANAGERIAL TASKS OF THE PRINCIPAL AND APPRAISAL TEAMS

3.1 INTRODUCTION

This chapter deals with the management of developmental appraisal and the management of change in the new education structure in South African schools, with particular reference to the KwaZulu-Natal province.

The task team report of the Department of Education, South Africa (1996:16) maintains that education management development must be seen as an on-going process in which people learn, and schools adapt and adjust, within the context of commonly-held values and standards of performance. As an integral part of the education system, it is a process that seeks to harmonise current and future goals, of both the education system and of individuals in the education community. The report further argues that in the vast complexities of our education transformation, the scale of our need and the great diversity of training providers, require that we harness all our developmental capacity in practical networks and nodes of co-operation, if at all management development is to reach every classroom, every educator and every learner.

Supporting the above report, Van der Westhuizen (Ed.) *et al.* (1991:39-39) state that management, in achieving its objectives, lays the emphasis on utilising the necessary people, materials and means as effectively as possible in order to achieve certain aims. In support of Van der Westhuizen, Fourie (1998:18) argues that school management can be described as the strategic organisational and operational planning, organising, leading and controlling of the provision, staffing, evaluation, training, development, compensation and maintenance of human resources and its performance in the schools' educators and parents' objectives. Fourie (1998:17) further critically maintains that the school manager thus has to plan and organise his consultations, advice and training for line management, while leading and controlling the behaviour of those who contribute to the design and implementation.

It is therefore the purpose of education management development to build the capacity of the new system of education, beginning at school level, in order to effect transformation in terms of