CHAPTER FIVE

A SUGGESTED MODEL FOR THE MANAGEMENT OF THE NEW DEVELOPMENTAL APPRAISAL PROCESS AND CHANGE

5.1   INTRODUCTION

The purpose of this chapter is to develop a practical model for the use of staff development teams and appraisal panels in the management of appraisal and change and to adopt strategies and techniques that will be applied along with this model. The appraisal panel will be used as the best way to manage appraisal and change in the classroom situation. Educators prefer the appraisal panel because it is democratic, transparent and developmental in nature, as was mentioned in Chapter Three in this research.

In the new developmental appraisal system, the principal is no longer the only important figure. The principal and educators all play a leading role in the system. In fact, the principal and staff constitute the staff development team of the school and in turn the staff development team elects the appraisal panel. This panel consists of the appraisee, a nominated peer, a senior management person (principal or deputy), the head of department for that particular subject in which the educator is being appraised; a union representative and a person from outside the school (one who qualifies in that particular field). The writer suggests this model. Any appraisal model cannot function in isolation or as a process on its own. West-Burnham (1993:7) remarks: "the success of an appraisal scheme is subject to a wide range of variables but the fundamental pre-requisites in a management structure, which facilitates the appraisal process." The writer has therefore included vital elements in the model. These elements are relevant to the new appraisal process as there should be aims and mission statements to provide the common purpose and sense of direction, without which any management or development process is doomed to failure. A shared set of values helps to create a common vocabulary, which enhances the quality of the appraisal process and its outcomes.

There should be a clear development plan, which is fundamental to the appraisal process. This provides the context for review and ensures that target setting is directed towards agreed priorities. Therefore, the development plan translates the mission of the school into short and

medium term objectives, which the appraisal process helps to convert into targets for individual action.

There should be a job description for each individual educator to identify what is to be appraised. The performance of an individual could only be reviewed against a clear statement of the purpose, components and expected outcomes of his or her job.

The schemes of work, management processes and procedures provide the operational context for job descriptions. These indicate the detailed components of the educator's job and provide quality criteria about the standards of performance required. To be effective, these elements need to be explicit, derived from consensus decision-making and be used systematically and consistently.

The appraisal process acts as a bridge between where the school needs to be and where it currently is. Through target setting that relates to developmental needs, the prioritisation of work and deployment, the process indicates how this gap might be bridged.

Effective implementation is essential to the credibility of the appraisal process and to translate theory into practice and aspirations into action. The appraisal process requires more effective school-based in-service training. The appraisal targets should be translated into a school's in-service training strategy, so that there is a direct correlation between the analysis of needs and the meeting of those needs. The appraisal targets will also provide senior managers with the means to manage specific projects, to deploy educators to best effect and to make the most efficient and effective use of resources. The translation of school values into specific individual targets implies that monitoring and review are much simplified, as targets are written in such a way as to facilitate accurate assessment of the extent to which they have been achieved.

The principal advantages of the model above are:

- Management is driven by educational values;
- The process of appraisal is integrated into every aspect of the school;
- The reviewing of aspects are inextricably linked to development;
- School priorities are translated into individual action; and
- Consistency in management is more likely and monitoring and review are easily facilitated.

235

Every educator is a key to change in the school situation and every individual could develop and change the school appraisal system to a better deal in the whole department of education. This model may change schools in the classrooms from being non-teaching centres to active centres of learning and teaching, thus improving the quality of teaching and learning, which may lead to bright future prospects and learners who are well equipped with work skills.

In this study, the model, strategies and techniques that could be used for the use of staff development teams and appraisal panels will be discussed. These were developed by means of a literature study undertaken in Chapters Two and Three and through analysis of the outcomes of the empirical study in Chapter Four.

5.2   APPRAISAL IN THE CONTEXT OF SCHOOL MANAGEMENT

West-Burnham (1993:6-7) has rightly said, "Appraisal is not just about personal and career development, nor is it about the accountability of individuals through control procedures. At the very least, appraisal is to help the individual educator to be an effective member of the school as an organisation and to recognise that organisational effectiveness is a direct function of individual effectiveness." West-Burnham adds that, "it is also important to stress that organisational and personal development are not mutually exclusive – the enhancement of the individual can only be beneficial to the school." Consequently, "if appraisal is to be successful then it must be firmly integrated into the management structures and processes of the school. If it is not, then at worst it will become a marginal bureaucratic routine – at best mutual therapy. Integration into the management structure of the school ensures that appraisal is kept in perspective." Accordingly as a process, appraisal must map out its models, strategies and techniques right through the school system or organisation. The relevant elements in any school levels have therefore been discussed in the introduction of this chapter. Appraisal as a process in the school situation has already been placed in this chapter.

5.3   CHANGE IN EDUCATIONAL SCHOOLS

Van der Westhuizen (Ed.) *et al.* (1996:135) are of the opinion that change and renewal are two of the most important aspects of an organisation. When an organisation fails to change and develop, atrophy arises – the organisation stagnates and eventually declines. Consequently, change and renewal can be regarded as essential for the development of an organisation. Van der Westhuizen

(Ed.) *et al.* (1996:135) emphasises that this implies that the school as an organisation has to be seen as a dynamic entity. The authors add that organisational change is an integral aspect of the functioning of a school. It is argued that organisational development is one of the means by which organisational change is achieved. In line with this view, organisational development pertains to systematic and planned changes in bringing about organisational change or renewal. In this context, the management of appraisal is important, if this process is to succeed.

According to Van der Westhuizen (Ed.) *et al.* (1996:136), "change represents the struggle between what is and what is desired. Change is an unavoidable feature of human experience. Change is a phenomenon that affects all aspects of a person's life, bringing about alterations in both personal and employment spheres." Van der Westhuizen further argues that, in the context of educational management, change means "that school principals are exposed to new controls and regulations, growth, increasing competition, technological developments and changes in the workforce."

According to Kimbrough and Burkett (1990:131), as quoted by Van der Westhuizen (1996:136), change is a deliberate effort to alter the status quo by influencing or modifying the functions, structure, technology and/or purpose of an organisation. Change is a complicated process that requires thorough strategic planning in order to reach prescribed goals. Hall and Hord (1987:10) also see change as a process pursued for and by people. Van der Westhuizen and the above authors say that change has a technical and human aspect - it begins and ends with individuals acting in unison to make schools effective. That is why this research is so eager to develop the model of appraisal and change in management.

5.3.1   The aim of change

Change always aims at the improvement of educators' classroom performance. Van der Westhuizen (Ed.) *et al.* (1996:136) argue that, improvement is a systematic, sustained effort aimed at altering the process of learning and other related matters with the sole purpose of attaining educational goals. Consequently, change can be defined as a planned, systematic process. Change takes time to come to fruition, is effected by individuals (educators) and is a highly personal experience.

5.4 THE MODEL OF THE NEW APPRAISAL PROCESS AND MANAGEMENT OF CHANGE

The model to be discussed is relevant to the process of appraisal during this changing educational environment in the classroom situation. This model supports educators doing their jobs in the best possible way. The model is built on staff development foundations and incorporates features of accountability.

5.4.1 Introduction

The ACAS Appraisal and Training Working Group, as quoted by Emerson and Goddard (1997:11), saw appraisal as "a continuous and systematic process intended to help individual teachers with their professional development and career planning, and to help ensure that the in-service training and deployment of teachers matches the complementary needs of individual teachers and the schools." This quotation emphasises the main aims of this research, that appraisal improves the professional development of the educators in the classroom situation. This aim is further supported by Those Having Torches (quoted by Emerson & Goddard (1997:11) who state that, "the cornerstone of appraisal schemes is the belief that teachers wish to improve their performance in order to enhance the education of pupils." Accordingly in all professions, in all walks of life, there needs to be a constant upgrading and updating of knowledge and skills. The appraisal process forms a structure through which training needs could be identified and satisfied.

5.4.2 The features of a staff development model of appraisal

The staff development model of appraisal:

- appreciates what the educator is doing well;
- identifies areas where the educator may be able to improve;
- assists with the career development of the educator;
- integrates the school and the individual educator, identifying areas of mutual interest;
- identifies the support structures and in-service training that the educator requires in order to progress; and

238

– provides the basis for school audit and review.

5.4.2.1 Appreciation of what the educator does well

Most educators spend the better part of their working day isolated from other professionals (except where team teaching is the mode of operation). However, much theoretical discussion takes place in the staff room, in meetings and on courses. Most educators operate professionally behind closed doors, metaphorically, if not physically. From time to time fellow educators, the principal and/or subject specialists may visit them, but such situations are often artificial, with both educators and learners aware of the unnaturalness of the occasion. Surely it is the judgement of fellow professionals that educators most respect. They know that educators who have themselves worked in the classroom could best assess their performance. The praise from someone who really understands is the kind of praise that is most appreciated by other colleagues. Yet, ironically, this is the one form of feedback that has consistently divided educators. Learners' work comments, reactions are accepted, parents may praise or blame, even test scores may be used to reflect on educators' effectiveness, but fellow educators are largely silent. The most valued source of authoritative and meaningful comments on an educator's work is, therefore, unavailable. Educators need to feel that their work is appreciated by the people whom they respect – their peers. Systems to provide this do, however, not exist. The process of new development appraisal may supply this source.

5.4.2.2 Identifying areas where the educator may be able to improve

Emerson and Goddard (1997:13) state that, "Appraisal is not a substitute for effective management. Nor is it a surrogate for disciplinary action." It is argued that as soon as managers perceive a cause for concern, they should act. These concerns may arise from their own observations or from those of other staff members, learners or parents. Whatever the source, the manager should move to investigate and solve the problem as quickly as possible. It is argued that this problem may not be referred to appraisal. This may be perceived as a dereliction of duty of the manager, and a misuse of the new appraisal development system. Appraisal is more concerned with areas of performance, which are not a cause of immediate concern or action, but where improvement is nevertheless possible. These areas may be identified in different ways.

The educator may not be aware of shortcomings in a particular area, but the weaknesses may become evident during the gathering of evidence, whether this is from inside or outside the classroom.

At times the educator may be aware of a weakness in performance, but does not know how to remedy it. He or she may ask for this particular area to be a focus of appraisal in order to be able to discuss the difficulty more fully and to obtain help and guidance. In some cases, the educator might be aware of a problem but believe that its resolution lies outside his or her control. This is perceived as being caused by external factors such as a lack of resources or managerial deficiencies. Appraisal may provide the arena for a proper analysis of the problem and for reference to senior management, if the source of the problem lies outside the educators' own discretion. In some cases, the shortcomings may be caused by the personal difficulties of the educators (stress or overwork at school, or a personal problem that is impinging on work).

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

5.4.2.3   *Assisting in the career development of the educator*

The new appraisal development process provides the opportunity for self-analysis by the educators being appraised. It gives them the opportunity to identify their own strengths and weaknesses and to test these against the opinions of an independent observer. Emerson and Goddard (1997:14) are of the opinion that "a critical friend is often able to act as a mirror, reflecting back qualities and aptitudes of which the educator is only dimly aware."

Most educators are happy with their current role in the classroom. They believe that promotion within a school may mean promotion out of the classroom, where they perceive their main job (vocation) to lie. They may therefore possibly be antagonistic to any element of appraisal that focuses on career development. It is argued that they may see this as an attempt to put them on a treadmill, onwards and upwards, which they have explicitly rejected. In the current educational system, career development should not be viewed so narrowly. There are many different openings in our schools, some of which are still very much classroom or learner-based. New challenges offer a fresh stimulus to educators, preventing stagnation and giving them broader experience that enables them to view their main work differently.

Appraisal is an occasion where the interests of the educators could be explored and matched against opportunities and challenges, which may be arise elsewhere in the school.

5.4.2.4 Integrating the school and the individual educator, and identifying areas of mutual interest

The appraisal scheme may start with a whole school review or evaluation. The school will spend time in defining and reflecting on its current practice. Thereafter discussion could take place as to whether this practice actually mirrors educator's wishes or intentions. This provides the agreed context within which appraisal could take place. Each educator would have had a part in formulating the overall framework. There is little doubt, however, that the appraisal procedure itself will reflect on and illuminate processes within the school.

The staff development appraisal provides an opportunity for school development and change. It serves as a means of matching school and individual interests. Communication, both in terms of what was going on and of feeding back the staff's perceptions to appraisal panels, is seen as an important aim. The monitoring progress in appraisal and curricular and departmental reviews are also part and parcel in this process of appraisal, as were other management processes, such as target-setting and the writing of job descriptions, etc. (Refer to Chapter Two in this research, as this developmental model has been developed from Chapters Two and Three).

5.4.2.5 The identification of the support and in-service training which the educator requires in order to progress and the provision of the basis for school audit and review

For individual educators it is argued that appraisal provides an opportunity to reflect on how their own skills and qualities could be moulded (in-service training) and adapted to fit the school's overall agreed purposes. It gives them an opportunity to match their own objectives with those of the school, to explore differences, and to seek ways in which the two sets of purposes could be aligned. At the same time, as mentioned before in this chapter, it provides and occasion for educators to bring out and offer those skills, talents and ambitions that they feel the school is currently failing to use. The new appraisal development process could provide scope for individual educators to integrate themselves more closely with the schools. From the school's point of view, appraisal could form a very valuable strand in its own self-evaluation. Appraisal will elicit information and judgement from a large number of staff members. Many of these

judgements will now reflect on the school, its purpose, structures, its appraisal panel and its allocation of resources. It will indicate where educators feel unable to work to their own full potential to satisfy the demands of their job descriptions, not through their own inadequacies, but through failure of the school's management of appraisal and change and other support structures. The appraisal process could therefore provide information where aims and objectives might benefit from revision, where management structures might need overhauling, how the staff development policy could be revised and how staff might be assisted to do their own jobs better. It is further argued that, properly used, the information arising from appraisal could provide invaluable feedback and assist the school to unite and to move forward positively. These benefits will arise only where the school is managed in an open and participatory manner. The staff development team must be responsive where the appraisal panel indicates the need for change, whether this is in the management style, resources or approaches to the curriculum, or to the care of learners in improving the quality of learning and teaching in the school's changing environment.

5.5   MANAGEMENT OF CHANGE IN SCHOOLS

5.5.1   Introduction

Kimbrough and Burkett (1990:131) as quoted by Van der Westhuizen (1996:141), distinguish two kinds of organisational change. These are *unplanned change* and *planned change*. They state that planned change implies a deliberate alteration in the status quo. Van der Westhuizen adds that planned change is preferable to unplanned change, as change occurs according to specified goals and objectives in the new development appraisal process. Whether planned or unplanned, change tends to vary in forms. The author Taylor (1987:178), as quoted by Van der Westhuizen (Ed.) *et al.* (1996:141), concurs that there is technological change in education, which is caused by results of changes and improvements in technology. *Technocratic* change, is generated by changes in the relationships between learners and parents and between educators and learners, such as the reformulation of educators' tasks and a change in philosophy, i.e. a new perception that reforms a programme or policy. *Interactive* change occurs when educators or a school community decide on change to improve matters in their school. Changes also arise from the classroom, programmes and structures of a school and in the educational system itself. *Competitive* change is brought about by a desire to be better than other schools. For example the introduction of improved training and coaching techniques in sports teams.

According to Herman and Herman (1994:3), as quoted by Van der Westhuizen (1996:142), there are three types of organisational change, including *optional* change. This change comes from the educators themselves, rather than from the education department or the appraisal panel. *Incremental* change comes about from the initiative of the stakeholders themselves. They agree that minor changes will further improve current operations. Transformation has been developed by the researcher from literature study – it has not been adopted from Herman and Herman (1994:3), as quoted by Van der Westhuizen (Ed.) *et al*. (1996:142). This is a national change that should be introduced when the school is performing poorly, or when external or internal forces insist on radical changes in school instruction or support services. It is dramatic in form and rapid in impact and may ultimately radically change the entire culture of the school. As a result of various factors necessitating change and the degree of acceptance of change by the affected school governing body, it is probable that this type of change will be unique with its own form and intensity. From this it can be concluded that there are certain forces that effect change in the new education system.

5.5.2   Forces that bring about change

Organisational change deals with the interaction between the various forces that bring about change. The changes within an organisation should not be seen as static, but as a dynamic balance of opposing forces that are active within an organisation. It is argued that any existing situation within a school is in equilibrium, that is, the result of driving forces and resisting forces working against each other. Any situation of change contains driving forces that tend to alter existing circumstances and forces of resistance then tend to oppose the change. These forces can exist in the internal or adjacent environment of the school or in the action of the agent of change.

The staff development team, the appraisal panel (including the principal, deputy principal and head of department) have an active role in initiating change and in defusing resistance. These teams should assess the potential for change within the school and should bring about a realignment of the forces of change so that progress is made in the direction of the desired change.

Van der Westhuizen (Ed.) *et al*. (1996:143) and Lunenburg and Ornstein, in Van der Westhuizen (Ed.) *et al*. (1991:219-220) maintain that there are three ways in which the motion of the forces of

change could be altered, i.e. to increase these forces, to reduce the resisting forces, or to create new forces. They point out that increasing the forces of change without reducing resistance to them will result in tension and conflict within the school. Reducing the resisting forces will result in a reduction of tension and conflict.

Figure 5.5.2 illustrates the working of various forces. It has been adapted from Van der Westhuizen (Ed.) *et al.* (1996:143-144) and Lunenburg and Ornstein in Van der Westhuizen (Ed.) *et al.* 1991:219-220) and is common in the South African situation.
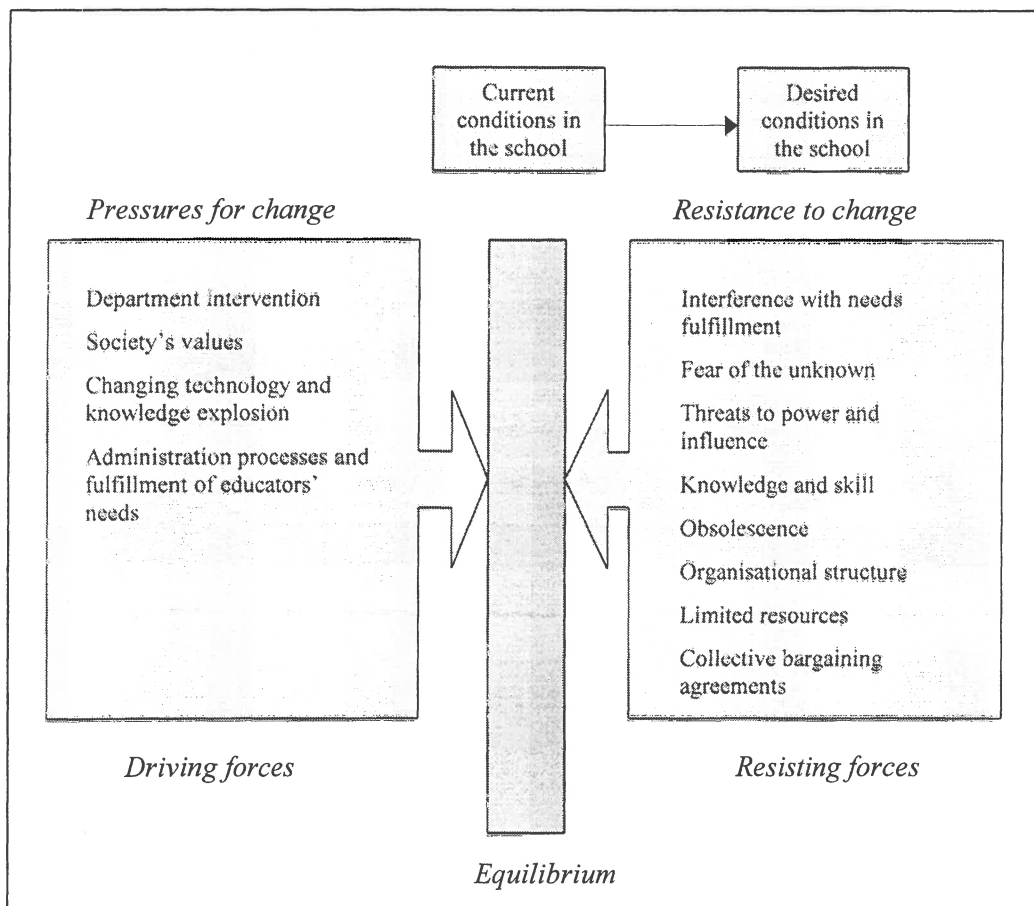
Figure 5.5.2   Forces for change and resistance to change

These are the forces that the appraisal panel teams have to deal with daily in the school situation. Change occurs as soon as an imbalance exists between these forces. It is argued that as soon as the desired changes have occurred, the system returns to equilibrium. When the appraisal panel teams become aware of the pressures to change, for instance when there is pressure from the external environment of the school on its internal environment, they should initiate the process of change. This process occurs in several steps.

Van der Westhuizen (Ed.) *et al.* (1996:144 – 145) maintain that three steps have to be followed. These are *unfreezing, movement* and *re-freezing*.

Unfreezing refers to the replacement of old ideas and practices by new ones within a school. Unfreezing recognises that existing practices in a school have to be altered. By implication, this means that the existing forces that give a school its character have to be changed. In order to ascertain whether these are deficiencies in the existing practices in terms of the value system, attitudes and dispositions, information would have to be gathered to rectify any deficiencies. The occurrence of crises in a school is an indication that there are problems and that unfreezing is necessary for change to take place. For example, an increase in failure rates, sharply declining enrolments, and demographic changes in the wider school community, educators' dissatisfaction, especially among management, and strikes by staff members. Once unfreezing has occurred, the school appraisal panel may commence with movement, which is the second step.

Movement means that within a school, a process is set in motion that changes the established practices in favour of new procedures and behaviours. In this phase, the new ideas or practices that are to be implemented are subjected to scrutiny, developed and then applied in practice. This step involves the development of new norms, values, attitudes and behaviours through identification or changes in the structure. These changes may occur on a very minor scale and involve few people. An example of this may be a change in the school timetable. What is more important than the number of learners affected by the change is the fact that the action of several forces enables movement and change to occur. As soon as the forces of change have had sufficient impact to bring about the desired changes, the next step, re-freezing, could be commenced.

By re-freezing, all that was learned during the previous steps of unfreezing and movement is now realised in practice. The changes have established into a new, quasi-equilibrium and the new forces are in place. These forces would ensure that new actions and behaviours are reasonably immune to further immediate changes.

Van der Westhuizen (Ed.) *et al.* (1996:145) view change as a process that must be managed as such. They further choose to use the term *phase* rather than step, as they maintain that a new step

could begin while the previous one is still in progress (see the above paragraphs on unfreezing, movement and re-freezing).

5.6   THE MANAGEMENT OF CHANGE

Hall, (1984:49) and Herman and Herman (1994:2), as quoted by Van der Westhuizen (Ed.) *et al.* (1996:145) maintain that, "an educational leader must lead the change – not merely be subjected to it."

5.6.1   Prerequisites for the effective management of change

A prerequisite for the successful management and implementation of transformational change is that there should be a commitment to the change by the leaders and by a critical mass among all the stakeholders both in and outside the school. There should be a clear and desirable vision of what the school will be like once the change is complete. Furthermore, there should exist clear-cut strategic goals to be reached as the organisation undergoes the change process. Milestones should be established to guide the path of the change process.

Detailed tactical plans should be decided upon and be made available (in language that is understandable to everyone) who is to participate in the change process.

Training should be provided to those individuals who are to initiate or manage the change and who do not possess the requisite knowledge or skills to implement change in the school. For example, all the educators must be trained in the new appraisal development process.

Adequate time and human resources must be provided to enhance the probability of the successful change process.

Lastly, a high quality of comprehensive and frequent two-way communication should take place throughout the entire change process.

If changes are required during the initiation and implementation stages of change, it is argued that adjustment to the factual or strategic plans should be made during the formative period of the change process.

5.6.2   Skills needed by the staff development team, appraisal panel team and all educators to manage change

Vision and creativity are prerequisites for the systematic planning in solving the new problems caused by change.

The school appraisal panel teams should have an understanding of how groups function and be familiar with adult education and the presenting of workshops. The team members should all have broad teaching experience and a sound knowledge of other disciplines. The teams should also have skills in enhancing communication, trust and self-confidence. Team members should have a willingness to confront people when necessary, without generating hostility among stakeholders. And lastly, the teams should have a sound understanding of how to handle conflict and stress.

It is vital that the appraisal teams should all have the ability to identify their own and others' strengths and weaknesses.

As leaders, the team members should have skills in planning for action and implementation of the change process in their schools. Change should not under any circumstances be piled one on top of another, but each first assimilated, as mentioned above.

5.6.2.1   Abilities needed by the new development appraisal teams to manage change

Morris and Everard (1990:242-246) argue that the team having the ability to create and manage the future in the way that it wants it to be, is what differentiates the good team from the bad one. The teams should also be able to get consensus decisions. That is the observation of people who are more successful than others at managing complex organisations in which major changes have to be implemented, and it shows that it tends to have a distinctive mixture of knowledge, skill, personal attitude and value, and the capacity to orchestrate these as it makes a host of personal decisions that lie at the heart of organisational management. By the very nature of their competence as educators, appraisal teams are well endowed with some of the qualities that are required, more so perhaps, than their counterparts in industry. If any, few educators in schools are such paragons as to possess all the requisite qualities in full measure. An understanding of the kind of person who is good at handling change is helpful both in selecting senior staff and educational project leaders and in assessing what qualities we need to develop.

Successful appraisal panel teams will make change personally rewarding for educators wherever possible. They also plan carefully and well in advance, consulting and counselling and training and teaching their staff.

5.7 MANAGEMENT OF THE CHANGE PROCESS

There are principles that underline the management for change in order to increase school effectiveness. These are:

5.7.1 School-based

All improvement programmes should be school-based, school-oriented and be focused on the entire school, as improvement aimed only at fractions of the school will risk failure because of the continuing effects of the non-improved, unchanged portions of the school.

5.7.2 Outside support

School change needs outside support to resource it, whether this is consulting assistance or the more direct provision of advice and assistance.

5.7.3 Informal relationships

Change must involve both the formal and informal cultural world of the relationships, expectations, feelings, etc. of staff members. These may be partially independent of the formal structure of a school. To change the formal world without also the informal world would lower the prospects in increased effectiveness.

5.7.4 Appraisal teams

Change in a school comes much more satisfactorily if it is based upon school-based reviews or school appraisal, as the solving of any internal school problems are directly related to their identification, and also because the dissatisfaction with certain aspects of school organisations revealed by the review process will be motivation for the change process.

5.7.5 Change in teaching methods

School change at an organisational level comes much more satisfactorily if it is linked in some way to curriculum change and to teaching methods, as the latter constitutes aspects of their jobs in which teachers are most involved and committed to. Organisational change must therefore be tied to teachers' focal concerns.

5.7.6 Behavioural change

(Refer to Chapter Three, where the concept of behavioural change is fully elaborated, paragraph 3.1). Change should be behaviourally oriented, since changes in the behaviour of staff are more likely to generate attitudinal changes among learners and other teachers on which the successful long-term reinforcement of the change depends. The change that is oriented only towards change of attitude is likely to vanish quickly because of the resulting lack of reinforcement.

5.7.7 Long-term process

The change process should be long-term, involving a *review – improvement – evaluation – further improvement* cycle of between three to probably five years.

5.7.8 Consultative management

The change process needs effective management. This should not be in a top-down manner, since it is important that teachers themselves should own the change process. In short, change attempts at school level must have both internal ownership and a degree of extra-group direction at the same time.

5.7.9 Evaluation and feedback

Change must be evaluated in terms of its impact upon the organisation of the school and its effects upon the outcomes of the school involved. This is essential for feedback to the participants in the change programme in order to generate reinforcement of the change programme if it is effective and to show areas where new or revised change attempts are needed.

5.7.10   Interpersonal relationships

The change process will need careful handling at the levels of interpersonal relations and group dynamics if it is to be successful in changing school practices. Ineffective institutions are often characterised by defective relationships and may need group work to generate the kind of relationships that are necessary between colleagues who wish to change their practices and their organisation. Any change process must therefore repair damaged psyches and poor inter-group levels of communication, as well as be concerned with the organisation of the school.

5.8   MANAGING RESISTANCE TO CHANGE

Organisational change comes in all shapes and sizes. The change may be in the form of new and unfamiliar equipment (such as personal computers), reorganising a new curriculum plan, or perhaps the implementation of a new performance appraisal programme. It could also be a new political order. The initial change causes ripples of change to radiate in all directions, often with unpredictable consequences. It is usually common that those people, whose jobs are directly affected, resist change in an organisation. Both rational and irrational resistance to change can stifle progress. Management thus faces the challenge of predicting and neutralising resistance to change.

5.8.1   Prerequisites

As a prerequisite to managing change, the staff development team in a school situation should strive to build an organisation with distinctive approaches to purpose, structure, process, people, realism, and the environment.

5.8.2   Purpose

Effective organisations are purposeful and goal-directed. Their managers, departments and the individual members work towards explicit goals and have a clear sense of direction. Accordingly, the school without explicit aims and a whole-school policy would not meet the criterion of effectiveness.

5.8.3   Structure

Structure is determined by work requirements, not by authority, power, or conformity. Form follows function. Different departments may be differently organised, according to the nature of their work. Procedures may not be standardised – people can do it their own way if it works. In a particular school some learning periods may thus be 45 minutes.

5.8.4   Process

Decisions are made near to where the requisite information is, rather than be referred up the hierarchy. Authority is delegated accordingly. Communication is frank, open and relatively undistorted. Ideas are considered on their intrinsic merits, rather than according to their source in the hierarchy. Every manager manages conflict constructively, using problem-solving methods.

5.8.5   People

Each individual's identity, integrity and freedom are respected, and as far as possible, work is organised in consideration thereof. Everyone's work is valued (e.g. including that of the non-teaching staff in a school). People's interdependence is stressed. Individuals evaluate their performance by comparing themselves to others. They review one another's work and celebrate achievements. Autonomy is a product of discipline and discipline provides the framework. It gives people confidence to experiment, for instance, stemming from stable expectations about what really counts. Thus a set of shared values and rules about discipline, details and execution can provide the framework in which practical autonomy routinely takes place (Peters & Waterman, 1982:322).

5.8.6   Realism

People deal with things as they are, with a minimum of game playing. An action research mode of management predominates as the organisation has built-in feedback mechanisms to measure its achievement. It then uses this valid and factual information to plan improvement.

5.8.7   Environment

The organisation is seen as an open system embedded in a complex environment with which it constantly interacts. The changing demands of the environment are regularly tracked, and an appropriate response made. Morris and Everard (1990:239-240) state that "a school would have its eyes and ears open, alertly sensing what is going on in the community. In turn, the environment would inject a sense of reality and proportion into what might otherwise be a claustrophobic system."

It should be noted that all school principals that change must not simply aggravate educators' problems in any school situation. In this country plans for implementing change fail in some cases because some managers tend to be too rational. They develop in their minds a clear, coherent vision of where they want to be, and assume that all they have to do is to spell out the logic to the world in words of one syllable, and this will immediately motivate everyone to follow the lead. Morris and Everard (1990:234-235) contend that "the more vivid the mental picture of their goal, and the more conviction they have that it is the right goal, the more likely they are to stir up opposition and the less successful they are likely to be in managing a process of change."

Some reformers operate at a different level of thought from that of the people to be affected by the change and, in addition, they ascribe the problems that necessitate change to the shortcomings of the individuals. Not only is the personalisation of the problem likely to lead to defensiveness, it is often a wrong diagnosis of the true cause. Most organisational defects are attributable to methods and systems of managing the resistance to change.

5.8.8   Strategies to manage resistance to change

Van der Westhuizen (Ed.) *et al.* (1996:189-191), Lemmer and Squelch (1994:136-137), Burkett *et al.* (1990:147) and Trethowan (1983:53, 127) concur that, resistance to change may be curbed by using the following strategies:

5.8.8.1 Education and communication

This is a common method of reducing resistance to change by informing and educating the educators involved as early as possible about the necessity for and logic of the change. This method may involve individual and group discussions, memoranda and reports. By discussing the reasons for change and listening to understand the needs and viewpoints of those involved, will enable both the appraisal teams and educators to understand why the change is necessary. This method is necessary when resistance to change is due to insufficient information and results in prejudice, when educators are naturally conservative and offer resistance, and when the assistance of the educators who offer resistance is needed for implementation of the change. The method depends on mutual trust between the appraisal panel teams and educators who are resisting the change. It demands time and effort, especially when many educators are involved.

5.8.8.2 Participation and involvement

Educators should be involved in the change as soon as possible so that they accept responsibility for it. Educators will not resist to change when they have shared in the decision-making and therefore also the responsibility for it. The method may be used when the appraisal teams, staff development teams, etc. do not have all the information necessary to bring about the change, and the staff members have sufficient power to disrupt the plan or change. Its has the disadvantages that it is a possible waste of time and that poor solutions will be provided for problems.

5.8.8.3 Facilitation and support

As agents of change, the staff development teams, appraisal panel teams and educators may apply a series of support techniques to diminish resistance to change. For example, the provision of re-educational and emotional support programmes, etc. This method could be used when the tension level of those involved is high, or when staff members experience adjustment problems and offer resistance. Its disadvantage is that it is time-consuming and expensive, success is not guaranteed and staff development teams must receive training in the relevant skills to provide this support.

5.8.8.4   Force

This comprises coercion of staff members by the staff development teams to adapt to the change by means of threats such as job loss, the withholding of promotions, etc. This does not happen often these days and is an outdated method. It is a judgmental method of appraisal, which is mostly discouraged in our school systems.

5.8.8.5   Persuasion and influence

The use of persuasion and influence is recommended when there is urgent need of change. The method could be used constructively when the majority of the educators accept the envisaged change and only a few educators offer resistance. Speedy results could be obtained with far less resistance than in the case of coercion. It also takes a great deal of time to persuade and convince a group or groups of educators that change is necessary.

5.8.8.6   Manipulation and co-optation

Manipulation and co-optation means the isolation of the educators who offer resistance to change. This could be done by withholding or distorting information so that it appears more acceptable, or by artificially controlling events. Co-optation is both manipulation and participation. By co-optation, the leaders of the team could identify groups that offer resistance and those who play a key role in the planning or implementation of the envisaged change. The ethical aspects of this method could be a stumbling block to the staff development teams, which have high regard for values such as honesty, sincerity, genuineness and spontaneity. This method is used as a last resort only. It is inexpensive and is a quick solution to problems of resistance. It implies an unethical action in which educators are disadvantaged or manipulated. Those involved may be aware of the fact that they have been misled and this could seriously affect the team's credibility.

5.8.8.7   Negotiation and agreement

The staff development teams may exchange something of value for lessening resistance to change. The method comprises of negotiation with a view to reaching an agreement with educators' unions, such as an increase in pension or more favourable working conditions. The

method could be applied when educators with a high degree of resistance limit growth and development. It breaks down a high level of resistance with relative ease and rapidity. This method could result in high costs and educators may be made aware of negotiating skills, which could delay finding a solution to the problem. It could also be time consuming to reach agreement by means of negotiation.

The common mistake that staff development teams make in managing resistance to change is by using only one specific method, irrespective of the situation. Depending on the situation, the best approach would be for the school staff development teams to make use of more than one of the previously mentioned methods in various combinations in order to deal effectively with resistance to change. As it appears that there are specific prerequisites to be complied with, and the staff development teams must be aware of how to manage resistance to change effectively, the choice of the strategy and methods used to manage change are of the utmost importance.

Table 5.8.8.7   This table could serve as a brief model for managing resistance to change. Adapted from Van der Westhuizen (1996:191-192)

Management phase	Management variables
PHASE 1 Determine the necessity for and the readiness of the school to change.	Consider the organisation's culture, climate and previous endeavour to change.
PHASE 2 Identify the source of the resistance to change.	Sources can be individuals or groups.
PHASE 3 Determine the nature of the resistance to change.	The resistance could be passive, active or aggressive.
PHASE 4 Diagnose the reasons for the resistance to change environment.	Reasons could be found in the individual or school system.
PHASE 5 Select, develop and implement specific strategies and methods directed at the source to manage change.	Consider the strategic continuum. Methods include participation, involvement, co-option, manipulation and force.
PHASE 6 Evaluate the success of the management of resistance to change.	Successful: continue. Unsuccessful: return to Phase 1.

The staff development teams must analyse the school in terms of the present situation, problems and the forces that could be responsible for the problems, the importance and urgency of the problems and the type of change to be made.

Furthermore, the above teams must identify and analyse the factors that may play a role in the envisaged change. The focus should fall on questions such as:

- Who is likely to offer resistance to change?
- Why would there be resistance?
- How intense is the resistance likely to be?
- Who has the information essential for planning the change?
- Whose co-operation is needed for implementing the change? and
- What is the position of the school development team in respect of authority, trust and other aspects affecting interaction?

Staff development teams must decide on strategies based on the preceding analysis and the tempo of the change and consider the amount of planning, degree of involvement of other individuals and methods to be utilised to manage the various educators and groups.

They must monitor the change process and evaluate the success of managing resistance. It is also argued that although the strategy and methods are painstakingly selected, there could still be unforeseen circumstances (resistance) during the implementation of the change that could only be dealt with by means of careful monitoring and management.

5.9 REASONS THAT GIVE RISE TO RESISTANCE TO CHANGE

Change could be a painful experience, but the outcomes could be refreshing and rejuvenating for the educator as well as for the learner and the school as a whole (Van der Westhuizen (Ed.) *et al.* 1996:176-177). This is why resistance to change is actually an integral part of the whole process of change in this model.

The reasons that give rise to resistance to change are many. Only those that are relevant to the situations in our schools will be discussed in this model. Van der Westhuizen (Ed.) *et al.*

(1996:177) and others concur with these reasons, which have been adopted from Van der Westhuizen (1996:177-179)

5.9.1   Loss of the familiar and reliable practices

As soon as deviation from the familiar situation occurs or existing practices are discontinued, a feeling of insecurity is experienced, which could give rise to resistance to change.

5.9.2   The loss of personal choice and values

Educators usually protect their own interests because, in essence, man is a self-centred being.

5.9.3   The possible loss of authority

Change could affect an educator's existing position of authority. It is argued that an unwillingness to surrender the status quo is the manifestation of an educator's fear of losing his or her existing status and prestige.

5.9.4   Not understanding the reasons for change

In most cases, insufficient information is often the cause of not being able to see or hear any explanation for change or rather any significance of change. If reasons for change are not conveyed timeously and are not clarified, educators will tend to maintain the status quo.

5.9.5   Meaningless change

If the changes are not meaningful to the people involved, they are not considered necessary.

5.9.6   Fear of change

It is assumed that educators have a limited ability to change, because they feel threatened. Some educators may feel that they have developed a stake in the status quo and then view change as a motion of no confidence in their work.

5.9.7 Competition

It is common knowledge that educators are usually unwilling to accept another educator's ideas in place of their own.

5.9.8 A low tolerance for change

Educators do understand the necessity for change and are emotionally unequipped to assimilate or implement it.

5.9.9 Various perceptions in respect of change

Educators do argue that their work is not good enough and that their promotions or posts could be in jeopardy. This is prevalent because of retrenchment .in these changing conditions of service in South Africa.

5.9.10 Non-involvement

Educators are never involved in change because this change takes place in the classroom situation, not in the planning of the change. This planning rests with the national department of education. All the stakeholders should be involved in the planning and implementation of change.

5.9.11 Pressure

Too much work pressure is usually associated with change, as new documentation and regulations must be compiled.

5.9.12 Habit and dependence

The status quo is often good only because educators have become accustomed to it and feel dependent on the familiar. This is why an educator tends to act the way he or she has always acted instead of changing or easily accepting change.

5.9.13   Inadequate feedback

The lack of effective evaluation methods makes it difficult to determine the relationship between the real and the set objectives of change.

5.9.14   Lack of skill

Educators often offer resistance to change due to the nature of the change, rather than the lack of the necessary skills to handle both resistance and change.

5.9.15   Infrastructural support and communication

As soon as the educator lacks formal support for the implementation of change, resistance could be expected. Resistance would also be the normal reaction to change if the necessary communication channels and means are blocked, insufficient, or one-way.

In the majority of cases, change demands a behavioural change from the use of the chalkboard to the overhead projector and this could result in resistance to change. It is maintained that an educator is essentially a democratic being and that any change that is initiated where he or she is merely the one who implements the change, would be negatively experienced. The process of appraisal system is democratic. There is thus great similarity between the concept, or rather the process of appraisal and the process of change, in terms of the management thereof in the classroom situation of South African schools.

5.10   TYPES OF REACTION OR PHASES OF RESISTANCE TO CHANGE

Van der Westhuizen (Ed.) et al. (1996:181), Lemmer and Squelch (1994:136-137) and Morris and Everard (1990:6) and Report: Department of Education (1996:45) all argue that resistance is an expected reaction to change. Van der Westhuizen maintains that the phase of resistance or reaction could vary from total aversion to a prediction that the change will not work. Van der Westhuizen also states that research has shown that individuals react to change in various ways and pass through different phases.

This research has adopted the following phases or reactions of resistance to change because they are evident in the educators' reactions to change in the classroom situation. They are adopted from Van der Westhuizen (Ed.) *et al*. (1996:181-182).

5.10.1 Phase one: *Shock*

An individual's first and natural reaction to change is rejection of new ideas or change, dismay, negation or refusal and an intense feeling of interference.

5.10.2 Phase two: *Counter-reaction*

This may be shown in many ways. There could be active demonstration or immediate rejection of change. There could also be a passive reaction, such as withdrawal, retraction or a martyred attitude that is all part of an individual's natural defence mechanism. A subsequent reaction could be avoidance of the change. There may be a perceptible difference between the individual's verbal expressions and actions. In this case, the last counter reaction could be escapism - the change is ignored and a feeling of unreality sets in, which makes change appear unnecessary.

5.10.3 Phase three: *Grouping*

Individuals form groups, those in favour and those not in favour of the change. The opponents try to recruit support for their viewpoints by discussing their negative feelings and reasons with one another to discredit the supporters of change, placing them in an unfavourable position in this manner. In this phase it is noted that the importance and place of change is collectively explained away, while a pose of agreement is maintained.

5.10.4 Phase four: *Anxiety*

There is anxiety that change is brought about, irrespective of people's reactions. This is why attention is either deflected from the problem, or individuals are identified and accused of having caused the anxiety. The inability to accept the problem is projected onto someone else and he or she is blamed for the change of the status quo. A safe place is then created to defend the status quo and to provide sufficient time to become accustomed to the change process.

5.10.5   Phase five: *Rationalisation*

Rejection of change occurs because uncertainties about the innovation are suppressed and are not properly dealt with. There are frank discussions and the opportunity to ask questions, express opinions and identify expected problems, which usually take place during this phase. The argument is that there is a gradual realisation that change is irreversible and necessary. Those concerned try to understand what the change is all about. During this phase there must be sufficient time for them to change their thoughts and attitudes.

5.10.6   Phase six: *Acceptance*

In view of the new systems, procedures and practices seldom run smoothly when they are implemented for the first time and there is always a phase of assimilation and adjustment. New situations are tested and frustration could occur if success is not achieved when a new system is implemented. It is important at this stage for the educational supervisor to provide the necessary guidelines or training, but it is equally important for him or her to remain in the background so that the staff can learn by their own efforts. Finally, the support for the change slowly starts to develop.

5.10.7   Phase seven: *Internalisation*

The dimension of the change is now known. The new relations, procedures and practices have already been tested. In this way insight is gained of the new and changed working situation in the classroom. The internalisation of the change is a cognitive process where the new actions of the staff become the norm in the school.

5.11   THE VALUE OF RESISTANCE TO CHANGE

Resistance to change could make a positive contribution to the management of resistance to change. That is why it is desirable and even necessary in the work situation.

Resistance to change points to a need for more information on the nature, aim and value of the change, thus leading to better communication between the Department of Education and the staff

development teams in schools. Resistance to change may identify specific problem areas that lead to better planning of the change and better implementation of the change process.

Any resistance to the change process could also give an indication of how intensely educators experience resistance to change in their teaching career in schools.

5.12 THE MANAGEMENT TASK OF THE STAFF DEVELOPMENT TEAMS, APPRAISAL PANEL TEAMS AND EDUCATORS AS CHANGE AGENTS

Change is managed in accordance with the phases above. Planning is therefore one of the key factors in the success rate of the implementation and acceptance of change. It goes without saying that the staff development teams, appraisal panel teams and all educators in the schools must give attention to how they intend to manage change as a process, how they evaluate the effect of the changes and change strategies, and how they persuade the governing bodies and the parent community to accept the changes and communicate the aims of the changes to the school communities.

5.13 WHY IS THE MODEL OF MANAGEMENT OF APPRAISAL AND CHANGE RECOMMENDED?

The model and techniques in this study are recommended because of the information obtained from the literature study in Chapters Two and Three and the empirical findings in Chapter Four. In paragraph 2.7.13, the literature study revealed that the concept of management of appraisal and change demands that all school levels – educators, clerks, typists, cleaners, security staff and governing bodies must be appraised and their co-operation is vital. Staff appraisal should form an integral part of the school programme. To be worthy, all school staff members should be appraised to close the gap among the staff working in the same school. They must also contribute in the process of change in their school. Paragraph 2.7.12 (Chapter Two) also supports the above viewpoint. Table 5.8.8.7 in this chapter further supports the above view in that the staff development teams must analyse the school in terms of the present situation, problems and forces that could be responsible for the problems, and the type of change to be made. The major role-players are the staff development teams, appraisal panel teams and the educators as a whole. It is not a one-man-show (the principal). Table 4.2.3 (in Chapter Four) shows that the relevant stakeholders must be involved in appraisal management and change. The effective management

of change is a necessity in order to increase school effectiveness. Where programmes should be school-based and enjoy outside support, there should be some change in teaching methods, etc. All these must be delivered by staff development teams, appraisal panel teams and educators' committees.

There is a close correlation between the findings of the literature study and the empirical study. The findings of previous research projects have an influence on this model because of their relatedness to the findings of this study. For example, the main purpose of all the previous studies was professional development, not judgmental evaluation. (See Chapters Two and Three with special reference to Munro (1995:22) and research that was conducted in KwaZulu-Natal in 1995).

The above statement (Evaluation of the model of appraisal and change) is confirmed by paragraph 5.15, which indicates that this model identifies areas where the educator may be able to improve. Furthermore, this model developed transformational change, i.e. rational change, which needs to be introduced when the school is performing poorly and that may radically change the entire culture of the school.

5.14   VIABILITY OF THE MODEL OF THE MANAGEMENT OF APPRAISAL AND CHANGE

The viability of the model will be tested after it has been implemented. The effectiveness of strategies such as staff development teams and new development appraisal panels, are recommended along with this model. The strategies also need to be implemented in order to prove their viability in the school situation. Parents are not involved in the appraisal of the new development system in schools, as this is not viable. It is recommended that policy makers should look into this matter. Parents should not be excluded in this model, as they are the backbones of the learners' education. Education should be based on the aims, beliefs and ideas recommended by the parents. Although most of the parents in rural areas are illiterate, there are enlightened ones, which could help or help others. Educated parents therefore should be trained in the process of appraisal and the change process and be involved in this model. Involvement of parents will not create problems, as parents are involved in the governance of all schools.

Learners are not involved in the appraisal system but they are involved in school governance. Learners are, however, still immature in assessing standards in education at the primary and secondary school levels.

5.15   EVALUATION OF THE MODEL OF APPRAISAL AND CHANGE

The model meets the requirements of an effective model as it is based on literature research as well as on the empirical research done in this study.

This model aims at the improvement of educators' classroom performance, with the sole purpose of attaining educational goals.

The model identifies areas where the educator may be able to improve. In all, appraisal provides an opportunity to examine the problem dispassionately, to identify causes and to seek solutions.

This model has developed transformational change, which is a rational change, and needs to be introduced when the school is performing poorly. It may radically change the entire culture of the school.

This model has highlighted that change must involve both the formal and informal cultural world of the relationships, expectations, etc. of staff members that may be partially independent on the formal structure of a school. To change the formal world without also changing the informal world lowers the prospects and increases ineffectiveness (see paragraph 5.7.3).

The model involves all educators in the change process, so that they accept responsibility for it. Educators will not resist change when they have shared in the decision-making process and therefore share in the responsibility for the change (see paragraph 5.8.8.2).

In terms of the fear of change, some educators may have limited ability to change, as they feel threatened. They may also feel that they have developed a stake in the status quo and then view change as a motion of no confidence in their work (paragraph 5.9.6). This fear of change was also analysed by Monareng (1998:90-93).

This model has revealed that change is managed in accordance with its phases. Planning is therefore one of the key factors in the success rate of the implementation and acceptance of change.

The writer cannot say at this time that the model is effective as it has not been implemented and evaluated in KwaZulu-Natal province schools.

5.16   SUMMARY

In this chapter, strategies and techniques for managing appraisal and resistance to change are discussed. This was done because the majority of the educators, who are mostly affected by the management of the appraisal process and change process, are threatened. A model was developed and explanations were fully given. The strategies, such as staff development teams, appraisal panel teams and educators were tabled and discussed. The reasons why the model was recommended for the management of appraisal and change process were also revealed. The staff development teams and appraisal panel teams should have a correct and effective way of managing change, particularly as South African education is in a process of change. The viability of the model in the management of appraisal and the change process was discussed. This is a viable model although some aspects of it may not be possible at this stage in South African schools, particularly in classroom situation of KwaZulu-Natal.

During the construction of this model, the model not only motivated educators, but also changed their attitudes toward research. In some research groups, i.e. in questionnaires one, two, three and four, the educators' level of self-confidence in their responses were also enhanced voluntarily. They recommended that they want to have a common model for all in each circuit. They even commented that this model does not judge them in a judgmental process and there is no grading in use in this model, e.g. 'Good, you have done well!' You got symbol B or C' or 'You have not done well, so you got symbol F!'

In case the above model fails, the researcher may use the accountability model, which identifies and deals with any educator in competence and lies firmly with the school (the governing bodies), and was introduced in South African Schools with effect from 01-01-1997. In September 1997, the code of conduct for educators was also introduced. Consequently, it is in the best interest of the educator to have an appraisal system that identifies incompetence. Although not aimed at

weeding out weak educators, but rather to develop their professional expertise, appraisal is not a substitute for effective management. Unsatisfactory performance of educators should be dealt with through the normal management procedures rather than waiting for appraisal. These two models are similar in that 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 era of the South African education system.

CHAPTER SIX
CONCLUSION AND RECOMMENDATIONS

6.1   INTRODUCTION

This chapter gives an account of how significant the concept of appraisal and the change processes are in the current system of education in South Africa, with special reference to the classroom situation. Furthermore, it discusses the roles that staff development teams, appraisal panel teams, and educators play in improving the quality of teaching and learning in the classroom. As indicated in Chapter One, the main aim of this study is to investigate those factors and techniques that are necessary to improve the quality of teaching and learning in the classroom situation, thereby preparing learners for the future world of work. In other words, the fulfilling of the mission statement of schools. At the same time, to help educators to perform better in the classroom by not being judgmental of what they do (the promotion of education in the classroom in order to meet the future challenges, even beyond South African boundaries). Most important is the question of whether the outcomes of this study would apply to all schools and educators in South Africa, with special reference to the province of KwaZulu-Natal (Department of Education and Culture and its communities). This chapter envisages showing the relationship between the statement of intent in Chapter One and the empirical study in Chapter Four. Relevant answers to the problem of this research will be highlighted in this chapter.

6.2   OVERVIEW OF THE INVESTIGATION

A brief summary of each chapter will be presented in this chapter.

In Chapter One the statement of the problem with regard to this research was introduced and an in depth hypothesis was formulated. The aims of the research project and the research methodology were carefully discussed. Thereafter the research programme of the progress of this study was presented in a diagrammatic form and the concepts applicable throughout this study were clarified.

In Chapter Two an in-depth study of the concept 'Educator Appraisal' was offered through a thorough review of literature. This was conducted through analysis and interpretation of educator

appraisal as perceived by different educationists. A comparative study of the types of appraisal, the features of appraisal, processes of educator appraisal, components of educator appraisal in schools, and systems of educator appraisal in the United Kingdom, United States of America and the Republic of South Africa were critically analysed. The researcher relied on a large amount of literature from the United Kingdom and United States of America.

In Chapter Three the management of developmental appraisal and change as managerial tasks of the managers and management teams were fully discussed. The principal and management teams as agents of change, the management of the change, the management of the change process of appraisal; managing resistance to change; strategies to curb resistance to change; change in the South African educational environment; change influence; and the usefulness of the growth plan, were critically analysed. The roles played by staff development teams, appraisal panel teams and all educators were also analysed and discussed.

Chapter Four mapped out the steps that were followed in constructing questionnaires used in the collection of data as well as the exact methodology used in each questionnaire.

An informal interview conducted with educators both in the primary and secondary schools was undertaken in questionnaire one. Questionnaires two and three were answered by two hundred educators who were invited to a central venue (Mahlabathini Secondary School). A five-point scale, adopted from the Likert scale, was used (De Vos (Ed.) *et al.* 2000:169) to assess the opinions of respondents. The fourth questionnaire for collecting data was answered by eleven managers who were invited to Mahlabathini Secondary School. The characteristics of the target groups were presented and data was analysed under the supervision of the statistician (Professor Sibiya of the University of Zululand). The responses were analysed and interpreted. All the key statements from the questionnaires were analysed and interpreted. Statements and responses from informal open interviews, closed questionnaires and structured interviews with eleven managers showed great similarities in this research and it was noted that the involvement of all educators in the appraisal and change processes in the classroom situation had a great impact in curbing resistance to change.

In Chapter Five the model and strategies which may be implemented in the management of appraisal and change, were discussed. The requirements for a vital model were tabled and the model was later analysed and evaluated. The reasons why the model was recommended, the

viability of the model and strategies for managing appraisal and change processes were also discussed.

In Chapter Six, the final chapter in this research, the literature study undertaken in the first three chapters and the analysis and interpretation done in Chapter Four are concluded. Findings, conclusions and recommendations for further research are presented.

6.3   FINDINGS OF THE RESEARCH

The following findings based on the research have been formulated.

- One of the main hypotheses of this study is that, the new appraisal developmental process may develop and improve the quality of teaching and learning in the classroom situation. Paragraph 2.3 reads, amongst others, that the purpose of appraisal is the improvement of the quality of teaching and learning across the whole range of performance and professional development of educators in order to improve effectiveness in their current roles in the classroom. Table 4.4.2 indicates that 87% of the respondents are of the opinion that effective appraisal may improve and maintain a high standard of teaching and learning. This shows a close relationship between the above hypothesis and the findings of this study. The study indicates that the majority of the educators appreciate an effective system of appraisal in schools that promotes effective teaching and learning.

- The literature study in this research (see table 4.4.12) reveals that schools are complex organisations that should have an effective appraisal system to improve and maintain a high standard of teaching (Lemmer & Squelch 1994:3). The report by the Department of Education (1996:28) argues that, in improving the quality of teaching and learning, education management should rather be supportive than directive of the change process (see paragraph 2.6). Furthermore, Seyfarth (1991:36-37) and Those Having Torches (1985:9) maintain that appraisal is planned to select educators for merit pay awards and mainly to improve teaching instruction in the classroom (see paragraph 2.10.3, Chapter Two). Merit awards are not the question in this study.

- One of the major aims of appraisal in this research is the development of all managers to enable them to manage and develop schools, that is, developing management skills in any

institution. Table 4.5.23 revealed that all actors within the appraisal process need to be equipped with an understanding of the philosophical orientations that underpin the new appraisal process, how it works in practice and what is contained in and meant by the various sections of the instrument itself. It was found that appraisal training needs to be centrally co-ordinated in order to ensure national uniformity across all school actors and to ensure that a national baseline of skills exists to facilitate the eventual and possible implementation of the new appraisal system. Table 4.5.26 and 4.5.29 also revealed that if all the managers are trained in appraisal, this will facilitate in overcoming the recurring problems of the staff, if trained in groups or as a total team, as this will create a common understanding and a critical mass for implementing the learning process easily.

- The empirical study, paragraph 4.5.27, found that evaluation practices are, by their very design, largely incapable of producing worthwhile insights into educator competence and the appropriateness of teaching practice beyond the identification of those educators who lack the most rudimentary teaching skills. This therefore threatens the new developmental appraisal process in the school situation.

- It is concluded that the appraisal process leads to change. In terms of knowledge, change is an on-going process, paragraph 4.3.1.6, and it is further concluded that an individual's resistance to change is so strong that people would sooner die than change, and most do. In this research therefore, educators cannot be exceptions. The study concluded that educators resist ideas that are foreign to them and of which they have not been a part of (Figure 4.5.4).

- Educators' perceptions of the current appraisal system reflect a strong sense of distrust and anxiety. Table 4.4.7 has established that judgmental appraisal differentiates the educators into weak and good performers in the classroom situation and therefore leads to conflict among learners and parents. Table 4.4.8 indicates that, 80% of the respondents support this statement. Only 20% did not support the statement. On the strength of the above tables it would appear that educators' perception of the current appraisal system reflects a strong sense of distrust.

- The research found (table 4.4.13) that the developmental approach does not look at negative aspects. This is obvious as, even if an educator is lazy, this process protects him or her if his or her human rights have been judged. It does not take seriously that the learners are suffering

spiritually and physically if an educator is lazy. Learners die spiritually and physically as their futures are crippled and they will not get good jobs that will physically maintain them - no money to buy good healthy food. On the other hand, however, the research found that this is not the case as any decision is made collaboratively by a group of people, ensuring fairness in the process and allowing for transparency. It contributes to getting rid of corruption, favouritism and secrecy that tended to surround educators' performance appraisals in the past.

■ The study found that peer appraisal is rarely used in the South African situation and that educators feel intimidated by the presence of colleagues in the classroom. That is why this concept is not common in the South African context (table 4.4.20 - 74% of respondents strongly agreed with the above statement). Although this is not common in the South African context, it has benefits and provides the opportunity for educators to work more closely together and to share expertise. It is believed that peer appraisal can help educators to improve their performance. Despite its claimed benefits, peer appraisal is not favoured by the majority of educators in the classroom situation.

■ The study clearly uncovered that if appraisal is implemented in an autocratic way and without the co-operation of educators, they may view it negatively. Table 4.5.20 reveals that 60% of the respondents disagreed with the autocratic manner in the appraisal system. Educators state that they should be informed of all aspects of the appraisal process, so that they can take the initiative in realising their educational objectives and help themselves, as well as in clarifying their career aspirations.

■ Table 4.4.25 showed that self-appraisal serves as a guide for setting goals and standards. However, 60% of the respondents argue that self-appraisal cannot be enforced but that educators should be encouraged to reflect constructively on what they are doing and regulate themselves.

■ Table 4.4.26 uncovered that 80% of the educators are in favour of classroom observation by the appraisal team. The educators emphasise that the emphasis should be on the improvement of learning and teaching, rather than on correction, on negotiation rather than on assertion and on shared understanding rather than on imposed judgment. It is crucial that the activity should focus on the performance of the educator and not on the personality as such. On the other hand, 19% argue that classroom observation is intended to police educators and to degrade

them in front of the class. Beginners especially are negatively affected by class visitation. In conclusion, classroom observation enables the appraiser to witness the appraised at work.

■ Paragraph 5.4 in Chapter Five and table 4.4.28 support the fact that educators agree that a professional model of appraisal must be developed. The study found that, if appraisal is to work in schools, it has to focus on learning. Table 4.4.28 and paragraph 5.4.2.5 confirm this. Effective learning also does not occur under coercion or in a negative faultfinding environment. It was uncovered that the professional model is concerned with problem solving. Appraisers and appraisees are partners in a shared process in which the crucial outcome is increased effectively.

■ The main problem of this study is: *How the new appraisal process can develop and improve the quality of teaching and learning in the classroom.* Paragraph 4.3.1.3 indicated that the developmental appraisal process is not meant to intimidate educators. It is to enhance the professional development of all the educators in and outside the classroom and is supportive of educators' professional growth. The process is to provide educators with more confidence in their practices, to recognise their professional abilities and to further develop their potential. It reviews the improvement of the current performance, the setting of performance objectives and the assessment of training and development needs.

■ Table 4.5.16 found that 80% of the respondents agree that the principal and the managerial team are organisers, directors and controllers of the new appraisal development process. The human resource manager and his or her team control, as administrators, mainly finances and bookkeeping, supplies and equipment, registers, statistics, mail and correspondence, textbooks issued to learners, the filing system, etc. The human resource manager and his or her staff development teams ensure continuous improvement and positive change for everyone in the organisation and make excellence in our schools possible.

■ It is concluded that the management team has to plan, organise, direct and control the work of other educators. This involves a fundamental change in the criteria for job success (table 4.5.1).

■ Paragraph 3.10.1.1 also indicated that the management style models in practice are assertive, solicitous, motivational, passive, political and administrative. The understanding of the

management model style cause us to challenge our assumptions and consequent behaviour and, as a result, makes us more effective educators.

- It is interesting to find that the changes now taking place will fundamentally alter many of the practices of the past and demand new approaches and understandings of the roles of educational planners, managers, administrators, educators and support staff at every level of the educational system. Respondents emphasised the need for the new education policy and legislation for the new developmental appraisal approach to management and to be able to understand what it means to manage under democratic, fully participating conditions in all schools in South Africa (see table 4.5.23 and paragraphs that follow table).

- It was found that the principles required for the management of change to increase school effectiveness are that programmes should be school-based, should enjoy outside support, that appraisal should be school appraisal, that there must be some change in teaching methods, that programmes should be characterised by behavioural change, be long term, consultative, and that there must be evaluation and feedback (paragraphs 3.2; 3.14.2; 3.14.3; 3.15; 3.16 and 3.17 in Chapter Three). Respondents confirmed these principles as required to promote effective change. Finally, they came to the conclusion that ripples of initial change radiate in all directions, often with unpredicted consequences (table 4.5.28 - 60% of the respondents support this statement).

- It is concluded that strategies to curb resistance to change are: education and communication, participation and support, negotiation and co-operation, and explicit and implicit action (table 4.5.29). It was further established that resistance is due to insufficient or inaccurate information and results in prejudice when educators are naturally conservative and offer resistance when the assistance of the educator who offers resistance is needed for implementing the change.

- Table 4.4.27 concluded that if the new appraisal process is not well managed, it will cause resentment and there would be no cohesion among educators. This destroys the observable morale and team spirit of the management groups.

- In the interview process, table 4.4.27 established that the appraisal process is inclusive of relevant stakeholders and this ensures that it is not a top-down authoritarian and undemocratic

process. It is based in principles of democracy, transparency and developmental orientation. It enables the educators to be confident and not to fear it. It is supportive of the educator's professional growth plan. It is also argued that the educator fears the interview appraisal process especially if it is held in an unsuitable environment where there is no privacy. At times the interviewer lacks interviewing and verbal skills.

- Paragraph 4.6.11 indicated that the growth development plan formulated objectives of the appraisal system of development in the classroom by identifying specific activities that will be necessary to achieve these objectives. It also indicates the resources needed to achieve these objectives by stating the key performance indicators. It further identifies the forces of change and initiates new policy directions in education in order to meet the needs of the new requirements in the classroom situation.

6.4   THE SHORTCOMINGS OF THIS STUDY

This study did not include parents in the questionnaires and their opinions were not established on the new appraisal process as compared to the old stereotyped authoritative and bureaucratic way of inspection in the classroom. The interviews and the questionnaires did not make provision for them to participate, as this was outside the scope of the aims of this study.

Secondly, this study concentrated only on the educators of the province of KwaZulu-Natal because of the extent of the Department of Education in South Africa. It would be impossible to involve the whole department in such a research project, possibly taking ten years or longer and only leading to general results. The study used one hundred educators in questionnaire one, two and three and only eleven managers in questionnaire four.

The staff development model, which has been developed by the researcher, has not yet been implemented to validate its effectiveness.

6.5   SOLUTIONS TO THE PROBLEM AND ATTAINMENT OF THE AIMS IN THIS RESEARCH

The researcher is of the opinion that the main problem of this research (1.3.1) has been solved in a satisfactory manner. Chapter Five reflects a model and strategies that could be employed to

enable staff development teams, appraisal panel teams and all educators to manage the new appraisal process and change in the changing South African educational system. No doubt, the research findings critically mentioned in paragraph 6.3 do confirm the fact that the researcher has succeeded in resolving the research problem. The model and strategies discussed in this study could add to the solution of the problem and need to be researched through practical implementation.

6.6   CONCLUSIONS

These conclusions are based on the findings of the study presented in paragraph 6.3 above.

The researcher is of the opinion that the hypothesis of this study is closely in line with the research findings, both of which are in favour of staff development teams, appraisal panel teams and all educators. These teams therefore are the best organs to manage the new appraisal process and change during this changing South African educational environment. No individual principal can these days all by himself or herself successfully manage the new development appraisal process and change (paragraph 6.3).

The study has demonstrated that in managing resistance to change (paragraph 3.16), managers in a school situation should strive to build a school with distinctive approaches to purpose, structure, process, people, realism and the environment. These are the prerequisites in managing resistance to change (paragraph 3.14.2).

The study has shown how the South African educational managers can manage change. Paragraph 3.14.3 has directed all managers not to be the passive recipients of the process of change, but to play an active part in the process. They need, by the overarching policies of the government, to have a clear understanding of the boundaries within which change is envisaged. The underlying values and principles and the goals implied by the Constitution, circumscribe this (South African Constitution, 1996). For instance, the policy of universal access to primary education has a direct implication on the role of the education manager and administrators who, until now, were under no obligation to ensure such access for all.

It became clear from the responses of the respondents that it is human nature to feel threatened whenever there is change and that change of any kind brings some reservations with it. The only

thing changes have in common is that people behave differently. Change in behaviour becomes the greatest cause of concern and fear to the people. An individual's resistance to change is so strong that people would sooner die than change (paragraph 4.3.1.6). All educators need to be retrained to acquire new skills, thus keeping them abreast of change all the time. The reliability and validity of the new appraisal process, which has not yet produced results (paragraph 2.2.1.2), causes educators to feel threatened.

Paragraph 3.9: 3.9.2, confirms that, the conducting of the development appraisal process is fair and just. Respondents support this, but suggest that the pre-appraisal should consist of the appraisal panel, clarification of the roles of members on the appraisal panel, and the appraisee filling in the personal details and the professional growth plan forms. This procedure is democratic, as the relevant stakeholders are all involved - even the appraisee is free to state his or her problems in the classroom situation without any prejudice as to his or her classroom performance.

The interviewer established that the role of the parents as main stakeholders in education is not defined in the new appraisal development process. This discourages the good intentions that the parents have about classroom work in the new developmental appraisal system (paragraph 4.8). Potgieter *et al.* As quoted by Monareng (1998:152) have stated that parents have a right to be consulted about the education of their children. They must be sure that the education imparted to their children is of benefit to them.

Table 4.5.29 revealed that 60% of the respondents favoured strategies that curb resistance to change, as evident by the responses in the mentioned table. They concluded by saying that a common method of reducing resistance to change is to inform and educate the educators involved as early as possible about the necessity for and logic of the change. In particular, this strategy is suitable when resistance is due to insufficient information and results in prejudice, as educators are naturally conservative and resistant. Only 40% of respondents disagreed with this strategy.

Chisholm *et al.* (1997:35) argued that although one appraisal instrument is still used at this stage, educators generally accept it. There is however a great need in the changing South African educational system to use a variety of appraisal systems and to evaluate each of them as the years progress.

6.7   RECOMMENDATIONS

The following recommendations emanate on the basis of the findings in paragraph 6.3 above.

6.7.1   Further research

The statement that the new appraisal development process may develop and improve the quality of teaching and learning in the classroom situation needs to be researched in order to validate the strength of the new developmental appraisal process in the classroom. Note must be taken that it should be researched in a conducive environment, that is, in an ideal school situation, where it has been fully implemented. Factors such as the subject content of appraisal in the classroom situation must be fully investigated.

The role that might be played by the parents in the new appraisal developmental process must also be investigated. It is the researcher's feeling that parents may play a vital role in shaping the current education system in view of their vivid backgrounds and information on education. There is a great cry from all communities that the standards of our present system of classroom work are deteriorating.

As the staff development model suggested by the researcher has not yet been implemented, it is essential that it be investigated after implementation. Research should concentrate on its practicality in the classroom situation (see Chapter Five paragraph 5.16).

There is a concern that the new appraisal developmental process consumes a lot of teaching time per educator. Consequently, an investigation to its classroom management is essential – this research might allay fears of this alleged time wasting of teaching and learning times.

6.8   SUMMARY

It became evident from the literature study (A Facilitator's Manual, 1997:17-18), that the new appraisal process is "in essence a developmental process." It is not meant to intimidate and victimise educators in any way. It is meant to enhance the further professional development of educators. It is also meant to be supportive of the educator's professional growth (see paragraph 3.2 in Chapter Three).

This is the last chapter and the researcher has given an account of what he has done in this study. A close relationship between the statement of intent and the findings of this study were clearly shown. A short summary of each chapter was given. Findings of this study were formulated and critically outlined. Few shortcomings of this study were mentioned. Recommendations for further research were given and these were based largely on the findings of the study project.

Lastly, the findings and recommendations are meant to bring about fruitful contributions to the management of the new appraisal developmental process and change in the changing educational environment in South African schools, with particular reference to the classroom situation in the Republic of South Africa, particularly in KwaZulu-Natal, the Department of Education and beyond the borders of this province.