THE MANAGEMENT OF EDUCATOR APPRAISAL IN SOUTH AFRICAN SCHOOLS WITHIN THE CHANGING ENVIRONMENT

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by

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Supervisor: Prof A.J. van der Bank

DECLARATION

I hereby declare that this research report handed in herewith for the degree
of Doctor of Philosophy, University of Pretoria, is the independent work of
the writer. It has not been submitted for a degree or examination before in
this, or any other university.

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He passed Matric, B.A. and B.A. Honours privately through Unisa. He obtained a Master of Education degree in the United Kingdom in 1986/87.

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ABSTRACT

Title: The Management of Educator Appraisal in South African Schools within the Changing Environment

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Supervisor: Professor A.J. van der Bank

Department: Educational Management and Fundamental Education

Degree: Philosophiae Doctor

This research seeks to examine the positive features of the appraisal instrument on the one hand, and its negative and constraining factors on the other, as observed by the researcher. This is done by examining the elements that seemed to work particularly well, and those that were confusing or not effective in the eyes of the educators. Thus, the old stereotyped ground principles that were common in our schools and classroom situations, and that forced educators into similar and unquestioned moulds, have largely become questionable in the current education system of the Department of Education in South Africa.

The study is concerned with the concept of Appraisal; its types, processes, criteria, models, problems and systems in South Africa, as compared with United Kingdom and United States of America. The research goes further to treat educator appraisal as a managerial task of staff development teams and educators as a whole. The school principal is still recognised as a manager of human and material resources in the current changing environment in South African schools and this is a problem, as people resist change. In this light, the staff development teams are both professional and administrative leaders in schools. Thus, the research focuses on the management of appraisal and the

process of change in the classroom situation as well as on the appraisal of a new developmental system, with the view to answer the following questions:

- Does an effective educator appraisal process improve and maintain high quality education in schools?

- What models and strategies may be used by the management staff development teams to manage the appraisal and change processes?

Chapter One outlines an introductory classification of the research project.

Chapter Two contains a review of literature on educator appraisal and factors affecting it. The analysis of the system of educator appraisal in South Africa is compared with the systems in the school situation in the United Kingdom and the United States of America.

Chapter Three deliberates the management of the new appraisal system and change processes as major tasks of the staff development teams, appraisal panels and educators. The usefulness and the problems of the appraisal instruments in the classroom situation are also discussed.

Chapter Four provides a detailed analysis of the facts from the literature study in Chapters One, Two and Three.

Chapter Five contains the suggested model, i.e. "The Staff Development Model", which is the writer's contribution to this research.

Finally, in **Chapter Six,** findings from both the literature and empirical studies are critically discussed.

SAMEVATTING

Titel:	Die bestuur van onderwysertaksering in Suid-Afrikaanse skole binne 'n veranderende omgewing
Kandidaat:	Joel Mpikayipheli Mthethwa
Toesighouer:	Professor A.J. van der Bank
Departement:	Opvoedkundige Bestuur en Fundamentele Opvoedkunde
Graad:	Philosophiae Doctor

Die doel van hierdie navorsing is om enersyds die positiewe eienskappe van die takseringsinstrument en, andersyds, die negatiewe en beperkende faktore daarvan vanuit die oogpunt van die navorser, onder die loep te neem. Die elemente wat vir die opvoeders oënskynlik behoorlik gewerk het en dié wat verwarrend of oneffektief is word ondersoek. Gevolglik word die ou stereotipe grondbeginsels wat algemeen in skole en klaskamers gevind is en wat opvoeders in gelyksoortige en onbevraagtekende vorms gedwing het, in die huidige en veranderende strukture van die Departement van Onderwys in Suid-Afrika, bevraagteken.

Die studie het te make met die konsep van taksering: soorte, prosesse, kriteria, modelle, probleme en sisteme in Suid-Afrika, vergeleke met dié van die Verenigde State van Amerika en die Verenigde Koninkryk.

Verder behandel die navorsing onderwysertaksering as 'n bestuurstaak van die personeel-ontwikkelingspanne en opvoeders as geheel. Die skoolhoof word steeds beskou as die bestuurder van die menslike en materiele hulpbronne in die huidige veranderende omstandighede in Suid-Afrikaanse skole. Die situasie skep egter 'n probleem aangesien mense gekant is teen verandering. In hierdie opsig is die personeelontwikkelingspanne

beide die professionele en die administratiewe leiers in skole. Die navorsing fokus dus op die bestuur van taksering en die prosesse van verandering in die klaskamer, asook op die taksering van 'n nuwe stelsel van ontwikkeling, met die oog op die beantwoording van die volgende vrae:

- Bevorder en handhaaf 'n effektiewe stelsel van onderwysertaksering die gehalte van opvoeding?

- Watter modelle en strategieë kan deur personeelontwikkelingspanne toegepas word om onderwysertaksering en prosesse van verandering te bestuur?

Hoofstuk een bevat die inleidende klassifikasie van die navorsingsprojek.

Hoofstuk twee bevat 'n oorsig van die literatuur oor onderwysertaksering en faktore wat dit beïnvloed. 'n Analise word gedoen van die stelsel van onderwysertaksering in die skoolsituasie Suid-Afrika, vergeleke met die stelsels van die Verenigde Koninkryk en die Verenigde State van Amerika.

Hoofstuk drie bespreek die bestuur van die nuwe stelsel van onderwysertaksering en die prosesse van verandering as hoofopdrag van die personeelontwikkelingspanne, takseringspanne en opvoeders. Die nut van die takseringinstrumente en gepaardgaande probleme in die klaskamer word ook hier bespreek.

Hoofstuk vier is 'n volledige ontleding van die feite van die literatuuroosig in hoofstukke een, twee, en drie.

Hoofstuk vyf bevat 'n voorgestelde model, "Die Personeelontwikkelingsmodel", die navorser se bydrae tot die navorsingsprojek.

In **Hoofstuk ses** word die bevindinge van die literatuurstudie en die empiriese studie krities bespreek.

KEY WORDS

- Educator Appraisal
- Staff Development Teams
- Human Resource Manager
- Appraisal Teams
- Change
- Transformation Teams
- Resistance
- Staff Development Model
- Transparency

CHAPTER ONE
INTRODUCTORY ORIENTATION

1.1   INTRODUCTION

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

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

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

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

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

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

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

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

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

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

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

1.2   ACTUALITY OF THE RESEARCH

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

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

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

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

1.2.1 Previous Research

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

1.2.1.1 South African research

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

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

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

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

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

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

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

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

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

1.2.1.2 Overseas research

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

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

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

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

1.2.1.3 *The influence of previous research on this study*

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

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

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

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

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

1.3   STATEMENT OF THE PROBLEM

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

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

1.3.1. Main problem questions

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

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

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

1.3.2 Sub-problem questions

The following sub-problems will also receive attention:

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

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

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

1.4   HYPOTHESIS

1.4.1   Definition

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

1.4.2   Hypothesis formulation

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

1.5   AIMS AND OBJECTIVES OF THE RESEARCH

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1.6   RESEARCH DESIGN AND METHODOLOGY

1.6.1   Empirical study in this research

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

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

1.6.1.1 The literature review technique

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

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

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

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

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

1.6.1.2 The questionnaire technique

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

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

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

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

Questionnaire 1: Threats of appraisal;
Questionnaire 2: Educator appraisal;
Questionnaire 3: Management and change concepts;
Questionnaire 4: Concepts of developmental appraisal;
                 Appraisal problems in the classroom;
                 Perceptions of the managers in the new education system in South Africa;
                 Advantages and disadvantages of the process of classroom observation;
                 Benefits and self-appraisal;
                 The present system of education in South Africa;
                 The concept of the human resource manager in the school, and
                 The developmental plan in the classroom situation.

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

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

1.6.1.3 The structured interview

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

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

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

1.7 CONCEPT CLARIFICATION

1.7.1 Introduction

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

1.7.2 Appraisal

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

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

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

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

1.7.3   Evaluation

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

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

1.7.4 Assessment

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

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

1.7.5 School management

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

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

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

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

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

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

1.7.6 Change

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

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

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

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

1.7.7   Educator

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

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

1.7.8   Appraisal instrument

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

1.7.9 The school staff development teams

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

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

1.7.10 The staff development model

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

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

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

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

1.7.12 Research programme
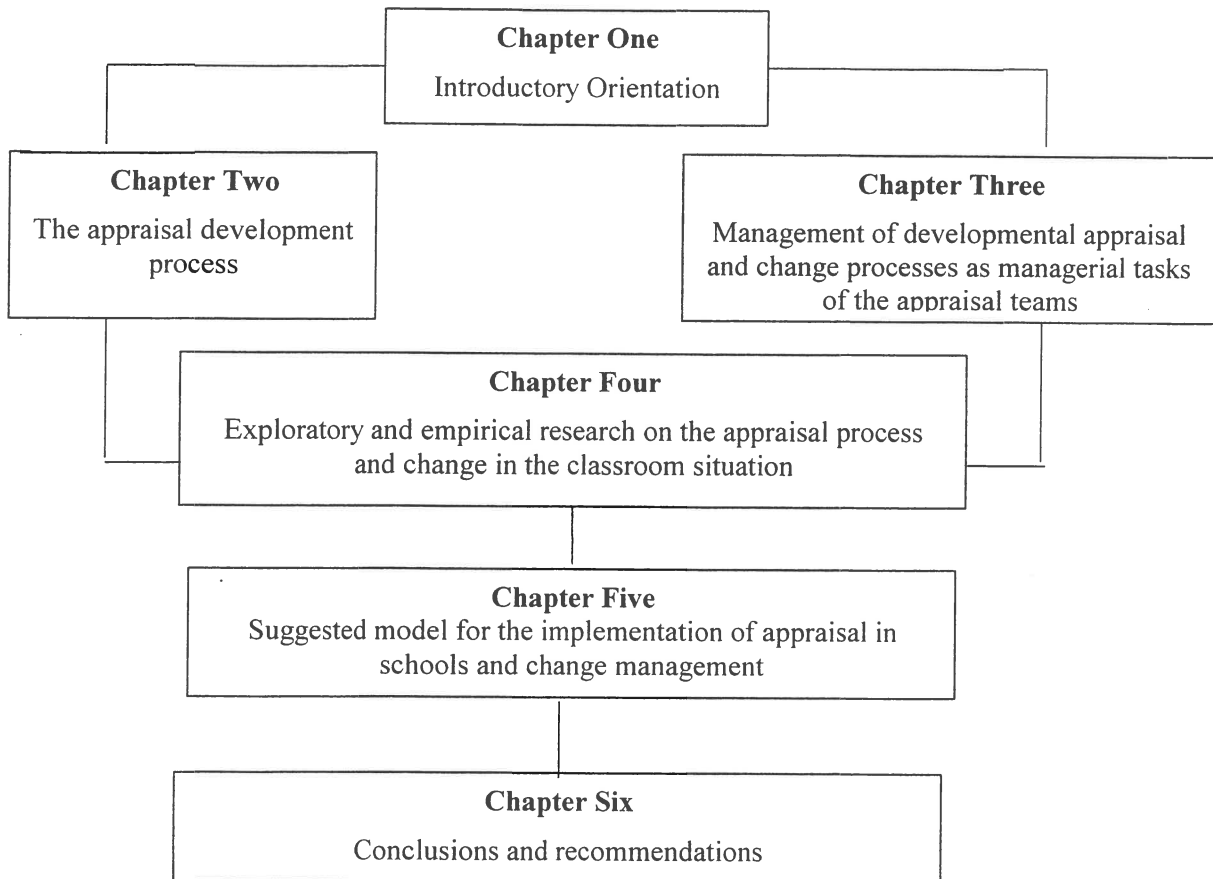
Figure 1.1. Research Programme

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

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

1.7.13 Conclusion

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

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

CHAPTER TWO

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

2.1 INTRODUCTION

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

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

Broadly speaking, therefore, all the above authors agree that appraisal is an on-going process that focuses on educator development and the improvement of learning in the classroom situation.
As has been said, educator appraisal is an important management task of the school principal and management team. In many schools appraisal has been ignored and instead evaluation has been the order of the day for principals and inspectors of education in South Africa. Vinjevold *et al.* (1993:2), in confirming that evaluation was common in South Africa before the new system of

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

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

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

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

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

2.2   WHAT IS APPRAISAL?

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

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

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

2.2.1   Approaches to appraisal

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

2.2.1.1 The judgmental approach

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

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

2.2.1.2 *The developmental approach*

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

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

2.3 THE PURPOSES OF APPRAISAL

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

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

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

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

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

2.4 THE IMPORTANCE OF EDUCATOR APPRAISAL

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

<u>Impact on in-service training</u>

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

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

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

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

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

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

2.5   THE FEATURES OF EDUCATOR APPRAISAL

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

2.5.1 Job description

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

2.5.2 Goals of the school

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

2.5.3 Planning

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

2.5.4 Openness

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

2.5.5   Self-improvement

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

2.5.6   Co-operation

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

2.6   THE AIMS AND OBJECTIVES OF EDUCATOR APPRAISAL IN THIS STUDY

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

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

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

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

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

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

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

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

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

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

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

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

2.7   THE PROBLEMS OF EDUCATOR APPRAISAL IN THIS STUDY

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

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

2.7.2   The problems in introducing the above procedures of appraisal

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

2.7.3   The re-entry problem

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

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

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

2.7.4   The problem of objectivity

The measuring instruments and those that implement them are subjective.

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

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

2.7.5   Peer appraisal problem

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

2.7.6   The self-appraisal problem

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

2.7.7   Job description problem

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

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

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

2.7.8 Classroom observation problem

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

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

2.7.9 The problems of completed forms encountered by the appraisal team

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

2.7.10 The time factor problem

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

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

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

2.7.12 The problem of educator co-operation

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

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

2.7.13 The problem of appraising all school levels

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

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

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

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

2.7.15 The problem of one group recognition in school

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

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

2.8   THE PROCESSES OF EDUCATOR APPRAISAL

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

2.8.1   Phase one –preparation

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

2.8.2   Phase two – classroom observation

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

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

2.8.3   Phase three – the interview

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

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

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

2.8.4   Phase four – results

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

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

2.8.5 Phase five – the monitoring

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

2.8.6 Phase six – moderation

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

2.8.7 Phase seven – evaluation

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

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

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

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

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

2.9 COMPONENTS OF EDUCATOR APPRAISAL

2.9.1. Criteria for educator appraisal

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

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

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

2.9.2. Different strategies for appraisal criteria

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

2.9.2.1 Lemmer and Squelch (1994:127 – 128)

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

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

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

CLASSROOM ACTIVITY, OBSERVING TEACHING IN THE CLASSROOM

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

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

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

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

2.9.3.1 Self-appraisal

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

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

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

SELF-APPRAISAL

Do I communicate well?

Do I keep abreast of educational development?

Is my classroom well organised?

Do I attend seminars and workshops?

Do I read widely?

Figure 2.9.3.1   Diagrammatic representation of self-appraisal – 'modified'.
Adapted from Lemmer and Squelch (1994:120).

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

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

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

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

2.9.3.2 Classroom observation component

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

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

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

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

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

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

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

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

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

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

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

2.9.3.3 The appraisal interview

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

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

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

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

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

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

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

2.9.3.4 Peer appraisal

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

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

2.10 MODELS OF EDUCATOR APPRAISAL IN SCHOOLS

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

2.10.1 The staff development model

It is argued that this is a continuous and systematic process, intended to help individual educators with their professional development and career planning, and to help ensure that the in-service training of educators matches the complementary needs of individual educators and the schools. Emerson and Goddard (1993:11) and Those Having Torches (1991:11) contend that "the cornerstone of appraisal schemes is the belief that educators wish to improve their performance in order to enhance the education of learners." In the above two quotations we get closer to the definition of a staff development model of appraisal. An appraisal scheme starts from the

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

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

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

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

2.10.2 The accountability model

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

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

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

2.10.3 The remedial model

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

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

2.10.4 Goal setting model

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

2.10.5 The product model

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

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

2.11 ADVANTAGES/DISADVANTAGES OF THE APPRAISAL PROCESS IN SCHOOLS

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

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

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

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

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

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

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

2.12.1 Introduction

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

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

2.12.2   The aims and objectives of the system of education

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

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

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

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

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

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

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

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

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

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

2.12.4 The system's previous approaches

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

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

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

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

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

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

2.12.5 Training for the scheme

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

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

2.12.6 Results and features of the scheme

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

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

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

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

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

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

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

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

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

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

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

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

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

2.15   CONCLUSION

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

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

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

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

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

CHAPTER THREE

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

3.1   INTRODUCTION

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

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

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

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

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CHAPTER THREE

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

3.1   INTRODUCTION

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

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

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

improving the quality of teaching and learning. The focus should be on building effective schools, staffed with effective educators with the common purpose of promoting effective learning. Thus, although individual competence is important, such competence needs to be related to the development of effective schools and should be developed in the context of such schools. There should be a close link between individual and organisational developmental needs and, therefore, organisational development needs must be established. It is argued that education management development cannot be equated simply with a focus on school district heads, superintendents of education and principals only. All the relevant stakeholders must be involved.

The second task of this chapter is the management of change in the school as far as the process of new developmental appraisal is concerned. The task team report of the Department of Education (1996:45) maintains that productive educational change at its core is not the capacity to implement the latest policy, but the ability to survive the vicissitudes of planned and unplanned change while growing and developing. Change is the key to creating a different education environment that is more constructive and pleasing. Van der Westhuizen (Ed.) *et al.* (1996:136) and Lemmer and Squelch (1994:136-137) refer to potential areas of change in a school as structural change that refers to changes to policies, rules and procedures, and people-centred change, which focuses on changing people's attitudes, behaviour, performance and ways of acting. The two authors argue that people-centred change has numerous implications for educators who are required to create a classroom culture and learning experiences that are relevant to all learners. The above report is supported by the Department of Education (1996:45), the authors Lemmer and Squelch (1994:136-137) and Van der Westhuizen (Ed.) *et al.* (1991:646-647). Lemmer and Squelch (1994:137) and Morris and Everard (1990:6) concur in that these are two main areas of change. The first is structural change, which refers to changes to policies, rules and procedures in the school. The second change is people-centred change, which focuses on changing peoples' attitudes, behaviour, performance and way of acting. It has numerous implications for educators who are required to create a classroom culture and learning experiences that are relevant to all pupils. The above are fully discussed in this chapter.

There is some correlation in the types of changes mentioned by the above authors. One notices that these changes are in line with the aims and objectives of the present system of our new education system in South African schools. The changes deal with the improvement of the present circumstances in education, fit in with the value system of those involved, provide possibilities for further investigation and experimentation, and could lead to more measurable results. To

mention an example in this case, the results of outcomes-based education will definitely be measured in three to four years time, not at this stage, as this has, to date, not produced any results. In terms of change, the focus of this chapter is on structural change and people-centred change.

As stated in Chapter One of this research, the aim of developmental appraisal is to facilitate the personal and professional development of educators in order to improve the quality of teaching practice and management of education in South African schools. It is to equip people within the South African educational system with an understanding of the development and nature of the new educator developmental appraisal system. It is for use by national, provincial, regional, district, circuit and school level personnel. Furthermore, this research will mainly be used by workshops that are organised specifically for the developmental appraisal process.

Lastly, this research will serve as a guide to provide:

–   an operational understanding of the guiding principles that inform the new developmental appraisal system;
–   a critical understanding of the notion of appraisal and its links with the whole school development and process of educational change;
–   a clear understanding of the composition of educator developmental teams and appraisal panels and the roles of its members;
–   a clear understanding of the procedures and processes the appraisal teams need to follow; and,
–   a thorough understanding of the nature of the appraisal instrument in all of its aspects.

3.2   THE GUIDING PRINCIPLES OF THE DEVELOPMENTAL APPRAISAL SYSTEM

The three basic guiding principles that inform a philosophical understanding of the developmental appraisal system are a developmental orientation, democracy and transparency.

The confidence of appraisees in the new appraisal process is also reinforced by the developmental emphasis in the new appraisal system. The appraisal of educators is in essence a developmental process that depends upon continuous support. It is designed and intended to entrench strength,

develop potential and overcome weaknesses. It is not meant to intimidate and victimise educators. Rather, by being developmental, it is intended to increase capacity, develop potential and overcome weaknesses. Its aim is also to enhance the further professional development of educators and is meant to be supportive of educators' professional growth. Moreover, it is to give educators more confidence in their practices and to recognise their profession. The appraisee in this situation is not merely an object that is being judged - the organisation is a formative one. In other words, it should be concerned with the professional development and personal fulfilment of colleagues, which in turn will lead to an improvement in professional performance.

3.3   THE AIMS AND OBJECTIVES OF THE DEVELOPMENTAL APPRAISAL SYSTEM IN THIS STUDY

This developmental appraisal system aims at:

- reviewing the improvement of current performance (in the management of appraisal and change);
- setting performance objectives and the assessment of training and development of more educators participating in the system;
- making appraisal interview reports available to both parties;
- increasing the length of the interview, and
- providing more intensive training for educators in appraisal skills.

3.4   THE DEVELOPMENTAL APPRAISAL SYSTEM IN THE NEW SOUTH AFRICAN EDUCATION DISPENSATION

The transition from apartheid to democracy in South Africa is one that affects all spheres of South African society and it therefore follows that educational changes are motivated primarily by these larger processes of change. It also follows that if the whole of South African society is moving towards democracy, the educational sector cannot be unaffected by it. There is a need to democratise educational processes and practices. This is necessitated by the democratisation of South Africa itself, as enshrined within the new constitution of the Republic of South Africa (1996:1-146). Furthermore, the Draft Policy Framework in Education Management Development has forced this (2000:3-45). The provisions of the Constitution regulate all of South African life.

Education and educators are no exception. It is thus important to find ways in which education will also uphold the basic human rights of all South Africans in the constitutional efforts.

The developmental appraisal system takes into account the constitutional provisions and ensures that what it allows is consistent with the constitution, as the Department of Education has done. Apart from the legal reason to guarantee this, it is also a way to ensure that the developmental system is in keeping with other processes of democratisation and transformation. The developmental appraisal system attempts to achieve this by engaging processes that are democratic, transparent and non-judgmental.

3.5   THE DEVELOPMENTAL APPRAISAL SYSTEM AND THE WHOLE SCHOOL DEVELOPMENT PROCESS/APPRAISAL

Legislation, such as the Labour Relations Act of 1995, the National Education Policy Act of 1996, the South African Schools Act of 1996 and the Employment of Educators' Act of 1998, all attempt to transform the education sector so that it is in keeping with the provisions of the new constitution of South Africa. They all put into place ways in which democracy, human rights and justice may be upheld in education.

Programmes such as the Culture of Learning, Teaching and Service Campaign, the training of school governing bodies in new forms of democratic school governance, outcomes-based education and Curriculum 2005, are all part of the same initiative. In order to facilitate change in education, one cannot only target one aspect of the institution, but have to work with the institution as a whole. The Department deals with governance levels, management levels, educators, learners, curriculum, pedagogy, school community relations, as well as resources and facilities, in order to enact sustainable and meaningful school change. The whole institution development approach is to ensure that comprehensive changes do occur and that all people and levels within the school are carried together in the process. The developmental appraisal system is part of such a whole institution development approach and should be, or is viewed in relation to other initiatives that are underway in institutions. It is not divorced from these other initiatives but an integral part of them.

The developmental appraisal system is a useful way in which schools and departments of education can determine what the actual needs of educators are. As it is formative and

developmental in nature, it is able to identify where educators need to be given support in order to improve their professional performance. Through this new developmental appraisal system, a school is in a position to determine if support is needed mainly in training educators with regard to Curriculum 2005, or in developing management and administrative skills among them. It is also able to identify such needs and, therefore, institute the relevant interventions that are tied directly to actual educator needs. It can also identify needs of office-based personnel. Interventions in this regard may also be made through the developmental appraisal system. In this way, overall educational improvement and quality may fully move.

The new developmental appraisal system does not exist in a vacuum. It is part of wider changes in South African society as well as processes of educational change that are framed within a whole institutional development approach. It provides a basis for enacting such changes at the level of educators' performances in ways that are in keeping with constitutional provisions and the spirit of democracy in South Africa.

3.6 PROCEDURES IN SETTING UP EDUCATOR DEVELOPMENT TEAMS AND THEIR ROLES

It is important to note that the new developmental appraisal system is one that is democratic, accountable and transparent. As such, it is crucial to ensure that the ways in which the appraisal panels are set up and the ways in which they operate also reflect these principles. In order to facilitate this and to manage the appraisal processes, the establishment of staff development teams is necessary.

3.6.1 The role of the educator development team in this study

The purpose of the educator development team in the developmental appraisal system is to initiate, co-ordinate and monitor the appraisal process in schools and to ensure that training in the developmental appraisal system occurs. It is also incumbent upon the staff development team to facilitate ongoing professional support. In the developmental appraisal system it organises workshops for the entire staff of the institution and other parties. In the case of schools, members from the school governing bodies are also encouraged to attend such workshops.

Chisholm *et al.* (July 1997:1-56) argue that a new developmental appraisal system is for all educators. This includes principals, deputy principals and heads of departments. It is not only directed at post level one educators in the school, but is also, as previously mentioned in this research, applicable to educators outside of schools and in offices.

The system:

– Prepares and monitors the management plan for developmental appraisal;

– Identifies educators to be appraised in each phase;

– Facilitates the establishment of appraisal panels and prepares the schedule of panel members;

– Links appraisal to the whole institutional development;

– Liases with the Department for in-service training and educational management development on high frequency needs;

– Monitors the effectiveness of the appraisal system;

– Reports to relevant persons, and

– Ensures that appraisal records are well filed.

(See Chisholm, L. *et al.* (July 1997:1-56), Developmental Appraisal for Education 1997:3).

3.6.2 Procedures for setting up appraisal panels and the roles of members on the panel

Developmental Appraisal for Educators (1997:77-83) maintains that the new educator developmental appraisal system is designed to ensure that there is democratic participation in the appraisal process. The establishment of an appraisal panel achieves this. The appraisal panel is composed of at least four people, drawn from the following: the appraisee, a peer nominated by the appraisee, a union representative, a senior management level person, such as a head of department, a deputy principal or principal, a district/area/regional manager or director; and a person from outside the institution, but a relevant one in this case (for example, if an appraisee has a qualification in mathematics, the one who should form part of the panel should be someone who is mathematics biased).

The panel must be democratic, transparent and collaborative. As the appraisee is part of the appraisal panel, the he or she is in a position to explain his or her performance while other members of the appraisal panel can question and/or add to such explanations in order to arrive at a decision about the appraisee's performance. Thus, the presence of the appraisee on the appraisal

panel allows for the individual involved to contribute democratically to decisions about his or her performance appraisal.

The appraisal panel also allows for transparency. As it is made up of at least four people, decisions about the educator's performance are not made subjectively and are not influenced by the personal likes, dislikes, interests or views of one individual. It is a decision that is made collaboratively by a group of people. This ensures not only fairness in the process, but also allows transparency. All members of the appraisal panel jointly discuss the decisions that are made and the views that are articulated have to be justified, explained and motivated. Such views are debated within the appraisal panel until a shared understanding on the matter is reached. Thus, transparency and accountability of the appraisal reports are ensured in the nature of the appraisal panel itself. This democratic working of the appraisal panel will also contribute substantively to getting rid of the corruption, favouritism and secrecy that tended to surround educators' performance appraisal in the past.

The role played by the appraisal panel members is essential. They should be available for panel meetings and failure to attend two consecutive appraisal panel meetings disqualifies the person from further participation in the appraisal panel. This is important as there must be consistency in the appraisal panel and panel members need to commit themselves to being at the appraisal panel meetings (see paragraph 3.6.2 above).

The panel should elect a chairperson who will liase with the staff development team to arrange suitable times for meetings and to report on progress to staff as a whole. A scribe should also be elected to record the decisions of the panel.

Panel members need to ensure that the appraisee fills in the relevant forms and that these are jointly discussed in the appraisal panel meetings. The appraisal panel needs to ensure that not only are these forms filled in, but that they are accurate and fair. They also need to ensure that the objectives outlined by appraisees in these forms are realistic and achievable.

Panel members are to go through the appraisal instrument together and need to arrive at a shared understanding of the terms that are used within it. They must decide on ways in which the appraisal will actually happen and on what basis decisions will be made. For example, how will management skills be appraised? Who will do this appraisal?

Panel members should arrange for observation of the educator in practice and elect (a) person(s) from the appraisal panel to conduct such observation. Two such visits should occur and they should ensure that appraisees and learners'/clients' portfolios have been collected and dates and times for observation visits have been arranged.

In an appraisal panel meeting the panel should critically and openly discuss with the appraisee the reports of the observation visits or other such appraisals. Together they must arrive at final decisions about the appraisal of the particular educator and work out practically what development plan may be put into place to ensure the further development of the educator that has been appraised. Thereafter they should finalise the appraisal report and ensure all panel members have signed it.

The appraisee, a peer nominated by the appraisee, (as discussed in paragraph 3.6.2), a union representative, a senior management level person, such as a head of department, a deputy principal or principal, a district/area/regional manager or director; and a person from outside the institution, may also be part of the appraisal panel drawn from non-governmental colleges or universities, or from other support services.

It may be a problem if a person from a non-governmental organisation is not skilled in a particular field of the appraisee and this may result in the appraisee rejecting the process.

The above procedures are all spelt out in Developmental Appraisal for Educators (1997:70-98).

3.7   THE DEVELOPMENT APPRAISAL INSTRUMENT

The developmental appraisal instrument has criteria of its own. These criteria are, curriculum development, creation of a learning environment, lesson presentation and methodology, learner assessment, recording and analysing of data, development of learning field competency, professional development in the field of work, human relations, leadership and contribution to school development.

3.7.1. Curriculum development

Curriculum development entails the interpretation of learning programmes, the development of learning materials and assessment methods and the selection of appropriate teaching strategies. Teaching techniques must be correctly used and be to the point. If not, this might hinder the achievements of any objective in any lesson.

3.7.2. The creation of a learning environment

The atmosphere in which teaching and learning take place must be conducive to and open and critical discussion based upon rich and diverse materials. The classroom atmosphere encourages the exchange of ideas, questions and experiences, and learning is understood as a co-operative and productive activity.

3.7.3. The lesson presentation and methodology

The educator's knowledge and experience of the learning area that is presented to learners in ways that produce learning interest, involvement, questions and critical thinking is of the utmost importance. This mainly relies upon the educator's skills in planning and organising individual lessons, as well as programmes of learning based upon insight into the learning area to be taught. The educator must bear in mind that each lesson has strong links with those before and after, and learner involvement is an integral part of their own education and development.

3.7.4. Classroom management

Classroom management should be characterised by evidence of discipline, guidance and support, leading to sound rapport with learners, positive reinforcement, encouragement and appropriate admonition and effective, fair, regular and varied assessment of learners' efforts. The learners must be inspired and encouraged to produce their best performance and maintain high standards of behaviour and ethics.

3.7.5. Learner assessment

The ability to assess the progress as well as the potential and actual learning of the learners by using a variety of assessment procedures is essential on the part of the educator. The evaluation of learner development should be managed continuously and the ability to use the result of learner performance for diagnostic purposes, remedial work and for adapting teaching programmes is of paramount importance. Learners must consequently receive constructive and frequent feedback of continuous and varied assessment.

3.7.6. Development of learning field competency

There should be efforts from the educators to keep up with developments, research and publications in their learning areas. This will also include how learning area fits into the learning field, its relation to other learning fields and developments in methodologies for effectively teaching the learning area.

3.7.7 Professional development in field of work

The educator must acquire further and new skills and expertise in his or her own teaching and learning area and, more particularly, in educational thinking, management and technical skills, in order to promote Department Policy Draft Policy Framework (2000:24).

3.7.8 Human relations

The educator should have the ability to inspire and encourage people to seek and maintain high standards of performance, enjoyment of confidence of colleagues, learners, parents and members of the community.

3.7.9 Leadership

The educator should have the ability to take the initiative and to act decisively. The degree of influence on colleagues in making decisions, determining aims and in defining objectives is essential. The extent to which he or she acts in terms of priorities and opportunities and the

degree to which others reply to the insight, point of view, judgement and will of this educator is expected by the community, and he or she will need to play a leadership role in many of the school's activities.

3.7.10 Contribution to school development

The educator is expected to be familiar with current policies, the new curriculum and the processes of school change and whole school development. It is of prime importance that the educator applies this understanding.

The report of the Department of Education (1996:34) maintains and believes that less emphasis should be placed on off-site, menu-driven, knowledge and skills and focused formal courses of training and development, and that more attention should be given to the development of programmes and materials which are related to performance enhancement in the school situation.

3.8 FORMS FOR DEVELOPMENTAL APPRAISAL

The educator's developmental appraisal form contains detailed information of several educators (see Developmental Appraisal for Educators 1997:35-44). The research will discuss the following because of their importance: type of appraisal, probation, in-service development, qualification(s), major learning area(s), learning area and grade taught, teaching experience, management and administration experience and non-teaching experience.

The type of appraisal that educators should receive is the developmental appraisal system that was agreed upon in the Resolution Number 4 of 1998. This manual is based on what was agreed upon by the Education Labour Relations Council in which organised educator unions/organisations/provincial departments and the National Department of Education were involved. This appraisal system develops the educator, does not emphasise the site-off and menu-driven approach and pays attention to the development of programmes and materials, which are related to performance enhancement in the school situation. It does not deal with the personality of the person, but with his or her performance and find ways of helping the educator with any problem areas in his or her teaching career.

The new development appraisal system was implemented on 28 July 1998 after final agreement was reached within the Education Labour Relations Council (1996). This agreement is reflected in Resolution Number 4 of 1998. It was agreed that the overall nature of the piloted appraisal system be maintained. This entails the guiding principles, the nature of the appraisal process and the use of appraisal panels. It was further agreed that the instrument to be implemented was to be developmental in nature only and would be used on all levels of personnel in education, in- and outside of schools, excluding educational therapists and psychologists. Lastly, it was agreed that the appraisal would be tied to the nature of the job descriptions of the specific level of post of a person. The developmental appraisal system was supposed to be reviewed in April 2000 and the outcome is still being awaited.

Probation: In order to determine the pace of the educator's work performance, it is essential to know whether the appraisee is on probation or not and to amend the methodology used in acquainting him or her with the work and to further determine the date of his or her confirmation, if necessary. The confirmation may motivate the appraisee in the work.

In-service development training: The Department of Education and Science Report (1989:19) states that great benefits flow from giving each an insight into the other's role. Simulated role playing, for example, the mock appraisal interview, and the need to plan training so that it takes place as close to the actual experience of appraisal as possible, is also beneficial.

Qualification: The educator's qualification determines what work the he or she can do in accordance with his or her qualification. In KwaZulu-Natal schools, under-qualified educators are forced to teach grade twelve classes without having any suitable qualifications to teach these classes. This may lead to unsatisfactory results at the end of the year. Consequently, the qualifications of the appraisee as indicated on his or her form acts as a guide to the principal in the allocation of teaching duties in certain grades.

Major learning areas: These determine what subjects an educator can successfully teach in the school without having problems with the subject content. This also gives some direction about the subject on which the appraisee must be appraised. The selection of the appraisal developmental panel becomes easier as they are selected in accordance with their subject specialisation.

<u>The learning area and the subject taught</u>: This aspect has been fully dealt with above, under the headings *qualifications* and *major learning areas*.

<u>Teaching experience</u>: This reveals performance progress in the educator's work in view of his or her years of experience, whether or not he or she has improved, the reasons for performance failure in spite of years of experience in the same field, and the strategies which might be used to curb the faults in his or her performance.

<u>Management and administrative experience</u>: This indicates the shortcomings of the educator in development in management and administration and what skills in management the educator still needs.

<u>Non-teaching experience</u>: Such experience will assist the school in utilising the previous non-teaching experience of the appraisee in the fields similar to those in which the appraisee was previously engaged, as long as this is relevant to the subject or field in which he or she is presently engaged. This may enrich the curriculum of the present school.

3.8.1   The professional growth plan

This plan is similar to self-appraisal, where it is difficult to see one's own weaknesses. The educator's objectives may be different from those of the school, despite the fact that the major aim of this research is the enhancement of the quality of teaching and learning and educator development. To make it more meaningful to the educator, it might arouse the educator's interest, trust and enthusiasm in his or her work if the educator is allowed to add some relevant aspects in this form.

3.8.2   The appraisal report

The appraisal report contains prioritised needs or criteria, identified needs, strengths of the educator, suggested development programme, suggested provider of development programme, dates for development programme delivery and signatures of all members of the panel.

Fryer and Findley (1989:2) maintain that the appraisal report, amongst others, is the most important report as the appraisee can use it as part of his or her curriculum vitae. The appraisee

therefore has access to this file. This report prevents summative decisions that evaluate the product of instruction, as well as the process and the person. The principle of democracy and transparency are fully implemented. This encourages the appraisee to improve in his or her work, as the chances of privacy and secrecy are limited. The report indicates the relevant areas where improvement is most needed.

3.9   CONDUCTING THE DEVELOPMENTAL APPRAISAL PROCESS

This consists mainly of three stages:

3.9.1   Pre-appraisal

This stage consists of setting up the appraisal panel, classifying the roles of members on the appraisal panel and the appraisee filling in his or her personal details on the professional growth plan forms. These forms are tabled and discussed at an appraisal panel meeting.

3.9.2   Appraisal

This stage is about actually carrying out the appraisal of the educator. For example, for educators who teach, their teaching should be observed at least twice during one year. Time constraints are a problem and learners are left without an educator. Two educators should do these observations in order that they may check each other's views. When doing the observations, appraisers need to follow the criteria that have been decided upon. These criteria outline what aspects should be observed and how these aspects ought to be treated. The observations will also include the perusal of learner portfolios and the lesson plans, records and documents of, or used by, the educator.

The results of the observations will be discussed with the appraisee at an appraisal panel meeting.

3.9.3   Post-appraisal

A Facilitator's Manual (1997:47-48) maintains that the after appraisal, the appraisers will report on their findings to the appraisal panel, with the appraisees present. The results of the appraisal are discussed openly and a joint decision taken. The appraisal report will then be completed. The appraisal report must stipulate what kind of developmental programmes can be used to further

improve the educator's performance. These programmes may consist of in-service training, or the non-governmental organisations may recommend counselling and other types of support that are felt to be necessary. In order to validate the report, it must be signed by all the members of the appraisal panel.

3.10 THE TASK OF THE HUMAN RESOURCES MANAGER AND SCHOOL MANAGEMENT TEAM

The report of Department of Education (1996:45) maintains that the human resources manager is the one who develops people, whether they are managers, professional, technical or support staff. This requires harmonising their personal interests – their skills, aspirations and learning needs – and the needs of the system in transition, and creating incentives for better performance. Furthermore, the human resources manager empowers educators and individuals working in a constantly changing environment and who require support. Managing people (ensuring that work gets done properly and on time) and developing their skills (ensuring that they have opportunities to improve the quality of their work) ensures continuous improvement and positive change for everyone in the organisation and makes excellence in our schools possible.

Morris and Everard (1986:90) emphasise that the manager is an organiser, a director and a controller of resources. They argue that the manager of resources must integrate his or her resources in the effective pursuit of his or her goals. The school management team must be the agent of effective change and must maintain and develop available human resources. This integration involves many things, The managerial role, as opposed to a teaching role, entails that the management team must be the glue in the school - hopefully, not in the sense of gumming-up the works, as those whom they manage will inevitably see it that way at times – but in the sense of holding the school together.

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. This is not the easy way of learning the lessons. Morris and Everard (1990:5) point out that, throughout the educational process, success tends to depend on demonstrating the exploitation of one's own ideas and talents. This will be the focus in one's first teaching appointments. They add that all the team members must take the decision jointly. As mentioned before, the team members must be committed and ensure that their ideas are put into effect. In the above situation, the management team is less concerned

with being a resource than with using resources. At many levels of school management, educators are fulfilling both classroom and management roles. The danger of this is one forgets that behaviour that succeeds in the classroom is different from that required to motivate a team. In supporting the above arguments, Ubben and Hughes (1992:285) state that the most important resource in a school is its staff. When staff are congruent with organisational needs, well trained, adaptive and motivated, great things could happen. The researcher believes that, to achieve this, requires attention to the variety of ways in which human potential can be realised and to the variety of needs that any particular person may have at any particular stage of growth. All these tasks rest with the resources management team in any school situation.

3.10.1   Leadership skills required by a human resources manager

A human resources manager requires certain leadership skills. These coincide with certain management skills. Management style models are based on the premise that every manager has two main concerns. These are, concern to achieve results and concern for relationships. Morris and Everard (1990:16-18) are of the opinion that these two concerns are in conflict and that the more a person is concerned with results, the less he or she would be concerned about relationships and vice versa. It is argued that managers are not either principally concerned about relationships, but that it is possible to be concerned about both at the same time and indeed, to be concerned about neither.

A further characteristic of the manager quoted by Van der Westhuizen (Ed.) *et al.* (1999:101-103) is that thoughtful attention to the needs of people leads to satisfying relationships and this results in a relaxed, friendly atmosphere and an easy-going work tempo in an organisation. This style is in line with the new developmental system in our new education system in the Republic of South Africa. Sufficient achievements by the school are possible, as the need to complete work is balanced by keeping the morale of people at a satisfactory level. This management style is conducive to the new developmental system and employs minimum effort to get the work done and yet remain a member of the school.

Van der Westhuizen (Ed.) *et al.* (1999:103) further argue that the ideal manager's grid would reflect that management style. It is argued that this style uses subordinates and their ideas. The leader encourages creativity; the ideas of staff are used, it allows the objectives of the school and the needs of people to unite, the aspects of the organisation are discussed with the staff, and it

emphasises achievement and the attainment of objectives. The above characteristics are democratic and transparent in nature.

3.10.1.1 *Morris and Everard Style Management Model (modified)*

According to Morris and Everard (1990:15-18), their management style models are assertive, solicitous, motivational, passive, political and administrative.

The assertive management style model: This manager wants things done in his or her own way. He or she tells rather than listens. He or she is not concerned with other people's opinions and becomes aggressive if challenged. This is a very crude style of management, which will not develop any educator. This is not the management style of the changing South African education.

The solicitous management style model: This style tends towards management by committee. It praises achievement and develops the educators. It is acceptable to all staff members.

The motivational or problem solving management style model: This model sticks to the goals of the school and expects achievements among members. It monitors work performance against goals, involves staff in decisions that affect them and helps staff members to find solutions to poor performance.

The passive management style: This management style model resists change in education and blames other people for creating intolerable conditions. This style frustrates, threatens and disillusions the educators, with no development taking place in the classroom.

The political management style: This style draws attention to the faults of others. It is undesirable in the new developmental system of educators.

The administrative management style: This style supports the maintenance of the existing system of education to the exclusion of changes like those advocated by outcome-based education. It is against departmental policy; is neither creative nor innovative and may manifest itself by inappropriate use of assertive behaviour.

Morris and Everard (1986:23) argue that the inappropriate behaviour may show itself in many ways such as:

- ❑ The subordinate adopting a passive role because his ideas are not accommodated;
- ❑ The subordinate maintaining that the manager does not motivate his educators; or
- ❑ The manager is competing rather than contributing.

Sometimes inappropriate behaviour might result in the inappropriate use of solutions, such as slackness in carrying out tasks and the undermining of superiors in absentia:

In addition, Morris and Everard (1986:24) point out that the passive and political behaviour that is directed neither toward the results nor towards relationships is unlikely to be of much real value to the school, except for the accomplishment of purely manual tasks under strict supervision.

In view of the above management styles, it is obvious that their understanding is necessary as this leaves the manager with a variety of options. One should bear in mind that different situations call for different reactions. The situation will determine when the manager needs to be assertive, when to guide, direct, motivate and support the educator.

3.10.2   The importance of the management team's role in human resources

The role of the management team in human resource and organisational development is a crucial one. Even if the school, district and circuit is not operating on an enlightened development model, there is much that can occur at school level to systematically address educator development and provide for a responsive organisation.

3.11   EDUCATOR APPRAISAL, AN INTEGRAL HUMAN RESOURCE MANAGEMENT FUNCTION IN EDUCATION MANAGEMENT IN THIS STUDY

3.11.1   Introduction

Morris and Everard (1990:78) assert that in many ways we treat people as any other resource, selecting the best person for the goal we wish to accomplish - maintaining, improving and

adapting the resource as we would a building or piece of equipment to ensure that it meets our needs. Indeed the true human resource is not the whole person, but his or her efforts, which will be jointly managed by the individual and the management of the organisation in which he or she works. The educators are shocked at the idea of describing staff as human resources.

Morris and Everard (1990:78) further ask the following searching questions:

- *Where does the average school management stand?*
- *Do we accept that in selecting a new member of staff, it is essential that we find out from the candidate how his or her skills and personality will blend with the needs of the school and the existing skill and personality mix?*
- *Do we believe that we can sit as equals with our staff to discuss their performance and our own performance in order that both of us can develop as individuals and as members of a team, albeit with different roles in the team? or*
- *Do we feel that relationships are such that they will see appraisal of our colleagues as 'judgement', and that it would be 'improper' for them to pass a view on the performance of their 'superior'?*

Resources seem to be most freely available in the areas where they are least needed. For example in teaching, the teaching staff members most readily available are those for subjects for whom commercial employers have the least need. A similar phenomenon occurs with equipment and schools can easily become depositories for cheap junk or even worse, expensive junk sold to education authorities at bargain prices.

3.11.2   Educator appraisal and human resource provision

It is argued that in the teaching profession it is more difficult than elsewhere to invoke sanctions against the incompetent. We are therefore entirely dependent on the recruitment of good staff and the creation of open relationships in which staff at different levels will work together to make themselves, each other, and the organisation more effective. It is therefore particularly important to pay attention to recruitment. Although proper care in recruitment will not do away with appraisal, it definitely makes it easier if one is dealing with suitably qualified and competent educators.

3.11.2.1 Recruitment of staff

It is generally agreed that the standard elements in the recruitment of staff are job description, personal profile, attracting suitable candidates, the personal application and planning for an interview.

The person under whose immediate direction the new recruit will work must be involved in all the above stages of the process. Usually the views of those with whom the recruit will work and those whom the recruit will lead, are taken into consideration. This may allow for creative input and at the interview stage, builds staff commitment and assist the candidate to assess the environment in which he or she will have to work (Morris and Everard, 1990:79).

3.11.2.2 The job description

Whatever job description is developed should be open to revision after appointment, as a candidate may emerge with unforeseen talents that one may wish to exploit. This is common in tuition. A job description may contain a job title (a mathematics educator for grade twelve), a brief description of the purpose of the job, reporting relationships and a description of duties. Recently, employers have developed a new concept, i.e. *competence*, which is the ability and attitudes (not qualifications) that the occupant of the post needs to possess. These may be the use and abuse of time and criteria for effectiveness, which show us how performance in the job will be assessed. For a departmental head of English for example, the criteria might be whether the results are good or not; time management techniques, the action diary, the daily action sheet, stress management, assertiveness and developing one's own competence and managing one's learning.

3.11.2.3 The personal application

The department has a standard, mostly well-designed form to bring out all the factual information needed and also to elicit data that may give the employer a clue to behaviour. This application form is not meant to be judgmental in nature. It makes it clear what the applicant's references are and whether or not these will be followed up before the interview, unless there is a request not to do so.

There is great concern that the application form lacks information, for example an unexplained break between periods of employment, particularly in the educator's career. This may mean imprisonment, illness, dismissal for misconduct, or a clash of personalities that has led to the applicant's resignation from one job before getting the next. Whether the circumstances are acceptable to the department or not, the point is that the superintendent of education, district superintendent and the regional chief director want to know what these missing details are. A note should be made on the form to bring the matter up at interview. Once the applicant has signed an application form for work, it is extremely difficult to reject him or her in the current new education system, because of possible labour implications.

3.11.2.4 Planning the interview

The purpose of an interview is to find out which one of the short-listed candidates best fits the needs of the position. It must be noted that the panel is not looking for the most likeable person or even the one with the best task record in his or her last job. In short, it is important to think about the kind of facts and interview reactions that will help the panel to reach a meaningful conclusion on the judgmental criteria. This was discussed extensively in Chapter Two in this research. It will be appropriate to say that informal preliminaries in the interview should be encouraged as they help the candidate to decide whether he or she wishes to select the job, as well as in providing potential behavioural input of the selection process to the school.

3.12 EDUCATOR APPRAISAL AND HUMAN RESOURCES DEVELOPMENT

Educator appraisal and human resources development are inter-linked. Their purpose is to develop the educator and to enable him or her to provide quality education. The emphasis is on in-service training, which industry and commerce have felt necessary since the 1960's through the industrial training boards and the manpower services commission. The training agency has only in the last decade received priority in the profession and is responsible for preparing tomorrow's citizens. Even so, in some cases, educators attending external courses may have to meet all, or a part, of their fees. Appraisal and development procedures – standard practice in most walks of life now - are consequently still not fully skilled and are treated with suspicion in parts of the educational profession, especially in the rural areas of South Africa.

3.12.1 Types of development needs

The purpose of staff development may vary and some needs will be specific to the individual educator, though two or more individuals may have a similar need. Others, usually those related to change, would concern groups of people or the entire organisation. These types of needs may be induction, improvement of performance in the current position, requirements for new skills and attitudes, the introduction of new methods and approaches and the whole organisational development.

3.13 EDUCATOR APPRAISAL AND HUMAN RESOURCES UTILISATION

3.13.1 Objectives of personnel utilisation

The major objectives of this concept are to promote an understanding of and provide insight into the importance of effective personnel utilisation so that it will be to the best advantage of learners' teaching and education.

It is of crucial importance to have a fair and equitable division of labour among staff members as a method whereby the educational manager can enhance educators' job satisfaction.

The importance of effective communication and co-ordination in educational personnel administration can hardly be overemphasised.

Delegation as a basic requirement for effective educational management is important. One of the most important aspects of staff utilisation is the division of work among the available staff. This aspect has previously been discussed in this research. When staff utilisation is spoken of, one involuntarily thinks of the utilisation of time. One wonders whether the available time is being utilised profitably. Does every educator pull his or her weight? Do educators ensure that they turn up at school at the right time and begin with their work immediately? Do they utilise available time profitably? These problems adversely affect the present budget in the Department of Education in South Africa.

The staff should be utilised in such a way that they are happy and satisfied. For that reason, great stress is placed on the fact that every educator's capabilities and interests should be taken into

account when a task is entrusted to him or her. To expect an educator to perform a task, to which he or she is not equal, can only give rise to frustration and end up in poor results.

3.13.2   Importance of effective personnel utilisation

Effective personnel utilisation relates closely to proper personnel supply, with which we have dealt above. After all, people can only be used for specific tasks if they possess the basic expertise, skills and personality traits.

Effective personnel utilisation in the school situation must always aim at bringing learners and educators together to the greatest benefit of the learners' teaching and education.

Fourie (1998:274) maintains that there is little doubt that a strong correlation exists between performance appraisal and performance management. It is argued that these are combined because of remuneration. This is the reason why most organisations are gravely concerned with their productivity and performance management.

It is therefore argued that personnel utilisation must be planned so that it applies to every colleague's services as profitably and as beneficially as possible. The educator must get the satisfaction of a proper day's work from the task assigned to him or her.

It is further argued that, where possible, each individual's task must be constructed to form a logically coherent entity. The more homogeneous the problems of this sphere of work, the better the chances that he or she will cope successfully.

Task assignment must be planned to involve similar activities. An individual in a particular post should not be required to possess too divergent a range of skills and abilities. When applied to the school situation, this would mean that the principal should not use a gratified kindergarten educator to teach English to senior secondary classes as well or the senior mathematics educator for the high school should not be used to teach arts and crafts to grade five simply to fill his timetable).

Tasks should be assigned to give the individual every opportunity to develop his or her initiative and to constructively apply all his or her skills and abilities. The essence of the task must permit and facilitate co-operation with others.

Tasks assigned must be of a similar nature; they must not be combined with activities demanding abilities beyond the employee's powers. This would cause frustration and unhappiness as the employee will be unable to accomplish certain facets of his or her task without specialised training.

Work at a higher hierarchical level is much better paid. Hence, the tasks assigned should not combine elements that are too diverse in this respect. The principal should not be expected to type his own correspondence and it would be just as unfair to expect the typist to take critical policy decisions.

Wherever possible, an employee should conduct his activities in the same place or building. The physical conditions for task fulfilment are thus important. When applied to the school situation, this means that timetable planning should eliminate movement of either educators or learners where a fifteen minute walk is required from one building to another, especially when there is no break between periods.

Equitable distribution of work remains a prickly issue and no principal will ever completely satisfy every member of staff. Matters are simplified, however, if the staff and the principal have a good relationship, if there is mutual trust, loyalty and a healthy staff spirit. Moreover, if the principal has a dedicated teaching corps with a keen sense of duty, a love for their profession and a strong sense of solidarity, most of the problems associated with division of work are easily solved.

Concurring with Fourie (1998:274), West-Burnham (1993:78) also claims that although the appraisal process depends on the appropriate structures and procedures, these have to be reinforced by effective personal relationships. Appraisal is not an administrative procedure. To be effective it requires individuals to talk about their work in an open and analytic way. As much of a teacher's work can only be understood through perceptions, the appraiser requires significant skills to enhance the understanding and the analysis of the teaching and management process. The need for these skills is further enhanced by the need for trust, generally perceived by educators to

be an essential pre-requisite for a successful appraisal. Trust is manifested through appropriate behaviour and demonstrated commitment.

It is important in this case to stress the transferability of many skills - appraisers and appraisees need not enter the appraisal process bereft of relevant experience.

3.14   THE PRINCIPAL AND APPRAISAL TEAM AS AGENTS OF CHANGE

3.14.1   Introduction

Van der Westhuizen *et al.* (1999:652) maintain that change in the school is in the service of the improvement thereof. The theory of change and the natural resistance to change implies that change can only succeed with the active involvement and support of the principal and appraisal teams. During this current change in the South African education system, however, not only the principal is to effect change, the appraisal team must also work hand in hand with the principal.

Van der Westhuizen *et al.* (1999:652) add that the importance of the role of the principal in the daily activities of the school is emphasised by research in the United States of America and in Western Europe (Vanderberghe, 1988:2).

Deliberations concerning the role of the principal and appraisal team as facilitators of change do suggest that there can be distinguished between principals and appraisal teams who are more successful than others in the implementation of change.

Quoted by Van der Westhuizen (Ed.) *et al.* (1999:652), Vanderberghe (1988:2) claims that, "there are indications that effective school principals think differently about their role and also define their role in a specific way for themselves."

Quoted also by Van der Westhuizen *et al.* (1999:652), Rutherford maintains that a direct correlation exists between the level of effectiveness in the change process and the competency input of the person(s) responsible for the change. This implies that the school principal can and should fulfil an important role in the facilitation of change to improve the school situation.

3.14.2   Prerequisites for effective management of change

Hall and Hord (1987:231) argue that managers are not inclined to initiate change. However, it would seem that when managers become aware that it is expected of them to effect some changes at their school, they see to it that it is done effectively. An important characteristic of managers is their preparedness to protect educators from excessive demands and expectations. Herman and Herman (1994:3) maintain that the prerequisites for successful management and the implementation of transformational change may be a commitment to the change by the leaders and by a critical mass among the stakeholders and a clear and desirable vision of what the school will be like once the change is complete.

There should exist clear-cut strategic goals to be reached as the organisation undergoes the change process and milestones should be established to guide the path of the change. The detailed tactical plans should be decided upon and be made available in understandable language 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, should they not possess the required knowledge or skills.

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

High quality, comprehensive and frequent two-way communication should take place throughout the entire change process.

It is argued that adjustment to the factual or strategic plans should be made during the formative period of the change process if changes are required during the initiation and implementation stages of change. The principal and the appraisal team should give recognition to all doing good work and should attend group celebrations every time an important milestone is reached.

3.14.3   Skills needed by principals and appraisal teams to manage change

According to Carnall (1986:106), the principal needs certain skills in order to successfully initiate and manage change. Carnall argues that vision and creativity are prerequisites for the systematic planning for solving new problems.

The principal and the appraisal teams should have an understanding of how groups function and have familiarity with adult education and of running workshops. They should have wide teaching experience, a sound knowledge of educational management and a good general knowledge of other disciplines. They should have skills for enhancing communication, trust and self-confidence and be willing to confront people when necessary, without generating hostility. They should have a sound understanding of how to handle conflict and stress. It is vital that the principal and the appraisal team have the ability to identify their own and others' strengths and weaknesses and, as leaders, they should have skills in planning for action and implementation.

Harvey-Jones (1988:96) argues that, "the ability to create and manage the future in the way that we wish is what differentiates the good manager from the bad one."

Morris and Everard (1990:242-246) further maintain that in getting consensus decisions, the observation of people who are more successful than others at managing complex organisations like schools in which major changes have to be implemented, shows that they tend to have a distinctive mixture of knowledge, skill, personal attitude and value, and the capacity to orchestrate these as they make a host of personal decisions that lie at the heart of organisational management. By the very nature of their competence as educators, principals are well endowed with some of the qualities that are required – more so, perhaps, than their counterparts in industry.

An understanding of the kind of person who is good at handling change is helpful both in selecting senior staff and project leaders and in assessing what qualities we need to develop.

To manage change, the principals and appraisal teams must know clearly what they want to achieve at school and should not theorise, but translate desires into practical actions. They should see the proposed changes from not only their own point of view, but also from that of others. They should try their best to harness circumstances to enable change to be implemented and

clearly explain this change. They should involve their staff in the management of change and protect their security. Under all circumstances, principals and appraisal teams should not pile one change on top of another, but await assimilation and should make change personally rewarding to educators wherever possible. Lastly, they should plan carefully for change and consult, counsel, train and teach their staff well in advance.

3.15 THE MANAGEMENT OF THE CHANGE PROCESS OF APPRAISAL

Since change is certain to occur, we should manage it, rather than cope with it on an ad hoc basis. The following principles may underline the management of change in order to increase school effectiveness.

3.15.1 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.

3.15.2 Outside support

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

3.15.3 Informal relationships

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

3.15.4 School appraisal

Change in a school is much more satisfying if it is based upon school-based reviews or school appraisal, since the remedying of any internal school problems is then related directly to their

identification. Dissatisfaction with certain aspects of school organisations revealed by the review process will also motivate the change process.

3.15.5 Change in teaching methods

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

3.15.6 Behavioural change

According to Robbin's (1996:1132) glossary, behavioural change is "an intention to behave in a certain way towards someone or something." Change should be behaviourally oriented, since changes in the behaviour of staff are more likely to generate attitude changes among learners and other educators on which the successful long term reinforcement of change depends. The change that is oriented only towards change of attitude is likely to dissipate quicker because of the resulting lack of reinforcement.

3.15.7 Long term process

The change process should be long term, involving a *review – improvement – evaluation – further improvement* cycle of at least three or probably five years.

3.15.8 Consultative management

The change process needs effective management. This should not be in a top-down manner, as it is important that educators 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.

3.15.9   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. It is essential to relay this information to the participants in the change programme, both to generate reinforcement of the change programme if it is effective, and/or to show areas where new or revised change attempts are needed.

3.15.10   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 probable poor inter-group levels of communication, as well as be concerned with the organisation of the school.

3.16   MANAGING RESISTANCE TO CHANGE

Organisational change comes in all shapes and sizes. The change may be new and unfamiliar equipment (such as personal computers), reorganising a new curriculum plan, or perhaps 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 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.

3.16.1   Prerequisites

As prerequisites to managing change, the manager in a school situation should strive to build an organisation with distinctive approaches to **purpose, structure, process, people, realism,** and the **environment**.

3.16.2 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 these criteria for effectiveness.

3.16.3 Structure

The 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. Some learning periods in a school may thus be 45 minutes.

3.16.4 Process

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

3.16.5 People

Peters and Waterman (1982:322) argue that each individual's identity, integrity and freedom are respected, and work is organised as far as possible in consideration thereof. Everyone's work is valued (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, which stems 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 takes place routinely.

3.16.6 Realism

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

3.16.7 Environment

Morris and Everard (1990:239) state that 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 is made. A school would have its eyes and an ear 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.

Morris and Everard (1990:239) further contend that, all school principals that change must not simply aggravate educators' problems in any school situation. In schools, plans for implementing change fail in some cases, as some principals tend to be too rational. They develop in their minds a clear, coherent vision of where they want to be, assume that all they have to do is to spell out the logic to the world in words of one syllable and then everyone will be immediately motivated to follow the lead. 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 are operate at a different level of thought from that of the people to be affected by the change and above that, 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.

3.17 STRATEGIES TO CURB RESISTANCE TO CHANGE

These strategies have been adapted from Van der Westhuizen (Ed.) *et al.* (1996:189-192) and are relevant to South African classroom situations. The strategies may help in the South African school situation. KwaZulu-Natal educators have been oriented in the following strategies.

3.17.1 Education and communication

When information is inaccurate or analysis inaccurately – this is attended to. Once people are persuaded, they will often help with the implementation of change, but can be time consuming if too many people are involved.

3.17.2 Participation and involvement

When the initiators do not have all the information required, they need to design the change, especially where others have considered resisting this change. All the stakeholders in the school situation must be involved. People who participate will be committed to implementing change, and any relevant information they have will be integrated into the change plan. This process could be very time consuming if participant design could appropriate change. It could be expensive and still fail.

3.17.3 Facilitation and support

Where people are resisting because of adjustment, problems are amicably solved. It should be emphasised that the principal and appraisal team should have relevant skills to successfully solve such problems.

3.17.4 Negotiation and agreement

Where someone or a group loses out when change takes place, and where that group has considerable power to resist, all the groups with their different opinions are brought together to reconcile their differences. It is sometimes relatively easy to avoid major resistance, but it is argued that this can be too expensive if it alerts others to negotiate for compliance.

3.17.5   Manipulation and co-operation

Where other tactics will not work, or are too expensive, different tactics are used and the cost thereof is taken into consideration. If people are manipulated, it is a quick and inexpensive solution to resisting problems.

3.17.6   Explicit and implicit

Where speed is essential and the change initiators possess considerable power to change, those concerned are motivated towards change by explaining the future to them. This is a speedy approach and can overcome any kind of resistance but may be risky if it antagonises people at the initiation stage.

3.17.7   Methods of managing change

A variety of strategies and methods have to be used to bring about change. Van der Westhuizen (Ed.) *et al.* (1996:189-93) argue that change must be structured and pursued with thorough and subjective strategies to prevent oversight or neglect of the relevant issues. At all times change must be based on a need to eliminate resistance to change.

Each school's plan for change must accommodate the relevant people and their unique needs. Change is a gradual process and requires the active engagement of the agents of change until the change has been fully internalised into the school situation. Any existing structure in a school should be modified if it appears that the intended change will fail without such modification.

The implementation of change should be adaptable rather than rigid. Instead of insisting on firm rules and direct supervision, a flexible plan, which allows for spontaneous modification of the stated programme in the face of unforeseen factors, is desirable in schools in order to curb resistance to change.

3.17.8   Guidelines for the management of resistance to change

According to Burkett (1990:147), Van der Westhuizen (Ed.) *et al.* (1996:191-192) and others, the following are the guidelines for managing change. Change is a process that occurs over time. This change consists of various steps involving and affecting individuals, organisations and many sub-systems. If the process is to be handled correctly, the dynamics of change need to be understood by all stakeholders.

This research also maintains that these guidelines may manage resistance to change.

The school must be analysed in terms of the present situation. Obstacles and the forces that could be responsible for the problems must be eliminated and the type of change to be made must be identified.

The factors that may play a role in the envisaged change must be identified and analysed. Lemmer and Squelch (1994:137) mention two such areas, one being structural change, which refers to changes to departmental policies, rules and procedures. The other is people-centred change, which focuses on changing peoples' attitudes, behaviour, performance and the way they act. In the school situation, educators are required to create a classroom culture and a learning experience that is relevant to all their learners. Trethowan (1983:53, 127) provides more areas than Lemmer and Squelch where the educator is supposed to change. These may be the educator in the classroom, the educator in the community, the educator as a manager, and the educator in the future. This may include training for the educator in leadership skills, decision-making skills, interview skills and inter-personal skills.

In the final analysis, the focus should fall on the question of who is likely to resist change. The educators may resist change in the way they are supposed to teach in the modern day. They may also resist change in the way they are supposed to record data. Using computers, for example, may frustrate them in the classroom situation. The governing bodies might also resist change. For example, the change from model C schools to public schools was a result of government action in South Africa. All these may affect classroom performance in schools.

Although the strategy and methods are painstakingly selected, there can still be unforeseen circumstances during the implementation of change. These can be dealt with through careful monitoring and management.

Van der Westhuizen (Ed.) *et al.* (1999:655) state that the following guidelines might facilitate change:

- Prior to any change being successfully implemented, the educational leaders involved should orientate and motivate themselves thoroughly, particularly with regard to the intended change. Furthermore, the intended innovation should be communicated as being an improvement and as beneficial to teachers and others involved.

- It is imperative that during the pre-implementation phase, particular attention should be given to the motivation of the people, the purpose of the process of change, the setting out of the manner of implementation as a systematic and step-by-step process, the way in which the effect of change is evaluated, and how the related strategy for change is maintained.

- Any grey areas should be dealt with during this phase. Those involved should be given the opportunity to take credit personally for the intended change and resistance to the change should be eliminated as far as possible.

3.18   CHANGE IN THE SOUTH AFRICAN EDUCATIONAL ENVIRONMENT

3.18.1   Introduction

Educators at every level of the management process must understand the changes now taking place, as these changes will fundamentally alter many of the practices of the past and demand new approaches and understandings of the role of educational planners, managers, administrators, educators and support staff at every level of the educational system. Far-reaching system changes are envisaged in the policies of the government and these will have implications for the way in which administrators and managers interpret their role in the education system. These changes will provide opportunities for managers and administrators to participate in and interpret in a manner that is meaningful for practice.

3.18.2 Educational managers need not be the passive recipients of the process of change, but they themselves can play an active part in the process.

In order for educational managers to do the above, they need to have a clear understanding of the boundaries within which change is envisaged by the overarching policies of the government. The intervention of educators throughout the system cannot take place in a vacuum. The underlying values and principles and the goals implied by the constitution, circumscribe it. 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. How will they do so in a way that is consistent with other goals, like educational quality, the efficient use of resources and providing a meaningful learning environment? These and many other questions will have to be answered by didactics in a creative way so that the best advantage can be taken of the process of change and that the country as a whole can derive the greatest benefit.

The changes that are envisaged will affect every element of the educational system. While it is not possible to examine all of them, a number of key areas of change will have an impact on the work of educational managers and administrators.

3.18.3 Educational system in South Africa

3.18.3.1 Introduction to the system of education in South Africa

Before 1994, the educational objectives in South Africa were fragmented, with each provincial department having a different set of objectives. It was the De Lange report of the Human Science Research Council (1981), as quoted by Claassen in Schalkwyk and Dekker (1995:466) that recommended the guiding principles for a common education policy in South Africa. Some of those principles have been retained as educational objectives in the Republic of South Africa (Van Schalkwyk & Dekker, 1995:466-468).

Educational opportunities for education, irrespective of race, colour, creed or sex should be created. Freedom of choice of the individual parents and organisations in society should be recognised.

It is argued that the provision of education should be directed at the needs of the <u>individual</u> and those of <u>society</u>, and the demands of economic development and the human resource needs should be taken into consideration.

It was envisaged that the provision of formal education would be the responsibility of the state and that parents and society would <u>share</u> this responsibility. This is happening although South Africa is currently experiencing budgetary constraints. The nine provincial education departments are not sufficiently funded, Van Schalkwyk and Dekker, (Ed.) *et al.* (1995:466-467).

It is argued that the educational objectives of the democratic era have **not yet been fulfilled** but that they have been entrenched in the South African Constitution, Article 31 (Republic of South Africa, 1996). The objectives are that every person should have the right to **basic education** and **equal access** to educational institutions, to instruction in the language of his or her choice where this is practicable and to establish, where practicable, educational **institutions** based on common culture, language or religion, provided that there shall be no discrimination on the grounds of race (Van Schalkwyk & Dekker 1995:467). As pointed out previously, these objectives have not taken off although one sees slight traces of some of them in some communities. Education should play a major role towards achieving these objectives.

Despite the principles and objectives entrenched in the National Education Policy Investigation of the National Education Co-ordinating Committee (NEPI 1993:1-4) proposing that education should be based on non-racism, non-sexism, democracy, equality, a unitary system and redress (Van Schalkwyk & Dekker, 1995:467), this is not happening. Where it is happening, the pace is too slow and, in most cases, is politically motivated.

Munro (1995:21-32) conducted research on the development of human potential under the auspices of the University of Natal. This study did not concentrate on appraisal and change in the classroom situation and the researcher alleges the study was general in nature. This allegation was referred to in Chapter One of this study.

Van Schalkwyk & Dekker (1995:467) remark that the reconciliation of liberty, equality and justice, so that citizens' freedom of choice is exercised within a social and national context of equality of opportunity and the redress of imbalances, the pursuit of national reconstruction, enabling the empowerment of all South African citizens, the central responsibility of the state in

providing education and the development of a national democratic culture, with respect for the value of people's diverse cultural and linguistic traditions.

Although the above principles have not been fully implemented, there are now some visible signs of this in the national education and provincial structures.

The Curriculum Model for Education in South Africa (CHED1991:12), in Van Schalkwyk and Dekker (Ed.) *et al.* (1995:467-468) maintain that education should be based, or should define these objectives. They should include: the development of learners into individuals with a developed intellect, sound and moral character and the ability to think critically, the development of the inherent potential of learners, providing the learners with the necessary basis for occupational competence and the education of learners towards responsible citizens.

These objectives may not be achieved if the main stakeholders (educators and parents) do not take these objectives as a challenge in building up the future leaders of our country. This obligation rests with the educators and parents to see that these objectives are realised by all. This must therefore be a joint effort.

It is a general belief that in South African education, learners should be given sound, practical and vocational preparation as a foundation in life for the world of work. This field has been neglected in most cases in the South African school curriculum.

3.19   INFLUENCE OF CHANGE ON EDUCATOR APPRAISAL

3.19.1   Introduction

The Department of National Education has already conducted a national educator appraisal pilot project (Chisholm *et al.* 1997). In this pilot report, the educators reflected critically on the usefulness and problems of the instrument (Educator Appraisal), including the process and procedures, development plan and the criteria used. Although, this concept was dealt with thoroughly in Chapter Two, this section will only concentrate on the educators' views as affected by change, because of the Constitution of the Republic of South Africa (1996).

3.19.2   Usefulness of the instrument of appraisal

Chisholm *et al.* (1997:29-33; 51–56) state that one of the most important things mentioned throughout the research process by both the appraisal panels and the appraised, is the importance of the principles of transparency and openness underpinning the entire appraisal instrument. These principles are that educators should have access to all their appraisal documents including their performance outcomes or results. The importance of this, according to the educators, is that this is conducive to a non-threatening environment for conducting appraisal and a supportive environment for teaching effectively.

Chisholm, *et al.* (1997:33) stressed that the educators preferred the developmental aspect of the instrument, as opposed to the judgmental one. This was emphasised by an educator who said, "the fact that the process had proved to be more developmental than judgmental, motivates the appraised to have a desire to overcome his or her standards of teaching." One educator from the ex-Department of Education and Training also said that this process not only motivated educators, but also changed their attitudes towards their work and, most importantly, changed the learners' attitudes towards their particular subjects. It is even argued that in some of the provinces, educators' levels of self-confidence and hard work were also enhanced.

The discussion of the appraisal results by the appraisal panel with the appraised was also commended because this makes the appraised part of the decision-making process. It puts the appraisers and the appraised on the same level. According to Chisholm *et al.* (1997:33), one educator commented that, "it does not create a situation of us and them." Moreover, according to appraisers, through these discussions, both the panel and the team of appraised can share ideas. All the appraised were pleased about the provision of constructive feedback by the panel to the appraised. These discussions aided the appraised in identifying and highlighting their strengths and weaknesses. According to some educators, the process of self-appraisal further reinforced this.

One educator from a special school remarked that the appraisal process was very useful. After the process he had a thorough knowledge of the capabilities and weaknesses of educating the special child. He then realised his optimum potential and was working hard at improving his educational

and teaching ability and in developing strategies to improve himself as a professional (Chisholm *et al.* 1997:33).

A number of educators mentioned that through the appraisal process they managed to improve their classroom performance, teaching methodology and skills, and working relationships. It was good to note that the improvement of working relationships occurred between educators and management, among educators themselves as co-workers, and educators and learners. Schools also use this process in the Republic of South Africa as a vehicle to promote team spirit among educators and within the appraisal panels and because of this, mutual help between colleagues has been developed in schools.

The educators chose their own panel. It was not only the principal and the subject adviser who were involved in the actual appraisal process. Some educators saw this as a way of eradicating subjective elements and of establishing positive objectives. Educators further argued that the problem of class visits must be addressed as one person will not conduct them. In remembering the old-fashioned appraisal process, they commented that this process of appraisal should not open a path for victimisation, as the process was both subjective and judgmental in nature.

3.19.3 Problems with the educator appraisal instrument

Chisholm *et al.* (1997:34-35) are of the opinion that educators stressed that, despite the fact that the whole process is useful, it is time consuming. The amount of administrative work involved, particularly the number of forms to be filled in before and after the appraisal process, is huge. Educators feel that the instrument is still in line with the old bureaucratic administration system of evaluation, which was cumbersome. Educators also feel that the peer appraisal process is time consuming (see Chapter Four in this research). It is argued that the system of peer appraisal will not work effectively. Peer appraisal is not unconditionally accepted in South Africa as it is understood by all educators that no appraised may reflect critically on his or her teaching and that they must respond independently and honestly to the questions. On the other hand, the appraised may find it necessary to discuss his or her self-appraisal with the appraiser if he or she requires support and guidance on how to improve his or her teaching skills.

Educators also argue that the new proposed educator appraisal should be conducted three times a year per educator, but they also feel that this will be technically impossible as it will have a

detrimental affect on teaching time. Under-staffed schools will also be affected where peer appraisal could not take place because of a shortage of staff. It is also argued that peer appraisal affects the work of heads of department's, as some schools have only one post for a head of department and the incumbent is, at certain times, very busy with administrative duties. This research argues that an effective appraisal panel should consist of at least four members, i.e. the principal, deputy-principals, heads of department or subject heads, peers and subject advisers.

This new educator appraisal system/instrument still uses grading and rating scales like the old one, which used the symbols A, B, C, D or E, instead of figures or percentages. The appraisal panels share the same sentiments. The involvement of the selection committees and extra-mural activities as part of the criteria are seen by the educators as problematic as, in most cases, the governing bodies are uneducated, particularly in a rural environment,.

The language issue also creates some problems as the instrument uses difficult technical terms, which are accessible to academics only. This affected the manner in which certain field note questions were answered.

Chisholm, *et al.* (1997:35) argue that this instrument is used for different educators, both experienced and inexperienced, and is expressed by some educators as a cause for concern. The educators maintain that two instruments should be developed – one for experienced educators and one for inexperienced educators.

3.19.4   The usefulness of the development growth plan

The current changes have influenced the educators to have their own development plan in schools. School-based, in-service workshops are, for example, being conducted by the educators themselves in educators' centres. (NAPTOSA has a workshop hall at Empangeni). Educators maintain that this development plan may restore and develop the culture of teaching and learning in schools. The educators also maintain that this development plan may improve their subject knowledge. In South African schools currently, educators are being trained in the new structures, such as outcome-based education, and are busy with the implementation thereof. However, the review committee, headed by Professor Linda Chisholm, has recommended the scrapping of outcome-based education (Daily News:Thursday June 1, 2000). It is alleged that *Curriculum 2005* has confused educators. In 1998, some provinces introduced outcomes-based education in

grade one. We have, however, not seen the results of this new curriculum approach, particularly among the black communities. It is evident from practical experience and observations in schools that this process/system of appraisal might fail.

There are some constraints in introducing the development plan. Budget constraints may cause the plan to fail, as there is a lack of adequate resources in schools, a lack of and late delivery of textbooks, a lack of teaching aids, electricity, laboratories, facilities for extra mural activities, photocopying machines, computers and overhead projectors. There is also a lack of human and physical resources such as psychologists, psychiatrists, remedial educators, occupational and physiotherapists and places or clinics to which learners can be referred. Understaffed and overcrowded schools with high educator-learner ratios will also affect the introduction of a development plan.

This research also foresees a great problem in the implementation of a development plan because of the lack of sufficient classrooms in some of the farm and rural schools, e.g. in the Louwsburg and Melmoth districts, etc.

3.20   CONCLUSION

It is maintained that the changes now taking place have altered many of the practices of the past and demand new approaches in the management of education.

As a school manager, the principal must be well equipped with professional and administrative skills in order to do a good job in managing the school. The skills in managing human and material resources are essential if at all the principal is to succeed in his or her duties in the school situation. This entails that the principal and the management teams be well vested with change skills in order to cope with the changing educational environment in South Africa, particularly in the classroom situation.

All the stakeholders must be involved in the change process of their learners' education in South Africa. This education must prepare the learners for the future world of work.

The effective management of the new development system and change is expected to play a vital role in developing and improving educators' classroom performance.

CHAPTER FOUR

EMPIRICAL RESEARCH INTO THE CONCEPT OF APPRAISAL: MANAGEMENT OF THE APPRAISAL SYSTEM AND CHANGE WITHIN THE CHANGING SOUTH AFRICAN ENVIRONMENT

4.1   INTRODUCTION

There is no agreement among researchers on what constitutes pure empirical research. The methodology is distinct from mere data-collection techniques. However, there is consensus that surveys constitute a distinctive empirical social research method. It is therefore difficult to define surveys as they are applied to a diverse range of investigations, uses and formats.

Education as such falls under this pitfall. Authors, Manion and Cohen (1986:13-14) argue that empirical in this case means something that is verifiable by observation and evidence, data, yielding proof or strong confirmation, in probability terms, of a theory and hypothesis in a research setting. They also state that the decision for empiricism is an act of scientific faith, signifying that the best way to acquire reliable knowledge is the way of evidence obtained by direct experience as in the case in this research.

The authors Schumacher and McMillan (1993:11-14) concur with the authors Manion and Cohen (1986:13-14) cited above in that, to the researcher, empirical means guided by evidence obtained from systematic research methods, rather than by opinions. The above authors are of the opinion that empiricism and empirical attitude requires a temporary suspension as personal experience and beliefs. It is argued that critical elements in research are evidence and logical interpretation, based on the detailed evidence analysis in this chapter (see questionnaire one, two, three and four).

This study maintains that evidence is data obtained from research from which interpretations or conclusions are drawn.

For the purpose of this study the following research techniques were used: literature review, questionnaires and interviews. The intention is to add the conventional descriptions, the characteristics of each technique that are relevant to this problem of appraisal in the context of

application and practice in the sixteen KwaZulu-Natal schools, which fall under the auspices of national education in the Republic of South Africa. Because of the importance of this research it is fitting to describe the procedure followed in respect of each technique.

4.1.1   Literature review technique

Schumacher and McMillan (1993:112-142), De Vos (2000:57, 58, 64, 104, 115, 174, 179) and Neuman (1991:88-89, 101-104, 89-91, 104) all concur that a literature review is a critique of the status of knowledge on a carefully defined educational topic. It is argued that literature review enables a researcher to gain further insight from the purpose and the results of a study. It enables a researcher to define and limit the problem. It avoids unintentional and unnecessary replication. Further, it enables the researcher in the selection of a valid instrument, a more appropriate data analysis procedure, or a different methodology for studying the problem. In this research a literature review has assisted the researcher to relate the findings to previous knowledge and to suggest further research, as will be shown later in this chapter.

The literature review could not reveal a valid instrument to appraise educators as the developmental appraisal differentiates weak and good educators, thus opening a 'can of worms' in that learners and parents want their children to be taught by good teachers (see Chapter Two, paragraphs 2.2, 2.6, 2.9.3.2, 2.10.2, 2.11,2.12.2 & 2.15 and Chapter Three paragraphs 3.8, 3.10.1.1 & 3.12).

It was also difficult to find relevant literature in South African libraries, as this is a new concept in South African schools and universities. Literature reviewed in this research did not deal with the main problem of this research: "the improvement of the quality of teaching and learning" in the classroom situation. Consequently, the relevance of each reference to the main problem of this research was not explicit, with the exception of one or two policy documents, the National Teacher Appraisal Pilot Project Report (Chisholm, Gardiner, Carrim & Mokgalane, July 1997) and Developmental Appraisal for Educators: A Facilitator's Manual (July 1997).

4.1.2   The questionnaire technique

The second technique, which the researcher used in this research, was the questionnaire. The following authors also recommend this technique: Neuman (1991:231-232, 266, 249-251, 245,

239, 251-253), Schumacher and McMillan (1993:238-250) and De Vos (2000:89, 152).

The questionnaire technique is the most widely used technique for obtaining information from respondents. The researcher preferred using it in this research as it is economical. The group questionnaire that involves many respondents at once lessens expenses and has standardised questions. It ensures anonymity and the questions are written for specific purposes (see Annexures Two and Three).

The researcher encountered some problems with this technique as well. Some respondents did not understand the questions correctly and the researcher was forced to explain them in the educators' mother tongue. Where there were whites or Indians, this was time consuming. The answering of questions took more time than was expected and it was not so easy to control a group of one hundred educators at one time.

The above authors and the researcher concur that a questionnaire is an instrument with open or closed questions or statements to which a respondent must react (see De Vos (Ed.) *et al.* (2000:89) (see questionnaire one, two, three and four in this chapter). As mentioned at the beginning of this chapter, the researcher used the group questionnaire in this research. The researcher used the questionnaire as qualitative and quantitative data collection method. These two compliment each other in this research.

Leedy (1993:139) argues that qualitative research methodology deals with data that are principally verbal and quantitative research methodology deals with data that are principally numerical in nature (see questionnaire two and three in this chapter). The quantitative approach used in this research is an approach to research in the social science that is more highly formalised, as well as more explicitly controlled within a range that is more defined and which, in terms of the methods used, is closed to the physical sciences (De Vos (Ed.) *et al.* (2000:15). Qualitative approaches are those approaches in which the procedures are not as strictly formalised, while the scope is more likely to be undefined and a more philosophical model of operation is adopted (De Vos *et al.* 2000:45), as is the case in this research (see questionnaire one and four, detailed analysis of data in this chapter). These two methodological paradigms differ vastly from each other, which is the reason why even their results differ (see the analysis of data for questionnaires one, two and three in this research). However, in summing up, quantitative research is based on positivism which takes scientific explanation to be nomophetic measuring,

based on universal law and its aims measure the social world, to test hypothesis and to predict and control human behaviour (see Chapter One hypotheses and Chapter Four findings in this research). In contrast, the qualitative paradigm that stems from an anti-positivistic interpretative approach is ideographic. It is thus holistic in nature and the main aim is to understand social life and the meaning that people attach to everyday life. De Vos (Ed.) *et al.* (2000:241) also concurs with the above author (Leedy, 1993) (see questionnaires one and four in this chapter, details of data analysis).

It is assumed that human nature is unique, cannot be measured by figures and, therefore, the quantitative technique is commonly subject to that criticism. Even in this research, this belief was common in the 1980's, as pronounced by De Vos (Ed.) *et al.* (2000:245). Critics of the modernist phase argue that it is impossible for qualitative researchers to discover the real world, as the people living in it know (De Vos (Ed.) *et al.* 2000:245). They argue that qualitative studies are the researchers' interpretation of the subjects' experiences. The assumption is that qualitative researchers cannot directly capture lived experiences, data may differ, so it should not be interpreted or analysed. These are the problems that were encountered in this research.

De Vos (Ed.) *et al.* (2000:245) further argue that qualitative research leads to confusion and therefore requires serious rethinking in terms of scientific validity and reliability. In short, the question is whether the truth could ever be captured and represented by means of qualitative research, because even if the other is empowered to become a researcher, differences in power, knowledge, etc, will exist in the relationship between them as researchers and subjects. It is argued that the final product will still be that of a researcher, not that of the subjects.

4.1.3 The interview technique

Schumacher and McMillan (1993:250-256), De Vos (Ed.) *et al.* (2000:90) and the researcher concur that interviews are vocal questionnaires. The interview involves direct interaction between individuals, which has both advantages and disadvantages. The interview technique may be used with many different problems (e.g. educational) types of persons, such as those who are illiterate (governing bodies, etc.) and for persons too young to read and write. Responses can be probed, followed up, clarified and elaborated to achieve specific, accurate responses (see questionnaire one and four, detailed data analysis in this chapter). Both non-verbal and verbal human behaviour could be noted in face-to-face interviews and the interviewer had the opportunity to motivate the

respondent. The direct interaction between the respondents and the researcher was closely followed.

The above interview resulted in a much higher in-depth response rate, especially for topics that concerned the personal qualities or negative feelings of the respondents (see questionnaires two and three where the researcher used the Likert scale (*agree, disagree, undecided, disagree* and *strongly disagree*), in this chapter.

Schumacher and McMillan (1993:251 & 252) argue that interview questionnaires are usually in three forms, namely *structured, semi-structured* and *unstructured.*

Structured questions are followed by a set of choices and the respondent selects one of the choices as the answer (see questionnaire two and three in this chapter). This is the type of interview that the researcher mainly used in this research (questionnaire two and three).

The semi-structured questions have no choices from which the respondent selects an answer. The question is phrased to allow for individual responses. The question is open-ended, but is specific in its intent (see questionnaires one and four in this chapter). The researcher used this type of interview.

The unstructured questions allow the interviewer great latitude in asking broad questions in whatever order seems appropriate. This research did not use this form of questioning, as it did not seem appropriate to this research.

This researcher used structured and semi-structured questions and this provided a high degree of objectivity and uniformity in this research, yet, to a great extent, allowed probing and classification.

In the above arguments, De Vos (Ed.) *et al.* (2000:90) fully support Schumacher and McMillan (1993:251-252), as mentioned before in this section. The main pitfalls of the interview that the researcher found common in this research is that, at times, this technique is subjective, biased, costly and time-consuming. It has taken the researcher nearly ten years to complete this research. At times the researcher found that the respondents were uncomfortable in the interview and unwilling to report true feelings (for example, most respondents were not forthcoming enough to

say that the implementation of the developmental appraisal has been a failure in many KwaZulu-Natal schools.

To curb the above ill feelings among the respondents, the researcher remained neutral, a recorder of facts, and thus a neutral medium through which information is exchanged.

4.2   STATISTICS UTILISED IN THIS RESEARCH AS A WHOLE
   SOURCE: EDUCATION FOUNDATION, KZN DECEMBER 2000 DURBAN

4.2.1   Summary of learners and educators per region. Data source Snap 2000

(A summary of learners and educators per region appears on the next page in Table 4.2.1)

Table 4.2.1 Summary of learners and educators per region

| REGION | No. of Districts | No. of Circuits | No. of Schools | LEARNERS | | | | | TOTAL LEARNERS | EDUCATORS | | TOTAL EDUCATORS |
				PreGrade R	Grade R	Primary Phase	Secondary Phase	Special		Privately Paid	State Paid	
PROVINCIAL TOTAL	**41**	**195**	**5955**	**11633**	**66277**	**1673604**	**916711**	**11063**	**1679288**	**6343**	**69224**	**75567**
Public Schools	N/A	N/A	5955	8721	63150	1654683	898896	10825	2636288	3577	69051	72628
As a % of the Province	N/A	N/A	96.8%	75.0%	95.3%	98.9%	98.1%	97.8%	98.4%	56.4%	99.8%	96.1%
Independent Schools	N/A	N/A	188	2912	3127	18921	17815	238	43013	2766	173	2939
As a % of the Province	N/A	N/A	3.2%	25.0%	4.7%	1.1%	1.9%	2.2%	1.6%	43.6%	0.2%	3.9%
DURBAN SOUTH	6	24	699	2947	13999	231071	143681	1698	393396	1284	1072	11986
As a % of the Province	14.6%	12.3%	11.7%	25.%	21.1%	13.8%	15.7%	15.3%	14.7%	20.2%	15.5%	15.9%
EMPANGENI	5	26	821	1105	6950	231071	130858	667	394944	568	9612	10180
As a % of the Province	12.2%	13.3%	13.8%	9.5%	10.5%	13.8%	14.3%	6.0%	14.7%	9.0%	13.9%	13.5%
LADYSMITH	5	27	791	1253	5779	254764	129807	1719	369996	430	9660	10090
As a % of the Province	12.2%	13.8%	13.3%	10.8%	8.7%	15.2%	14.2%	15.5%	13.8%	6.8%	14.0%	13.4%
NORTH DURBAN	6	28	735	2394	11605	231438	146226	3133	388481	1724	10460	12184
As a % of the Province	14.6%	14.4%	12.3%	20.6%	17.5%	13.8%	16.0%	28.3%	14.5%	27.2%	15.1%	16.1%
PIETERMARITZBURG	5	26	832	1788	8793	194341	108331	2780	316033	1339	8118	9457
As a % of the Province	12.2%	13.3%	14.0%	15.4%	13.3%	11.6%	11.8%	25.1%	11.8%	21.1%	11.7%	12.5%
PORT SHEPSTONE	4	22	622	752	4372	174776	84018	661	264579	520	6784	7304
As a % of the Province	9.8%	11.3%	10.4%	6.5%	6.6%	10.4%	9.2%	6.0%	9.9%	8.2%	9.8%	9.7%
ULUNDI	4	27	925	771	13547	245405	111454	22	371199	318	9207	9525
As a % of the Province	14.6%	13.8%	15.5%	6.6%	20.4%	14.7%	12.2%	0.2%	13.9%	5.0%	13.3%	12.6%
VRYHEID	4	15	530	623	1232	116686	62336	383	181260	160	4681	4841
As a % of the Province	9.8%	7.7%	8.9%	5.4%	1.9%	7.0%	6.8%	3.5%	6.8%	2.5%	6.8%	6.4%

Table 4.2.2   16 schools used as a focus group

REGION	DISTRICT	CIRCUIT	NAME	EMIS	STATE	LEVEL	TOTAL LEARNERS	TOTAL EDUCATORS
DURBAN SOUTH	Umlazi North Camperdown	Maphundu Mpumalanga	Imisebe KwaMyeza	160876 182003	State	P P	535 1713	45 42
EMPANGENI	Mthunzini Lower Tugela	Esikhaleniseni Umhlali	Gobandlovu Aldingville	150109 100677	State	P P	974 835	46 42
LADYSMITH	Newcastle Mnambithi	Madadeni East Ezakheni	Muzikayise Endakeni	220964 135827	State	P Sec	1519 1183	71 49
NORTH DURBAN	City of Durban Inanda	Merewent Inanda East	Clairwood Mandlakayise	116846 196100	State	Sec P	1781 1456	51 46
PIETERMARITZBURG	Pholela Vulindlela	Bulwer Vulindlela	Enkelabantu Nkabini	137566 231631	State	P P	732 1510	44 44
PORT SHEPSTONE	Ixopo Sayidi	Highflats Dweshula	Endwebu Beaula	136234 106708	State	P P	1406 916	46
ULUNDI	Mahlabathini Ubombo	Mashona Tshongwe	Enkonjeni Cezwana	137677 115773	State	P P	1238 1432	41 39
VRYHEID	Vryheid Paulpietersburg	Bhekuzulu Dumbe	Madulini Bilanyoni	191475 110112	State	Sec P	558 2497	41 72
						3SEC 13 P 16	20 167	761
						300 USED IN THIS RESEARCH		

REMARKS

1. 16 Schools used out of 5 955 in KwaZulu Natal.
2. 300 educators used in this research out of 75 567 in KwaZulu-Natal and further from 16 schools. There were 761 educators but the research used 300 for the sak of thoroughness. It would be impossible to use all 75 567 in this research. It is implied that one manager controls 761/11 = 69 educators each.
3. 11 managers used instead of 75 5567 managers in KwaZulu Natal. Gender was taken into account.
4. The 16 schools had 20 167 learners which are controlled by 11 managers that is 21067/11 = 1 833 (this implies one manager controls 1833 learners).

Table 4.2.3   Schools with the highest enrolment in KwaZulu-Natal, December 2000.

REGION	LEARNERS	EDUCATORS
DURBAN NORTH		
1. Clairwood S.	663	51
2. Mandlakayise P.	1456	46
DURBAN SOUTH		
1. Imisebe P.	1535	45
2. KwaMyeza P	1713	42
EMPANGENI		
1. Gobandlovu P.	974	46
2. Aldinvill P.	835	42
LADYSMITH		
1. Mzikayise P.	1519	71
2. Endakane H.	1183	49
PIETERMARITZBURG		
1. Enkelabantwana P.	732	44
2. Nkabini P.	1510	44
PORT SHEPSTONE		
1. Endwebu P.	1406	46
2. Beaulah P.	916	42
ULUNDI		
1. Enkonjeni P.	1238	41
2. Cezwana P.	1432	39
VRYHEID		
1. Madulini S.	558	41
2. Bilanyoni P.	2497	72

Remarks: The above schools were chosen in this research because it demands extra capability to manage a larger school than a smaller one. It is claimed that a small school calls for minor problems than a big school.

Table 4.2.4   **Sample for exploratory study – questionnaire 1,2,3 & 4.**

1. Schools   :   5955   Sample : 16
2. Educators   :   75 567   Sample : 300
3. Learners   :   2 679 288   Sample : NIL
4. Managers   :   5955   Sample : 11

REGION	SCHOOLS	NO OF EDUCATORS IN SCHOOL	EDUCATORS INTERVIEWED	MANAGERS
DURBAN SOUTH	Imisebe P.	45	10	-
	KwaMyeza P.	42	27	1
DURBAN NORTH	Clairwood S.	51	10	1
	Mandlakayise P.	46	28	-
EMPANGENI	Gobandlovu P.	46	12	1
	Aldingville P.	42	11	-
LADYSMITH	Muzikayise P.	71	21	1
	Endakane P.	49	19	1
PIETER-MARITZBURG	Enkalabantwana P.	44	11	-
	Nkabini P.	44	25	1
PORT SHEPSTONE	Endwebu P.	46	23	1
	Beaulah P.	42	13	-
ULUNDI	Enkonjeni P.	41	16	1
	Cezwana P.	39	26	1
VRYHEID	Madulini S.	41	22	1
	Bilanyoni P.	72	26	1
	TOTALS	**761**	**300**	**11**

Table 4.2.4

Criteria used:

1   All educators were freely chosen from all regions and from a few schools (2 schools per region).

2.   Managers were chosen from 11 schools.

3.   Schools involved were those with large numbers of learners and educators. This was done in order to have a well-balanced sample.

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4.   The number of female and male respondents was balanced (see questionnaires 1-4 in Chapter Four).

Table 4.2.5   ***Comparison of numbers (schools, learners and educators) per region from highest to lowest region.***

REGION	SCHOOLS
Ulundi	925
Pietermaritzburg	832
Empangeni	821
Ladysmith	791
North Durban	735
Durban South	699
Port Shepstone	622
Vryheid	530
Totals	**5,955**

Table 4.2.5.1

REGION	EDUCATORS
Ladysmith	10 090
Empangeni	10 180
Durban South	11 986
North Durban	12 184
Vryheid	4 841
Port Shepstone	7 304
Pietermaritzburg	9 457
Ulundi	9 525
TOTAL	**75 567**

Table 4.2.5.2

REGION	LEARNERS
Durban South	393 396
Empangeni	394 344
Ladysmith	369 996
North Durban	388 481
Pietermaritzburg	316 033
Port Shepstone	264 579
Ulundi	371 199
Vryheid	4 841
TOTAL	**2 638 275**

Table 4.2.5.3

Source: Extract from Snap Survey 2000, page10

4.3   QUESTIONNAIRE 1

In the sample for this exploratory study **one hundred educators** are interviewed

	POST LEVEL	FREQUENCY	PERCENT
MALE	ONE	45	45%
FEMALE	ONE	55	55%
TOTAL		100	100

Table 4.3.1
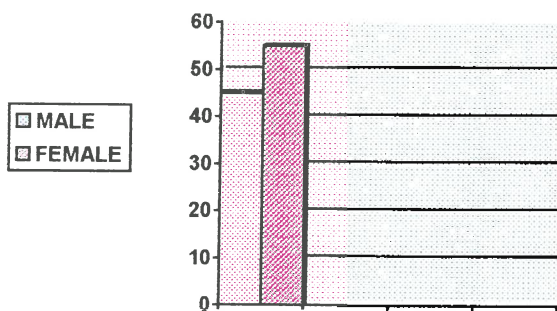
Figure 4.3.1   Educators interviewed in questionnaire one.

4.3.1   Exploratory study on the concerns of educators about the appraisal concept in the South African education environment

In this questionnaire one hundred educators were interviewed. They were all invited to one venue (Mahlabathini High School). The educators came from these schools:

- ✔   Imisebe Primary
- ✔   KwaMyeza Primary
- ✔   Gobandlovu Primary
- ✔   Aldingville Primary
- ✔   Muzikayise Primary
- ✔   Endakane High
- ✔   Clairwood Secondary
- ✔   Mandlakayise Primary

- Enkelabantwana Primary
- Nkabini Primary
- Endwebu Primary
- Beaula Primary
- Enkonjeni Primary
- Cezwana Primary
- Madulini Secondary
- Bilanyoni Primary

It was an open-ended interview and the researcher encouraged the educators to talk freely and at length about the topics introduced by the interviewer to suit the occasion. The purpose was to gather facts from the respondents to learn about their opinions, attitudes and experience.

The researcher asked questions and recorded the respondents' answers. This put the respondents at ease and facilitated the verbal exchange that gave the researcher the most information about the educator. The interviewer spent a few minutes talking to the respondents in order to establish a proper relationship. He explained the purpose of the interview and asked whether the respondents had questions or concerns. He then put the questions to the respondents in the exact words indicated on the interview schedule. The questions were not rephrased as rephrasing could affect the responses.

As respondents responded to the questions, the researcher recorded the answers by means of written notes. This was time consuming during the interview and much information was lost as the interviewees relied only on memories to write down additional responses after the interview.

The interviewer allowed time for the respondent to answer and avoided anticipating and cueing a potential answer. Roles were neutral so to not affect the nature of the response. After the interview the researcher thanked all one hundred respondents and allowed time for the respondents to make comments about the questions.

The researcher used a qualitative research paradigm in questionnaire one, as this method of research elicits participant accounts of meaning, experience or perceptions. De Vos (Ed,) *et al.* (2000:243) argue that this method produces descriptive data in the participants own spoken words or written notes. It also involves identification of the participants' beliefs, attitudes and values

that may underlie the phenomena. It is further argued that the qualitative method is mainly concerned with undertaking, rather than explanation (unlike quantitative method). De Vos (Ed.) *et al.* (2000:247) still argue about whether the shift made by qualitative researchers to become more legitimate and representative, by trying to move closer to the lives they study, could elicit a common body of knowledge from which educators in the caring professions will at all benefit.

The following questions constituted the interview schedule for questionnaire one:

- *How does appraisal affect teaching time?*
- *Are the educators trained in the appraisal process?*
- *Are the instruments of the appraisal process objective?*
- *Is the appraisal process reliable and valid?*
- *Does appraisal attend to the substance of teaching?*

4.3.1.1 How does appraisal affect teaching time?

Appraisal affects teaching time because the educator is appraised during school hours, which are meant for teaching and learning. One can either answer *yes* or *no* to this question, since it depends upon a particular school's plan and policy. If it is known beforehand and well in advance when the educator will be appraised prior planning can be done that will ensure that appraisal time is compensated for. Where there is no prior planning, this could waste a lot of teaching time.

Mathias and Jones (1995:24) support the above view in that to develop a timetable for appraisal in one's school takes two to four hours, as the timetable must also include in-service training for the educators. In developing the timetable, certain aspects must be taken into account, for example: What must specifically be done during each month/term/year?

To further support what the respondents argued about, a report on the Evaluation of the School Teacher Appraisal pilot study (1989:64) states that the process is/must be well-presented and well-managed by the head or an appraisal co-ordinator and his or her team. If management is faulty, this cripples the professional process in the classroom situation.

The educators add that appraisal also depends on its nature and scope. An educator can be appraised during contact time that does not negatively impact on teaching time. Even if some

time is wasted, however, that wastage cannot be compared to the value of appraising the educator. This is like refusing to take stock of goods/merchandise, but losing millions of rands because of this.

Chisholm *et al.* (1997:34) support the view that some educators complained about the amount of administrative work involved, particularly the number of forms to be filled in before and after the appraisal process. This is time consuming. A female respondent felt that this process was still in line with the old bureaucratic administrative system of evaluation as it is cumbersome. She suggested simplification thereof.

4.3.1.2 *Are the educators trained in the appraisal process?*

The Colleges of Education did not train educators on appraisal in South Africa, despite the fact that it is one of the programs that National Education wishes to offer in schools. Some provinces, e.g. Gauteng, have been criticised and trade unions have ruled that this process be put on hold.

To be of benefit to educators, all educators, appraisal panels, principals, deputy principals and heads of departments must be equipped with skills of appraisal. In-service training courses must be conducted long before the process of appraisal takes place. All of the respondents support the statement that educators must receive prior training in appraisal. Lemmer and Squelch (1994:125) concur with the above respondents that effective appraisal requires a high level of interview skills including listening, questioning, problem-solving and verbal skills.

The respondents stress that the appraiser should be a competent communicator. He or she should use appropriate verbal and non-verbal communication and questioning techniques, display good listening skills and provide suitable feedback.

Chisholm *et al.* (1997) stress that professional involvement in appraisal enables educators to develop themselves through various professional bodies and subject committees. They add that the appraisal process enhances teaching and subject competency.

The school needs to be clear on what it is trying to achieve, both strategically and operationally, prior to the individual appraisal. The appraisers should also discuss with the individual being appraised, organisational issues on which they require assistance and co-operation.

This research found that the appraisers are not yet fully equipped in this process. There is still a great need for the training of appraisers and appraised in this process in the KwaZulu-Natal Department of Education and Culture.

4.3.1.3 *Are the instruments of the appraisal process objective?*

The respondents argue that instruments in appraisal are subjective. They believe that appraisal does not assess the educators' performance and instead the personality of the person is assessed. Morris and Everard (1986:76) state that to achieve better results, the focus should be on results achieved against no criteria and objectives, not the person per se. The respondents further affirm that the process does little for the educator except to contribute to his or her weariness and reinforce his or her scepticism of bureaucratic routine. Although, the respondents do agree that, in a way, the psychological effect of appraisal is a boost to morale. The interviews have spoken of improved self-image, increased confidence, reassurance, a sense of support, praise and recognition, as aspects of improved morale resulting from the process of appraisal in the classroom.

It is argued that the process of appraisal gives educators access to all the appraisal documents, including their performance outcomes or results. Educators consider this as conducive to a non-threatening environment for conducting appraisal and a supportive environment for teaching effectively (Chisholm *et al.* 1997:33). The respondents concur with the above author that the process of appraisal is opposed to the judgmental approach in the classroom and to the old stereotyped evaluation of the educators in the classroom situation. This approach too, one educator remarked, changes educators' attitudes towards work and changes learners' attitudes towards their particular subjects.

Twenty per cent of the respondents argued that many educators distrust the appraisal system and that regard it as a judgement by the appraiser of the appraised, rather than as a means to future improvement. The thorny issue may be that the appraiser and the appraised may be afraid that criticism or differences of views will lead to conflict or that the normal resistance to change phenomenon may also come into play. The emphasis in this research is that the introduction of appraisal, whether or not in the form of a "career", is in itself a professional development need of organisational proportions.

4.3.1.4 *Is the appraisal process reliable and valid?*

Yes, but to a reasonable degree, as human beings who naturally have some elements of subjectivity conduct this process. This is just like passing an examination. Each examination is reliable and valid when it covers all the themes or sections that it should cover as prescribed. However, examiners may have differing views on what they consider essential. This does not mean that examinations are not reliable and valid. A well-constructed appraisal process is indeed reliable if it measures skills and abilities in a consistent manner and valid if based on proper arguments, reasons or sound logic. It is valid if it is procedurally and correctly implemented.

The respondents complain that the process of appraisal is not reliable and valid as it still uses grading and rating scales that engage symbols and figures, i.e. A, B, C, D, & E that are awarded to an educator, instead of a percentage (e.g. 80% or 5%) without any motivation thereof. Chisholm, et al. (1997:35), support this criticism. These authors argue that the process uses terms, which can only be understood by intelligent and highly qualified educators. The respondents maintain that two instruments should be developed, one for experienced educators and one for inexperienced educators.

Tomlinson and Evans (1989:145) strongly agree with the Chisholm, *et al.* (1997) 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 appraisal process in this study. Another pitfall is that developmental appraisal has not yet produced any good educators in the classroom. It is still too early to evaluate its products. Eighty percent of the respondents were negative about the reliability and validity of the appraisal system and twenty percent were undecided.

4.3.1.5 *Does appraisal attend to the substance of teaching?*

All of the respondents were of the opinion that developmental appraisal does not attend to the substance of subject matter. This is confirmed by Tomlinson and Evans (1989:146) who assert that evaluation of minimal competencies based on periodic observation of classroom performance attends to the presence of certain generic teaching behaviours that nearly all educators, except the

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incompetent, will exhibit: planning, setting objectives, establishing and enforcing regulations for learner behaviour. The above authors argue that this type of evaluation does not attend to matters of pedagogical knowledge or judgement in their study, such as the appropriateness of teaching objectives for meeting certain goals or for different types of learners, the appropriateness of goals themselves, the relative effectiveness of the alternative strategies for presenting content, the relationship among lessons taught throughout the week/month/term, the availability of teaching techniques, the theoretical soundness of content and strategy decisions or the depth of subject matter that the educator possesses and imparts to the learners.

4.3.1.6 Summary of the results

The above arguments have shown that in any situation where people are faced with change of any kind, they are not brave enough to accept that change without reservations. Hofmeyer (1995:20) quoted by Monareng (1998:93) states that: "what these changes all have in common is that they require people to behave in different ways." It is further argued that the change in behaviour becomes the greatest cause of concern and fear to the people. Van der Westhuizen (Ed.) *et al.* (1996:172) confirms: "change in the school itself as far as knowledge is concerned is an ongoing process." Van der Westhuizen (Ed.) *et al.* go on to say 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.

4.4 QUESTIONNAIRE 2

	POST LEVEL	QUESTIONNAIRE	FREQUENCY	PERCENT
MALE	ONE	TWO	60	60
FEMALE	ONE	TWO	40	40
TOTAL			100	100

Table 4.4.1

Figure 4.4.1

4.4.1 Table sample for questionnaire 2

Thirty-three questionnaires were administered in terms of questionnaire two (one hundred educators). These educators are a different focus group from questionnaire one but from the same schools as mentioned in questionnaire one.

- Imisebe Primary
- KwaMyeza Primary
- Gobandlovu Primary
- Aldingville Primary
- Muzikayise Primary
- Endakane High
- Clairwood Secondary
- Mandlakayise Primary

- ✔   Enkelabantwana Primary
- ✔   Nkabini Primary
- ✔   Endwebu Primary
- ✔   Beaula Primary
- ✔   Enkonjeni Primary
- ✔   Cezwana Primary
- ✔   Madulini Secondary
- ✔   Bilanyoni Primary

All the educators were invited to one venue, i.e. Mahlabathini High School. They all came, despite transport problems.

The purpose of this closed form of interview was to encourage more general group and individual responses. The researcher used scaled items. Schumacher and McMillan (1993:244) define a scale as a series of gradations, levels or values that describe various degrees of something. The researcher then used the Likert scale as it allows reasonably accurate assessments of opinions from educators and mostly because our opinions are thought of in terms of values.

Men believe something very strongly or intently or rather we have a positive or negative opinion of something. It must be noted however that while the researcher used the scale, it can also be misleading. For example, we might disagree with the statement: 'Mr Black is a good educator because he is an outstanding educator.' The fact remains that Likert type scale (Schumacher & McMillan 1993:244-5) provides great flexibility because the description on the scale can vary to fit the nature of the questions, as it has in this research (questionnaire 2 and 3, see Chapter Two analysis of data).

The procedure followed in administering this questionnaire was similar to the procedure used in questionnaire one above (see pages 122-128).

The researcher used the quantitative approach in this questionnaire. The quantitative approach deals with data that are principally numerical (De Vos (Ed.) *et al.* 2000:15), while the qualitative approach deals with data that are principally verbal, as mentioned before in this section. The above authors (De Vos (Ed.) *et al* 2000:15) argue that the quantitative approach is the approach to research in the social sciences that is more formalised, as well as more explicitly controlled with a

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range that is more exactly defined and which, in terms of the methods used, is relatively close to the physical sciences in nature. The qualitative approach is not strictly formalised and the scope is more likely to be undefined and a more philosophical mode of operation is adopted.

4.4.2 Schools should have an effective appraisal system to improve and maintain a high standard of teaching.

NO OF RESPONDENTS	SCALE	PERCENT
55	STRONGLY AGREE	55
32	AGREE	32
1	UNDECIDED	1
2	DISAGREE	2
10	STRONGLY DISAGREE	10

Table 4.4.2
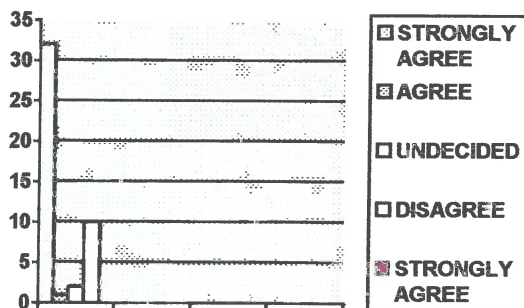
Figure 4.4.2   Schools should have an effective appraisal system to improve and maintain a high standard of teaching.

55% of the respondents are of the opinion that an effective appraisal system may improve and maintain a high standard of teaching and learning. Only 13 respondents were undecided.

According to the statistics given above, the majority of the respondents, (55%) strongly agreed, while a significant number of respondents (32%) agreed that schools should have an effective appraisal system to improve and maintain a high standard of teaching. The table also shows that 10% of the respondents strongly disagreed, while only 2% disagreed. An insignificant 1% of the respondents are undecided.

On the basis of the above evidence it would appear that for schools to improve and maintain a high standard of teaching, they should have an effective appraisal system. Lemmer and Squelch (1994:113) concur with eighty-three respondents who maintain that schools, as complex organisations, should have an effective appraisal system to improve and maintain a high standard of teaching.

4.4.3 Educator appraisal is an important management task of the principal and management team

NO OF RESPONDENTS	SCALE	PERCENT
40	STRONGLY AGREE	40
30	AGREE	30
0	UNDECIDED	0
20	DISAGREE	20
10	STRONGLY DISAGREE	10

Table 4.4.3
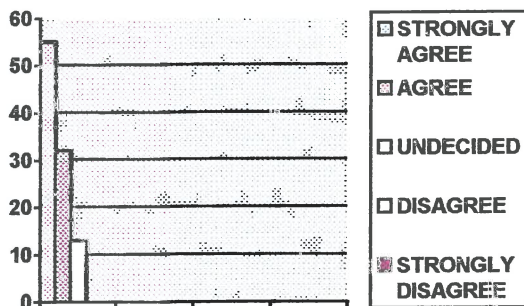
Figure 4.4.3   Educator appraisal is an important management task of the principal and management team

40% of the respondents strongly agreed that educator appraisal is first and foremost the principal's task, together with the management team and they go further to argue that without a strong sense of duty on the side of the principal, the process of appraisal may be negatively affected. 30% of respondents agreed with this, without qualifying their feelings. None of the respondents were undecided. This is possibly an indication that the respondents understand the role of the principal in the appraisal process.

20% of the respondents disagreed, stating that it should only be the principal, as he is paid for this task, the management team members are not. Furthermore, they argue that the principal was appointed to head the school because he has management skills and the management team is not thoroughly equipped with all the necessary skills of running a school.

10% of the respondents strongly disagreed with the emphasis on "strongly" disagree. The data above reflect that the majority of the respondents (40%) strongly agreed, while 30% agreed that educator appraisal is an important management task of the school and management team. In the same table, 20% of the respondents disagreed, while 10% strongly disagreed and the table depicts 0% as undecided.

Due to data shown in the table, one is inclined to conclude that educator appraisal is an important management task of the school principal and management team. Supporting the respondents above, A Facilitators Manual (1997:28) maintains that the appraisal developmental teams initiate, co-ordinate and monitor the appraisal process in schools. They also build on the strengths that educators have.

4.4.4   South Africa's system of appraisal has been largely inspectoral

NO OF RESPONDENTS	SCALE	PERCENT
70	STRONGLY AGREE	70
22	AGREE	22
0	UNDECIDED	0
5	DISAGREE	5
3	STRONGLY DISAGREE	3

Table 4.4.4
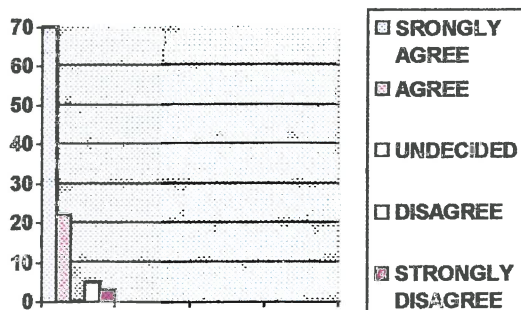
Figure 4.4.4   South Africa's system of appraisal has, before 1994, been largely inspectoral

70% of the respondents strongly agreed that the evaluation system in South Africa's system of evaluation from 1989 to 1993 had largely been explorative and bureaucratic. The respondents maintained it was top-down, closed, hierarchical and authoritarian in character. It was concerned with bureaucratic efficiency and social control, rather than professional development. The emphasis was strongly inspectoral and bureaucratic in nature. Of the respondents, 22% agreed with the statement. There were no respondents that were undecided. 5% of the respondents disagreed with the statement, maintaining that although it was inspectoral and bureaucratic, it produced good results in schools, particularly in terms of matriculation results. No school had a 0% in this class, but in this new era in education, even if an educator has produced such poor results, he or she is fully protected by organised labour (unions). Only 3% of the respondents strongly disagreed with the statement. The respondents who disagreed with the inspectoral and bureaucratic nature of the old evaluation process, implied that it was judgmental as far as the educators were concerned. Table 4.5.4 depicts that an overwhelming majority of the respondents (70%) strongly agreed, while a significant 22% agreed that South Africa's system of appraisal has been largely inspectoral. This table also shows that a small percentage of respondents (5%) disagreed while 3% strongly disagreed.

South Africa's system of appraisal had been largely inspectoral before 1994. Chisholm et al. (1997:25) confirm this. This report clearly indicates that most of the schools where evaluation of educators is still in place acknowledge that educator evaluation is a serious problem and continues to be a problem in all the departments.

4.4.5   The principle in our current system is that an appraisal team conducts appraisal process

NO OF RESPONDENTS	SCALE	PERCENT
40	STRONGLY AGREE	40
40	AGREE	40
2	UNDECIDED	2
12	DISAGREE	12
6	STRONGLY DISAGREE	6

Table 4.4.5
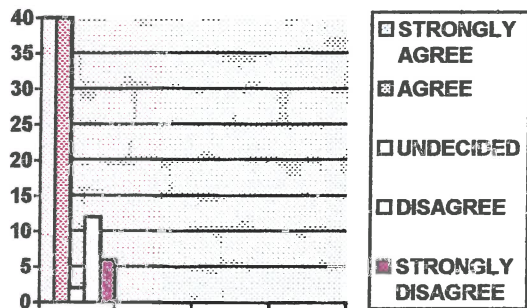
Figure 4.4.5   *The principle in the current system is that an appraisal team conducts the*
                  appraisal process.

40% of respondents strongly agreed that an appraisal team should conduct the appraisal process, as such a team would be democratically elected. There would be no bias in its action as it is transparent and is accountable for each and every step in the appraisal process. As such, it is crucial to ensure that the ways in which the appraisal panels are put together and the ways in which they operate also reflect these principles. An equal percentage of the respondents agreed with the above principle. Only 2% of the respondents were undecided.

12% of the respondents disagreed with the statement and maintain that it is the principal, as a highly skilled officer in the school, who should initiate, co-ordinate and monitor the appraisal process in schools and to ensure that training in the development appraisal system is conducted. Some respondents felt that an ordinary staff member may not be able to maintain discipline in the process. Having the right skills to do the job cannot be overemphasised at this stage.

6% of respondents were totally against the appraisal team conducting the appraisal process, maintaining the status quo of the twelve respondents above.

Data in table 4.4.5 shows that the same percentage of the respondents (40%) strongly agree and agree that the principle in the current system, that an appraisal team conducts the appraisal process, be maintained.

Table 4.4.5 also shows that 12% of the respondents disagreed, while only 6% of the respondents strongly disagreed. A small number of the respondents (2%) remained undecided.

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In view of the foregoing data it is clear that there is a consensus that, as with the current system, an appraisal team conducts the appraisal process. The researcher's experience is that where the principal conducts an appraisal process by himself or herself, it becomes a *one-man show*, full of prejudice and bias. A Facilitators Manual (1997:47-52) supports the principle that appraisal teams should conduct appraisals. The manual says that during the pre-appraisal stage, the appraisal team is set up and the roles of members on the appraisal panel are clarified.

4.4.6   It is imperative for school appraisal teams to implement a formal appraisal system

NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
5	AGREE	5
1	UNDECIDED	1
6	DISAGREE	6
8	STRONGLY DISAGREE	8

Table 4.4.6
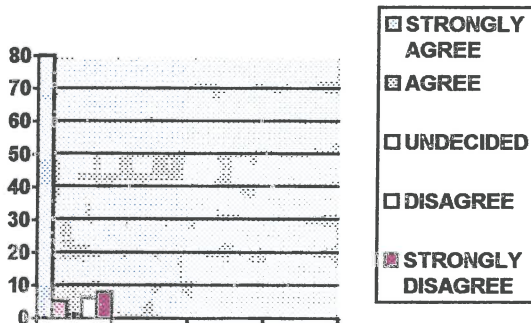
Figure 4.4.6   It is imperative for school appraisal teams to implement a formal appraisal system.

80% of the respondents strongly agreed that a formal appraisal system brings order in the whole structure of the school's timetable. This will have the same fruitful results and avoids confusion in the classroom situation. 5% of the respondents agreed that this also suits them.

One respondent was undecided. 6% of the respondents disagreed with the above statement, maintaining that a fixed formal and stereotyped appraisal structure, does not encourage educator

input into something which has been already been prepared for implementation. In most cases this process is subject to criticism and failure. The last 8% of respondents emphasised that for any change to occur, the change facilitators must understand the perceptions of others as well. Anything that is forced arouses emotions among people.

Table 4.4.6 depicts that an overwhelming majority of the respondents (80%) strongly agree, while 5% agree that it is imperative for school appraisal teams to implement a formal appraisal system.

The same table shows that 8% of the respondents strongly disagree, while 6% disagree that it is imperative for school appraisal teams to implement a formal appraisal system. On the basis of these responses, one can conclude that it is imperative for school appraisal teams to implement a formal appraisal system.

A Facilitator's Manual (1997:33) argues that the formal appraisal system allows for transparency and openness, underpinning the entire appraisal instrument. Educators have access to all the appraisal documents, including their performance outcomes. Respondents themselves do confess that a non-threatening environment for conducting appraisal and a supportive environment for teaching effectively is essential.

4.4.7 Educators' perception of the current appraisal system reflects a strong sense of distrust

NO OF RESPONDENTS	SCALE	PERCENT
75	STRONGLY AGREE	75
5	AGREE	5
3	UNDECIDED	3
10	DISAGREE	10
7	STRONGLY DISAGREE	7

Table 4.4.7
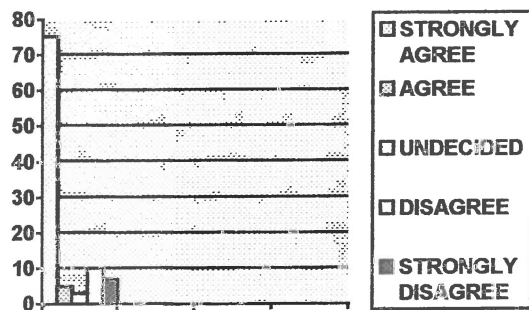
Figure 4.4.7   *Educators' perception of the current appraisal process reflects a strong sense of distrust.*

75% of the respondents said that appraisal is judgmental, rather than a means to future improvement. They argued that it differentiates educators into weak and good performers in the classroom situation and this consequently leads to conflict among learners and parents. 5% of the respondents agree with the above 75% of respondents. 3% of the respondents were undecided. 10% of the respondents disagreed and maintained that parents want their children to be taught by good educators. 7% of the respondents strongly disagreed with the statement and strongly emphasised that they need good educators to improve the quality of education in their schools. Poor educators may have a detrimental effect on the education of their children.

Statistics in table 4.4.7 indicate that the majority of the respondents (75%) strongly agree, while 5% agree that educators' perception of the current appraisal system reflects a strong sense of distrust.

Table 4.4.7 shows that 10% of the majority disagree that educator's perception of the current appraisal system reflects a strong sense of distrust. On the strength of the above figures it would appear that educators' perception of the current appraisal system reflects a strong sense of distrust.

Chisholm *et al.* (1997:25) support the claim that the current appraisal system is judgmental, rather than a means to future improvement. They argue that the system differentiates educators into weak and good performers in the classroom situation and this consequently leads to conflict among learners and parents. Parents want their children to be taught by good educators.

4.4.8 Appraisal is a process whereby an institution is enabled to identify its strengths and weaknesses

NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
20	AGREE	20
0	UNDECIDED	0
18	DISAGREE	18
2	STRONGLY DISAGREE	2

Table 4.4.8
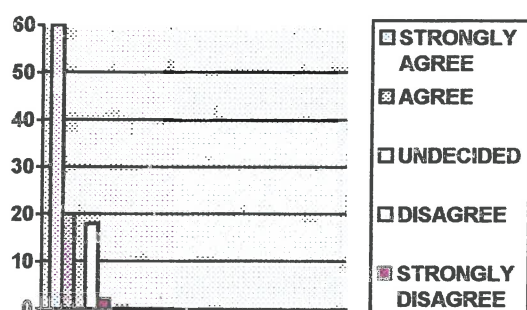
Figure 4.4.8   Appraisal is a process whereby an institution is enabled to identify its strengths and weaknesses.

60% of the respondents strongly agreed that appraisal refers to a regular positive and creative process by which weak and strong educators are helped to improve, while weak educators are encouraged and strengthened by in-service training in their schools. 20% of the respondents support the 60% of respondents above and further argue that this is so, as appraisal involves qualitative judgements about performance. Butler (1999:35) concurs with the 60% and 20% of respondents in that appraisal could be an excellent way of improving an educator's professional practice. There were no undecided respondents. 18% of the respondents disagreed and argued that appraisal targets one aspect of the institution, namely appraisal itself, and neglects other programmes. They add that one needs to work with the institution as a whole. One needs to deal with governance levels, management levels, curriculum, pedagogy, school community relations, as well as resources and facilitators, in order to enact sustainable and meaningful school change in the education system. 2% of the respondents strongly disagree with the 80% of respondents above, citing the reasons mentioned by the eighty respondents above.

According to data reflected in table 4.4.8, the majority of the respondents (60%) strongly agree, while 20% agree that appraisal is a process whereby an institution is enabled to identify the strengths and weaknesses within itself.

Table 4.4.8 also shows that 18% of the respondents disagree that appraisal is a process whereby an institution is enabled to identify its own strengths and weaknesses. There were no undecided respondents.

On the basis of the above statistics one is inclined to conclude that appraisal is a process whereby a school is enabled to identify its strengths and weaknesses. Butler (1999:35) supports the above view.

4.4.9 To be worthwhile, appraisal should be a continuous process

| NO OF RESPONDENTS	SCALE	PERCENT
91	STRONGLY AGREE	91
1	AGREE	1
0	UNDECIDED	0
8	DISAGREE	8
0	STRONGLY DISAGREE	0

Table 4.4.9
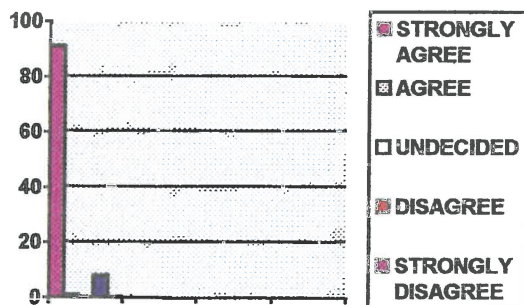
Figure 4.4.9   To be worthwhile, appraisal should be a continuous process.

91% of the respondents emphasised that the appraisal approach is a process not an event, and

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should be improved day by day. 1% of the respondent agreed with the 91% of respondents. There were no undecided cases. 8% of the respondents disagree with 92% of the respondents and argue that continuous appraisal disturbs school routine. Teaching time is severely affected. One educator is appraised three to four times a year. No respondents strongly disagreed.

Table 4.4.9 also reflects a 0% undecided response and for those who strongly disagree.

In view of the above observation one is inclined to conclude that to be worthwhile, appraisal should be a continuous process.

Stenning and Lyons (1986:62) concur with the above respondents that the process of appraisal should be regular, constructive and helpful, as it appears to have been handled ambivalently in the school sector.

The researcher maintains that, appraisal is not an end product; its proceedings must be continuous and systematic.

4.4.10 The judgmental approach in appraisal has a tendency to find faults

| NO OF RESPONDENTS	SCALE	PERCENT
90	STRONGLY AGREE	90
0	AGREE	0
0	UNDECIDED	0
6	DISAGREE	6
4	STRONGLY DISAGREE	4

Table 4.4.10
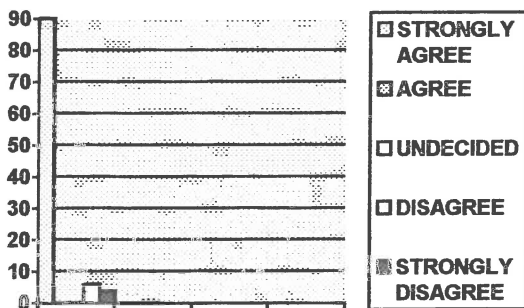
Figure 4.4.10   The judgmental approach in appraisal has a tendency to find fault

90% of the respondents strongly agreed that the judgmental approach finds faults with the educator. It is negative against the educator and is a fault-finding approach. It does not acknowledge the positive things that educators do. It does not involve the appraisee who is being judged in the process and about judgement decisions that are made. It is concerned with products, not process. No respondents agreed. There were no undecided cases. 6% of the respondents disagreed with the statement and argue that the judgmental approach acts as an incentive, as educators fear that if they do not work hard enough they will lose their jobs. As mentioned before in this chapter, educators worked very hard during the apartheid era in order to produce good results. The appraisal process is democratic and developmental. To work better, the judgmental approach may be modified, not abandoned. In table 4.4.10, the overwhelming majority of the respondents (90%) strongly agreed that the judgmental approach in appraisal has a tendency to find fault.

The same table shows that 6% of the respondents disagree, while 4% strongly disagree that the judgmental approach in appraisal has a tendency to find fault. No one was undecided or did not agree in this category. On the strength of the above statistics, it would appear that the judgmental approach in appraisal has a tendency to find fault. The researcher argues that the judgmental approach does not involve the appraisee who is being judged in the process about decision judgements that are made. The judgmental approach is clearly a way of inspecting the educator. It is concerned about products, not processes. Chisholm *et al.* (1997:7) support the above argument by saying that judgmental appraisals make judgements only and do not help the educators.

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4.4.11 The developmental approach, which is being practised in schools, is aimed at development of the positive aspects of educators' performance

| NO OF RESPONDENTS	SCALE	PERCENT
85	STRONGLY AGREE	85
5	AGREE	5
2	UNDECIDED	2
5	DISAGREE	5
3	STRONGLY DISAGREE	3

Table 4.4.11
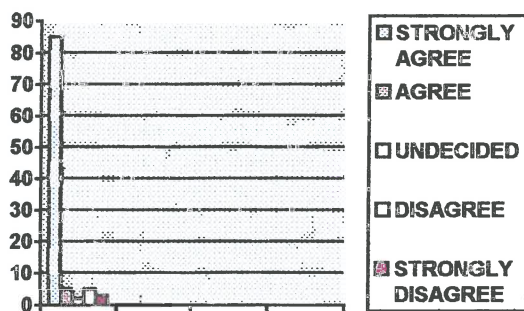
Figure 4.4.11   The developmental approach, which is being practised in schools, is aimed at development of the positive aspects of educators' performance.

85% of the respondents maintained that the developmental approach acknowledges good work. It acknowledges that any educator has positive aspects to his or her performance that are not in need of immediate improvements and upon which further professional development may be based. 5% of the respondents agreed with the eighty-five respondents. 2% remained undecided. 5% of the respondents disagreed with the statement and agreed that once people are praised, they rest on their laurels. This is proved by the fact that once a school has achieved a one hundred percent pass rate, it rarely continues to maintain this achievement. 3% of the respondents strongly disagreed and 5% of the respondents disagreed with this statement.

Table 4.4.11 shows that the overwhelming majority of the respondents (85%) strongly agreed, while 5% agreed that the developmental approach currently being practised in schools is aimed at the acknowledgement of the positive aspects of educators' performance. Table 4.4.11 also reflects

that 5% of the respondents disagreed, while 3% strongly disagreed with the observation made above. 2% remained undecided.

On the basis of the above data, one is inclined to conclude that the developmental approach, which is being practised in schools, is aimed at the acknowledgement of the positive aspects of educators' performance. In contrast to the judgmental approach, the developmental approach is meant to be developmental in nature. This is fully supported by Chisholm *et al*. (1997:7).

4.4.12 The developmental approach recognises the fact that teaching and learning are complex processes

NO OF RESPONDENTS	SCALE	PERCENT
90	STRONGLY AGREE	90
0	AGREE	0
0	UNDECIDED	0
7	DISAGREE	7
3	STRONGLY DISAGREE	3

Table 4.4.12
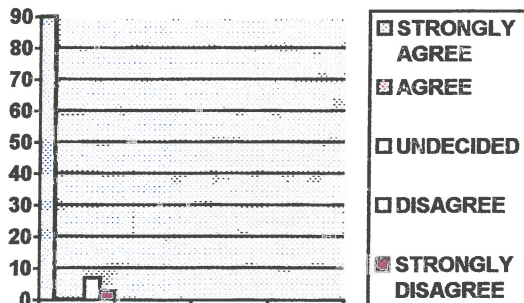

Figure 4.4.12   The developmental approach recognises the fact that teaching and learning are complex processes

90% of the respondents maintained that, when observing educators' performance, the appraiser in the formative form of evaluation would look at the ways in which the work occurs, how and why. The focus is mainly on the quality of the pedagogical process, unlike in the summative approach where the educator is always blamed. There were no disagreements and no undecided cases. 7%

of the respondents disagree with the statement and argue that this depends on the attitude of the observer and in most cases this becomes personal. A good educator gets a good rating. An educator gets a poor rating in class produces good results in some cases and vice versa. 3% of the respondents strongly disagreed that during observation the focus is always on the quality of pedagogical processes.

Figures displayed in table 4.4.12 show that the overwhelming majority of the respondents (90%) strongly agree that the developmental approach recognises the fact that teaching and learning are complex processes. The same table shows that 7% of the respondents disagreed, while 3% strongly disagreed. There were no undecided responses or responses in agreement with the statement.

In view of the above statistical data one can assume that the developmental approach recognises that teaching and learning are complex processes. It is concluded that the focus of the developmental approach is mainly on the quality of teaching and learning, unlike the summative approach where the educator is always blamed and quantitative measurements and marks are used in the appraisal process. This finally leads to failure in the educators' work performance.

4.4.13 The developmental approach is blind to the negative aspects that exist in an educator's performance

| NO OF RESPONDENTS	SCALE	PERCENT
5	STRONGLY AGREE	5
0	AGREE	0
0	UNDECIDED	0
5	DISAGREE	5
90	STRONGLY DISAGREE	90

Table 4.4.13
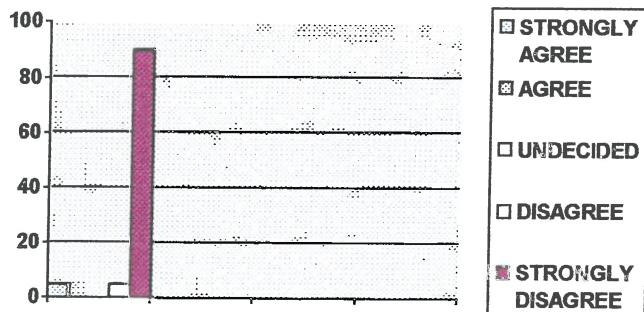
Figure 4.4.13   The developmental approach is blind to the negative aspects that exist in an educator's performance

5% of the respondents strongly agreed that developmental appraisal does not look at the negative side of things as it is meant to foster a democratic ethos within educators and promote a culture based on human rights and fairness. This is obvious because 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 into account that the learners suffer spiritually and physically. If an educator is lazy, learners die spiritually and physically as their future is physically crippled and they will not get good jobs that will maintain them physically - no money to buy good healthy foods. No respondents agreed. There were no undecided responses. 5% of the respondents disagreed indicating that this is not a *one-man show* and that the decisions arrived at are not made subjectively. The personal likes, dislikes, interests, or views of one individual do not influence the decisions. It is a decision that is made collaboratively by a group of people. This ensures not only fairness in the process but also allows for transparency. All members of the appraisal team jointly arrive at all decisions. This contributes to avoiding corruption, favouritism and the secrecy that tended to surround educators' performance appraisals in the past. A Facilitators Manual (1997:23) also supports this view. 90% of the respondents support the five respondents who disagreed. The 90% of respondents strongly disagreed vigorously, citing the arguments by the 5% of respondents.

According to the data provided by figures in table 4.4.13, the majority of the respondents (90%) strongly disagree, while 5% disagree that the developmental approach is blind to the negative aspects that may exist in an educator's performance. The same table reflects that only 5% of the respondents strongly agree that the developmental approach is blind to the negative aspects that may exist in an educator's performance.

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A Facilitator's Manual (1997:23) supports the observation that, on the basis of the above statistics, one is inclined to believe that the developmental approach is not blind to the negative aspects that may exist in an educators performance. This assertion is backed by the fact that objective decisions are made and are not influenced by the personal likes, dislikes, interests or views of one individual. It is a decision that is made collaboratively by a group.

4.4.14 Educator developmental appraisal will only make sense if it reflects the real needs of educators

NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
15	AGREE	15
0	UNDECIDED	0
2	DISAGREE	2
0	STRONGLY DISAGREE	0

Table 4.4.14
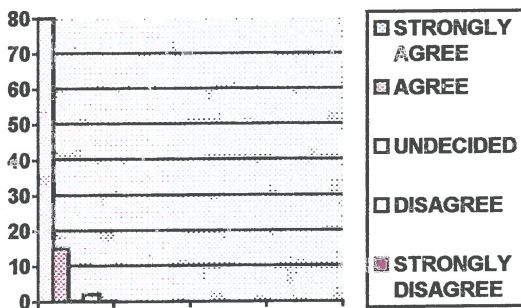

Figure 4.4.14   Educator developmental appraisal will only make sense if it reflects the real needs of educators.

80% of the respondents argued that the developmental system is a useful way in which schools could determine what the actual needs of educators are. It is developmental in nature and is able to identify where educators need to be given support in order to improve their professional performances. Through this process, a school will be able to determine if support is needed to train educators in developing their management and administrative skills. The developmental appraisal system is able to identify such needs and therefore, relevant interventions that are tied

directly to actual educator needs could be made. Furthermore, the argument of 80% of respondents is that it is able to identify the needs of office-based personnel, etc. 15% of the respondents agree with the eighty respondents. There were no undecided responses. 2% of respondents disagree with the above respondents and argue because developmental appraisal is the only instrument used in the school and results thereof are not yet available. It would be better if there were two or more of these instruments and one could compare their merits and demerits to reach a better decision. No respondents strongly disagreed with comments of the one hundred respondents.

Statistical data in table 4.4.14 shows that the majority of the respondents (80%) strongly agree, while a significant 15% agree that educator developmental appraisal will only make sense if it reflects the real need of educators. The table also shows that only an insignificant 2% of the respondents disagree with the above statement. There were no responses in the undecided and strongly disagree categories.

Based on the above data one can assume that the educators' developmental appraisal will only make sense if it reflects the real needs of educators. The views of 95% of the respondents are supported by Bennet (1992:1) who claims that educator developmental appraisal must satisfy the needs of parents, learners and industry. It must fully prepare learners for the future world of work. Delaney (1989:1) adds that professional development and school needs that will be identified as a result of the appraisal process should be met, or it will be perceived as yet another management exercise imposed for the sole purpose of external account. It is an opportunity for further professional growth.

4.4.15 The purpose of developmental appraisal includes the improvement of performance among educators.

| NO OF RESPONDENTS	SCALE	PERCENT
55	STRONGLY AGREE	55
5	AGREE	5
10	UNDECIDED	10
20	DISAGREE	20
10	STRONGLY DISAGREE	10

Table 4.4.15
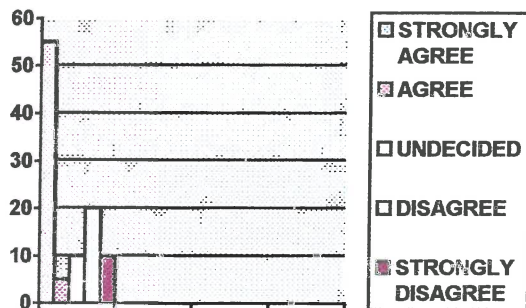
Figure 4.4.15   The purpose of developmental appraisal includes the improvement of performance among educators

55% of respondents strongly agreed that the purpose of this appraisal instrument is to put into practice the developmental orientation to appraising educators and embeds within the appraisal process clear ways in which the professional development of educators may be promoted positively. 5% of respondents agree and their reply only differs in certain degrees of attitudes from those of the 55% above. 10% of the respondents are undecided. 20% of the respondents disagreed, maintaining that this purpose has not yet been achieved, judging from the products of this appraisal process. There is no change in performance among educators in schools where this process is fully in operation and in those schools where it has not been implemented. One cannot say that the KwaZulu Natal province educators are better than those of Gauteng are, where the process is still on hold. 10% of the respondents strongly disagreed, maintaining that this process may at times confuse educators and create the impression that the appraisal process is only concerned with countless meetings taking three to four hours to appraise one educator.

The majority of the respondents (55%) as depicted in table 4.4.15 strongly agreed with the statement, while 5% agreed that the purpose of developmental appraisal includes the improvement of current performance among educators.

Table 4.4.15 also indicates that 20% of the respondents disagree, while 10% strongly disagree that the purpose of developmental appraisal includes the improvement of current performance among educators. The table also indicates that 10% of the respondents are undecided.

In view of the responses in table 4.4.15, one can assume that the purpose of developmental

appraisal includes the improvement of current performance among educators. It is further concluded that developmental appraisal embeds within the appraisal process clear ways in which professional development of educators may be promoted in positive ways. Chisholm *et al.* (1997:33) concurs with the above respondents (sixty of them). The appraised are motivated to desire to overcome their weakness and thus improve their standard of teaching.

4.4.16   The managerial purpose of appraisal is to encourage efficiency among educators

| NO OF RESPONDENTS	SCALE	PERCENT
81	STRONGLY AGREE	81
2	AGREE	2
17	UNDECIDED	17
0	DISAGREE	0
0	STRONGLY DISAGREE	0

Table 4.4.16
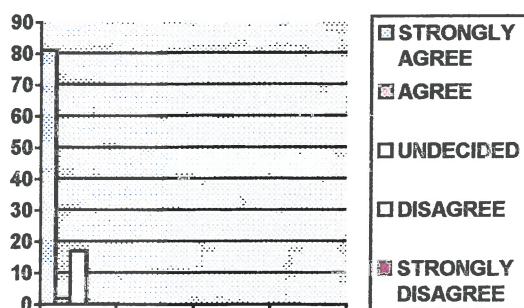
Figure 4.4.16   The managerial purpose of appraisal is to encourage efficiency for the educators

81% of the respondents maintained that the ability of the educators to inspire and encourage learners to produce their best performance and to maintain high standards of behaviour and ethics, may improve the quality of teaching and learning in the classroom situation. The self-motivated educator influences other people positively, notably with drive, enthusiasm and tenancy. All these encourage other educators to achieve excellence in classroom management. 2% of the respondents agree, positively supporting the 81% of respondents. 17% of respondents were undecided, arguing that they had not yet seen positive results in the classroom and could not commit themselves without any concrete evidence. No body disagreed and there were no

respondents that strongly disagreed with the statement.

Data reflected in table 4.4.16 shows that the majority of the respondents (81%) strongly agree, while 2% agree that the managerial purpose of appraisal is to encourage efficiency among educators. Table 4.4.16 also shows that 17% of the respondents remained undecided. The table also indicates no respondents who disagreed and strongly disagreed with the statement.

In view of the foregoing statistical data, one is inclined to conclude that the managerial purpose of appraisal is to encourage efficiency among educators. Chisholm *et al.* (1997:38) concur that the managerial purpose of appraisal enables the educator to maintain discipline in the classroom and teach effectively. This managerial purpose of appraisal therefore increases the efficiency of the educator in the classroom situation.

4.4.17   The whole process of appraisal increases communication within the school

NO OF RESPONDENTS	SCALE	PERCENT
54	STRONGLY AGREE	54
20	AGREE	20
1	UNDECIDED	1
20	DISAGREE	20
5	STRONGLY DISAGREE	5

Table 4.4.17
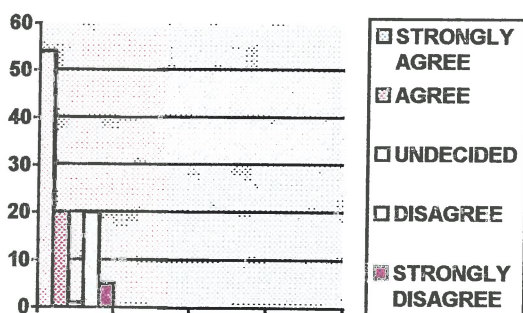
Figure 4.4.17   *The whole process of appraisal increases communication within the school*

54% of the respondents maintained that appraisal has encouraged learners and colleagues to be good communicators and to use the full range of communicative skills in the interests of

education and personal development. In some cases, these listening, reading, writing and speaking abilities are excellent.

20% of the respondents agreed with the 54% of respondents above. There is one undecided respondent. 20% of respondents disagreed and maintained that oral expression and written ability are still weak in most schools, particularly in rural schools. Learners and colleagues have difficulty understanding precisely what is meant, required or expected. There is misunderstanding or misinterpretation of what is said and read. 5% of respondents strongly disagreed with the statement and cited the above reasons more strongly than the 20% of respondents who disagreed.

Figures in table 4.4.17 reflect that the majority of the respondents (54%) strongly agree, while 20% agree that the whole process of appraisal increases communication within the school. Table 4.4.17 also shows that 5% of respondents strongly disagreed that the whole process of appraisal increases communication within the school. In addition, table 4.4.17 shows that an insignificant 1% of the respondents are undecided.

In the light of the above statistics one can assume that the whole process of appraisal increases communication within the school. Stenning and Lyons (1986:63) concur with the respondents who strongly agree that the appraisal process increases communication within the school, emphasising that educators should know where they stand, enabling them to see how they are performing and how the school regards them as employees.

4.4.18   The ultimate aim of teaching staff appraisal is to enhance the quality of teaching and learning

| NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
5	AGREE	5
0	UNDECIDED	0
15	DISAGREE	15
0	STRONGLY DISAGREE	0

Table 4.4.18
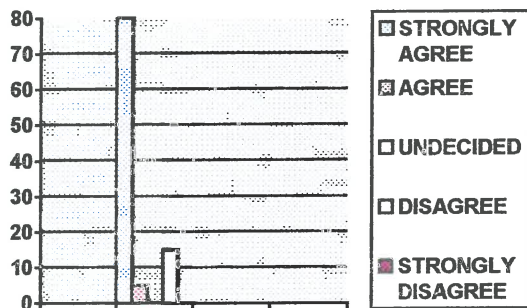
Figure 4.4.18   The ultimate aim of teaching staff appraisal is to enhance the quality of teaching and learning.

80% of the respondents maintained that staff appraisal diagnoses strengths and weaknesses of the educators as a whole. It is concerned with performance review, whereby it is designed to identify standards of performance to praise work well done and to set further targets. 5% of respondents agreed with the eighty respondents above. There were no undecided respondents and all respondents are clear about this concept. 15% of respondents disagreed and argued that in improving the quality of teaching and learning, appraisal must be more supportive than directive of the change process. This means that, if appraisal is to succeed, the way of doing things in the classroom situation must be modified. No respondents strongly disagreed with this statement.

According to the statistics depicted in table 4.4.18, the majority of the respondents (80%) strongly agree with the statement, while 5% agree that the ultimate aim of teaching staff appraisal is to enhance the quality of teaching and learning. In contrast, table 4.4.18 also shows that 15% of the respondents disagree that the ultimate aim of teaching staff appraisal is to enhance the quality of teaching and learning.

Tables 4.4.18 shows the same responses, i.e. 0% undecided and strongly disagree.

On the basis of the above statistics one can assume that the ultimate aim of teaching staff appraisal is to enhance the quality of teaching and learning. The Department of Education's report (1996:28) on education management development also supports the above responses. The report maintains that one of the purposes of management development is to enhance quality in terms of teaching and learning.

4.4.19 The appraisal process provides a basis on which to build the educators' self-confidence

| NO OF RESPONDENTS	SCALE	PERCENT
30	STRONGLY AGREE	30
30	AGREE	30
0	UNDECIDED	0
30	DISAGREE	30
10	STRONGLY DISAGREE	10

Table 4.4.19
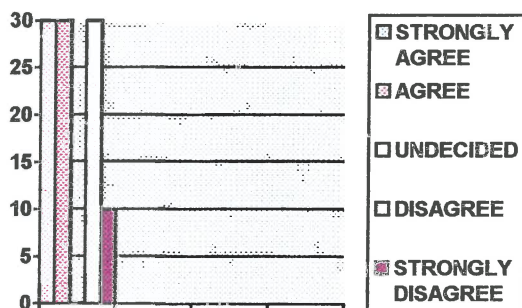
Figure 4.4.19   The appraisal process provides a basis on which to build the educators' self-confidence.

30% of the respondents asserted that the appraisal process is to give educators more confidence in their practices, to recognise their professional abilities and to develop their potential. The appraised is not merely an object that is being judged and in whom faults and weaknesses are to be found. The appraised is a professional whose performance is appraised in formative and supportive ways in order to facilitate further professional and personal development and growth. 30% agree with the thirty respondents above. There were no undecided responses.

30% of the respondents disagreed and argued that appraisers must have credibility and inspire trust and confidence in the staff that they appraise. They therefore need to be trained in skills and techniques of appraisal before the system is implemented. 30% of respondents disagreed and stated that it is essential for the appraisers to have a positive attitude towards appraisal. They

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added that, in most cases, appraisers are not well versed with the current policies and procedures of the department.

Data reflected in the above statistics show that 30% of respondents strongly agree and 10% of them agree with the statement, confirming that the appraisal process provides a basis on which to build the self-confidence of educators.

In contrast, the same data shows that 30% of the respondents disagree while 10% strongly disagree that the appraisal process provides a basis on which to build the educators self-confidence. There are no undecided responses.

On the basis of the above statistics, 30% for strongly agree and 30% for agree, one may conclude that the appraisal process provides a basis on which to build the self-confidence of educators. Those Having Torches (1985:7) support the 60% of respondents above who maintain that appraisers must have credibility and inspire the trust and confidence of the educators they appraise.

4.4.20 Peer appraisal is rarely used in our schools

| NO OF RESPONDENTS	SCALE	PERCENT
74	STRONGLY AGREE	74
5	AGREE	5
0	UNDECIDED	0
10	DISAGREE	10
11	STRONGLY DISAGREE	11

Table 4.4.20
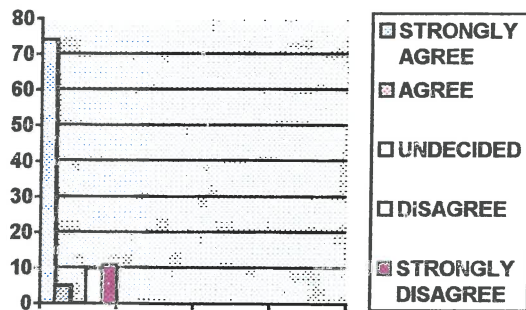
Figure 4.4.20   The peer appraisal is rarely used in our schools

74% of the respondents strongly agreed that educators feel intimidated by the presence of their colleagues in the classroom and this why this concept is not common practice in the South African context. Although not common practice, it does have benefits. 5% of respondents agree that although it is not common practice, it has benefits as it presents the opportunity for educators to work more closely with each other and to share ideas, experiences, knowledge and expertise. It can help educators to improve their performance. There were no undecided responses. 10% of respondents disagree with the concept of peer appraisal and argue that despite its claimed benefits, peer appraisal is, in this research, not favoured by the majority of educators. 11% of respondents strongly disagreed with the concept of peer appraisal and cited the reasons mentioned by the 10% of respondents above, who disagreed with the peer appraisal concept in the appraisal process in the classroom situation.

According to the figures in table 4.4.20, the majority of the respondents (74%) strongly agree, while 5% agree that the peer appraisal is rarely used in our schools.

Table 4.4.20 also shows that 11% of the respondents strongly disagree, while 10% disagree and are of the opinion that peer appraisal is not a rare phenomena in our schools. There are no undecided responses. On the basis of the above figures one is inclined to believe that peer appraisal is rarely used in our schools.

The majority of educators do not favour peer appraisal and claim that educators feel intimidated by the presence of their colleagues in the classroom. The 21% of respondents who favour peer appraisal claim that educators get an opportunity to work together and share ideas, experiences,

knowledge and expertise. Lemmer and Squelch (1994:127) support the 21% of respondents as opposed to the seventy-nine who say that this practice is rarely found in our schools.

4.4.21 The job description must be confined to detailing the areas in which the educator will be working

NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
20	AGREE	20
3	UNDECIDED	3
7	DISAGREE	7
10	STRONGLY DISAGREE	10

Table 4.4.21
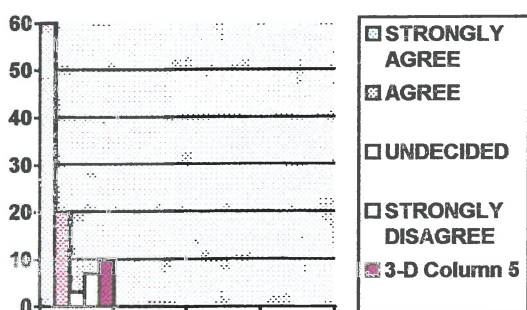
Figure 4.4.21   The job description must be confined to detailing the areas in which the educator will be working

60% of the respondents strongly agree that the problem is mainly with the detailed duties associated with each area of the educator's task. They further argue that there is a question as to the degree of detail that should be employed. 20% of respondents agree that educators are professionals and should be allowed a wide scope to use their skills and apply their qualities and skills in ways are most appropriate to them and that the job description should leave ample discretion to include either detailed goals or the means of reaching more goals. 3% of respondents were undecided. 7% of respondents disagree with the detailing of the job description and argue that this should be concise and to the point so that it does not confuse the educator. They add that any job description should be compiled by the owner thereof with the full support of his or her

supervisor. There is no stage where the educator should not be involved. 10% of respondents strongly disagreed with a detailed job description compiled by the principal without the educator concerned being involved. They further argued that the job description is the responsibility of the educator who should be assisted by a senior educator in that particular subject or field.

Data given in table 4.4.21 shows that the majority of the respondents (60%) strongly agree with the statement while 20% agree that the job description must be confined to detailing the areas in which the educator will be working. The same table also shows the following statistical data about the statement that the job description must be confined to detailing the areas in which the educator will be working: 10% for strongly disagree, 7% for disagree, and 3% undecided. In view of the statistics in this table, one may conclude that the job description must be confined to detailing the areas in which the educator will be working.

The research found that the problem with job descriptions is that educators are inclined to be adamant and refuse to help in fields or areas outside their job description when requested, even in critical areas when learners are without educators. Emerson and Goddard (1997:80-91) indicate the same problems.

4.4.22   The appraised may be hurt by the revelation of his or her weaknesses in the appraisal process

| NO OF RESPONDENTS	SCALE	PERCENT
65	STRONGLY AGREE	65
30	AGREE	30
0	UNDECIDED	0
1	DISAGREE	1
4	STRONGLY DISAGREE	4

Table 4.4.22
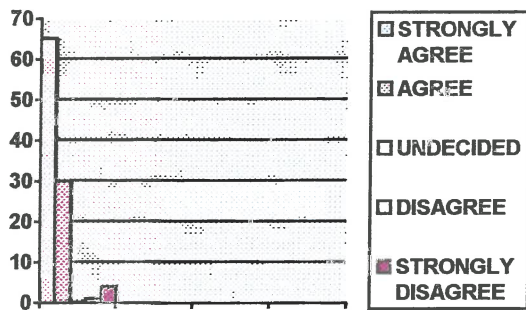
Figure 4.4.22   The appraised may be hurt by the revelation of his or her weaknesses in the appraisal process

65% of the respondents strongly agreed that it is human nature that one does not want to have one's weaknesses revealed in public. Six female educators opposed the idea that serious weaknesses of an educator are revealed in the appraisal process, e.g. when an educator is told that his or her learners copied in an examination and the results of that class had been withheld. 30% of respondents agree with the above 65% of respondents. There were no undecided responses. One respondent, a male, disagreed with the statement, arguing that it depended on the nature of the weakness mentioned in public, for example, if one says that an educator's class is weak at mathematics. This should arouse the interest of the educator and he or she could then allocate more periods for mathematics to address the problem.

Statistics reflected in table 4.4.22 show that the majority of the respondents (65%) strongly agree, with the statement, while 30% agree that the appraised may be hurt by the revelation of his or her weakness in the appraisal process.

Table 4.4.22 also shows that 4% of the respondents strongly disagreed and 1% disagreed with the statement by saying that the appraised may not be hurt by the revelation of his or her weaknesses in the appraisal process. There were no undecided responses. On the basis of the above statistics, one is inclined to conclude that the appraised may be hurt by the revelation of his or her weaknesses in the appraisal process.

Pratt and Loizos (1992:59) support the above observation and pointed out that a survey can yield reliable results when people are questioned about matters that they do not find too private or

threatening and to which they can give fairly definite answers.

4.4.23 The appraisal timetable might clash with the educators' timetable

| NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
20	AGREE	20
0	UNDECIDED	0
5	DISAGREE	5
15	STRONGLY DISAGREE	15

Table 4.4.23
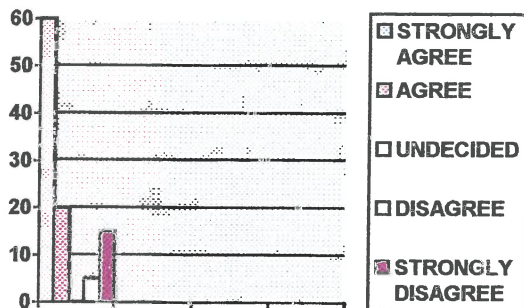
Figure 4.4.23   The appraisal timetable might clash with the educators' timetable.

60% of the respondents strongly agreed that appraisal process meetings disturb the school routine, as they are not scheduled, are too frequent and consume much teaching and learning time.

20% of the respondents agreed and maintained that a badly organised school appraisal process creates havoc and school progress is badly affected. The educator's teaching and the learners' learning time are disturbed. There were no undecided responses and the educators are all aware of this problem in schools. 5% of respondents disagreed and argued that provision should be made for the appraisal process in all schools. The management team should take precautions to see that the appraisal process does not clash with the school timetable. 15% of respondents strongly disagreed that there should be clashes with the school timetable because of poor timetable organisation. The principal and management team should be supported in drawing up a better lesson timetable, without any interference whatsoever from outside.

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Table 4.4.23 reflects that the majority of the respondents (60%) strongly agreed, while 20% agreed that the appraisal timetable might clash with the educators' timetable.

In addition, table 4.4.23 shows that 15% of the respondents strongly disagreed, while 5% disagreed with the statement by pointing out that the appraisal timetable might not clash with the educators' timetable. There were no undecided responses.

On the basis of the above observation, evidence shows that the appraisal timetable might clash with the educators' timetable.

According to the researcher's experience, the educator timetable is drawn up from the school's composite timetable, which is a collaborative product of the educators of a particular school. Nationally or provincially driven initiatives, such as the appraisal system are bound to clash with school driven initiatives as they are externally imposed. From a practical point of view, the research supports this stance.

4.4.24 The process of educator appraisal may improve and develop learning in the classroom

NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
4	AGREE	4
0	UNDECIDED	0
6	DISAGREE	6
10	STRONGLY DISAGREE	10

Table 4.4.24
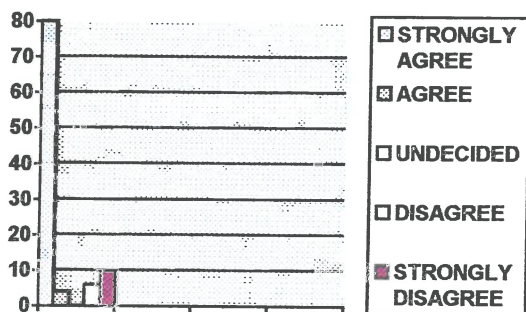
Figure 4.4.24   The process of educator appraisal may improve and develop learning in the classroom.

80% of the respondents strongly agreed that appraisal does improve learning and teaching in the classroom. Appraisal is formative and has the potential to improve the quality of teaching and learning, to reinforce morale, to encourage innovation in terms of educator performance and to encourage professional growth. Appraiser and appraised should therefore ensure that appraisal is constructive and co-operative and aims at leading and improving teaching and learning. 4% of respondents agreed with the eighty respondents above. There were no undecided responses. 6% of the respondents disagreed with the statement and argue that there is no strong belief that appraisal may improve the culture of learning and teaching. School standards have been deteriorating since 1994. To the best of our knowledge, before 1994 no schools had a 0% matriculation pass rate, unlike today. There were no undecided responses. 10% of respondents strongly disagreed that appraisal improves classroom performance, arguing that before this appraisal system was introduced in South Africa, we had no 0% matriculation pass rates. However, in some cases appraisal is formative and may have the potential to improve the quality of teaching and learning.

Statistics in table 4.4.24 show that the majority of the respondents (80%) strongly agreed with the statement, while 4% agreed that the process of educator appraisal may improve and develop learning in the classroom. In addition, data provided by table 4.4.24 shows that 10% of the respondents strongly disagreed, while 6% disagreed, pointing out that the process of educator appraisal may not improve and develop learning in the classroom. There were no undecided responses

In view of the above evidence, one may conclude that the process of educator appraisal may

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improve and develop learning in the classroom. Emerson and Goddard (1997:21) support the view that educator appraisal provides an opportunity for school development i.e. in this case teaching in the classroom, etc. Delaney (1989:38) adds that staff appraisal improves learning in the classroom situation.

4.4.25   Self-appraisal provides the means of improving one's performance

NO OF RESPONDENTS	SCALE	PERCENT
20	STRONGLY AGREE	20
15	AGREE	15
5	UNDECIDED	5
40	DISAGREE	40
20	STRONGLY DISAGREE	20

Table 4.4.25
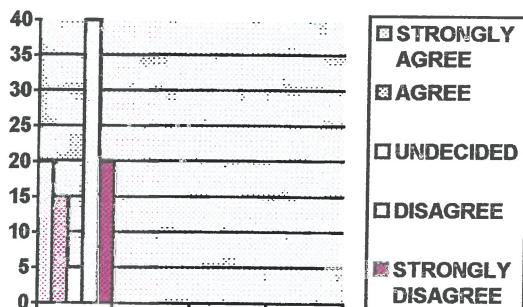
Figure 4.4.25   Self-appraisal provides the means of improving one's performance

20% of respondents maintained that self-appraisal provides a means of improving one's performance and may serve as a guide for setting goals and standards. This must precede formal appraisal as the information gathered by the educator may serve as a basis for further evaluation and discussion. 15% of respondents agree with the above twenty respondents. 5% of respondents were undecided. 40% of respondents disagreed with the statement and argued that self-appraisal cannot be enforced but that educators should be encouraged to reflect constructively on what they are doing, and to regulate themselves. They maintained that it is vital to do this in writing so that this information may be referred to in future interviews. They add that one way of doing self-appraisal is to measure one's performance against a set of appraisal criteria.

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20% of the respondents strongly disagreed with the concept of self-appraisal and argued that some educators had suffered from self-analysis overload while, certainly in the short term, this has led to repressed self-image and feelings of inadequacy. Furthermore, the concept of self-appraisal may also be problematic, as humans are capable of self-deception. These are things about ourselves and about our professional work that we prefer to relegate to the sub-conscious. One of the uncomfortable consequences of the appraisal process may be to encourage us to reconsider aspects of work, which we have tended to gloss over or ignore (Bennet, 1992; 18-19).

The respondents also remarked that there is some uncertainty about how frank the educator should be in reporting self-appraisal as, for some, there is tension between being totally honest and screening out reflection, which could possibly be misinterpreted or abused by the appraiser or by others beyond the appraisal context {West, Hopkins & Bollington 1990:30-31).

According to the data reflected in table 4.4.25, the majority of the respondents (40%) disagree with the statement, while 20% strongly disagree by saying that self-appraisal does not provide the means for improving one's performance. On the other hand, table 4.4.25 shows that 20% of the respondents strongly agree, while 15% agree that self-appraisal provides the means for improving one's performance. 5% of the respondents remain undecided.

On the basis of the above statistics, one may conclude that self-appraisal may not provide the means for improving ones performance.

The researcher agrees with 60% of the respondents who disagreed because, in an educators' professional work there are things which one prefers to relegate to the sub-conscious. Furthermore, the uncomfortable consequences of the appraisal process may be to encourage one to reconsider aspects of one's work that one has tended to gloss over or ignore.

4.4.26 Classroom observation by the appraisal team enables the appraiser to witness the appraised at work

| NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
20	AGREE	20
1	UNDECIDED	1
15	DISAGREE	15
4	STRONGLY DISAGREE	4

Table 4.4.26
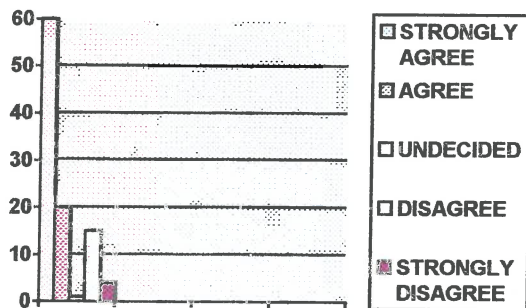
Figure 4.4.26   Classroom observation by the appraisal team enables the appraiser to witness the appraised at work

60% of the respondents maintained that this enables the appraiser to witness the appraised at work. This is why staff appraisal remains a crucial part of the management task of the principal and the head of the department. They further argued that classroom observation is concerned with values and priorities in considering educator effectiveness and a vision of the educator's role, which involves them in learning to work with each other. Some educators appear to subscribe to the myth of complete educator autonomy. Classroom observation is regarded as a supportive structure or mechanism to help staff to face up to the implications of self-appraisal, not about catching people out, but giving them a chance to reveal the best of their teaching.

20% of respondents agreed that classroom observation should be done regularly to keep in touch with what is happening "in the classroom and with the work done." They argued this would

enable the appraiser to obtain accurate, first-hand information that could be used in the feedback session. Only one respondent was undecided. 15% of respondents disagreed that classroom observation is intended to be a supportive structure and they emphasised that it is intended to police educators and degrade them in front of the class. Beginners, particularly, are negatively affected by class visitation. The last 4% of respondents strongly disagreed with this concept and maintained that the educators' faults are castigated. However, it must be noted that in preparing, the object is to reduce the degree of stress that the educator will experience and to ensure that the information collected, and the form in which it is recorded, is valuable to the appraised and the appraiser.

According to the data in table 4.4.26, the majority of the respondents (60%) strongly agreed, while 20 % agreed that classroom observation by the appraisal team enables the appraiser to witness the appraised at work.

Table 4.4.26 also shows that 15% of the respondents disagreed while 4% strongly disagreed and pointed out that classroom observation by the appraisal team enables the appraiser to witness the appraised at work. Only one of the respondents was undecided.

In view of the above evidence, one may conclude that it would seem that classroom observation by the appraisal team enables the appraiser to witness the appraised at work. The activity in the classroom focuses on the performance of the educator and not on the personality of the person. Delaney (1989:54), Lemmer and Squelch (1994:12-20) and Bennet (1992:44-71) concur with the above respondents who strongly agreed with classroom observation.

4.4.27 It is maintained that the purpose of the appraisal interview is to agree in areas of development of the educator

| NO OF RESPONDENTS	SCALE	PERCENT
70	STRONGLY AGREE	70
20	AGREE	20
0	UNDECIDED	0
6	DISAGREE	6
4	STRONGLY DISAGREE	4

Table 4.4.27
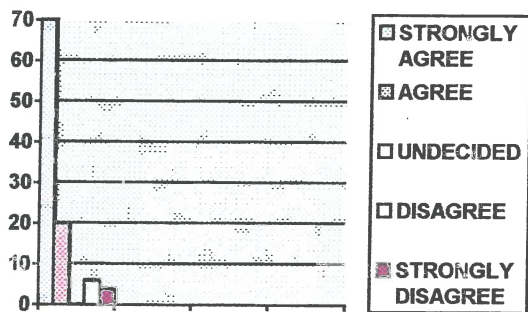
Figure 4.4.27   It is maintained that the purpose of the appraisal interview is to agree in areas of development of the educator

70% of the respondents strongly agreed that this concept provides an opportunity for the appraiser and the appraised to have a face-to-face private discussion about the educator's performance and progress. It provides the opportunity for the principal to keep in touch with what educators are doing, not to police them, but to show a personal interest and be aware of their workload, achievements, needs and concerns.

20% of the respondents also agreed with 70% of respondents above. There were no undecided responses. 6% of respondents maintained that the interview threatens the educator, particularly if it is held in an unsuitable environment where there is no privacy. At times, the interview is held in the principal's office where there are telephone interruptions. The educator therefore does not benefit much in such an environment. At times, the interviewer lacks interviewing and verbal skills. 4% of respondents strongly disagree with such an interview, as stated by 6% of the respondents above. The interview should be a two-way communication process so that both parties have an opportunity to contribute freely to the discussion, and to ensure that the person interviewed receives feedback that is informative and likely to motivate him or her. The interview should mainly focus on the person's strengths, weaknesses and achievements.

70% of the respondents strongly agreed that the purpose of the interview is to agree on the areas of development of the educator, while 20% agreed with this statement. No undecided responses were recorded. 6% of respondents disagreed and 4% of respondents strongly disagreed with the statement. It is evident that appraisal ensures that two-way communication for both parties (interviewer and interviewee) is strengthened and bears fruitful results. In support of the 70% and

20% of respondents, Lemmer and Squelch (1994:123) maintain that one of the purposes is also to agree on setting targets for action and producing motivated appraisal statements. West-Burnham (1993:55) emphasises that from what the respondents have said above, the appraisal interview is a positive and creative experience, which leads to significant outcomes and enhances and develops the personal and professional relationship between appraisers and the appraised.

4.4.28   If a professional development model is to succeed, it requires that educators should be open, honest and self-critical during the process and willing to comment frankly on their perceptions of their own strengths and weaknesses

| NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
20	AGREE	20
5	UNDECIDED	5
10	DISAGREE	10
5	STRONGLY DISAGREE	5

Table 4.4.28
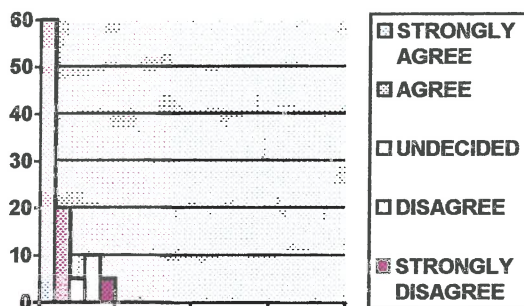
Figure 4.4.28   If a professional development model is to succeed, it requires that educators should be self critical during the process, and willing to comment frankly on their perceptions of their own strengths and weaknesses

60% of the respondents maintained that a professional model implies a rigorous and analytical approach. It is concerned with problem solving. Appraisees and appraisers are partners in a shared process in which the crucial outcome is effectively increased. 20% of respondents agreed with the 60% of respondents above having no reservations. 5% of the respondents were

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undecided. 10% of the respondents disagree with the concept of a professional model of appraisal maintaining that, at times, the professional model does not focus on learning as such, it occurs under cohesion which does not promote learning, or in a negative fault-finding environment. 5% of respondents strongly disagreed with the professional model, claiming that the professional model is a cosy congratulatory process. Equally, however, the motivation to improve could be reinforced only by the recognition and celebration of success in the classroom situation.

The majority of the respondents, 60% according to table 4.4.28, strongly agree, while 20% agree that if a professional development model is to succeed, it requires that educators should be open, honest and self-critical during the process and to be willing to comment frankly on their perceptions of their own strengths and weaknesses.

On the other hand, 10% of the respondents disagree, while 5% strongly disagree with the above statement. Table 4.4.28 also shows that 5% of the respondents are undecided on this issue.

Evidence gathered by the data above supports the view that if a professional development model is to succeed it requires that educators should be open, honest and self-critical during the appraisal process and be willing to comment frankly on their perceptions of their own strengths and weaknesses.

Emerson and Goddard (1997:11) concur with the sixty and twenty respondents who strongly agree and agree, respectively that a staff development model of appraisal makes provision for the basis for school audit and review.

4.4.29   The remedial model is directed at identifying educators' weaknesses

| NO OF RESPONDENTS	SCALE	PERCENT
70	STRONGLY AGREE	70
10	AGREE	10
0	UNDECIDED	0
20	DISAGREE	20
0	STRONGLY DISAGREE	0

Table 4.4.29
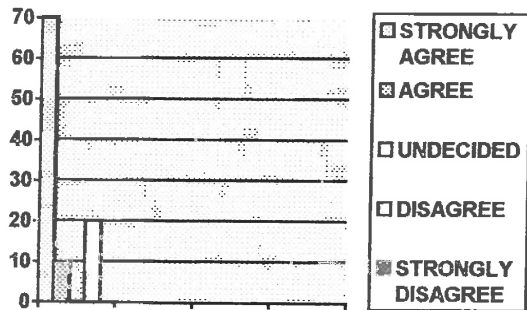
Figure 4.4.29   The remedial model is directed at identifying educators' weaknesses

70% of the respondents favoured this model claiming that it promotes their classroom performance, thus providing clear, specific educator direction, though not offering any noticeable challenge to the educator of today. 10% of respondents agreed with the above respondents. There were no undecided respondents. 20% of the respondents disagreed with the concept of a remedial model, maintaining that it is planned to select educators for merit pay awards and this divides the educators into good and weak ones, causing confusion in schools as learners want to be taught by good educators and parents want their children to be taught by good educators. There were no respondents who strongly disagreed.

The majority of the respondents (70%) reflected in table 4.4.29, strongly agreed that the remedial model is directed at identifying educators' weaknesses.

Table 4.4.29 also shows that 20% of the respondents disagreed with the above statement. Table 4.4.29 also recorded no undecided and strongly disagree responses.

On the basis of the above statistics it would appear that the remedial model is directed at identifying educators' weaknesses. Those Having Torches (1985:18) and Seyfarth (1991:36-37) maintain that appraisal is planned to select educators for merit pay awards. They also tentatively suggest that this model might improve educators' professional growth and daily classroom performance.

4.4.30 Educators should choose their own appraisal criteria

| NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
10	AGREE	10
0	UNDECIDED	0
0	DISAGREE	0
10	STRONGLY DISAGREE	10

Table 4.4.30
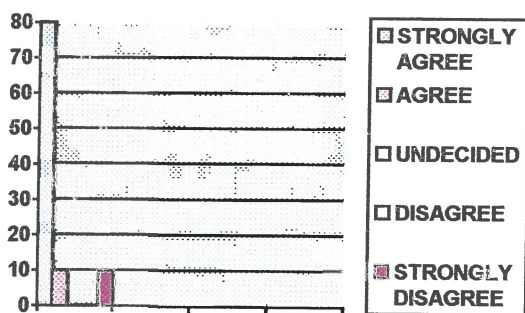
Figure 4.4.30   Educators should choose their own appraisal criteria

80% respondents strongly agreed that educators should choose their own criteria in the instrument for example the criticism levelled against the current grading and rating scales in the instrument was due to the use of symbols instead of figures, where an educator would be given an A, B, C, D, or E instead of 80% or 5%. If the educator and appraisal teams were given a chance to choose such criteria would be avoided and educators would have chosen criteria suitable to their own situation. 10% respondents agreed with the above respondents. No undecided and disagreed respondents. 10% respondents strongly disagreed.

The overwhelming majority of the respondents namely 80% as shown in table 4.4.30 strongly agreed, while 10% agreed that educators should choose their own appraisal criteria. On the other hand table 4.4.30 recorded a 10% response for the strongly disagreed category, while the undecided and disagreed category showed no responses. Statistical evidence in table 4.4.30 is an indication to conclude that educators should choose their own appraisal criteria.

Delaney (1989:10) supports the above 80% and 20% respondents who strongly agreed and agreed that there should of course be an established and agreed, criteria by which an educator's work is appraised and linked to clear, relevant and updated job description, which cover the whole range of responsibilities of educators concerned.

4.4.31 The product model holds educators accountable for the outcome of the students' results

NO OF RESPONDENTS	SCALE	PERCENT
0	STRONGLY AGREE	0
0	AGREE	0
0	UNDECIDED	0
20	DISAGREE	20
80	STRONGLY DISAGREE	80

Table 4.4.31
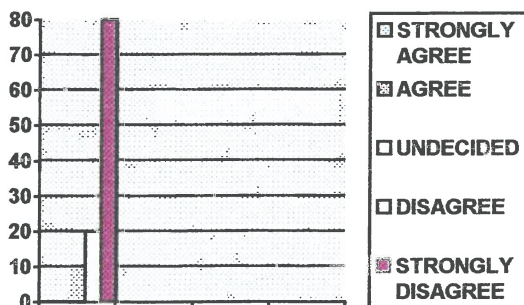

Figure 4.4.31   The product model holds educators accountable for the outcome of the students' results

There were no strongly agreed respondents, no agreed respondents and no undecided respondents. 20% of the respondents disagreed maintaining that learners come from different backgrounds that, in many cases, do not promote future learning prospects. For example, learners from very rural areas will not easily cope with television lessons as they are not familiar or have not been exposed to television before as compared to the learners who have seen and watched television before. The educators therefore distance themselves from being accountable for poor learners' achievements in schools. 80% of the respondents echoed the sentiments of the twenty respondents

above. They do not say they allege, but say emphatically that they are not accountable.

According to the statistics reflected in table 4.4.31, the majority of the respondents (80%) strongly disagree, while 20% disagree with the statement, saying that the product model does not hold educators accountable for the outcome of student's results.

Table 4.4.31 also recorded that there were no undecided, agreed and strongly agreed responses.

On the basis of the above figures one is inclined to conclude that the product model does not hold educators accountable for the outcome of the students' results. The original intention of this product model is to hold educators accountable for this, judging what is fit between what is taught and the outcome. This research found that it does not, but is characterised by inadequate measures of student performance and educator resistance. This could be the point at which educators feel most vulnerable in this brave new world in the South African education system, and it could be that professional development first loses out to the accountability model discussed in Chapter Five in this research. Senior managers may need all their powers of leadership and inspiration to change this. Emerson and Goddard (1997:18-19 support this stance.

4.4.32 Educators are necessarily antipathetic to appraisal

| NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
0	AGREE	0
0	UNDECIDED	0
20	DISAGREE	20
0	STRONGLY DISAGREE	0

Table 4.4.32
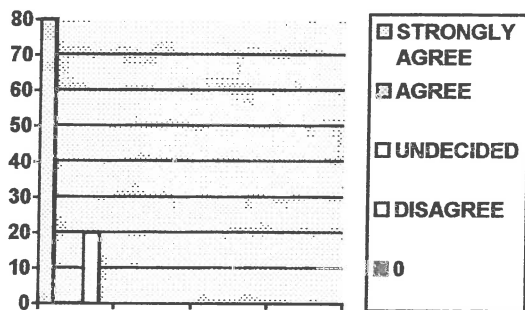
Figure 4.4.32   Educators are necessarily antipathetic to appraisal

80% of the respondents strongly agreed that educators are antipathetic towards appraisal. The respondents argued that in few cases the process appears to have petered out at school level because of delays by appraisers in handing back appraisal statements. 1% of 80% of respondents felt that the delay undermined the value of the whole experience. At times, appraisees complain of lack the of support for targets or felt unclear about where responsibility lay for the delivery of such support. It is stressful if appraisers lack the skills to provide effective training. It is strongly agreed that appraisal has enabled in-service co-ordinators to approach in-service consorted or groups with a clearer view of their schools' in-service needs. They sometimes felt that group in-service training is a compromise, which does not cater sufficiently for their own school. There were no respondents that agreed with the statement and there were no undecided respondents. 20% of the respondents disagreed that educators are antipathetic towards appraisal, as some educators see positive benefits in this approach and possibly such anxieties will lessen with greater experience. There were no respondents that strongly disagreed.

According to the figures in table 4.4.32, the majority of the respondents (80%) strongly agree that educators are necessarily antipathetic towards appraisal. In contrast, 20% of the respondents disagree and point out that educators are not necessarily antipathetic towards appraisal. Table 4.4.32 also shows that there were no respondents that agreed with the statement, were undecided or strongly disagreed.

In view of the above statistics, one is inclined to conclude that educators are necessarily antipathetic towards appraisal. At the introduction of appraisal, almost all educators were antagonistic towards it. This attitude later improved. Chisholm et al. (1997:33) illustrates this

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when telling of one ex-Department of Education and Training educator having commented that the appraisal process not only motivated educators but also changed the learners' attitudes towards their particular subjects.

4.4.33 The professional leaders in the school situation are not yet certain as to what appraisal really is

NO OF RESPONDENTS	SCALE	PERCENT
70	STRONGLY AGREE	70
10	AGREE	10
0	UNDECIDED	0
15	DISAGREE	15
5	STRONGLY DISAGREE	5

Table 4.4.33
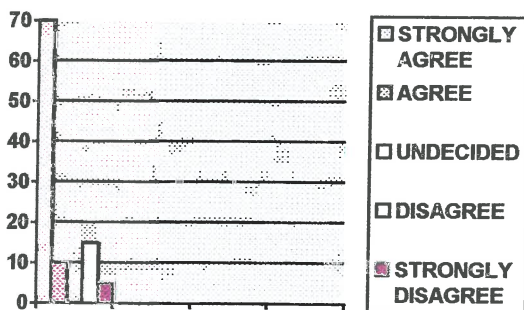
Figure 4.4.33   The professional leaders in the school situation are not yet certain about what appraisal really is

70% of the respondents said that appraisal is used as a part of the system to control and punish educators. They argued that educators should not be blamed for the problems that exist in the classroom. They blamed the department for acting against the educators before having adequately training them. They also maintained that appraisal is a fault-finding mission and not helping the situation. Educators, they claimed get nervous and one cannot judge them by observing only one lesson. 10% of respondents strongly agree with the seventy respondents above. There were no undecided respondents. 15% of respondents disagreed with the statement and argued that appraisal can help all educators to develop as professionals and can make schools more effective. It can assist educators to look closely at the way in which they do their work. It can also sensitise

educators to being accountable for their work. 5% of respondents strongly disagreed with the statement above and support the 15% of respondents.

Statistics in table 4.4.32 reflect that the majority of the respondents (70%) strongly agree with the statement, while 10% agree that the educators in the school situation are not yet certain about what appraisal really is.

In contrast, 15% of the respondents disagree, while 5% strongly disagree with the above statement. There were no undecided respondents. Based on the above statistics, one would assume that the educators in the school situation are not yet certain about what appraisal really is.

Educators must fully understand that appraisal is a task, is not person-centred and should concentrate upon the analysis of whatever aspects of the educator's role are selected. Delaney (1989:17) also supports this. This research has resolved the doubt existing around appraisal.

4.5   QUESTIONNAIRE 3 - (29 QUESTIONS AND 100 RESPONDENTS)

	POST LEVEL	QUESTIONNAIRE	FREQUENCY	PERCENT
MALE	ONE	THREE	60	60
FEMALE	ONE	THREE	40	40
TOTAL			100	100

Table 4.5
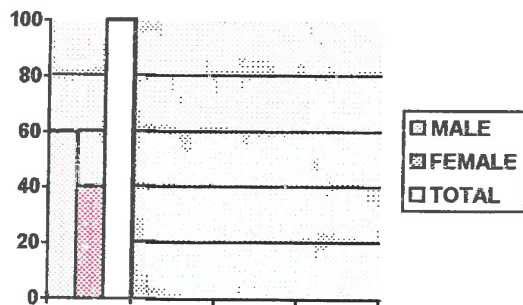
Figure 4.5

One hundred different educators from those who responded to questionnaires one and two answered questionnaire 3. They were however drawn from the same schools, namely:

- Imisebe Primary
- KwaMyeza Primary
- Gobandlovu Primary
- Aldingville Primary
- Muzikayise Primary
- Endakane High
- Clairwood Secondary
- Mandlakayise Primary
- Enkelabantwana Primary
- Nkabini Primary

- ✔   Endwebu Primary
- ✔   Beaula Primary
- ✔   Enkonjeni Primary
- ✔   Cezwana Primary
- ✔   Madulini Secondary
- ✔   Bilanyoni Primary

The researcher followed the same procedure as with questionnaire one in administering this questionnaire. Twenty-nine questions were asked. (see pages 177 - 217).

4.5.1   Education management is that process by which managers direct and co-ordinate organisations through human efforts.

NO OF RESPONDENTS	SCALE	PERCENT
70	STRONGLY AGREE	70
05	AGREE	05
03	UNDECIDED	03
15	DISAGREE	15
07	STRONGLY DISAGREE	07

Table 4.5.1
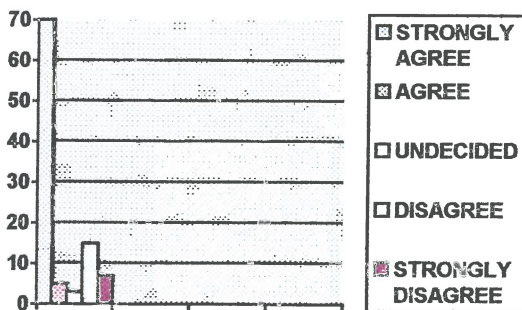
Figure 4.5.1   Education management is that process by which managers direct and co-ordinate organisations through human efforts

70% of the respondents argue that education management is the social process through which the manager co-ordinates the activities of a group of people by means of planning, organising, guiding, supervising and controlling, in order to achieve the specific goals of the school. 5% of respondents agree that management is a consecutive action, which forms a continuous cycle of planning, organising, guiding, supervision and controlling in order to reach previously set goals. 3% were of the respondents were undecided about this. 15% of respondents disagreed by arguing that the above statement could either be emphasised or accepted. The above definition contains an element of management that is absolutised. The last 7% of respondents strongly disagree with the statement maintaining that all the elements of management above should be evenly applied to ensure effective management and formative education. Management, as strongly argued by 70% of respondents must also account for the regulative aspect of management.

It is clear that good management may co-ordinate and control the activities of a school as evidence by 75% of respondents as opposed to the 20% who disagreed. This is also supported by Van der Westhuizen *et al.* (1999:40-41) in their comments that management is a complex concept that particularly describes the activities of people in an organisation. Trewatha and Newport (1976:22) maintain that management plans, organises and controls a school's operations in order to co-ordinate the human and material resources that are essential for the effective and efficient attainment of objectives.

4.5.2   **Management development cannot be simply equated with a focus on school district heads, superintendents of education and principals only - all relevant stakeholders must be involved**

| NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
20	AGREE	20
0	UNDECIDED	0
15	DISAGREE	15
5	STRONGLY DISAGREE	5

Table 4.5.2
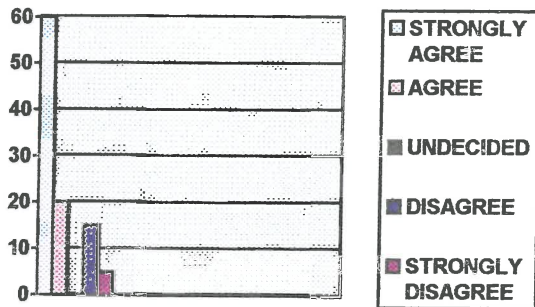
Figure 4.5.2 *Management development cannot be simply equated with a focus on school district heads, superintendents of management and principals only; all relevant stakeholders must be involved*

60% of the respondents strongly agreed with the National Department of Education annual report (1996:46) which emphasises that if at all our education management development is to be meaningful in the classroom situation, the development of a learning society requires the reclaiming of educators and the training system by all the communities in the country, not only the educator appraisal panels, principals and governing bodies. 20% of respondents agree with the above 60% of respondents. There were no undecided respondents. 15% of respondents commented that in developing human resources for education, care needs to be taken to meet those needs that are emerging from the new approach to education management, including an increased emphasis on relationship and team building skills. They further maintain that participative management and decentralised decision-making requires educators or stakeholders at all levels to interact with many different people and schools in making joint decisions and co-operating in a range of tasks. They need new interpersonal facilitation, leadership and conflict resolution skills (Report 1996:46). 5% of respondents also tally with the 15% of respondents above in terms of their comments.

80% of respondents maintained that school management development is the responsibility of all stakeholders, not only the principal. It is concluded that if this is the case, the blame must not be laid at the principal's door, but also at the door of the governing body of the schools where they are members. This is supported by A Facilitator's Manual (1997:28), which emphasises that even people from outside the institution may be brought in to assist and facilitate in such a workshop, which could be a management workshop or a relevant school workshop. This is also enshrined

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within the new constitution of the Republic of South Africa (1996:1-146). Furthermore, the Draft Policy Framework in Education Management Development has enforced this (2000:3-45). 20% of respondents who disagreed with the 80% of respondents voiced constructive criticism when they say that in developing human resources for education, care needs to be taken to meet the needs that are emerging from the new approach to school education management, including team building skills.

4.5.3   Productive education change is the ability to survive the vicissitudes of planned and unplanned change

NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
20	AGREE	20
1	UNDECIDED	1
15	DISAGREE	15
4	STRONGLY DISAGREE	4

Table 4.5.3
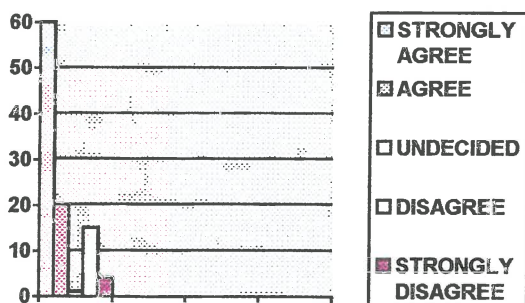
Figure 4.5.3   Productive education change is the ability to survive the vicissitudes of planned and unplanned change.

60% of the respondents said that productive education is not the capacity to implement the latest policy, but the ability to survive the vicissitudes of planned and unplanned change while growing and developing. 20% of respondents agreed with the 60% respondents above on this statement. 1% were undecided. The 15% of respondents commented that what is crucial is that the

individuals working in a constantly changing environment require support. In other words, they agreed that it is not the ability to survive the vicissitudes but to make change possible where it is impossible. The last 4% of respondents maintained that change could not take place if people managing the change do not work properly and do not keep time. The respondents are not, as such, opposed to the implementation of the latest departmental policy in management.

80% of respondents agreed that productive education is the ability to survive the vicissitudes of planned and unplanned change. It is clear that change needs certain skills from those who handle it, as this, though helpful, may bring ill-accepted results. However, educators may not be aware at the onset that these changes have some benefits. Lemmer and Squelch (1994:140) maintain that principals and appraisal teams are to be more responsible for initiating and managing change. They need to develop certain skills. 19% of respondents said it is crucial that all stakeholders must support people working in the change environment. This is a clear indication that educators need to know and be prepared for what needs to be changed.

4.5.4 Structural change refers to changes, policies and procedures

| NO OF RESPONDENTS	SCALE	PERCENT
40	STRONGLY AGREE	40
10	AGREE	10
5	UNDECIDED	5
15	DISAGREE	15
30	STRONGLY DISAGREE	30

Table 4.5.4
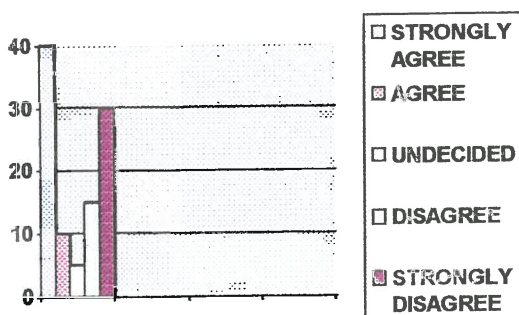
Figure 4.5.4   *Structural change refers to changes, policies and procedures.*

40% of respondents maintained that change is the key to creating a different environment that is more constructive and pleasing to all stakeholders in all schools and beyond school boundaries. They claim that structured change is common, as there are changes to policies in education and changes of rules and procedures in our education system, for example, in school methodology. 10% of respondents agreed with the 40% above. 5% of respondents were undecided. 15% of respondents maintained that although there are changes in policies, the real implementation of these education policies is dysfunctional. These changes are reflected on paper but the implementation thereof is still wanting. Structural change is not common these days. The respondents (30%) that strongly disagreed referred to structural or formal structure, which is disturbed because of the interaction with the environment. By means of effective management therefore, the balance could be restored in such a way that the organisation stabilises itself on a higher level than after each change previously.

It is evident that structural change occurs as a result of the policies and procedures that have been promulgated by the government - in this case by the national department of education. 50% of respondents who agreed had no option but to accept what the national department of education has pronounced. This is a top-down structure, which is beneficial, as there must be order in any school so that learning and teaching can continue.

45% of the respondents disagreed, maintaining that possibly the educators resist these rules, policies and procedures because they were not involved in their development. They were not part and parcel of the process. This is shown by the minor difference between those educators who agreed and those who disagreed. 50% agreed, i.e. strongly agreed and agreed, 49% disagreed, i.e. disagreed and strongly disagreed and 1% were undecided. One can thus conclude by saying that change is imposed upon recipients and initiated by the educator.

4.5.5   People-centred change focuses on changing people's performances

| NO OF RESPONDENTS	SCALE	PERCENT
20	STRONGLY AGREE	20
20	AGREE	20
1	UNDECIDED	1
59	DISAGREE	59
0	STRONGLY DISAGREE	0

Table 4.5.5
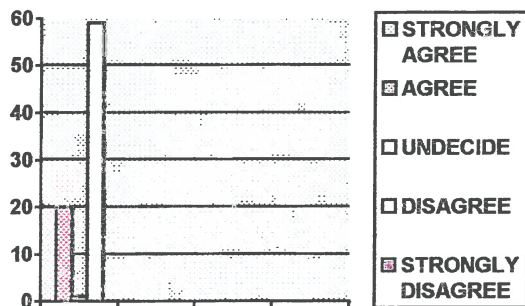
Figure 4.5.5   People-centred change focuses on changing people's performance

20% of the respondents maintained that this change focuses on changing people's attitudes, behaviour, performance and way of acting. They strongly believe that this is possible. 20% of respondents agreed that changing people's attitude is possible. 1% of the respondents were undecided.

59% disagreed and argued that change has numerous implications for educators who are required to create a classroom culture and to support learning experiences that are relevant to all learners. The respondents further maintained that situations that precipitate change might arise within a school. Such internal sources of change include a failure of discipline, dissatisfaction with examination results or a change in school staff. No respondent strongly disagreed. They affirmed what the group that disagreed has said above.

40% of respondents agreed that educators' attitudes towards classroom performance is positive on

rare occasions. They argued that learners fail at the end of the year because educators are not motivated towards classroom work and always complain that their salaries are not attractive and that the department has deprived them of their leave gratuities. Leave days no longer accumulate. The educator-learner ratio is still more than 1:30, unlike in the past where model C schools handled a minimum of 15 learners. This is supported by Lemmer and Squelch (1994:137) who maintain that people-centred change has numerous implications for the educators who are required to create a classroom culture and learning experiences that are relevant to all learners.

59% of respondents disagreed with the statement. Their view seems to be in line with what Lemmer and Squelch have said before, that a people-centred approach precipitates change within the school. It is concluded that this change may not work beneficially at times.

4.5.6 The appraisal of educators is in essence a developmental process that depends upon continuous support from all stakeholders

| NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
20	AGREE	20
0	UNDECIDED	0
18	DISAGREE	18
2	STRONGLY DISAGREE	2

Table 4.5.6
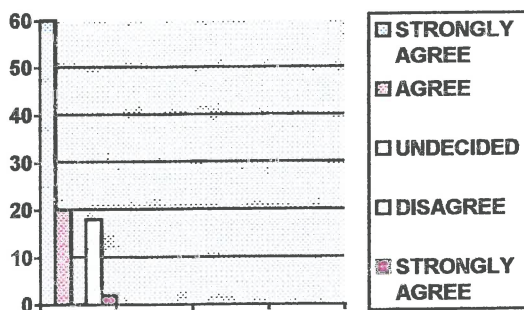
Figure 4.5.6   The appraisal of educators is in essence a developmental process that depends upon continuous support from all stakeholders

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60% of the respondents commented that the developmental process should be continuous, systematic and developmental in nature and, above all, should be related to one's job description. This will fruitfully encourage the educator in his or her classroom performance. 20% of respondents supported the above comment. 0% were undecided and 18% disagreed with the statement. They argued that appraisal should not be continuous because it disturbs lesson work in the classroom and does not benefit learners at all, as some educators themselves are too lazy to teach. This suggests that appraisal should be introduced in colleges of education, not at school level where it has no room in the school timetable. This is one of the reasons for timetable clashes, as mentioned before in this research.

2% of respondents strongly disagreed. They supported 18% of respondents who emphasised that the appraisal of educators cannot be successful without the support of all stakeholders. This view is supported by Stenning and Lyons (1986:62) who stated that this process should be passed on to staff in a regular, constructive and helpful way. Furthermore, this 80% of respondents are supported by West-Burnham (1993:3) and Chisholm et al. (1997:5), who say this is a continuous and systematic process intended to help individual educators with their professional development and career planning and also ensures that in-service training is continuous. 20% of respondents disagreed with the appraisal process being continuous, maintaining that this disturbs normal class routine. It is concluded that the appraisal developmental process should be continuous if it is to be of benefit to the educators.

4.5.7 The developmental appraisal system aims at reviewing the improvement of the current performance

NO OF RESPONDENTS	SCALE	PERCENT
0	STRONGLY AGREE	0
0	AGREE	0
0	UNDECIDED	0
80	DISAGREE	80
20	STRONGLY DISAGREE	20

Table 4.5.7
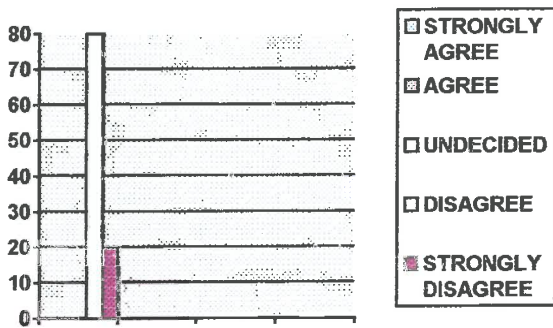
Figure 4.5.7   The developmental appraisal system aims at reviewing the improvement of the current performance

There are none that strongly agree, agree or remain undecided. 80% of the respondents disagree with the statement, maintaining that the above aims cannot be effectively achieved, as there is a decline in the practice of importing ready-made developmental appraisal systems from other prosperous organisations. They further comment that to achieve the above aims a balance must be maintained between teaching and other responsibilities and in all cases a formal interview should be preceded by self-appraisal and followed by a written report. The schools lack up-to-date accessible information which is consistent and systematic about the performance of educators. Educators are concerned with their professional development and expect effective performance to be recognised and supported. The last 20% who strongly disagree endorse what the 80% of respondents have said above.

All of the respondents argue that the aims of the developmental appraisal system cannot be effectively achieved, as there is a decline in the practice of importing ready-made developmental appraisal systems from other schools or organisations. There is no balance between teaching and other responsibilities. It is concluded in this research that the aims of the developmental appraisal process cannot be implemented effectively. It therefore stands to reason that all the stakeholders must try to remove the barriers in order to implement the aims of the appraisal developmental process with ease. Without these aims being implemented, learning and teaching cannot be enhanced.

4.5.8 In order to facilitate change in education one cannot only target one aspect of the institution

| NO OF RESPONDENTS	SCALE	PERCENT
5	STRONGLY AGREE	5
6	AGREE	6
5	UNDECIDED	5
4	DISAGREE	4
80	STRONGLY DISAGREE	80

Table 4.5.8
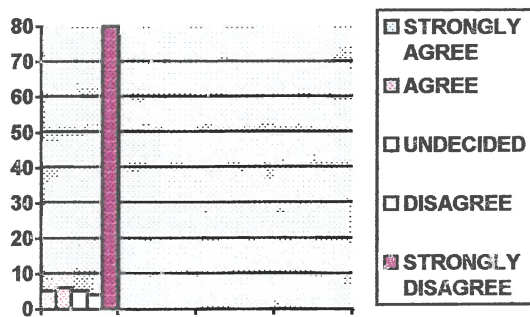
Figure 4.5.8   In order to facilitate change in education one cannot only target one aspect of the institution

5% of the respondents commented that currently only educators and not learners are appraised. They are supported by 6% of the respondents who agreed with the statement. 5% are undecided and 4% disagreed, holding the view that the appraisal process in South African school situation concentrates on educators only and learners do not know what they are supposed to be taught. It is therefore argued that learners should also be involved in the appraisal process as observers. The governing bodies must also be involved, as they are involved in the selection process for purposes of educator appointment and promotion posts. 80% of respondents strongly disagreed and echoed what the 4% of respondents who disagreed emphasised.

11% of respondents agreed that all educators within the school must be part of the process. This is

supported by A Facilitator's Manual (1997:24) which states that the developmental appraisal system is part of whole school development approach and should be viewed in relation to other initiatives that are underway in schools. The developmental approach system is not divorced from these other initiatives, but should form an integral part of it.

80% of respondents were in favour of exclusion of the learners and governing bodies from the process, claiming that learners should be involved in the appraisal process as observers as well. If learners were involved, they would be able to help other learners with their classroom work. The governing bodies must also be involved, as they are part and parcel of the teaching and learning processes. It is concluded that learners and governing bodies must be involved in the appraisal process.

4.5.9 In order to facilitate the ways in which the appraisal panels are set up, staff development teams are necessary

| NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
0	AGREE	0
0	UNDECIDED	0
20	DISAGREE	20
0	STRONGLY DISAGREE	0

Table 4.5.9
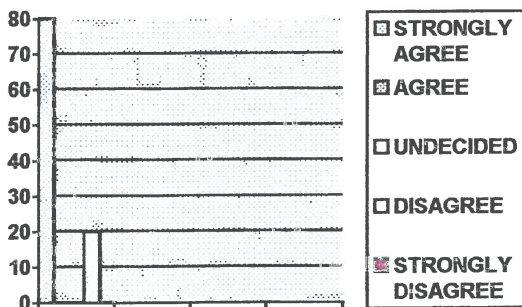
Figure 4.5.9   In order to facilitate the ways in which the appraisal panels are set up, staff development teams are necessary

80% respondents strongly agreed that the purpose of developmental teams is to initiate, co-ordinate and monitor the appraisal process in schools and ensure that training in the developmental appraisal system occurs. They emphasised that it is also incumbent upon the staff development teams to facilitate ongoing professional support. It is recommended that this team should consist of the principal or deputy principal as members and other elected members of the staff. The establishment of the staff development teams should be discussed openly in both staff meetings of the school governing bodies. There was no one who agreed, remain undecided or strongly disagreed.

20% respondents disagreed and argued that the management plan of the staff development team may be amended to suite the conditions of each school. It will be difficult for the development team to monitor this process because they are teaching in their own schools. It goes without saying that the appraisal panels should be set up and it is imperative that the staff developmental teams are a priority in developing the educators in schools.

4.5.10   The purpose of the staff development team in the developmental appraisal system is to monitor the appraisal process in institutions and to ensure that training in developmental appraisal system occurs

NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
0	AGREE	0
0	UNDECIDED	0
20	DISAGREE	20
0	STRONGLY DISAGREE	0

Table 4.5.10
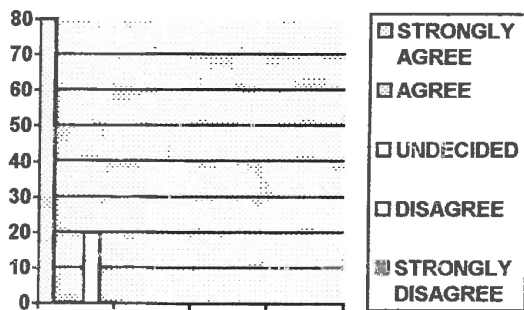
Figure 4.5.10   The purpose of the staff development team in the developmental appraisal system is to monitor the appraisal process in institutions and to ensure that training in developmental appraisal system occurs

80% of the respondents commented that managing the implementation of the new development appraisal system ensures mainly that organisational arrangements are made and the process is co-ordinated and effectively accounted for. They argued and said that providing training for it is only about ensuring that people are equipped with an understanding of and skilled within the developmental appraisal system. Monitoring the progress and experiences of the implementation of the new developmental appraisal process is of vital importance. There were no respondents who agreed with this statement and no respondents who were undecided about it.

20% of respondents disagreed and argued that educators allocated to two or more roles cannot be expected to fulfil both at the same time. Monitoring the progress and experiences of the implementation of the new developmental appraisal process is of vital importance. It is on the basis of the findings of such monitoring that the developmental appraisal system will be reviewed and modified if necessary. Ensuring a casual and well-planned system is vital. No respondents strongly disagreed with this statement.

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4.5.11 The new developmental appraisal system is for all educators including educators outside of schools and those that are office-based

| NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
0	AGREE	0
0	UNDECIDED	0
20	DISAGREE	20
0	STRONGLY DISAGREE	0

Table 4.5.11
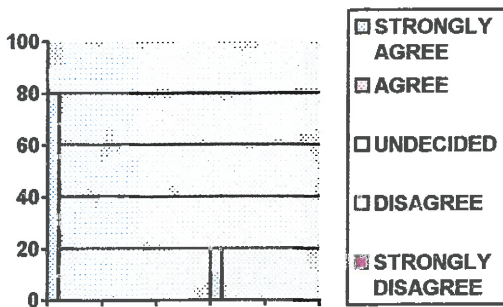
Figure 4.5.11   The new developmental appraisal system is for all educators, including educators outside of schools and those that are office-based

80% of the respondents strongly agreed that all educators, including principals should be appraised, even if office-based. They should be appraised so that they are aware of what is going on in their schools and should be able to assist where possible. No respondents agreed with this statement and no one remained undecided about it.

20% of respondents disagreed and commented that the credibility of any scheme will be threatened if any staff members are omitted, especially if those chosen are either the weakest or the strongest educators. Equality of all educators is essential. The principal must be appraised, as the lack of a plan to appraise the principal may detract from the acceptability of the scheme. No

respondents strongly disagreed with the statement.

Evidence in figure 4.5.11 and table 4.5.11 show that 80% of respondents maintain that all educators should be appraised, even those outside the school premises. It is therefore concluded that before the principle of educator developmental appraisal process, all educators are equal.

20% of respondents argue in support of appraisal and say that there should be a proper plan for the appraisal purpose, but they are not opposed to the inclusion of all educators, both weak and strong, in the process of appraisal. This school of thought is supported by A Facilitator's Manual (1997:35), which maintains that in some schools all members of staff possibly form part of appraisal process. Chisholm *et al.* (1997:17) support the idea of appraising all educators. They argue that in order to realise their maximum potential is the point of departure from which the development of all educators could be undertaken.

4.5.12   The appraisal must be transparent

| NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
3	AGREE	3
7	UNDECIDED	7
0	DISAGREE	0
10	STRONGLY DISAGREE	10

Table 4.5.12
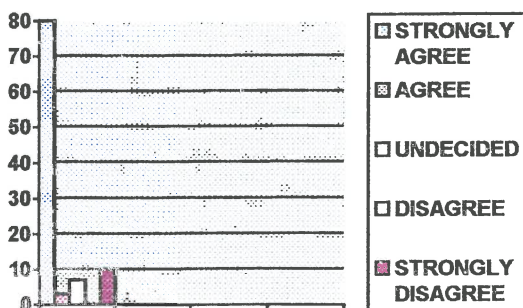
Figure 4.5.12   The appraisal must be transparent

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80% of the respondents maintained that the appraisal process must be democratic and transparent. Transparency also ensures accountability and prevents appraising being done in secretive and corrupt ways. Because of this, the process needs to be open and transparent and all decisions need to be clearly justified and agreed upon to avoid that appraisers make unilateral decisions. Transparency enables educators to be confident about being appraised fearlessly. 3% of respondents agreed with the statement and argued in the same manner as the 80% who strongly agreed. 7% were undecided. These were all female respondents who are usually used to discussing matters secretly. No respondents disagreed with the statement.

10% of respondents strongly disagreed, claiming that in their schools transparency is still not practised. Most of the appraisal reports are strictly confidential and not accessible to those who were not in the appraisal process meeting. They further argued that, in principle, transparency in the appraisal process exists, but is not applied. This is endorsed by the many disputes that arise from the unprocedural ways in which educators are interviewed. Educators and governing bodies still experience problems with the old method of appraisal, which lacks transparency and openness (Chisholm *et al.* 1997:25). This research concludes that the appraisal process should be transparent, without hidden agendas.

4.5.13 The appraisal team is to arrange for observation of the educator in practice

| NO OF RESPONDENTS	SCALE	PERCENT
20	STRONGLY AGREE	20
0	AGREE	0
0	UNDECIDED	0
0	DISAGREE	0
80	STRONGLY DISAGREE	80

Table 4.5.13

194
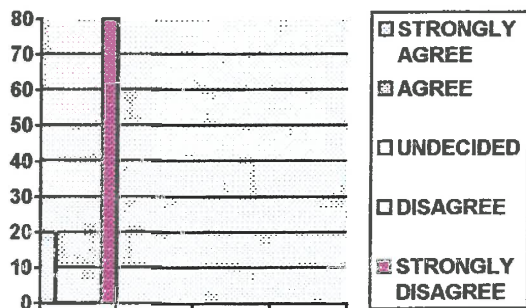
Figure 4.5.13   The appraisal team is to arrange for observation of the educator in practice

20% of the respondents strongly agreed that classroom observation improves the educators' performance in class. However, the emphasis needs to be on improvement rather than correction, negotiation rather than assertion, shared understanding, rather than imposed judgement. Crucially, the activity should focus on the performance of the educator and not the personality. It should be noted that the aim of classroom observation is not to emphasise negative aspects. No respondents agreed, disagreed or remained undecided about this issue.

80% of the respondents strongly disagreed with classroom observation, maintaining that it lowers their dignity in front of the class. Moreover, if they commit a mistake in the presence of the appraisal team that affects their integrity. Their opinion is that the appraisal team must highlight the strengths of the educator. Good work must be praised, although the weak points in the educator's performance must also be mentioned. It is viewed as a common mistake that appraisers only highlight the weaknesses of the appraised.

Despite the fact that the report by Chisholm *et al.* (1997:33-34) favours class visits, they argue that the process itself does not open any path for victimisation. It is obvious that the majority of the educators in KwaZulu-Natal do not accept class observation by the principal, head of department or any senior educator. This is supported by the educator unions, i.e. NAPTOSA, SADTU etc. The researcher knows this from practical experience, as he is Chief Director of the Ulundi Region.

4.5.14 The appraisal report prevents summative decisions

| NO OF RESPONDENTS	SCALE	PERCENT
20	STRONGLY AGREE	20
0	AGREE	0
3	UNDECIDED	3
0	DISAGREE	0
77	STRONGLY DISAGREE	77

Table 4.5.14
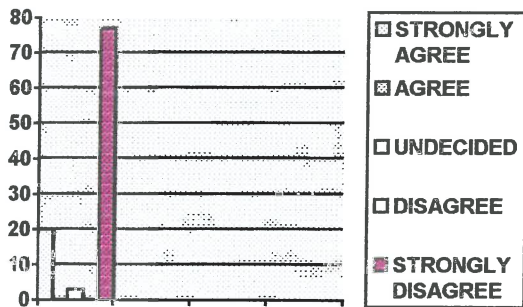
Figure 4.5.14   The appraisal report prevents summative decisions.

20% of the respondents strongly agreed with this statement, maintaining that the principle of democracy and transparency has been fully implemented. This encourages the appraisee to improve in his or her work, as the chances of privacy and secrecy are limited. Any interested educator or appraisee could have access to such information. There are no secret processes. All decisions need to be clearly justified and the appraisee is at liberty to oppose them these decisions. No respondents agreed. Only 3% of the respondents remained undecided and none disagreed with the statement.

77% of the respondents who strongly disagreed maintained that the summative forms of evaluation tend to use the judgmental approach. They also tend to be quantitative in nature and concerned about outputs or products. The summative forms of evaluation look at what educators do in achieving what is required of them. The trend here is that educators are inspected and their

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performances tend to be quantitatively evaluated by focusing on those aspects of teaching and learning that measurable (A Facilitator's Manual 1997:11). This research concludes that the process of appraisal does not prevent summative forms of evaluation. The element of policing educators is still perceived in some schools, possibly by the principals.

4.5.15 The human resources manager ensures continuous improvement and positive change for everyone in the organisation

NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
20	AGREE	20
0	UNDECIDED	0
20	DISAGREE	20
0	STRONGLY DISAGREE	0

Table 4.5.15
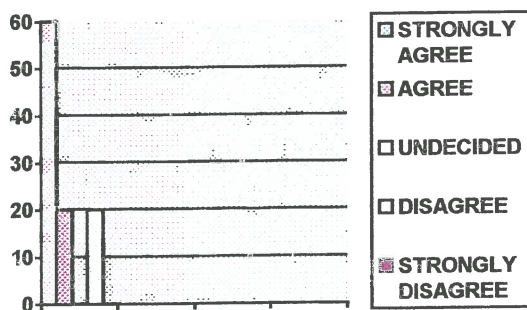
Figure 4.5.15   The human resources manager ensures continuous improvement and positive change for everyone in the organisation

60% of the respondents maintained that the human resources manager needs to cultivate, nurture and sustain a planned and caring program. Reynders (1971:166) maintains that personnel utilisation must be strictly planned to apply to every colleague's services as profitably and beneficially as possible. Educators welcome regular, continuous, constructive and knowledgeable assistance in the examination of their own performance and appreciate opportunities to share in

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the process of drawing up yardsticks or criteria to evaluate their effectiveness. The manager and his or her team should reach an understanding and agreement on the scope, accountability and constraint of their respective roles. They should appreciate each other's problems and reach an understanding about what results are expected from specific tasks and how these could best be achieved with sufficient opportunities for monitoring the progress of the work and the extent to which agreed standards and specific targets are being achieved. Fourie (1998:48) concurs with Reynders (1971:166) in that you cannot hold an educator accountable, unless you have oriented him/her and have provided leadership and empowerment that builds effective work teams, as well as having assessed subordinates' career progress and advised them regarding their career options.

20% of respondents who agreed with the statement support the above comments without any doubts. They assert that they cannot say anything more than the strongly agreed respondents. There were no undecided respondents. 20% of respondents maintain one cannot examine an educator's performance. It is natural that one lives with his or her mistakes. They further argue that it is impossible for any appraiser to monitor any educator's progress, as they are not full time assessors and have their own class or office work to attend to. Secondly, the department finds it difficult to provide transport for the appraisal team to reach different schools because of financial constraints. No respondents strongly disagreed with the statement.

This research deduces that it rests upon the human resources manager to ensure continuous improvement for everyone in the school.

4.5.16   The management team's role entails that it must be the glue in the school

| NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
0	AGREE	0
0	UNDECIDED	0
20	DISAGREE	20
0	STRONGLY DISAGREE	0

Table 4.5.16
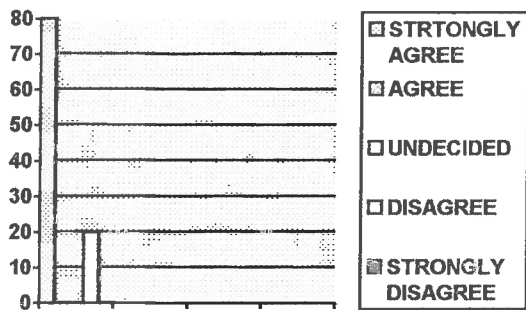
Figure 4.5.16   The management team's role entails that it must be the glue in the school

80% of the respondents maintained that the management team has to plan, organise, direct and control the work of other educators. They argue that this involves a fundamental change in the criteria for job success. In support of the above comment, Morris and Everard (1990:5) point out that throughout the educational process, success tends to depend on demonstrating the exploiting one's own ideas and talents. This would be the focus in one's first teaching appointments. No respondents agreed with the statement and no respondents remain undecided about it.

20% of the respondents claim that the team members must take joint decisions. They further emphasised that the team members in change management must be fully committed and ensure that their ideas are put into effect. In this situation, therefore, the management team is less concerned with being a resource than with using resources. It is argued that the management team must be the glue in the school, hopefully not in the sense of gumming up the whole process (although those whom they manage will inevitably see it that way at times), but in the sense of holding the school together. No respondents strongly disagreed with the statement.

4.5.17 Every human resources manager has a concern to achieve results

NO OF RESPONDENTS	SCALE	PERCENT
70	STRONGLY AGREE	70
0	AGREE	0
0	UNDECIDED	0
30	DISAGREE	30
0	STRONGLY DISAGREE	0

Table 4.5.17
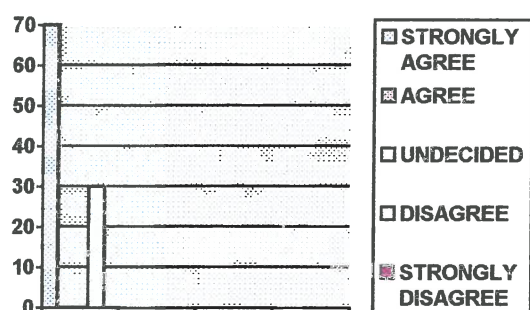
Figure 4.5.17   Every human resources manager has a concern to achieve results

70% of the respondents maintained that the role of the human resources manager is to support, facilitate and be receptive to ideas and suggestions and should not only be able to plan resources, but also to deliver them, as he or she is also concerned about results. No respondents agreed with this issue and no respondents remained undecided on it. 30% of them disagreed and commented that educators will not respond if the principal and his management team make the elementary mistake of accepting continued effective performance without comment and complaining when mistakes are made. They further maintained that a basic good management tactic is that only positive consequences encourage good future performance. There were no respondents who strongly disagreed. This research concludes that the human resources manager is to support, facilitate and be receptive to the ideas and suggestions of other educators if he or she wants to succeed. A Facilitator's Manual (1997:27-32) also supports the ideas suggested by 70% of the respondents in this section.

4.5.18 The consultative style manager consults people for professional advice in his or her development approach

| NO OF RESPONDENTS	SCALE	PERCENT
65	STRONGLY AGREE	65
5	AGREE	5
0	UNDECIDED	0
30	DISAGREE	30
0	STRONGLY DISAGREE	0

Table 4.5.18
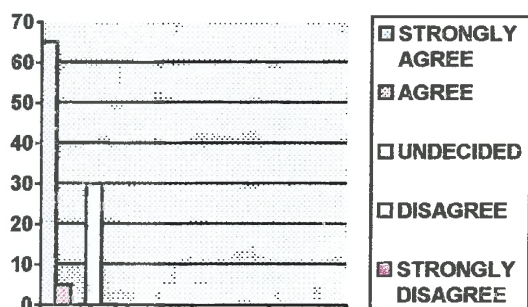
Figure 4.5.18   The consultative style manager consults people for professional advice in his or her development approach

65% of the respondents strongly agree that education consultative style management is opposed to assertive passive behaviour and political behaviour. 5% of respondents agreed. 30% of respondents maintain that it is solicitous style that cares about the people, avoids open conflict, praises achievement, tends towards management by committee and is helpful to the educators inside and outside the school. No respondents strongly disagreed with the statement. The conclusion is that 70% of the respondents are in favour of the consultative management style, while 30% of them disagree.

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4.5.19   The democratic style model is in line with the new developmental system - nothing is done without involvement of the people

| NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
0	AGREE	0
0	UNDECIDED	0
20	DISAGREE	20
0	STRONGLY DISAGREE	0

Table 4.5.19
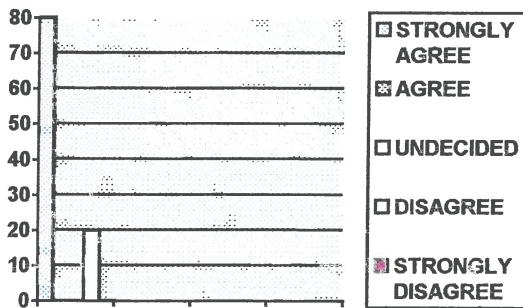
Figure 4.5.19   *The democratic style model is in line with the new developmental system, nothing is done without involvement of the people*

80% of the respondents claimed that motivational style model agrees with goals and expects achievement, monitors performance against goals, helps educators to find solutions to poor performance, faces up calmly to conflict, agrees and monitors action plans, includes staff in decisions which affect them, delegates clearly and takes decisions when needed. This manager moves with change in the South African Department of Education. No respondents agreed with this statement or remained undecided about it.

20% of the respondents disagreed, claiming that although the democratic model involves staff in decision-making, the presence of the manager when decisions are taken are biased, as he or she influences the decisions and educators fear that to oppose the manager might result in the

manager not recommending them when there are promotion posts. There were no respondents who strongly disagreed with the statement.

The respondents above strongly maintained that the democratic style is a formative form of evaluation and this is supported by A Facilitator's Manual (1997:11). It is clear that educators favour the democratic style model in the appraisal process.

4.5.20 The autocratic management style shows an intense interest in tasks

| NO OF RESPONDENTS	SCALE	PERCENT
40	STRONGLY AGREE	40
0	AGREE	0
0	UNDECIDED	0
60	DISAGREE	60
0	STRONGLY DISAGREE	0

Table 4.5.20
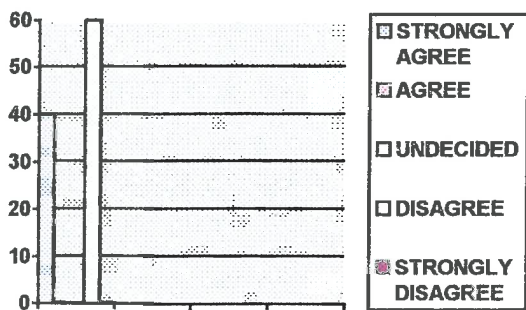
Figure 4.5.20   The autocratic management style shows an intense interest in tasks

40% of the respondents maintained that if appraisal is implemented in an autocratic way without the co-operation of educators, educators might view it negatively. As long as the process of appraisal involves all relevant educators as part of the appraisal panel, it cannot be viewed in a negative way. No respondents agreed with the statement or remained undecided about the issue.

60% of respondents disagreed with the autocratic manner in the appraisal process. They argue

that educators should be informed of all aspects of the appraisal process so that they could take initiative in realising their educational objectives and helping themselves, as well as to clarify their career aspirations. The autocratic model is the exact opposite of the democratic model. If, for whatever reason, the appraisal team is not democratic and accountable, the appraisee could reject the appraisal report and the report would not be valid. Democracy and accountability are therefore necessary conditions of the new developmental appraisal system. No respondents strongly disagreed with the statement.

This research tallies with Chisholm *et al.* (1997:40) who endorse that the appraisal process should be fair, democratic and just.

4.5.21   Every job description developed should be open to revision after appointment

NO OF RESPONDENTS	SCALE	PERCENT
80	STRONGLY AGREE	80
20	AGREE	20
0	UNDECIDED	0
0	DISAGREE	0
0	STRONGLY DISAGREE	0

Table 4.5.21
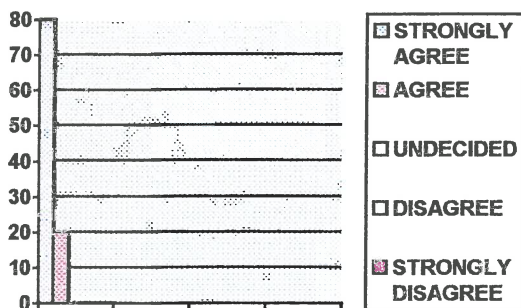
Figure 4.5.21   Every job description developed should be open to revision after appointment

80% of the respondents strongly agreed that job description should be clear and open to revision after appointment. It should allow changes or amendments to suite the environment of an

educator. 20% of them who agreed claim that planning and development are crippled because of tardiness of the job description. A promising candidate may emerge with unforeseen talents that may not be further developed because of this. There were no undecided, disagree and strongly disagree responses.

There was a 100% positive response to the statement, which said every job description must be flexible to accommodate any later improvements in the work situation. For example, an educator may volunteer to change a certain aspect in his or her job description. All the respondents support the further development of the job description after appointment. It is argued that educators are professionals and should be allowed a wide scope to use their flair and to apply their qualities and skills in ways that seem most appropriate to them. The job description should therefore leave ample discretion to the educator. Emerson and Goddard (1997:80-81) support the above views.

4.5.22 The purpose of human resources development is to develop the educator and enable him or her to provide quality education

| NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
10	AGREE	10
2	UNDECIDED	2
20	DISAGREE	20
8	STRONGLY DISAGREE	8

Table 4.5.22
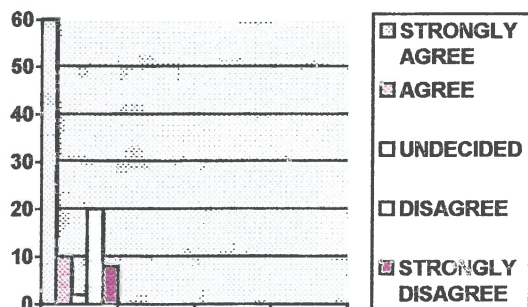
Figure 4.5.22   The purpose of human resources development is to develop the educator and enable him or her to provide quality education

60% of the respondents strongly agree that the main purpose of the human resources manager is to develop his or her personnel to perform better than ever before. They maintain that the most important resource in an organisation is its staff. If staff members are well trained, adaptive and motivated, great things could happen. 10% of respondents agreed with the 60% above. 2% of respondents remained undecided on the issue.

20% of the respondents disagreed, maintaining that not enough is done to help people to improve their performance. Even less is done to help those who cannot understand their deficiencies and find roles where they might succeed outside of the school organisation. 8% of respondents strongly disagreed, saying no one deliberately performs unsatisfactorily and some never seem to be able to develop the level of skill necessary to adequately perform his or her work.

70% of respondents agreed that one of the main purposes of human resources development is the professional development of educators. 28% of respondents disagreed, maintaining that not enough is done to help people to improve their classroom performance and, furthermore some never seem to be able to develop the level of skills necessary to perform his or her job well. To provide quality education, the respondents support the idea of full development of the educator by the appraisal development team, not only the principal in that particular school.

4.5.23 Educationists at every level of the management process must understand the changes that are taking place at present

| NO OF RESPONDENTS	SCALE	PERCENT
0	STRONGLY AGREE	0
40	AGREE	40
0	UNDECIDED	0
60	DISAGREE	60
0	STRONGLY DISAGREE	0

Table 4.5.23
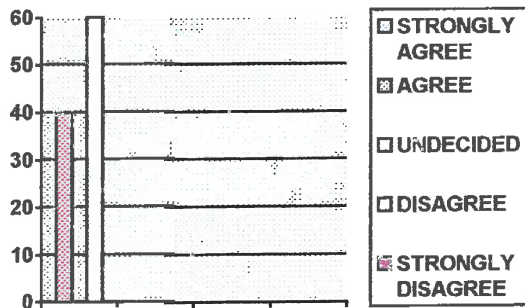
Figure 4.5.23   Educationists at every level of the management process must understand the changes that are taking place at present

No respondents strongly agreed with this statement. 40% of them maintained that these changes would fundamentally alter many of the practices of the past and demand new approaches and understanding of the role of educational planners, managers, administrators, educators and support staff at every level of the educational system. No respondents remained undecided on the issue.

60% of respondents commented that, through public discussions about the new developmental appraisal approach to management, all managers at all levels must be familiar with the implications of the new education policy and legislation for management and be able to understand what it means to manage under democratic and fully participating conditions in all schools in South Africa. No respondents strongly disagreed with this.

40% of respondents maintained that changes alter many of the practices of the past and demand new approaches for the future. 60% of them commented that all managers at all levels must be developed in the skills expected of them. It is argued that whether we like it or not, change is there and managers must change. Change is inevitable, whether it is imposed upon us or initiated by us (Lemmer & Squelch (1994:136-137). It is thus obvious that change is inevitable.

4.5.24 The natural resistance to change implies that change can only succeed with the active involvement and support of the principal and the appraisal team

| NO OF RESPONDENTS	SCALE	PERCENT
70	STRONGLY AGREE	70
0	AGREE	0
0	UNDECIDED	0
30	DISAGREE	30
0	STRONGLY DISAGREE	0

Table 4.5.24
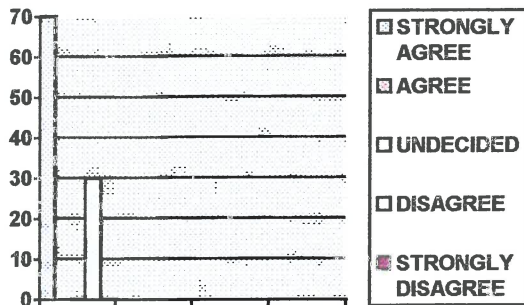
Figure 4.5.24   The natural resistance to change implies that change can only succeed with the active involvement and support of the principal and the appraisal team

70% of the respondents maintained that during this current change in the South African education system not only the principal is to effect change. The appraisal team must work hand in hand with the principal. Supporting the 70% of respondents, Vandenberge (1988:2) argues that, as facilitators of change, the principal and the appraisal teams suggest that there could be distinguished between principals and appraisal teams who are more successful than others in the implementation of change. No respondents agreed or were undecided.

30% of respondents maintained that not all change proposals are authentic and there may be reasons why change decisions are made, of which not all represent sustained commitment. Fullan (1982:36) supports this. If the subjective and the objective implications of implementing real

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change are as profound as claimed, there is way that even a fraction of the changes in the pipeline could be implemented. All new change programs could not be developed to the point that change is good, depending on one's values and whether or not the change is implemented and with what consequences. No respondents strongly disagreed with this issue.

70% of respondents agreed that it is natural to resist change, particularly if its purpose has not been fully explained and it is imperative to involve all stakeholders who will be affected by the change. 30% of respondents commented that the new change programs are not developed to the point that they may become meaningful. In concluding, change is good, depending on one's values, whether or not the change is implemented and with what consequences. Supporting the respondents above Carnall (1986:106) maintains that the principal and the appraisal teams need skills to successfully initiate and manage change.

4.5.25 **The prerequisites for the implementation of transformational change are educators' commitment to the process of change**

| NO OF RESPONDENTS	SCALE	PERCENT
0	STRONGLY AGREE	0
70	AGREE	70
0	UNDECIDED	0
30	DISAGREE	30
0	STRONGLY DISAGREE	0

Table 4.5.25
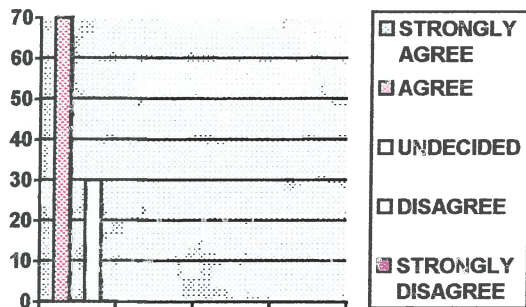
Figure 4.5.25 *The prerequisites for the implementations of transformational change are educators' commitment to the process of change*

No respondents strongly agreed with this statement. 70% of the respondents maintained that there should exist clear cut strategic goals to be reached as the organisation undergoes the change process and milestones should be established to guide the path of change. They added that detailed tactical plans should be decided upon and be made available in an understandable language and identifying who is to participate in the change process. Training should be provided to those individuals who are to initiate or manage change. If they do possess the requisite knowledge or skills, human resources must be provided to enhance the probability of successful change and high quality, comprehensive and frequent two-way communication should take place throughout the entire change process. The summative plans should be made during the summative period of the change process. If changes are required during the initiation and implementation stages of change, the appraisal team should take the initiative in this process. There were no undecided respondents.

30% of the respondents argued that change would not succeed if the attitudes of all stakeholders were opposed to it. We shall talk of change but not act. We must accept change and its ripples and always consult those with better knowledge of change. No respondents strongly disagreed in this case.

70% of respondents agreed that change needs educators' commitment. 30% of them maintained that change would not succeed if the attitudes of all educators were opposed to it. They must accept change and its ripples. It is concluded that unless educators accept change it will never succeed, and its failure will result in no improvement of the new education system in the Republic

of South Africa. Despite numerous implications, the educators must be able to accept change and implement it (Lemmer & Squelch, 1994:136-141).

4.5.26 To implement change, the principal and the appraisal team need to have a broad teaching experience

| NO OF RESPONDENTS	SCALE	PERCENT
0	STRONGLY AGREE	0
70	AGREE	70
0	UNDECIDED	0
30	DISAGREE	30
0	STRONGLY DISAGREE	0

Table 4.5.26
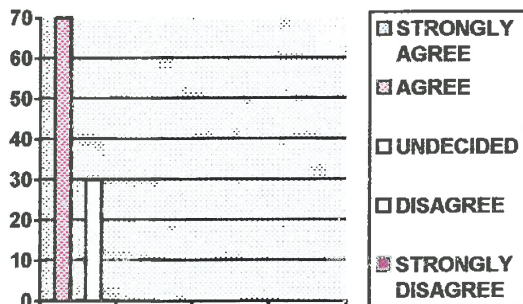
Figure 4.5.26 To implement change, the principal and the appraisal team need to have a broad teaching experience

No respondents strongly agreed with this statement. 70% of respondents maintained that to implement change, the principal and the appraisal teams should have a broad teaching experience and sound knowledge of educational management. The principal and the appraisal teams should have sound knowledge of group functioning and be familiar with all appraisal workshops. Sound knowledge of educational management and a good general knowledge of their disciplines are also essential. They should have skills for enhancing communication, trust and self-confidence. No respondents remained undecided on this issue. 30% of respondents maintained that without a broad knowledge of teaching experience, the educators might not be able to handle conflict and

stress in the appraisal process in the classroom situation. Skills in the planning for action and in implementation are necessary and hence, broad teaching experience is essential in the appraisal process. No respondents strongly disagreed on this issue.

70% respondents maintained that to manage change, the principal and appraisal team needs to have a broad teaching experience. Skills such as good personal qualities as an educator are essential to manage change (Carnall 1976:106). 30% of respondents maintained that without a broad knowledge of the teaching field, educators might not be able to handle conflict and stress in the appraisal process in the classroom situation. It is concluded that educators need skills in order to deal with the problems caused by change in the schools.

4.5.27 Change in teaching methods should be the underlying principle for the management of change in order to increase school effectiveness

| NO OF RESPONDENTS	SCALE	PERCENT
0	STRONGLY AGREE	0
70	AGREE	70
0	UNDECIDED	0
30	DISAGREE	30
0	STRONGLY DISAGREE	0

Table 4.5.27
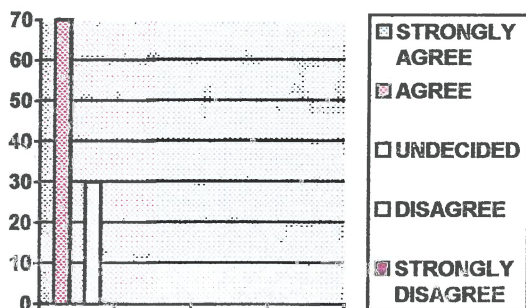
Figure 4.5.27   Change in teaching methods should be the underlying principle for the management of change in order to increase school effectiveness

No respondents strongly agreed with this statement. 70% of them said that the principles should be school-based, enjoy outside support, there must be some informed relationships, and appraisal should be school-based. There must be some change in teaching methods in the classroom situation that should be characterised by behavioural change of educators. Immediate evaluation of the methods used should be done before anything goes wrong. The respondents maintained that the above principles might promote effective teaching if applied in a correct manner by the principals and management teams. Furthermore, the change agents must not simply aggravate educators' problems for the sake of change in any school situation. No respondents remained undecided on this issue.

30% of respondents disagreed and commented that plans for implementing change fail mainly because principals and management teams tend to be too rational. They develop in their minds a clear and coherent vision of where they want their schools to be and they assume that all they need to do is to spell out the logic to the world in words of one syllable, thus motivating everyone immediately to follow the lead. Morris and Everand (1990:234-235) support this and contend that the more vivid the mental picture of the principals' and appraisal teams' 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 a managing the change process. No respondents strongly disagreed with this statement.

70% of respondents agreed that the underlying principle for the management of change is in changing teaching methods. This should be characterised by behavioural change of the educators. 30% of respondents maintained that the implementation of change fails because principals and management teams tend to be too rational. It is therefore true that an educator may not manage change if he or she does not improve his or her teaching skills in the classroom situation.

4.5.28   The initial change causes ripples of change to radiate in all directions, often resulting in unpredictable consequences

| NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
0	AGREE	0
0	UNDECIDED	0
40	DISAGREE	40
0	STRONGLY DISAGREE	0

Table 4.5.28
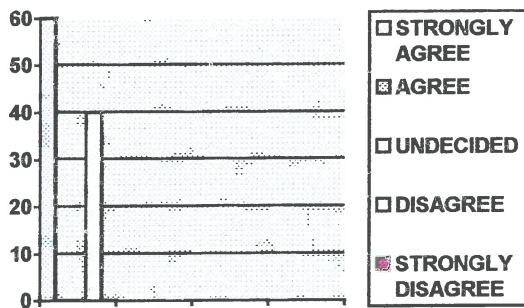
Figure 4.5.28   The initial change causes ripples of change to radiate in all direction, often resulting in unpredictable consequences

60% of the respondents stated that initial change might cause reaction. They further argued that effecting change calls for open-mindedness and a readiness to understand the feelings and position of others. Truth and reality are multi-faceted and the reality of other people's worlds is different from yours. Most people act rationally and sensibly within the reality of the world as they see it. They make assumptions about other people and about the causes of things as their experiences differ and they even experience the same event differently. Hence, innovators have to address themselves not just to the world as they see it, but also to the world as other people see it. No respondents agreed with this statement and no respondents remained undecided about it.

40% of the respondents commented by emphasising that implementing the initial changes is not a question of defining an end and letting others get on with it, it is a process of interaction, dialogue, feedback, of modifying objectives, recycling plans, coping with mixed feelings and values, pragmatism, micro-politics, frustration, patience and muddle. The crucial point is that rationality has to be applied not only to defining the end of change, but also to the means of applying it. There were no respondents that strongly disagreed with the statement.

60% of the respondents argued that initial change causes ripples in the classroom. 40% of them maintained that initial change is a process of interaction, dialogue, recycling plans and coping with mixed feelings. It is clear that initial change causes ripples in the classroom situation. Innovators have to address themselves not just to the world they see it, but also to the world as other people see it, however misguided, perverse and distorted they may think the outlook of others to be.

Van der Westhuizen (Ed.) *et al.* (1999:655) and Burkett *et al.* (1990:147) fully support the above comments by all the respondents in this questionnaire.

4.5.29 Participation and involvement in the process of appraisal may help to curb resistance to change

| NO OF RESPONDENTS	SCALE	PERCENT
60	STRONGLY AGREE	60
0	AGREE	0
0	UNDECIDED	0
40	DISAGREE	40
0	STRONGLY DISAGREE	0

Table 4.5.29
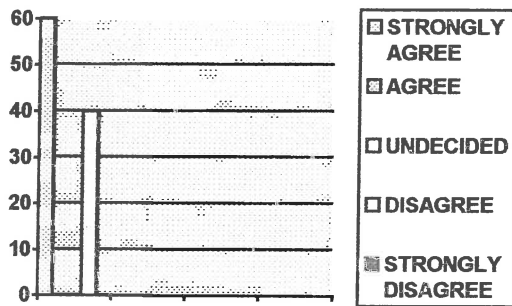
Figure 4.5.29   Participation and involvement in the process of appraisal may help to curb resistance to change

60% of the respondents strongly agreed that a common method in reducing resistance to change is to inform and educate educators involved as early as possible about the necessity for and logic of the change process. This strategy is suitable when resistance is due to insufficient or inaccurate information and results may be prejudiced if educators are naturally conservative and show resistance when their assistance is needed for implementing the change. This method is however dependent on mutual trust between the school principal and the educators who resist the change. The problem is time and more time is needed. It is unlikely that educators will show resistance to change when they have shared in the decision-making and are responsible for these decisions. If educators have been involved in decision-making, they will be motivated by their commitment to generate ideas and information and will co-operate in applying these decisions.

No respondents agreed with the statement and none remained undecided about it. 40% of respondents disagreed and maintained that much time is needed and poor solutions may be provided for problems. Constant monitoring of the processes may, however, preclude these disadvantages. The problem here may be that this may consume much time as mentioned and the appraisal team may not have received training in the relevant skills. The educators added that the agents of change adopt change by means of threats about job loss, dismissal or transfer, etc. This strategy is used when it is imperative to bring about change soon and the principal has the authority to use this strategy. This strategy crushes any type of resistance and brings about frustration, fear, aggression and loneliness. It is recommended that the principal should make use of other methods to fight resistance to change. No respondents strongly disagreed with this statement.

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60% of the respondents maintained that resistance to change might be curbed by the full participation and involvement of the educators. They emphasised that resistance to change is caused by insufficient or inaccurate information and results that are prejudiced. 40% of the respondents argued that poor solutions in solving the problems of change are a cause of resistance to change. Finally, the respondents believe that resistance to change is caused by threats from senior management, something that is unnecessary in the classroom situation. It is concluded that no problem is unsolvable in the classroom. Educators must be equipped with the various skills to solve problems caused by change.

4. 6 QUESTIONNAIRE 4 - "STRUCTURED INTERVIEW" (ELEVEN MANAGERS INTERVIEWED)

	POST LEVEL	QUESTIONNAIRE	FREQUENCY	PERCENT
MALE	FOUR Managers	FOUR	5	45
FEMALE	FOUR Managers	FOUR	6	55
TOTAL			11	100

Table 4.6
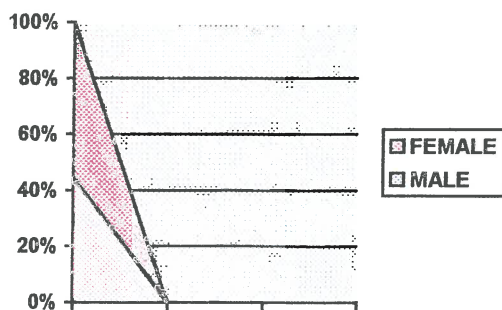
Figure 4.6   Managers interviewed

4.6.1   Introduction

The managers used as a sample were taken from the following schools:

- Imisebe Primary with forty five educators
- KwaMyeza Primary with forty two educators
- Gobandlovu Primary with forty six educators
- Aldingville Primary with forty two educators
- Muzikayise Primary with seventy one educators
- Endakane High with forty nine educators

- Clairwood Secondary with fifty one educators
- Mandlakayise Primary with forty six educators
- Enkelabantwana Primary with forty four educators
- Nkabini Primary with forty four educators
- Endwebu Primary with forty six educators
- Beaula Primary with forty two educators
- Enkonjeni Primary with forty one educators
- Cezwana Primary with thirty nine educators
- Madulini Secondary with forty one educators
- Bilanyoni Primary with seventy two educators

As with questionnaire one, the methodology used was qualitative and the administering of the questionnaire followed the same pattern as that in questionnaire one (see the first paragraphs in questionnaire one). Ten questions were used in this questionnaire four.

The problem encountered by the researcher was that most of the above managers were not proficient managers, despite the fact that they had broad experience in managing schools. The researcher noted that female managers still clung to the old principles of management.

Only three high school principals were interviewed as the principals of these schools had studied educational management during their post graduate work. Eight principals were from primary schools where most principals have Primary Teachers' Diplomas without managerial expertise. This structured interview therefore served as a fruitful workshop. The interviews were conducted in schools by the researcher. The researcher did all the recordings and kept the records. It was found that the managers had problems with the meanings of the concepts.

The managers were interviewed on the following concepts:

- Management of developmental appraisal in schools; and
- Management of change in schools.

4.6.2   Why is this process of developmental appraisal of such importance to the educator in the classroom?

For the first time the interviewees said that they are able to identify themselves with the appraisal instrument conducted under a non-threatening environment. The six female managers welcomed this. The managers commented that appraisees could not rate themselves. This was new in the evaluation process. The managers were warned that if care was not taken, the discussion might be time consuming. Chisholm *et al.* (1997:29-30) support the managers as self-appraisal is one of the aspects of the instrument that functions well. It provides the opportunity for self-examination and reflection. Learners really think critically about what they are actually doing in the classroom situation. Even the concept of the peer in the appraisal process was welcomed by 40% of the managers, while 60% of these were opposed to this concept. They raised concerns about the qualifications of the peer. For example, one cannot be appraised by a peer with lower qualifications and lesser teaching experience.

Another concern raised by the managers is that appraisal should not only concentrate on school-based educators as even out-of-school-based educators should be involved. This is also supported by the report outlined in A Facilitator's Manual (1997:49).

Developmental appraisal supports the formative form of evaluation, which is qualitative and emphasises the process rather than the product. It concentrates on what the educator does right. It is thus of paramount importance that the Department of Education in South Africa must ensure that all the educators are equipped with the right skills in the classroom situation. One female manager did emphasise that the appraisal process is built on the strengths that educators already possess, rather than criticising what educators already have. It is the direct opposite of the judgmental process, which judges the educators in the classroom.

4.6.3   Give the problems of this process in the classroom.

In support of the Chisholm *et al.* (1997:35) report, the managers say that language is the problem. Appraisal documentation is only written in English, despite the fact that most Afrikaans-speaking educators are not conversant with English. This might affect the manner in which certain field questions were answered or understood. Again, the fact that one instrument was used for different

educators, i.e. experienced and inexperienced, was expressed as a cause for concern by some educators. They maintain that in order to obtain improved results, different instruments should be developed for experienced and inexperienced educators.

The appraiser of educators at special schools need needs specialised training, as the behaviour of the learners in a special school differs from the behaviour of learners in a public school for normal children.

4.6.4 What are your perceptions about this process in the new education system in South Africa?

On the one hand managers believe that nobody is only full of faults. Nobody is only and totally negative. Therefore, developmental appraisal balances the judgmental approach in the process.

In contrast to developmental appraisal, the managers believe that people on their own are not likely to give critical assessment of their own performances. They tend to point out the positive and not negative aspects of their performances. A Facilitator's Manual 1997:11 supports the above viewpoint.

The judgmental process is clearly a way of inspecting and, some would argue, of policing educators' performances. In comparing the present and the past, educators used to work very hard in order to achieve results. Nowadays, however, educators do not bother whether learners pass or fail.

A crucial point raised mainly by the female managers in this questionnaire is that the creation of an appropriate learning environment is vital as a favourable learning and teaching environment is vital to effective schools. One manager argued that this issue is crucial to the teaching profession, because no matter how knowledgeable and well-prepared one is, if the learning environment is not conducive to the learners, one's efforts are destroyed. Chisholm *et al.* 1997:38 also agree with this view.

4.6.5 What are the advantages/disadvantages of the process of classroom observation?

In literature review, the empirical study indicated that educators do not welcome classroom observation, as they perceive it to be subjective (see paragraph 2.7.8). They further maintain that the educator needs to know what the observer will actually do while observing the lesson. This needs careful thought. One male manager feels that classroom observation is necessary to enable the principal or the head of the department to monitor classroom progress and to correct mistakes committed during the course of that particular lesson. The organised educators' labour council bitterly opposed this routine because of the involvement of governing bodies with the professional work of educators. On the other hand, talking to learners about their work could be the most effective way of finding out about what has been learnt and of learners' attitudes and motivation. Where visits to lessons by other educators are a normal and accepted part of the school life, even participative observation is unlikely to be disruptive to the work of the educator and the learners. Chisholm *et al*. 1997:19-21 further remark that they strongly believe that this is a professional matter and that most parents should now be involved directly. They emphasise that parents are not very concerned with professional matters.

The respondents suggested that the observer needs to tailor what he or she does to what is going on in the classroom at that time. For example, it could clearly be distracting, unprofessional and bad form for the observer to walk around in the classroom or to talk to learners while the educator is attempting to talk to the whole class. In some cases, for instance, where the learners are working individually on tasks, it will be possible to talk to learners quietly about their work. The use of any sort of checklist and particularly the use of clipboards however, will give the educator and the learners the clear impression that the educator is being appraised. According to some, if the managers, especially female managers, say that this practice should be strongly discouraged, it is far better to use a small note book to make occasional notes about significant aspects of teaching and learning.

Lemmer and Squelch (1994:122-3) and Bollington and West (1992:44-71) concur with some managers above that classroom observation is not intended to police educators' work, but rather to provide them with help, encouragement and guidance, particularly to beginner educators.

4.6.6   Is self-appraisal of any benefit to the educator in the classroom situation?

The managers argue that self-appraisal assists in making the appraisal a genuinely two-way process, particularly in the discussion of the educator's performance, priorities and developmental needs thus:

- enabling the educator to clarify his or her perceptions and priorities;
- encouraging the educator to undertake regular reflection about his or her work and teaching career thus leading to greater commitment towards the achievement of agreed targets, and
- providing solutions to problems that prevent the educator from performing effectively.

In support of the above respondents, Emerson and Goddard (1997:90) argue as follows: "… self-appraisal need not be seen as a formal exercise, not as something which only takes place as part of the appraisal process. Indeed, making time to reflect on successes and failures, strengths and weaknesses, is to be encouraged as a normal part of day-to-day professional life."

The managers argue that if self-appraisal is to form part of the information for the appraisal discussion, the educator may be reluctant to be totally honest about perceived shortcomings. This will inevitably be the case, particularly if the educator sees appraisal as directly linked to the possibility of disciplinary measures, promotion or remuneration. Equally, educators' perceptions of how well they are doing in their jobs could provide a valuable (perhaps the most valuable) contribution to appraisal discussions. It is maintained that self-appraisal monitors the educator's own progress and the educator is at liberty to suggest areas where he or she needs help.

4.6.7   Do you recommend the present system of education in South Africa?

The respondents maintain that the national educational needs of all stakeholders in South Africa are not sufficient, as South Africa is a heterogeneous country. It could function and provide education services in collaboration with the mini-education system, mini-training system and non-formal education system. Outcomes-based education could only be effective if proper education system policy is put in place and education system administration is improved to provide effective education structures and support services.

The eleven managers interviewed are opposed to outcomes-based education. They maintain that it was hurriedly introduced without any prior consultation with parents or research having been done of countries that had introduced it. This system can hardly be evaluated, as there are no instruments to validate it. It also consumes much money at the expense of other programs in the teaching fraternity.

4.6.8   Is the appraisal report pertinent to the classroom situation?

NO OF RESPONDENTS	SCALE	PERCENT
50	APPRAISAL PERTINENT	50
20	DIFFICULT TO JUDGE	20
30	UNDECIDED	30

Table 4.6.8
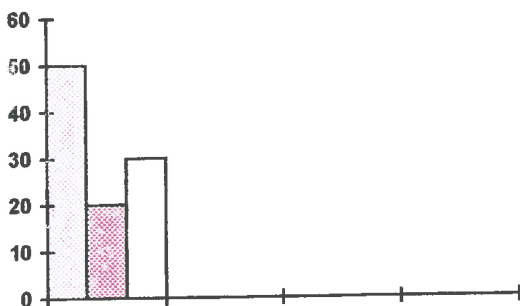
Figure 4.6.8   Is the appraisal report pertinent to the classroom situation?

50% of the respondents argued that it is pertinent to the classroom situation as it elicits the following on-going process i.e. reflective practices, self-appraisal, peer appraisal, collaboration and interaction within the appraisal panel. It is also based on the fundamental principle of lifelong learning and development. 20% of the respondents argue that it is currently difficult to judge the results of the appraisal without any evaluation reports and the outcome thereof in the practical life of the learners and educators. One has to prioritise areas for development and growth throughout one's career in education. 30% of the managers in this section were hesitant to express their opinions, stating that they needed time to investigate this new appraisal process in the changing environment of the South African education system

4.6.9   What are the main duties of the human resources manager in the school?

The managers maintained that together with the appraisal team, the human resources manager is to determine the personnel policy in the school, organising the execution of personnel functions, setting up posts, drawing up directives on the development and training of new and other staff, determining the merits and the Department of Education's merits of the personnel, setting up the conditions of service (salary scales, fringe benefits) and referring to national service conditions). Contrary to this, the managers maintain that this is not possible in the South African context, as the manager has to refer to the national policies of the Department. In support of this argument, Hughes and Ubben (1992:286) maintain that attention needs to be directed to factors such as the reclaiming of the education and training system by all of the communities in the country i.e.:

- the nature of the adult learner;
- the different kinds of learning required of effective staff members;
- the varying amounts of time required to effect different kinds of behaviour changes, and
- the application of an appropriate training or development process.

4.6.10   How can a resource manager manage the change process of appraisal?

The managers agreed that, as respondents and initiators, resource managers and appraisal teams should show initiative and innovative spirits and take the lead to make things happen. They further argue that during the implementation phase, particular attention should be given to the motivation of the purpose and setting out of the manner of implementation as a systematic and step-by-step process. The managers warn that, above all, the appraisal teams and managers must be aware that resistance to change is normal behaviour for human beings. The schools in South Africa are not exceptions.

Van der Westhuizen (1996:153) supports the managers in this argument by saying that the principal and appraisal teams need certain skills in order to initiate and manage change successfully. He maintains that vision and creativity are prerequisites to systematic planning when addressing and solving new problems. The authors (quoted by Van der Westhuizen), Carnall (1986:106) and Paulu (1989:72) strongly support the idea that the principal and the appraisal teams need special skills to curb resistance to change.

4.6.11 Why is a development plan of major importance to the educator in the classroom situation?

The managers maintained that the development plan formulates the objectives of the appraisal system of development in the classroom by identifying specific activities that will be necessary to achieve these objectives. It also states that by stating the key performance indicators, resources are needed to achieve these objectives. The managers further argue that it may identify the forces of change and initiate new policy directions in order to meet the needs of new requirements. The managers further maintain that the professional growth plan expects appraisees to indicate how they would practically achieve these objectives within a specific period. The appraisee is asked to outline what resources would be needed to achieve the formulated objectives, what indicators would demonstrate that the objectives have been reached, and whether such objectives would require optional criteria to be stipulated. The above views are fully supported by the report, A Facilitator's Manual (1997:43-44). In conclusion, the managers confirm that the professional growth plan is a way of ensuring that, from the beginning, the appraisal process is developmental with active participation of the appraisee.

4.7 GENERAL FINDINGS

This research literature review and empirical research revealed that some educators have some doubts about the future of the appraisal process in the classroom situation. They have doubts about the instruments of appraisal in terms of their objectives.

4.7.1 Findings from the literature review

In Chapters Two and Three of this research, negative and constraining features of the developmental appraisal process in the implementation process are discussed.

The literature review has established good theories on paper. These theories have, however, not been put into practice in the new developed appraisal process.

The literature review revealed that appraisal is an ongoing process that focuses on educator development and the improvement of learning in the classroom situation. This is not taking place

in the schools because of a lack of skilled staff. The policy statement of the national education department is only a theory, without having tested it in practice. Appraisal is handled by educators absorbed from the ex-colleges of education in KwaZulu-Natal and have not been trained in implementing developmental appraisal. This research found that evaluation is a total failure (see Chapter Two, paragraph 2.1).

The process of developmental appraisal is judgmental in nature, as grade twelve educators in high schools are usually judged by the performance of the learners of this grade, without taking into account the unfavourable conditions in which learners learn and educators teach (see Chapter Two, paragraph 2.1).

The objective of the developmental appraisal is not only assigned to school results, it is also aimed at the development of the school as a whole. The main problem of this research is to improve the quality of teaching and learning. Most parents favour the product model (see Chapter Two, paragraph 2.10.5). The process of appraisal excluded the parents. Parents are the main stakeholders in schools and without parents in education, no valid foundation could be laid. The first teacher of the child is the parent. The governing bodies are only puppets and have little say in the classroom situation. The rural parent population is still illiterate and therefore unable to guide educators in the classroom situation. In urban areas, however, most parents are educated these days. To say that most parents are illiterate is an excuse, as policy dictates that all the stakeholders must be involved in all school activities. This does not happen, however, and educators take unilateral decisions in all matters affecting the learners, except in cases of accidents or death (see Chapter Two, paragraph 2.3). This policy has totally failed in its implementation.

The in-service training needs of educators are not met. For example, in a mathematics workshop, educators need setsquares, calculators, computers, etc., and want to see these instruments in practice. This does not happen in most workshops. To quote a practical example, in an HIV/Aids workshop, the instructor is an ex-college lecturer who has no medical qualification and knows nothing about such contagious diseases, etc. Furthermore, the components of education management development require an educator who is qualified in management - somebody who has been running a school with a good track record. Newly qualified educators are appointed as team leaders in the above developmental appraisal process and this is a recipe for disaster in education. In terms of this research, the implementation of the developmental appraisal process

leaves much to be desired (see paragraphs 2.3 and 2.4 in Chapter Two). The developmental appraisal does not cater for the real needs of the schools.

Literature has established that the aims of the developmental appraisal process are to diagnose the strengths and weaknesses of educators. This is a direct way of differentiating between good and bad educators and causes ill feelings among learners. Parents want their children to be taught by good educators (see Chapter Two, paragraph 2.6).

All the above initiatives need educators and these are the same educators who are class teachers. They are forced to leave their teaching, leaving learners to loiter in the classroom without a teacher. The educator becomes the 'jack-of-all-trades, but the master of none' of these initiatives. This research found that this badly affects the quality of education in schools. Educators are supposed to be in the classroom for 7½ hours a day, but are at times there only for 30 minutes, or are totally absent. This is detrimental to the progress of the learners (see Chapter Two, paragraph 2.7.10).

What the literature review has established is contrary to actual practice in this research.

The concept of change is paramount in this research. More and more, the department of education is characterised by rapid change. Educators face the difficult task of preparing for and adapting to change, rather than being passively swept along by it. To mention an example in this research, the results of outcomes-based education will only be measured in three to four year's time, as it has not yet produced any results. The national department of education has requested Professors Chisholm and Magi (Zululand University) to transform the present system of outcomes-based education as stakeholders do not seem to see a bright future for this system of education. The implementation thereof has been a failure, as the implementers of the system were not trained. The ex-colleges of education did not introduce the system, and educators are only being confronted with it for the first time in the field. The classroom educators themselves are confused and some say that outcomes-based education does not need educators to prepare before teaching a class. This is a problem (see Chapter Three, paragraphs 3.1 and 3.5).

The main problem of this research is the improvement of the quality of teaching and learning in the classroom. However, without sound preparation prior to any lesson, this is impossible. This research has established that outcomes-based education has not taken off from the ground since

its inception (see Chapter One, paragraph 1.3.1).

Persons from non-governmental organisations who are not skilled in the particular field of the appraisee conduct most of the workshops in our KwaZulu-Natal Education Department. Consequently, the appraisee may reject the process and this is a major problem in the implementation of the process of appraisal (see Chapter Three, paragraph 3.6.2).

The educator's qualification determines what work the educator can do in accordance with his or her qualification. Currently in KwaZulu-Natal schools, under-qualified educators are forced to handle grade twelve classes without any applicable or suitable qualifications. This leads to unsatisfactory results at the end of the year. Educators implementing the process of appraisal should be well qualified in their fields, but this is not the case in practice and makes the implementation of the process impossible. To expect an educator to perform a task, for which he or she is not equipped, only gives rise to frustration and ends up in the achievement of poor results. This research emphasises that training should be provided to those individuals who are to initiate or manage change if they do not possess the requisite knowledge or skills. This research established that it is impossible to train an educator for a day or two and hope that, that he or she will be competent enough to efficiently lead others in any particular specialised field (see Chapter Three, paragraph 3.8).

Change in the teaching methods: The literature review has established that school change at an organisational level is achieved much more satisfactorily if it is linked with curriculum change and teaching methods, since the latter constitutes an aspect of their jobs in which educators are most involved and committed to. Organisational change must then be linked to educators' focal concerns (see Chapter Three, paragraph 3.15.5).

It is argued that, in practice, this research has established that the educators are not trained in using the current teaching methods in the classroom. Moreover, if they are to implement the process of appraisal in the classroom situation during these changing times in the education system in South Africa, they will have to be trained to do this (see Chapter Four, paragraph 4.3.1.2).

4.7.1 Findings from empirical research

Empirical research also encountered problems, like literature review (see paragraph 4.8.2.2).

This research argues that changing educators' and learners' behaviour and attitudes towards their work and subjects is still a problem in education. The research cannot guarantee that this is possible, as one can see that it takes time to convince an educator that if he or she is too lazy to teach effectively, learners die spiritually. The same thing applies to learners. One motivates them to study hard everyday if they want to pass at the end of the year, but some still do not study and consequently fail (see Chapter Four, paragraphs 4.1.2, 4.3.1.6 and 4.6.4).

Empirical study has established that weak educators are encouraged to work harder to be strengthened by in-service training in their schools. This is not so as, in practice, the weaker educators are never promoted to positions of high rank and only good educators with a good track record are promoted. This research did not find one weak educator that has been promoted to principal. It therefore shows that the appraisal process is still judgmental in nature (see Chapter Four, table 4.4.8 and figure 4.4.8). The process of new developmental appraisal still differentiates between educators that are good and poor performers in the classroom.

The staff development team must monitor the appraisal process in institutions and ensure that training in developmental appraisal systems occurs. During which time of the day should they do this, as the members of this team are educators in the classroom situation? Should they leave their classes? Surely the work suffers if an educator is not in class for even five minutes (see Chapter Four, table 4.5.10 and figure 4.5.10).

The appraisal of educators in special schools is a problem, especially in schools where there are only black educators who are not trained in special education. Take Vuleka Special School (a special school for deaf learners) in the Nkandla district as an example - the only white educator there is the principal. He is on the administrative staff and therefore does not teach. Amongst the blacks, only two or three educators are qualified in special education. The appraisal process does not feature in this school. The educators were not trained to implement outcomes-based education through the appraisal process. It was clear during this empirical research that the appraisal process couldn't be introduced in this school because of the shortage of skilled educators in special

education in the school (see Chapter Four, paragraph 4.7.2).

4.8   SUMMARY

In this chapter the views of educators (some of them direct resource managers) pertaining to the appraisal concept and the management of appraisal and change in the changing South African environment in education were analysed. The exploratory study on the concerns of educators about appraisal and management of appraisal and change was undertaken. This study revealed the following threats to the new developmental appraisal process:

- The appraisal process consumes much teaching time as the process takes two to four hours per appraisee (see paragraph 4.3.1.1);

- Effective appraisal requires a high level of interviewing skills, including listening skills, questioning skills, problem solving skills and verbal skills. Not all educators possess these skills (see paragraph 4.3.1.2);

- The focus on appraisal should be on results achieved against the criteria and objectives, not on the person (see paragraph 4.3.1.3);

- The evaluation practices are, by their very design, largely incapable of providing worthwhile insight into educator competence and the appropriateness of teaching practice beyond the identification of those educators who lack the most sedimentary teaching skills (see paragraph 4.3.1.3 and paragraph 4.3.1.4);

- The appraisal process does not attend to matters of pedagogical knowledge or judgement, such as the appropriateness of teaching objectives for meeting certain goals or for different types of learners (see paragraph 4.3.1.5); and

- The study revealed that an individual's resistance to change is so strong that educators would rather die than change (see paragraph 4.3.1.6).

It became evident from the findings in this chapter that the new appraisal process is most favoured by the majority of the educators and that the appraisal panel should conduct this process.

This panel is made up of the appraisee, the nominated peer, a senior management person, a union representative and a person from outside the school, for example from the district office, a non-governmental organisation, a college or university (see table and figure 4.4.5).

It also emerged that the new developmental appraisal system is for all educators. This includes principals, deputy principals and heads of departments. It is not only directed at post level one educators. It is also applicable to educators outside of schools, in offices, etc. (see paragraph 4.5.2, table 4.4.11 and figure 4.4.11).

From this chapter it clearly emerged that, in principle, the new appraisal process is one that is collaborative, democratic and, as such, cannot be performed by one person. It needs a panel of people with the participation of the appraisee. In short, it is democratic and accountable because if, for whatever reason, the appraisal is not performed in a democratic and accountable manner, the written appraisal reports could be rejected by the appraisee and may not be valid. (see table 4.5.12 and figure 4.5.12).

It emanated that the process of appraisal should be open and transparent. This ensures that both democracy and accountability are practised in this process. It needs to be open and transparent, i.e. all decisions need be clearly argued and justified (see table 4.5.12 and figure 4.5.12).

It is clear that the new appraisal process is in essence a developmental process, which means that it is not intended to intimidate and victimise educators, but to enrich strengths, develop potential and overcome weaknesses (see Chapter Two, paragraph 2.6).

It is evident that parents, as one of the main stakeholders, need to be involved in the new development appraisal process in the classroom situation (see paragraph 4.6.7 in this chapter).

It is noted that educators from all schools in KwaZulu-Natal are now positive about the appraisal process and that they share one and the same similarities and differences. For example they all complain about too much time taken by the appraisal process in the classroom situation. These small differences in context do not enable one to draw the conclusion that the opinions of respondents in the whole KwaZulu-Natal differed greatly from a target group of three hundred educators and eleven managers from a total of 75 567 educators in KwaZulu-Natal. (see paragraph 4.6.11).

The appraisal panel teams are an effective way of managing appraisal processes in schools. This has been confirmed by the responses elicited from respondents as recorded in this chapter. For example, in most cases the five-point scale (strongly agree; agree; undecided; disagree and strongly disagree) revealed that the majority of responses agreed with the statements as opposed to disagreeing with them. One snag was that this research could not establish why some respondents were still undecided. Even so, this tendency was so insignificant that this research could not draw distinct conclusions, as it is difficult, if not impossible, to measure human behaviour in any simple educational research. A model for the improved use of appraisal panel teams in the management of appraisal and management of change will be presented in Chapter Five in this research. This model emanates from observations made in this study and will try to address the situation in South African schools with particular reference to KwaZulu-Natal, where this research was conducted from 1994 to the year 2000 (see Chapter Two, paragraph 2.10 and Chapter Five "Developmental Model" in this research).

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.

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

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—   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

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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.
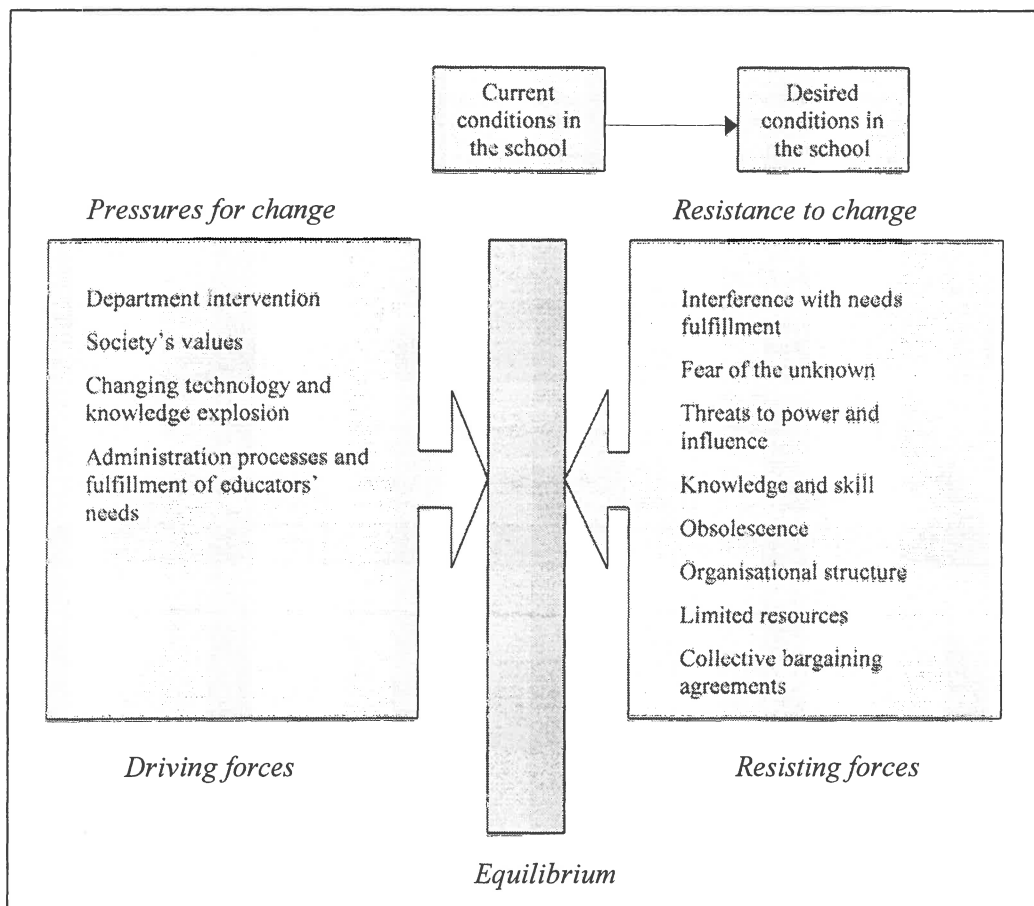
Figure 5.5.2   Forces for change and resistance to change

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.

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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.

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ANNEXURE 1

QUESTIONNAIRE 1

THREATS OF APPRAISAL

Threats of Appraisal to the Current System of Education: *This interview was treated as informal in a relaxed atmosphere:*

1.   How does appraisal affect teaching time?

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2.   Are the educators trained in the appraisal process?

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3.   Are the instruments of the appraisal process objective?

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4.   Is the appraisal process reliable and valid?

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5.   Does appraisal attend to the substance of teaching?

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_____

ANNEXURE 2

QUESTIONNAIRE 2

APPRAISAL CONCEPT

In the following statements a five (5)-point scale is used. Encircle one of the following:

1. Strongly agree

2. Agree

3. Undecided

4. Disagree

5. Strongly disagree

EXAMPLE:

1. Educators should always act as role models to learners.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

If you strongly disagree, encircle 5 as the case might be

2. Schools should have an effective appraisal system to improve and maintain a high standard of teaching.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

3. Educator appraisal is an important management task of the school principal and management team.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

4. South Africa's system of appraisal has been largely inspectoral before 1994.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

5. The principle in our current system is that, an appraisal team conducts the appraisal process.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

6. It is imperative for school appraisal teams to implement a formal appraisal system.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

7. Educators' perception of the current appraisal system reflects a strong sense of distrust.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

8.   Appraisal is a process whereby an institution is enabled to identify its strengths and weaknesses within itself

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

9.   To be worthwhile, appraisal should be a continuous process.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

10.   The judgemental approach in appraisal has a tendency to find faults.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

11.   The developmental approach, which is being practised in schools, is aimed at development of the positive aspects of educators' performances.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

12.   The developmental approach recognises the fact that teaching and learning are complex processes.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

13. The developmental approach is blind to the negative aspects that may exist in an educator's performance.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

14. Educator developmental appraisal will only make sense if it reflects the real needs of educators.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

14. The purpose of developmental appraisal includes the improvement of performance among educators.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

15. The managerial purpose of appraisal is to encourage efficiency of the educators.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

17. The whole process of appraisal increases communication within the school.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

18. The ultimate aim of teaching staff appraisal is to enhance the quality of teaching and learning.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

19. The appraisal process provides a basis on which to build the educator's self-confidence

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

20. The peer appraisal system is rarely used in our schools.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

21. The job description must be confined to detailing the areas in which the educator will be working.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

22. The appraised may be hurt by the revelation of his or her weaknesses in the appraisal process.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

23. The appraisal timetable might clash with the educators' timetable.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

24. The processes of the educator appraisal process may improve and develop learning in the classroom.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

25. Self-appraisal provides the means of improving one's performance.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

26. Classroom observation by the appraisal team enables the appraiser to witness the appraised at work.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

27. It is maintained that the purpose of the appraisal interview is to agree on areas of development of the educator.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

28. If a professional development model is to succeed, it requires that educators should be open, honest and self critical during the process.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

29. The remedial model is directed at identifying educators' weaknesses.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

30. Educators should choose their own appraisal criteria.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

31. The product model holds educators accountable on the outcome of the students' results.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

32. Educators are necessarily antipathetic to appraisal

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

33. The professional leaders in the school situation are not yet certain as to what appraisal really is.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

ANNEXURE 3

QUESTIONNAIRE 3

Management of Appraisal

CONCEPTS: MANAGEMENT OF CHANGE

In the following statements a five (5) point scale is used. Encircle one of the following:

1. **Strongly agree**

2. **Agree**

3. **Undecided**

4. **Disagree**

5. **Strongly disagree**

Example: Educators should always act as role models to learners

Strongly agree	①
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

If you strongly agree, encircle 1 as the case might be.

1. Education management is that process by which managers direct and co-ordinate organisations through human efforts.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

2. Management development cannot be simply equated with a focus on school district heads, superintendent of education and principals only: all relevant stakeholders must be involved.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

3. Productive education change is the ability to survive the vicissitudes of planned and unplanned change.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

4. Structural change refers to changes to policies, rules, and procedures.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

5. People-centred change focuses on changing peoples' performance and ways of acting.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

6. The appraisal of educators is in the essence a developmental process, which depends upon continuous support from all stakeholders.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

7. The developmental appraisal systems aims at reviewing the improvement of the current performance.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

8. In order to facilitate change in education, one cannot only target one aspect of the institution.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

9. In order to facilitate the ways in which the appraisal panels are set up, staff development teams are necessary.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

10. The purpose of the staff development team in the developmental appraisal system is to monitor the appraisal process in institutions and ensure that training in the developmental appraisal system occurs.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

11. The new developmental appraisal is for all educators including educators outside the classroom and those that are office based.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

12. The appraisal must be transparent.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

13. The appraisal team is to arrange for observation of the educator in practice.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

14. The appraisal report prevents summative decisions.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

15. Human resource manager ensures continuous improvement and positive change for everyone in the organisation.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

16. The management team's role entails that it must be the glue in the school.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

17. Every human resource manager has a concern to achieve results.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

18. The consultative style manager consults people for professional advice in his or her development approach.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

19. The democratic style model is in line with the new developmental system, nothing is done without involvement of the people.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

20. The autocratic management style shows an intense interest in tasks.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

21. Every job description developed should be open to revision after appointment.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

22. The purpose of human resource development is to develop the educator and enable him or her to provide quality education.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

23. Educationists at every level of the management process must understand the changes, which are taking place at present.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

24. The natural resistance to change implies that change can only succeed with the active involvement and support of the principal and the appraisal team.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

25. The pre-requisites for the implementation of transformational change are educators' commitment to the process of change.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

26. To implement change the principal and the appraisal team need to have a wide teaching experience.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

27. Change in teaching methods should be the underlying principle for the management of change in order to increase school effectiveness.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

28. The initial change causes ripples of change to radiate in all directions, often resulting in unpredictable consequences.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

29. Participation and involvement in the process of appraisal may help to curb resistance to change.

Strongly agree	1
Agree	2
Undecided	3
Disagree	4
Strongly disagree	5

ANNEXURE 4

QUESTIONNAIRE 4

INTERVIEWS

Eleven managers in professional and administrative sections were interviewed. Concepts: Appraisal; Change; Management; Views:

1.   Why is the process of developmental appraisal of such importance to the educator in the classroom? Give specific reasons.

2.   Give the problems of this process in the classrooms.

3.   What are your perceptions about this process in the new education system in South Africa?

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4.   What are the advantages / disadvantages of the process of classroom observation?

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5.   Is self-appraisal of any benefit to the educator in the classroom situation?

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6. Do you recommend the present system of education in South Africa? Could you suggest any system you would prefer in this case?

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_____

7. Is the appraisal report pertinent to the classroom situation (does it elicit all the required information about the educator)?

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8. What are the main duties of the human resource manager in the school?

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9. How can a resource manager manage the change process of appraisal? Also include techniques for managing resistance to change.

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10. Why is a development plan of major importance to the educator in the classroom situation?

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