The Implementation of Developmental Appraisal Systems in a low-functioning South African school

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Salaam (Peace).

DECLARATION OF ORIGINALITY

I, Muavia Gallie, declare that this doctoral thesis on

The implementation of developmental appraisal systems
in a low-functioning South African school

and submitted to the University of Pretoria is my own work in design and execution.

All sources cited or quoted have been duly acknowledged. I have not previously submitted this thesis for a degree at any university. And I did not and will not allow anyone to copy my work with the intention of presenting it as his or her own work.

Signature:_____

Date:_____

ABSTRACT

Research on policy implementation suggests that many education reforms designed to improve the quality of education in general have been more rhetorical than substantive in their impact on the organisation of schools and classrooms. Schools and classrooms do change, but the extent and directions of change are not always consistent with the intention of policy initiatives. This same argument applies to the South African education policy process, where a substantial body of literature has documented the gaps between the intention of policy makers (intended policy) and their implementation (implemented policy) in schools. The gap has been especially relevant for those policies focusing on the change of the knowledge, skills and competency levels of teachers through accountability and professional development policies.

The purpose of this investigative and descriptive study originated in a hypothesis that the lack of orientation, knowledge sharing, understanding and the capacity building of teachers on policy intentions make it difficult for teachers to implement policies. I assumed therefore that through information and workshop sessions the gap between the policy intentions and the practice of teachers can be solved. In particular, my involvement in the drafting of the Developmental Appraisal System (DAS) policy gave me the sense that there was nothing fundamentally wrong with the policy, but that the lack of capacity building among teachers is what is undermining the implementation of the policy in schools. The study therefore intended to investigate the impact of a five-day information session on the implementation process of the DAS policy at Cape Flats Secondary School (CFSS) – this is a pseudo name. These sessions were facilitated by me during the last semester of 2001. Thereafter, the school was given a year to implement the policy during 2002. Regular contact with the chairperson of the Staff Development Team (SDT) to ascertain the progress of implementation brought me to the realisation after eighteen months and still no implementation that the focus of my study had to change to understand the challenges of implementation at the school.

As a member of the Policy Formulation team, I could not understand why a policy

with such immense potential in enhancing professional development among teachers could not be implemented in a school where staff members publicly stated their commitment to implement the policy. This school (CFSS) in particular, had a high number of union leaders involved at numerous levels within the union who researched and developed the initial ideas and proposals of the DAS policy.

The study is therefore guided by the following questions:

1. What made it difficult for the staff of Cape Flats Secondary School to implement the DAS policy, despite a high level of stated commitment to implement the policy and a thorough five-day information session (both theoretical and practical) on how to implement the policy?

    a) What was the expected level, scope or depth of the policy change, envisaged by policy formulators, necessary by the school to implement the policy?

    b) Which elements of the policy and the conditions at the school needed to be supported by implementation support agents (national, provincial and district officials) to facilitate the implementation at school level? and

    c) What was the level of functionality of the school to facilitate the successful implementation of this policy?

This research explains how the different levels of functionality of schools affect the potential of implementation of a 'one-size-fits-all' policy. In particular, I reflect on the deliberations which inform the features of the DAS policy, during the policy formulation stage. I furthermore pay special attention to what interviewees called the 'what was going on' at the school, as if 'outsiders' don't know what was going on in the school. The research therefore focuses on the functionality of the school through the lenses of ten school functionality components. Teachers at CFSS believe that policy makers do not understand and know what is going on at their school and therefore the effect, relevance and implementability of their policies are disconnected from the operational implementation contexts of schools.

The data was collected over a period of six months. In this regard, I used multiple methods of data collection which include critical engagement with the entire staff through information workshop sessions, semi-structured interviews, critical

engagements with the strategic liaison team, structured questionnaires, document analysis and photographic records. The main insights of the study include the following:

- Policy makers have to re-assess and re-conceptualise the current policy making paradigm in operation in developing 'professional' policy;

- The influence and power relations of employers and employee parties in the policy-making process must be re-assessed and re-conceptualised in order to clarify the policy-making process in South Africa;

- The lack of systems (both technical and human), at different levels of education, makes it impossible to monitor and evaluate the effective and efficient implementation of the DAS policy;

- Understanding schools as individual organisations with unique characteristics, is a key pre-requisite for developing policies that are aimed at addressing real problems at specific schools;

- Leadership and management skills are seriously lacking at South African schools;

- Educators should implement reform policies around clear performance standards and accountability expectations;

- Intervention support agents should help schools make informed choices among a variety of implementation strategies;

- Policy makers should allocate target funding to encourage adoption of proven change practice;

- Policy makers should focus on schools that are ready for change with an expectation that many schools not ready for change this year may in the normal course of events become ready within a few years.

The key insights of this research make this study unique and offer critical advice to policy makers. In particular, the re-organisation of the literature on policy-practice gaps (PPG) is insightful. The utilisation of both qualitative and quantitative data adds validity and reliability to the study. More importantly, the study shows that quantitative data can contribute towards understanding the policy implementation challenges in schools. Finally, my 'insider' experience of the policy-making process shares rare deliberations of what are the 'trade-offs' during the policy formulation stage.

KEY WORDS

Developmental appraisal system

Implementation readiness conditions

Intervention support stage

Low-functioning school

Operational implementation stage

Policy complexity and depth

Policy formulation stage

Policy makers

Policy-making process

Policy-practice gap

Professional development

School functionality

LIST OF ACRONYMS

DAS   Developmental Appraisal Scheme

ELRC   Education Labour Relations Council

EPU   Education Policy Unit

IRC   Implementation Readiness Conditions

CFSS   Cape Flats Secondary School

NDoE   National Department of Education

PATT   Provincial Appraisal Task Team

PDC   Provincial Development Committee

SADTU   South African Democratic Teachers' Union

SDT   Staff Development Team

SER   School Effectiveness Research

SGB   School Governing Body

SIPP   Strategic Integrated Policy Process

SIR   School Improvement Research

WCED   Western Cape Education Department

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Chapter One
An introduction to the study

1.1   Introduction

The purpose of this research is to describe and analyse the factors affecting the policy implementation process of a potentially system-changing teacher appraisal system in South African schools. This chapter will discuss the research plan, including the focus of the study; the rationale for embarking on this inquiry; the policy contexts; the conceptual framework guiding the research; the methodology and methods deployed in the course of the investigation; and the significance and contribution of this research to the knowledge base on policy implementation.

1.2   The focus of the study

The focus of this research is a detailed case study of a policy reform where the staff development team of the school is the agent of implementation. It provides both a macro- and micro-analysis of the complex issues involved in a policy process that requires far-reaching changes at different levels of the education system.

This study will describe a historically-disadvantaged secondary school (Cape Flats Secondary School, a pseudo name) in Cape Town, located within the Western Cape province of South Africa. In spite of extremely adverse institutional conditions, this school volunteered to implement a new policy called the Developmental Appraisal System (DAS). It will describe the implementation challenges that the staff and the Staff Development Team (SDT) faced against the backdrop of the DAS policy expectations. Since the school was unable to implement the DAS policy, I will record in particular the experiences of six staff members relating to the school-based factors, organisational development and change management challenges which led to this result. Furthermore, I will reflect on my involvement and experiences in formulating both the DAS policy and its support process, and cross-reference them with the experiences and observations of the school staff and the literature relevant

to this study. This data is then captured and interpreted within an Implementation Readiness Conditions (IRC) framework.

1.3   The rationale and policy context of the study

In 1998 the new South African government decided to elevate the professional status and functioning of its teachers. Among other things, this decision took the form of a national reform policy initiative focused on school-based, teacher-controlled appraisal and professional development. Nonetheless, this Development Appraisal System (DAS) policy, which claimed to benefit the professional development of teachers, struggled between 1999 and 2001 to make its impact on practice.

This result raised the puzzling question: *Why was this highly promising policy, intended to improve the professional practice of teachers, not implemented at all in a school that welcomed its adoption?* By using a case study of one secondary school, this study intends to throw light onto this puzzle. In gathering data responsive to this question, I need to declare that I am uniquely positioned in this study since I was one of those who designed the DAS policy. This position allows me to focus on the data received from the school staff as well as on data and experiences from the DAS policy's formulation and support processes.

The formulation of the DAS policy had its origin in the strained relationship between the government and teachers in South Africa, owing to the inspection policy in place at the time. Until 1994, this relationship was based on a foundation of mistrust and punishment, instead of on teaching and learning (Jansen 2000). The existing policy, that led South African teachers to reject its mostly punitive character, was "largely inspectoral and bureaucratic" (Chetty et. al., 1993, p.2). This inspection policy shared, with all other aspects of the education system during the apartheid era, a top-down, closed, bureaucratic, hierarchical and authoritarian character. In the case of black teachers in particular, the policy was concerned with bureaucratic efficiency and social control rather than professional development and empowerment (Chetty et. al., 1993; NEPI Governance, 1992).

At the school level, supervision was oriented towards: (1) improving examination results as a narrow objective, rather than improving educational processes generally; (2) assessing teachers with a view to monetary rewards; and (3) overwhelmingly enforcing compliance with departmental regulations rather than engaging teachers about their work (Fehnel, 1993). Loyalty to officials and their departments outweighed the interests and needs of teachers.

A study undertaken by The World Bank (Fehnel, 1993, p.31) indicates that there was no discrepancy between the opinions of teachers and supervisory officials about the role of inspectors in the South African education system in that era. The research team identify three sources of tension in the make-up of the bureaucracy, namely (1) the role of inspectors and supervisors; (2) their legitimacy, and; (3) the number of schools, principals and teachers they were required to service. They further indicate that whatever policy choices might be made in the transformation of the system would ultimately have to address the existing structure, personnel and practice of the inspectorate since the latter had a profoundly negative impact on the quality, capacity, efficiency, and effectiveness of the system, as well as on the interactions and relationships between inspectors and school level personnel.

In analysing the arguments and research undertaken during the late 1980s and early 1990s within South Africa and internationally, the South African Democratic Teachers Union (SADTU) saw a new appraisal system as the 'solution' - or at least a better approach - to teacher accountability and development. The DAS system was, therefore, designed by using 'best practice' advice as articulated in the international appraisal literature of that period. The features of a 'sound and constructive' developmental appraisal policy, taken from a variety of different sources and contexts, were integrated into the design of the DAS policy.

During the early and mid-nineties, I observed a paradigm shift in the way policy-makers viewed education. What was primarily a transmission mode of teaching shifted to a more constructivist mode of teaching. In particular, this shift strongly influenced the formulation of the DAS policy. A significant contributing factor promoting this change in thinking lay in the expectations regarding the desirable characteristics of future citizens. In addition, teachers at the time were challenged to explore innovative teaching strategies in order to meet the different learning

requirements of different learners (Rolheiser and Hundey, 1995; Anderson, Rolheiser and Gordon, 1998).

The mode of teaching and strategies used by teachers reflect their beliefs about learning. First, if their belief system encompasses the view that learners construct their own knowledge (constructivism), then the role of the teacher will likely be that of guide, facilitator and resource, as distinct from him/her being the foundation of the knowledge itself (Fogarty, 1999, p.76). Second, if the teacher holds the view that learning is facilitated by transmitting information, then control of the learning experience (positivism) will tend to reside with the teacher. This transmission view of learning is more of a teacher-input model, with learners receiving information from the teacher and then being expected to make sense of the information on their own, as if learning were a linear process. Embedded in this second view of learning, is a view that interaction should occur primarily between the teacher and learner, while interaction between learners must be discouraged. The latter was the prevailing model of teaching in South Africa at the time DAS was developed.

1.4   My role within the policy formulation stage

When I entered the policy-making process in 1997, I held a constructivist view of education and learning. My stance was based more on my experience as a teacher, rather than as a teacher representative with a policymaking function. This stance influenced the role I played in the following ways:

(1) I brought to the policy-making process a strongly normative perspective on education and the role of teachers – what education and schools could ideally become.

(2) I looked at educational problems through the eyes of teachers. This approach is in contradiction to what Murray (2002, p.73) describes as the policy-makers' problem in South Africa – that they "look at educational problems through the eyes of researchers as opposed to teachers". In fact, his view might be the opposite of what was happening in the policy-making process of the time. I observed that most departmental officials in the policy-process had strong teacher backgrounds rather than research backgrounds.

(3) Like most of the other teacher representatives in the policy-process, I was eager to get away from the prevalent 'control' approach in education (what they had always been doing), whereas departmental officials were quite comfortable with this approach (not changing things radically).

(4) I did not appreciate the immense commitment, support system and development challenge that had to be marshalled to assist teachers in moving from 'what was' to 'what could be' in relation to DAS.

(5) I was not aware that the creation of this support and development system was the responsibility of departmental officials who, at the time, were comfortable with their current operations – an inherent contradiction between the intention of the DAS policy and the intentions of those that had to support its implementation (see Chapters 5, 6 and 7).

This strong constructivist orientation, with its roots in progressive education, is prevalent in most of the education reform policies developed in South Africa since 1994; and it implies non-traditional thinking about learning, the purpose of teaching, the role and responsibilities of teachers, and the role and responsibilities of officials in rendering support.

1.5   The design features of the DAS policy

The purpose of appraisal, under the overall umbrella of serving the educational interests of learners and the community, falls into two main categories: teacher development and teacher quality. While there are some inherent dilemmas and even apparent contradictions between these two purposes, I view them as interdependent and complementary. Effective appraisal, even when it is concerned with specific purposes such as competitive selection for teaching jobs and promotion, addresses elements of both teacher development and teacher quality. With this view in mind, the key question that drove the development of DAS was: What features should be included in a sound developmental appraisal system that are found in research indicating what does and does not work well in improving professional practice?

We found ten such features and incorporated them into the DAS policy:

(1) Involvement of all stakeholders in the policy formulation stage: This is consistent with the research of Evans and Tomlinson, 1989; Hickcox and Musella, 1989; Darling-Hammond, 1989; Gitlin and Smyth, 1989; and Chetty et. al., 1993, regarding what is needed to make an appraisal system workable and impactful. This inclusionary approach to involvement was confirmed when all of South Africa's teacher unions and the Department of Education (DoE) signed the DAS policy agreement in November 1998. The teacher unions strongly supported the participatory aspects of the DAS policy.

(2) Healthy systemic changes included in the policy: This "democratic, developmental and teacher-centred" design (Chetty et. al., 1993, p.14) replaced the unacceptable historical design of the old Inspection system which contained an approach characterised by "political bias, unchecked inspector power, victimisation of teachers, irrelevant evaluation criteria and secrecy of scores" (Chetty et. al., 1993, p.3).

(3) A simple intention and focus: The policy was designed to facilitate the professional development of teachers and improve teacher quality. No punitive provisions were included in the policy (Jansen, 2000), although, at the insistence of the DoE, such provisions were included in the first seven of its nine drafts. This 'mechanism of dispute procedure' was preferred by the DoE representatives, but the teacher union representatives wanted the policy to clearly fall within the 'professional paradigm' domain, and not the 'negotiation paradigm' domain. This dispute procedure could easily have jeopardised the development of the necessary trust and openness provisions that made DAS genuinely "professional" in character (Piggot-Irvine, 2001). Consequently, the developmental purpose of the DAS policy was clearly stated in the policy itself (Chisholm, 2001).

(4) Implementation and management responsibilities assigned to the school SDT: The policy formulators assigned the implementation and management responsibility of this policy to the Staff Development Team (SDT) of the school, but it still kept the individual teacher in control of the process. Teachers were to nominate individuals to serve on their appraisal panels and also to propose the preferred processes and feedback from panellists.

(5) Teacher control over professional development: Consistent with the work of Chisholm and Vally, 1996; Evans and Tomlinson, 1989; Pollitt, 1988; Stake, 1989; Hickcox and Musella, 1989; and Gitlin and Smyth, 1989; teacher control of appraisal for personal and professional development purposes is always seen as a critical factor for its success. Consequently, the only mandatory aspect of the policy was that all teachers had to engage in the appraisal process;

(6) A clear strategy for teacher support with quality time: DAS required that schools and the SDT have a clear strategy regarding how to respond to requests for help by teachers following the appraisal (Ingvarson, 1989). Furthermore, enough time had to be allocated to make provision for support priorities as requested by the individual teacher.

(7) Professional culture of self-assessment among teachers: DAS promoted a professional culture in which teachers would take responsibility for assessing their own practice and focus on issues and concerns relevant to them (Darling-Hammond, 1989; Ramsden, 1992; and Guskey, 1994).

(8) Gathering of appropriate and multiple data: The policy actively encouraged teachers to gather "appropriate" data about their practice and to do so by developing their own professional development plan. Data were to be gathered from multiple sources (Scriven, 1991; and Darling Hammond, 1989). This would lead to appraisal discussions being based on factual, objective information, which would ensure that the process was valid, fair, rigorous and reliable (Cardno and Piggot-Irvine, 1997).

(9) Developing a trustworthy community of colleagues: DAS specified that the appraisee was to appoint a majority of her/his panellists, in order to prevent secrecy and to overcome the mystery and arbitrariness of inspection. This would facilitate a knowledgeable, professional conversation between colleagues who understand and recognise the complexities of their work (Joyce and Showers, 1995). To encourage reflection, teachers were required to discuss their feedback data with a panel of trusted colleagues (Powney, 1991; Hickcox and Musella, 1992). This was also seen to enhance interpersonal effectiveness, open, trust-based relationships, and productive reasoning among colleagues (Argyris, 1990).

This 'educative relationship' would be based on bilateralism through shared control, thinking, evidence, planning and monitoring (Piggot-Irvine, 2001).

(10) New and stable instruments for teacher accountability and development: The new criteria and frameworks of the DAS policy resulted in the subsequent development and signing of resolutions pertaining to the 'Job descriptions of different teachers', '80-hour Professional development' commitments, and 'Workloads for different teachers.' These guiding frameworks had never been part of teacher evaluation, development and accountability in South Africa, and they helped create some agreed standards of teacher practice.

With these ten features included in its provisions, the resulting DAS policy contained many deep, complex, and unfamiliar elements.

1.6   The conceptual framework

My research started out as a policy implementation study, intending to analyse the processes and experiences of Cape Flats Secondary School's (CFSS) SDT members in implementing the DAS policy. In 2003, eighteen months after I facilitated a five-day information workshop for the staff of CFSS, I came to the conclusion that the DAS policy was not going to be implemented in the foreseeable future in the school. I was therefore compelled to reconsider my initial focus and to redirect the study instead toward the 'non-implementation of policy'. Given this unexpected change of direction, the study became an investigative journey that took me into several unplanned phases, loops, spins, reflections and re-conceptualisations. What follows is a brief summary of that evolutionary process.

The design, conceptual framework, findings, and recommendations of the current study emerged from engaging in five ever-evolving phases of work, portrayed below in Figure 1. They involved: (1) Confronting 'non-implementation' in what was to be a policy implementation study; (2) Redirecting my already extensive literature review toward what is known as the Policy-Practice Gap (PPG) so that I could make sense of my new research problem and connect it with other closely related literature; (3) Building concepts and a research framework to explain non-implementation; (4) Testing the CFSS data against the research framework; and (5) Recommending a

more realistic policy-process for South Africa.   Apart from Phase 1 which will be discussed here in detail, all other phases will only be briefly described in this section. Phase 2 will be discussed in detail in Chapter 2, and Phase 3 in Chapter 3. Phase 4 will be discussed in detail in Chapters 5, 6 and 7, and Chapter 8 will present the study's recommendations – Phase 5.

Figure 1: The Five Phases of the Conceptual Framework
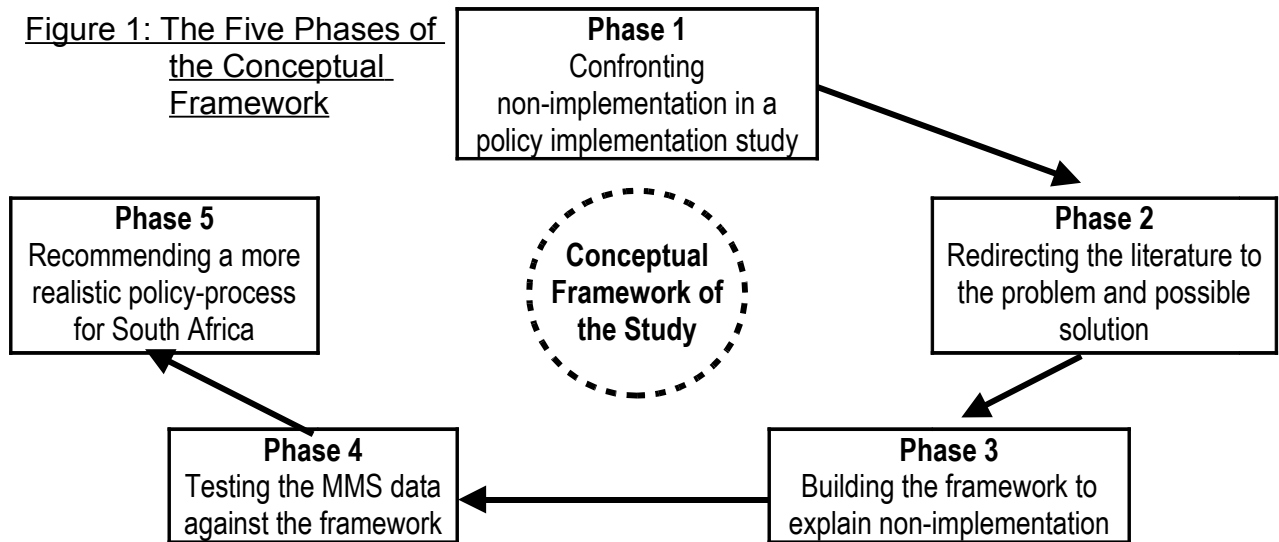
The first phase involved confronting non-implementation in a policy implementation study. As indicated, this study began as an inquiry into the factors affecting the on-site implementation of South Africa's new potentially system-changing teacher appraisal system called DAS. The DAS policy aimed to elevate the professional status and function of teachers by emphasising school-based, teacher-controlled appraisal and professional development. Although the policy claimed to benefit the professional development of teachers, it failed to make its impact on practice between 2002 and 2003 at CFSS. Hence, I was compelled to reconsider the entire design of my study and transform it from a policy-implementation to a non-implementation study.

The difficulty in implementing the DAS policy did not come as a shock to me, since previous policies, including the country's curriculum policy (which I also helped formulate), also struggled to be implemented in schools. I decided to embark on an investigation of why, under what appeared to be quite favourable conditions, CFSS failed to implement the DAS policy. In order to make a significant contribution to the study of policy non-implementation in South Africa, I tried to avoid making the same

mistakes as those who undertook similar studies.   In particular, my study was primarily guided by the strong recommendations of Motala (2001), namely:

(1)   Not to focus only on the "symptomatic complaints about education issues", but rather address their systemic and "structural" causes (p.240);

(2)   Not to focus only on "the weaknesses, failures or breakdown in service delivery" in South Africa, but rather to identify what could be done to remedy them, both qualitatively and quantitatively (p.240);

(3)   Not to have a narrow "inquiry" perspective, but rather to maintain a deep, "solution" perspective with clearly defined goals (p.241), and;

(4)   Not to be "anti- or a-sociological", but rather to use the 'voices' of teachers in particular to guide policy-makers to solutions which are contextualised in schools at the operational implementation level (p.242-3).

Motala's (2001) opinions clearly demand a very thorough scrutiny and understanding of the entire policy-process, instead of just the implementation process alone. His comments are about the bigger picture, the 'helicopter view' of policy-making, and not just the micro interpretation of the individual stages in isolation from each other. Furthermore, my study required a deeper understanding of the known processes of policy-making, and the roleplayers and interest groups within these processes. In particular, the investigation had to adopt positions which are clear and specific instead of offering a critique filled with 'vague generalisations' and lacking in specific "targets" – that is, roleplayers, interest groups, and structural or systemic features of education itself.

The model that best clarified the educational policy-making process for me was developed by Hodgkinson (1983, p.26).   It was insightful and robust because it specifically took roles, interest groups, and structural and systemic problems directly into account.   However, in order to make it directly useful to my study, I needed to reorganise it into the form shown below in Figure 2.

Figure 2: A re-organised version of Hodgkinson's policy-making process model

Policy-process			Analytical Aspects	
Level	Phase	Stage	Focus	Engagement
National	Policy-making	Philosophy	Ideas	Professional
		Planning		
		Politics	People	Political
Provincial and Institutional	Policy Implementation	Mobilising		
		Managing	Things	Technical
		Monitoring		
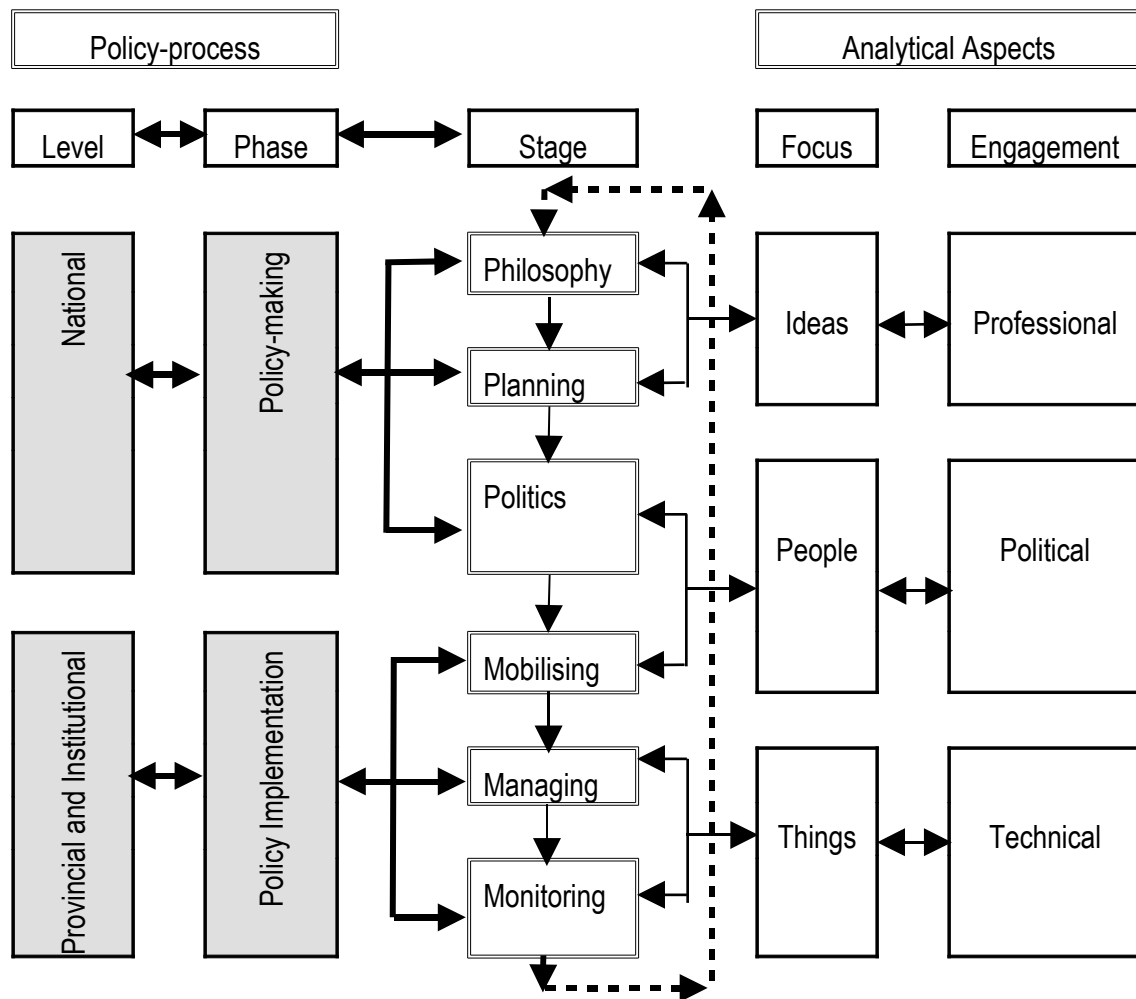
Apart from more adequately describing the overall nature of the policy-process, this model seeks to remedy three neglected aspects of current policy-making in education, namely:

(1)   The failure to distinguish between the logically **different** activities of what Hodgkinson (1983) calls Professional, Political and Technical **Engagement**;

(2)   The failure to acknowledge the intrinsically **philosophical, vision and capacity building** nature of policy-making, and;

(3)   The failure to identify general implications of a policy-making process informed by **differential expertise** within such a process.

In his model Hodgkinson (1983) argues that any policy-process that seeks to find solutions to problems or attempts to develop new policy would first demand an understanding of the organisational values that are articulated by roleplayer

principals through philosophical dialogue within the philosophical stage (arguments, dialectic, logic, rhetoric and value clarification).   This professional engagement focuses on the understanding and articulating of Ideas. Second, the ideas emerging from the first stage are translated into some sort of plan and reduced to a written, persisting and communicable policy draft. This stage needs to involve the best possible minds relating to that particular problem or new idea(s), in order to produce a variety of possibilities or proposals to choose from. Third, the draft policy then enters into a political stage of persuasion and choice. This is the domain of power, resource control, and politics that takes the policy-making process from a 'focus on Ideas' to a 'focus on People'. During this stage, coalitions are formed, levers pulled, and persons persuaded as power and support are marshalled around a draft policy. All three stages (philosophy, planning and politics) make up the policy-making phase.

After the power is aligned and resources are committed in the third stage, the fourth stage requires the mobilisation and organising of all resources around the organisation's purposes.   This stage is critical and involves a shift from administrating to managing the policy-process. It is during this stage where pieces are put together and philosophy is moved from the realm of 'ideas through political behaviour of people' into the realm of 'facts, action and things'. Implicit in this stage of mobilisation, is the motivation of human resources in line with the organisation's purposes. It is, above all, on the successful negotiation of this fourth stage that realisation or actualisation of any organisational goal depends.

The committed and mobilised resources still need day-to-day, short-term and long-term managing, which is the fifth stage. It is during this stage that routinisation, programming and the management of intervention support strategies occur.

The sixth stage involves monitoring, where activities such as the formal supervision and evaluation occur. A feedback loop is shown in Figure 2 (dotted line), to relate this final stage to the first stage, making it a continuing circuit. Operations research and systems analysis activate this loop, when the match or fit between the 'reality of things' and the original and continuing 'focus on ideas' is compared and tested. These last three stages (mobilising, managing and monitoring) are part of the policy implementation phase.

In summary, what emerges from Hodgkinson's model, are two important organising tools namely: (1) the clarification of different policy-process stages, and (2) the analytical aspects within the policy-process, which he calls the 'three neglected aspects'. I therefore took these organising tools to the next phase where I examine in the 'policy-practice gap' literature which makes comments and gives reasons why policy implementation is failing.

1.7 The literature on policy implementation and the related research questions

The second phase of my research involved analysing the 'policy-practice gap' (PPG) literature in order to understand the reasons that other researchers have given for the non-implementation of policy in education. There are dozens of PPG studies, but most of them deal with these issues without specifying the precise origins or causes of implementation failures in any systematic way. For example, unlike Hodgkinson's well-developed model with its distinctive stages, areas of focus, and arenas of engagement, most of the PPG issues are addressed in a much looser fashion, which made it difficult to understand and frame the key sources of non-implementation it was describing. I attempted to overcome this dilemma by thoroughly analysing each study to identify the specific issues it raised and then grouping those issues into broad categories. Once I had finished examining and analysing this highly diverse literature, I was satisfied that its significant messages could be captured in nine distinct themes.

After deeper reflection, and with only sight adjustments, I was able to categorise the nine themes according to the two major organising concepts in the Hodgkinson model, namely: (1) the stages of the Policy-process (noted on the left side of Figure 2), and (2) the Analytical Aspects (shown on the right side of Figure 2).

My analysis suggested that three of the nine themes related directly to what I decided to call the 'Policy Formulation' stage of the total Policy-process. This includes Hodgkinson's Philosophy and Planning stages and their inherent focus on what he calls Ideas. Another three of the nine themes in the PPG literature fell into what I saw as a second stage in the overall Policy-process, which I named 'Intervention Support.' This second stage includes Hodgkinson's Politics and

Mobilisation stages (with their focus on People) and represents what is actually meant in the literature by the 'gap' between policy formulation and its implementation in schools.   My third stage of the total Policy-process I call 'Operational Implementation'. It contains the remaining three themes from the PPG literature and includes Hodgkinson's Managing and Monitoring stages, and their focus on what he calls Things.

I was initially surprised, that the nine themes from the literature distributed themselves evenly across my three Policy-process stages, so I scrutinised each set of three for similarities across the sets.   Eventually I discovered the pattern that existed within and across the sets.   One of the themes in each stage related directly to what I saw as its 'Intended Systemic Impact' – that is, what the basic nature of that respective stage was all about.   Another of the themes in each stage related to its key 'Process Requirements and (their) Implications.' And the third theme in each case related quite directly to what I saw as its 'Essential Roleplayer Qualities and Interests.'

Hence, after an intense amount of analysis and integration of issues in the PPG literature, I was not only able to identify the nine key themes in that scattered body of work, I was able also to generate a unique 'three-by-three' matrix for organising these themes that directly reflected the two major domains of factors in the Hodgkinson model.   From this point forward I will refer to this matrix as 'The Framework of Key Policy-Practice Gap Issues.' The columns of this matrix contain my three Policy-process stages, and the rows reflect three aspects of what Hodgkinson would consider Engagement Factors.   The matrix is displayed and described in detail in Chapter 2.

This third stage (Intended Systemic Impact, Process Requirements and Implications and Essential Roleplayer Qualities and Interests).   I was then able to develop a framework by representing the three policy-process stages on the horizontal axis, and the three analytical aspects on the vertical axis. I call this three-by-three model. The six stages of Hodgkinson are combined into three stages within my model. The combination of the philosophy and planning stages is represented by the Policy Formulation stage in the model. As displayed within Figure 2, the 'jump' or 'gap' between the policy-making and implementation phase, represented by the politics

and mobilising stages, is exactly what the PPG literature identifies as one of the problems. The combination of these two stages is represented by the Intervention Support stage, and the combination of the managing and monitoring stages is represented by the Operational Implementation stage within the model. Apart from these adjustments, the two organising tools of Hodgkinson are the same, but they are organised within the mentioned 'three-by-three' model, which is unique to this study.

Since it was impossible for this study to address in detail all nine themes of the extensive PPG literature, I had to make an informed choice as to what literature I would examine more critically in the study. I wanted to ensure that at least one component of each of the policy-process stages as well as the analytic components was taken forward in the study. This choice was made based on a process of elimination. I looked at each of the three components within the policy-process stages and eliminated those which I knew, as well as based on the features of DAS, were not contributing factors to the non-implementation of the policy. In the end, I identified three components which represented the highest "causal probability factors" to have been missing in the DAS policy-process. The three themes I chose to investigate deeply in this study represent about 62% of the total issues within the vast PPG literature I reviewed. The key question about the literature here is: *How is the gap between policy and practice to be explained, especially from a policy-maker and teacher point of view?* This question was posed by Sayed and Jansen (2001, p.1) within the South African policy arena: "How is this gap between policy and practice to be explained?"

The three themes (dimensions) chosen from the 'three-by-three' model are captured within the Implementation Readiness Conditions (IRC) Framework, which strengthened the study in two respects. First, this framework allows me to separate different comments and/or critiques on the policy-process stages, the policy-analytical aspects and the links between the engagements and stages in order to overcome the generalisation within the PPG debate, as currently presented in policy literature in order for the model to be useful to understand the non-implementation of the DAS policy. Second, it further highlights the current 'disconnected' approach of the policy-process, which is a policymaker-led approach to 'what is wrong' and 'how

it should be fixed' at school level. The framework highlights the lack of an integrated, 'knowledge-based', 'data-driven decision making' approach within the current policy-process. This Integrated Approach to policy-making will be discussed in Phase 5 of this section.

The third phase involved the building of concepts and frameworks to explain non-implementation. Given the Implementation Readiness Conditions (IRC) framework, which represents three dimensions, the following literature investigation had to be addressed: '*What has been discussed within the literature about these three dimensions?*' Since these dimensions emerged from the 'policy-practice gap' literature, a thorough analysis of other education literature started. This section will highlight the mentioned literature, which will be discussed in detail in Chapter 2.

The first dimension deals with the research question: *What was the expected level, scope and depth of change necessary by school to implement the policy, as envisaged by policy formulators and thus displayed in the policy documents and processes?* The second dimension deals with the research question: *Which elements of the policy, and conditions at the school, needed to be supported by implementation support agents (national, provincial and district officials) to facilitate successful implementation?* And the third dimension deals with the research question: *What was the level of functionality of the school for facilitating the successful implementation of the reform policy?* These questions reflect a 'seeking for answers' from three different perspectives (policy-makers, support agents and teachers), but they should be looked at from the sensitivity of all three interest groups, meaning that when policy-makers seek answers to their questions, they must look at the interest of others too.

The first dimension of the IRC framework focuses on the complexity, depth and intensity of the reform policy. The purpose of this study is to indicate conceptually the different types of reform policies that might exist and how they vary in their challenge to schools, and not technically define these types. For the purpose of clarifying this argument, I will make use of five types of reform policies which are currently used in different situations in education. I will call the five types of reform policies in this study, (1) Single Component reform, (2) Comprehensive reform, (3) Organisational Development reform, (4) Redesign reform, and (5) Rethinking reform.

My assumption is that these reform policies increase in complexity, depth and intensity as I move from a Type 1 to a Type 5 reform policy. I am also arguing that the greater the policy demand for change, the bigger the demand it places on Intervention Support agents to support and empower the school, and the greater the school functionality is required.

The second dimension of the IRC framework focuses on the conditions that are necessary to facilitate successful reform implementation at site level.   Senge, Scharmer, Jaworski and Flowers (2004, p.225) explain the "seven capacities of the U movement" necessary to overcome complex change. Fullan (2001, p.3) calls them the "five components" needed by leaders to reinforce "positive change". Joyner (2000, p.872) defines them as "contextual elements that need to be considered when implementing reform policies at a systemic level". McLaughlin (1998, p.72) identifies them as the local "paramount variables that affect the outcomes of the implementation process", and Schwahn & Spady (1998, p.22-23) define them as the "operational conditions necessary in ensuring that policy implementation has a possibility to succeed". All five arguments use different labels for these conditions, but essentially argue the same thing – that explicit, tangible Intervention Support is needed in order to give reform policies the opportunity to be successfully implemented at school level. Although these researchers have identified different labels, most of them identified similar elements. Since the Schwahn and Spady (1998) framework emerged from nearly a hundred sources to derive their five labels and has a strong systemic focus, this study will use their framework, namely (i) Purpose, (ii) Vision, (iii) Ownership, (iv) Capacity, and (v) Support.

Without these elements, I will argue, the policy does not have a chance of being successful. Policy-makers therefore may be alienating those schools who are in need of these elements, rather than assisting them to establish these elements within their schools. Although Schwahn and Spady (1998), Joyner (2000) and McLaughlin (1998) discuss these elements in relation to change in general, and Senge et. al. (2004) and Fullan (2001) focus on individual and leadership capacity to deal with change. I conclude by arguing that the amount of support for these five elements will vary depending on the complexity of the policy and the level of

functionality (to be discussed in the next theme) of the school where the policy is implemented.

The third dimension of the IRC framework focuses on the context of schooling and the vast disparities existing among schools in general and in South African schools in particular as indicated by Sayed (2001). The origin of this concern stems from the question: *Why did the DAS policy not work (was not implemented) within a school which was projecting all the positive and supportive commitment and will to implement it?*

This section will focus on three levels of school functionality namely (1) high functioning, (2) low-functioning, and (3) non-functioning schools. Again, these concepts are used in this study to illustrate conceptually the different levels of individual and collective capacity that exist within a school. For example, the perception or image which was projected by the CFSS staff I initially consulted did not compare accurately with the 'real' conditions or reality at the school. In essence, those staff members projected their school as high functioning and ready for implementation, subject to an information workshop session on the DAS policy. The information workshop session was identified as the 'missing link' that prevented them from implementing DAS. Eighteen months after facilitating the workshop, I came to the conclusion that the DAS policy was not going to be implemented in the school in the foreseeable future. When the research was conducted, however, the condition of the school as viewed by the majority of interviewees was more towards the low to non-functioning levels, indicating a school that is missing far more that just an information workshop session.   I, therefore, argue that knowing the level of functionality of the school could assist policy-makers, intervention support agents and those responsible for facilitating policy implementation at school level, in understanding and responding to the readiness of schools to implement a given policy as well as the amount of support and resources needed by those schools.

The concept of a 'high, low and non-functioning school', is not based on the level of academic performance of learners, or the quantity of resources (especially material) available at school, but on the quality of organisational capacity available to perform effective change management functions. After scanning the literature on the PPG, 'School Effectiveness Research' (SER) and the 'School Improvement Research'

(SIR), and eliminating the 'learner performance' items, the literature debate focuses on ten areas. These ten areas are identified as necessary capacity and skills (functionality levels) that must be present for school to respond to reform policy challenges, which are (1) school ethos, (2) vision, aims and strategic planning, (3) role of the principal, (4) role of the principal and the senior management team, (5) structures, roles and responsibilities, (6) decision-making and communication, (7) professional working relationships, (8) links with parents and the community, (9) school governing body (SGB) and Department of Education (DoE), and (10) managing change. Within the school functionality debate in this study, no distinction is made between the types of school (public or independent) or the different stages of schools (primary – reception year, foundation phase, intermediate phase and senior phase; secondary – senior phase and further education and training phase).

1.8   The methodology of this study

Early in 2001, the staff of CFSS requested me to assist them in the implementation of the DAS policy. I indicated my willingness to respond positively to their request, subject to them (the school) allowing me to research the strategies, challenges and successes at play during their implementation process. After an informal agreement was struck between us, a formal agreement to cooperate in the study was received form staff members in general, and the district office which serves the school. My first task was to facilitate five workshop sessions, focused on assisting teachers and the SMT to implement DAS.

A consultative group was formed to liaise with me and scrutinise the process and impact of my study on individual teachers and the school as a whole. The consultative group met, (1) at the beginning of the research process in 2001, (2) during mid-2003 when scepticism developed about whether the school would ever manage to implement the policy, and (3) during late 2003 when they were briefed on the research insights of the study.

During August and September 2003, teachers participated voluntarily in interviews and completed questionnaires. Six teachers were interviewed (four from the SDT and two additional teachers as advised by the consultative group) and the

questionnaires were handed to all teachers present at the school. The inclusion of the additional teachers within the interview process was an attempt to ensure representation of different people's opinions and historical connectedness to the school. The questionnaires were developed after the conclusion of all interviews, in order to triangulate the data of the interviews. In particular, the questions focused on ten areas, which include the vision, strategic planning, leadership, relationships, decision-making, governance, and management of change within the school. These items were based on the multiple 'policy-practice gap' (PPG) issues in the research literature as well as the School Improvement and School Effectiveness Research literature, in order to determine the level of functionality of CFSS.

This study is primarily a qualitative case study of the non-implementation of the DAS policy within a single secondary school. The choice of qualitative research methods demands rigour in a number of areas to ensure validity. Punch (1998, p.100) argues that validity is usually concerned with the extent to which researchers are observing or measuring what they think or wish they are measuring. In this study I took the position of Le Compte (2000) who sees validity as an issue of "creating meaningful results … (and) … whether the research findings seem credible to the people who were studied" (p. 152).

Although only six staff members were interviewed, they provided "information rich" cases and insight into issues central to the study (Patton, 1990). The selection of participants focused on identifying those members of the school staff who could provide insight into the dynamics of Operational Implementation at school level. Four of these staff members were associated with the core SDT involved in a voluntary, but highly active developmental team at the school.   To provide perspective from outside the core group, two staff members were selected who did not work actively with the group.   These individuals were selected based on recommendations of the core group and the liaison committee.   "Information richness" regarding awareness of, interest in, and involvement with Operational Implementation was the underlying criteria. The validity of their statements focusing on the status and nature of operations at the school was verified through the questionnaire results from the staff.

To synthesise the views and arrive at a process which ensures the highest quality of research attention was paid to a number of issues. One is the clear explication of the research and theoretical perspectives. Another was in paying attention to the quality of the data, following the advice of several authors (e.g. Punch, 1998; Bogdan and Biklen, 1998; Neuman, 2000). A further consideration suggested by Berg (1998) was the need to minimise researcher bias. Since I was one of the DAS policy formulators, this consideration demanded constant attention. This was achieved by trying to adopt a position of critical self-awareness at all stages of the research, by means of a constantly reflexive approach.

Huberman and Miles (1994) and Vidovich (2003) also stress the importance of triangulation as a means of improving the validity of the research. Triangulation has two aspects in social science research. One is a 'mode of enquiry' towards verification, "by self-consciously setting out to collect and double check findings, using multiple sources and modes of evidence" (Huberman and Miles, 1994, p. 438). The other aspect is that understandings or perceptions are more generalisable if they appear in more than one source. Both of these approaches were used in this study, through the use of different data collection methods and the range of sources within each method. Fraenkel and Wallen (1993, p.400) summarise this succinctly:

> When a conclusion is supported by data collected from a number of different instruments, its validity is thereby enhanced. This kind of checking is often referred to as triangulation.

1.9   Significance of the study

The new democratic government of South Africa has been faced with serious challenges around policy implementation, especially in education. If transformation is going to be achieved, the problems causing non-implementation must be solved. The aim of this study is therefore to contribute meaningfully to this solution.   In essence, the significance of the study could be characterised in four ways.

1.9.1.　A deep analysis of reasons for non-implementation of policy

The study shows that the common reference to 'policy-practice gap' issues in the literature, both international and local, is too dismissive to render solutions owing to the general nature of the comments. Most the literature makes broad and general statements about the 'policy-practice gap' challenges, without identifying some solutions to overcome these gaps. Through the 'three-by-three, nine themes' framework, these comments are broken down in the different policy-process stages and the analytical aspects, so that these PPG issues can be addressed by roleplayers and interest groups at different stages.

1.9.2.　An 'in-sider' view of education policy formulation in South Africa

The study highlights four experiential challenges within the policy-process, which stem from my involvement as a policy-maker, namely (1) improved process when developing 'professional' policy, (2) reassigned the influence and power-relations to the benefit of better policy development, (3) more efficient and effective technical and human systems at all levels of the education system, and (4) improved leadership and management skills at different levels of the education system. By raising these, despite the fact that more research has to be undertaken on each of them, I can potentially contribute to more successful policy-making in education.

1.9.3.　A framework that contributes to improved policy implementation

The study highlights three insightful, conceptual components captured within the three policy-process stages, which represent a fair amount of the individual PPG issues reviewed in this study. These components are about (1) improving the commitment, professionalism and functionality levels at schools to assure workable, impactful policy implementation, (2) developing and establishing the conditions essential to successful policy implementation in districts and schools, and (3) formulating and communicating implementation timelines and support provisions consistent with policy complexity, implied depth of change and school readiness. These components are captured within the Implementation Readiness Conditions (IRC) framework.

1.9.4.   A model for improved policy-making

Finally, the construction of the IRC framework emerges as the 'first leg' of policy formulation to the 'bottom-up', informed approach which is currently lacking in policy-making. This framework allows policy-makers to make informed decisions (data-driven decision making) about (1) the depth of change that is needed at different schools, (2) the level of complexity of the reform policy/instrument under consideration, and (3) the Intervention Support, development and mediation needed to implement the reform policy. The 'second leg' will be the current 'top-down' process of Policy Formulation. Together, these two processes make up an approach to policy-making which this study calls the Strategic Integrated Policy-Process (SIPP) model.

1.10   A summary of the chapter

Within this chapter, I give an introduction to the study, as well as an overview of what is to come in later chapters. In particular, I reflect on the major shift within the study, when the policy was not implemented at the school, which is one of five phases the study went through. These five phases represent the investigative journey of this study. Chapter 2 represents the literature review; Chapter 3 the conceptual framework; and Chapter 4 the methodology of the study.

In Chapters 5, 6 and 7, I use the data collected through interviews, workshops, questionnaires and policy documents to reflect on the IRC framework developed in previous phase, and to test its usability in the Cape Flats Secondary School case. In particular, Chapter 5 clarifies the level of complexity of the DAS policy, by interrogating the policy documents and comments during the interviews, and by referring to the five types of policies discussed in Phase Three. In Chapter 6, I use the limited data available to ascertain the Intervention Support given to CFSS during the information workshop sessions and the Provincial Appraisal Task Team (PATT) workshop, by referring to the five condition elements necessary to successfully facilitate policy implementation. In Chapter 7, I use the data from interviews and questionnaires to determine the level of functionality and readiness of CFSS to facilitate change, by referring to the three levels of school functionality.

In Chapter 8, I synthesise the arguments from Chapter 5, 6 and 7, which is a validation of the usability of the Implementation Readiness Conditions (IRC) framework since this framework allows policy-makers to make informed decisions about (1) the level of complexity of policy, (2) the level of school functionality, and (3) the level of condition elements necessary for successful policy implementation. What the current approach lacks is an integrated, 'knowledge-based', 'data-driven decision making' approach to policy-making. This integrated approach firstly takes into account the mentioned three components of the IRC framework. This 'bottom-up', 'knowledge-seeking' approach precedes the current 'top-down', uninformed approach about the different realities and contextual conditions of schools, the resources needed to implement policy successfully and the complexity of the reform policy. The reform policy is designed based on what policy-makers know about 'what is going on', and not 'despite what is going on' in schools. I therefore make an argument for the inclusion of the IRC framework within the current 'disconnected' policy-process, in order to integrate both the 'bottom-up' and 'top-down' approaches. The combination of these approaches will be called the 'Strategic Integrated Policy-Process' (SIPP) model.

The next chapter will focus on the literature review of this study.

Chapter Two
The literature review

2.1 Introduction

The purpose of this chapter is to describe the process and results of the second phase of this larger investigation – the phase in which I was challenged to establish the conceptual and research grounding for a study quite different than the one I had originally planned. Once I began interacting with the Cape Flats Secondary School (CFSS) staff in 2003, I quickly realised that they had not implemented DAS, even though they seemed committed to doing so in 2001. If I were to continue to pursue what I planned to be a 'policy implementation' study, there would have been nothing to report.

Hence, I was compelled to reconsider my options, and one of them seemed very fruitful. That was to transform my research into an investigation of why, under what appeared to be quite favourable conditions, CFSS had not implemented DAS. In doing so, I was entering a frequently-investigated and much-discussed area in the educational policy literature, namely the 'gap' between '**Policy Formulation**' – what policies were asking schools to do – and '**Operational Implementation**' – what was actually enacted.   From all I could initially determine, that gap was wide, long, and deep, whether in North America, Europe, Asia, or South Africa. What policy makers wanted schools to do (or change) very often did not get carried out in any 'authentic' form; hence, the gap. I was committed to probe deeply into the reasons for this and apply my new insights to the CFSS context.

2.2 Investigating the policy-practice gap literature

Soon after beginning my intensive exploration of the policy-practice gap (PPG) literature in education, I encountered a serious, but familiar dilemma.   Different authors meant different things when they used the same term – such as 'policy' – and different authors used different words for the same thing. Consequently I faced a dual challenge: first, to decode each author's particular use of key terms and concepts related to the issues being described; and second, to decipher

exactly what was being described and in any given study or document about PPG.

2.2.1. Defining key terms

Therefore, before proceeding with my analysis of the PPG literature, I want to establish clear definitions and labels for the important concepts found in that literature and used consistently throughout this study.

2.2.1.1. Policy

For my purposes, the term 'Policy' will refer to the formal documents that are enacted by governmental bodies of various kinds that require educational institutions/schools to carry out particular actions.   The 'Policy' itself is the substance and declared aims contained in those documents.   This definition is attempting to overcome the confusions between the policy as what the "ministry has promulgated" against "what the teachers do", which may "deviate from official policy" (Samoff, 1999, p.417).

2.2.1.2. Policy-Process

The term 'Policy-Process' will be used explicitly to refer to the entire set of steps involved in first formulating a policy all the way to ultimately seeing it implemented in schools.   This study will divide this comprehensive process into three key stages: Policy Formulation, Intervention Support, and Operational Implementation.

2.2.1.3. Policy Formulation

As used here the term 'Policy Formulation' refers to the first of the three key stages in the overall Policy-Process. It involves all of the steps and factors that result in a policy's official substance, intentions, and formal approval.

2.2.1.4. Intervention Support

This is the second major stage in the overall Policy-process. It involves the marshalling and delivering of the support resources and technical assistance required by educational institutions/schools to successfully implement the substance and intent of a policy.

2.2.1.5. Operational Implementation

This is the third key stage in the overall Policy-process. It includes all of the steps and conditions surrounding the actual implementation of a policy in its intended institutions/schools and how the policy actually plays out in practice.

2.2.2. Summarising the vast PPG literature: The three Policy-Process stages

As I engaged with the vast array of journal articles, papers, books, and other documents that constituted the PPG literature, it became apparent that the range of issues, concepts, and topics being addressed was extremely broad. Hence, I quickly began to organise what I was reading around key topics and issues, often presented in multiples in a given study. Eventually I was able to identify 165 separate issues within that body of inquiry – an overwhelming number with which to work. This compelled me to find patterns and linkages among the 165 issues that would hopefully lead to a deep and coherent understanding of the gap between what policies contain and what actually gets implemented.

Slowly a broad pattern began to emerge, and it led to my identifying the three stages of the Policy-Process that I defined above. For example, after sorting things out at a very broad level, the main aspect of 57 of the 165 separate topics in the literature related directly to the 'front end' of the Policy-Process; that is, to how policy gets made, who the key actors are (or should be), what policies contain, the stipulations policies offer in terms of timing and conditions of implementation, and so forth. It was at this point that I chose to identify this array of factors as belonging to the Policy Formulation stage in the larger Policy-process.

Further searching and sorting led to my identifying 51 of the 165 issues whose main thrust clearly related to the 'practice' end of the process. They were things pertaining directly to conditions, participants, and actions that took place in the institutions themselves which affected how and whether a policy would be successfully implemented and actually incorporated into the flow of the organisation's established practices. This large cluster of issues I grouped under the label 'Operational Implementation', the third stage in the overall Policy-Process.

The remaining 57 topics and issues that emerged from my literature analysis fell directly into what I have now named the 'Intervention Support' stage of the larger Policy-Process. In some respects this is the key link between 'Policy' and 'Practice' in what I am calling the Policy-Practice Gap (PPG) literature. And as I reflected on the critical role this stage plays in the overall Policy-Process, it

became apparent how central its factors might be in providing a possible 'answer' to my Cape Flats-DAS dilemma. Why did not CFSS implement DAS? Perhaps one of the reasons was that the school simply did not receive the level of technical support required by DAS, but that was certainly no more than an operating hypothesis during this phase of the work.

Graph 1: The PPG Literature Issues

Operational Implementation Stage 31%

Policy Formulation Stage 34%

Intervention Support Stage 35%
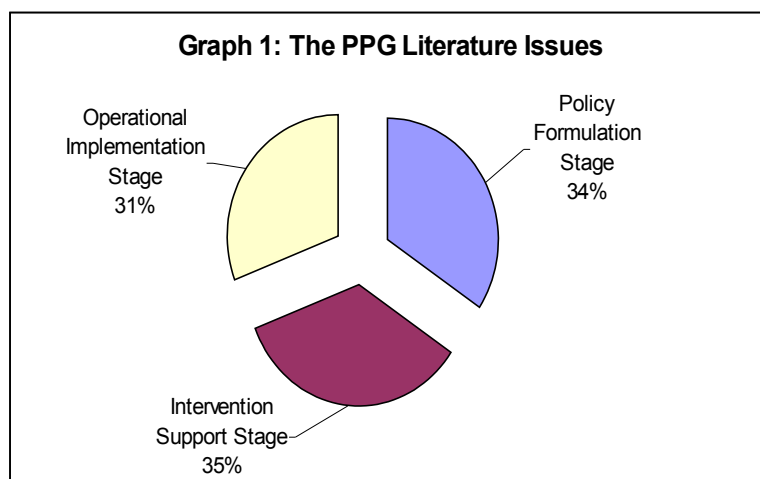
So, after concluding the first phase of organising my findings from the PPG literature, I identified three key stages in the overall Policy-process, across which the PPG issues in the literature were quite evenly spread (see Graph 1). But I still faced an overwhelming number of specific topics and issues within each of those three broad categories of analysis. That challenge led to the next and a deeper level of analysis in which I sought to identify coherent and persuasive themes within these large arrays of topics that might present a more coherent picture of what the PPG literature contained, and also help to provide a penetrating understanding of my CFSS-DAS dilemma.

2.2.3. Summarising the vast PPG literature: The nine major themes

My second level analysis of the 57, 57, and 51 separate topics and issues in the PPG literature took a great deal of time to complete. But it yielded nine major themes whose essence brought this previously disparate mass of findings into greater coherence. As it turned out, each of the Policy-Process stages contained three clearly identifiable themes, as identified below. Each theme is expressed as a potential 'reason why' the PPG exists.

2.2.3.1. Policy formulation themes:

(i) *Policy makers are not developing policies that embody best ideas related to sound educational practice, facilitation approaches, and readiness conditions within provinces, districts, and schools.* This Theme One involves two sets of issues, namely the literature focusing on (1) the varied intentions of policy; and (2) the lack of 'best ideas' in policy.

The first focus raises issues like, the shifting intention from formulation to implementation (Rensburg, 1998); the five different levels of policy intention (Scheerens, 2000, p.1098); the need for policies based on "ethical principles" which are "morally defensible" (Joyner, 2000, p.867); the move from policy intentions other than educational (Joyner, 2000, p.870; Cheng and Cheung, 1995, p.19); and the using of formal communication lines to convey policy intentions and substance to different structures (White, 1990, p.14).

The second focus includes issues where policy-makers are not using best ideas like, "the ecological, economic and management ability" within the education system (Cheng and Cheung, 1995, p.14); how difficult it is "to alter an educational system that is deeply dysfunctional" (Cochran-Smith, 2000, p.916); "using managing change (that) can help avoid serious errors of commission and omission" (Dwyer, 1998, p.10); and using data and research when making policy decisions (Meyer, 2002, p.112).

(ii) *Policy makers are not formulating and communicating implementation timelines and support provisions consistent with policy complexity, implied depth of change, and site readiness.* This Theme Two involves three inter-related issues, namely (1) the types and focus of policies; (2) the difficulties experience by policy makers during policy formulation; and (3) statements about the complexity of reform policy.

The first issue focuses on the different types of policies like "the legislative and negotiated policies" (Carrim, 2001, p.103-5); the lack of "balance between economic constraints and social justice" (Skinner, 2003, p.51) and; the "five policy making theories [economic, organic system, human relations, bureaucratic, and political] and responsibility channels" (Scheerens, 2000, p.1098).

The second issue focuses on difficulties experienced by policy makers in relation to implementation provisioning, like they do not know "what they are doing … (or) … should be doing" to improve implementation (Pendergast, 2000, p.1); they do not know how to facilitate the "translation of policy into delivery of service" (Manganyi, 2001, p.32); they are "not always successful as (they) would like to be" (Birch, 2000, p.17); the huge

gap exist between the understanding and interpretation of policy, mainly
based on perspectives, semantics and scope (Hall, 1995) and; their lack of
will to "engage with differences" and to "engage in tough dialogue" result in
the production of one-size-fits-all policies (Schneider, 1997, p.120).

The third issue focuses on "the quality of policies", "the pace … (is) fast"
and "the impact … (is) far-reaching" (Cheng and Cheung, 1995, p.10); the
complexity of the policy-making process (Soudien et. al., 2001, p.79;
Sayed, 2001, p.250); "the scale and complexity … (which are) … well
beyond the human and material resources available at the time"
(Manganyi, 2001, p.33); the large scale bureaucratic nature of the change
(De Clercq, 2002, p.91); and, that the policies are not taking into account
the "conditions of teaching and the quality of learning" (Bascia, 2000,
p.912).

*(iii) Top level professional, political, technical, and practitioner experts are seldom
a part of formulating workable, impactful policies.* This Theme Three focuses
on three issues, namely (1) the skills and capacity of roleplayers; and (2) the
critique of processes during the formulation stage.

The first issue deals with the lack of research capacity and ability of
'departmental officials' and 'union representatives' (Moore and Muller,
1999, p.193); that senior officials in education display a "poverty of
understanding about (the) policy-process" (Lugg, 2002, p.137); the 'new
senior level appointees' do not have 'system management' skills, but
rather 'politically-correct approaches and opinions' (Sayed and Jansen,
2001, p.6); they do not do "the necessary background research to assess
the soundness and relevancy of proposed reforms" (Joyner, 2000, p.866);
they do not think outside or beyond the 'policy control' mode of policy
making (De Clercq, 2002, p.90); there are not enough African academics
and researchers to challenge the dominant view of white academics in
"knowledge production" (Seepe and Kgaphola, 1999; Nekwhevha, 2000,
p.41); their roles and responsibilities result in "lowest common
denominator agreements" and a "stakeholder process (that) has enabled
the silencing of critique of the State" (Muller, 2000, p.141); they do not
know the specific role of research academics and intellectuals (Leibowitz,
2000, p.7) and; they do not know the roles of supporters and critiques of

policy (Leibowitz, 2000, p.8).

The second issue deals with the overt demand for 'bottom-up' policies (Oakes et. al., 2000, p.967): that it is a process of "politics", "power", "competing interests" and "conflicting struggles" (Jansen, 2001, p.271); that the process is invested with 'micro-political', 'horse-trading' (Cheng and Cheung, 1995, p.11); that different stakeholders have different theories during policy making (Scheerens, 2000, p.1098); that the process does not recognise and accommodate the complexities of policies during the 'continuities' and 'discontinuities of the different processes of policy making (Soudien et. al., 2001, p.81); that the process involves a "multiplicity of negotiations, formal and informal, and sleights of hand take place recursively" (Soudien et. al., 2001, p.79); and, that there is not balance between the 'power of pressure' ("too much pressure is building) to implement and the 'power of support' (too much support suggests the need for crutches) for teachers (Huberman, 1994, p.14).

2.2.3.2. Intervention support themes:

(i) *Support agents are not developing and establishing the conditions essential to successful policy implementation in districts and schools.* This Theme Four focuses on two issues, namely (1) the contextual conditions (both conceptual and practical) elements need to facilitate successful policy implementation, which consist broadly of the capacity (support from outside), and the will (efforts and energies from inside); and (2) the management of change strategies by organising the work of teachers and the resources necessary to implement the reform policy.

The first issue deals with the different types of professional and organisational conditions needed (Keily, 1998, p.81-2); the level of 'communication' needed to successfully implement policy (Andrews and Herschel, 1996); high levels of legitimacy and 'institutional memory' needed (Gallie et. al., 1997, p.461); the need for a shift from 'design control' to 'systemic capacity building' (Darling-Hammond, 2000, p.643); the need for "readiness of concerned parties", "readiness of resources", "timeframes given to policy implementation", and "legal preparations" (Cheng and Cheung, 1995, p.16); the need to focus on "new

programmatic change", "new teaching behaviour" and "new teaching beliefs" (Karavas-Doukas, 1998, p.13); the five elements necessary to ensure that policy implementation has a possibility to succeed (Schwahn and Spady, 1998, p.22-3); the eight contextual elements needed to develop support at a systemic level (Joyner, 2000, p.872); the need to support schools on their capacity and will that affect the outcomes of implementation (McLauglin, 1998, p.72); the need to develop "support structures" (Lang, 2000, p.1); the need to link radical reform policies to radical change in attitude and teaching styles of teachers (Johnson, 1992, p.171) and; the need for "a new set of understandings about teaching and learning" (Darling-Hammond, 2000, p.643).

The second issue deals with the high demand for good "management systems and leadership" (Gallie et. al., 1997, p.461); the need for "systems analysis, modelling and projections" to prevent "plans which are inappropriate and unmanageable" (Murray, 2002, p.72); the need to overcome "policy overload, unfunded mandates, lack of policy prioritisation and strategic planning as well as severe inherited backlogs, inadequate provincial resources and managerial capacity" (De Clercq, 2002, p.81); the need to create time and opportunity for teachers to "rethink their practice and redesign their institutions" (Darling-Hammond, 2000, p.645); the need "for improvement of physical resources, dysfunctional management, poor social relations within the school, and between the school and its community, and a prevailing poor culture of teaching and learning" (Moletsane, 2002, p.132); the need to understand what motivates teachers to participate in reform policy implementation (Stout, 1996, p.2); the need "to work through … issues on a case-by-case basis" since schools are affected differently by reform policies (Fullan, 1998, p.255); the need to create a management culture "that values such things as learning, collaborative activities, and the right to take risks must be part of the organisation" (Seller, 2001, p.257); the "need for schools to become 'learning organisations' where teachers and administrators become 'change agents' who are experts at dealing with change as a normal part of their work" (Oakes et. al., 2000, p.953).

(ii) Support agents are not providing the length and frequency of assistance and development consistent with policy complexity, implied depth of change, and site readiness. This Theme Five involves "support mechanisms" (Darling-Hammond, 2000, p.654) such as a methodology of 'policy mediation' rather than a methodology of 'policy control' (De Clercq, 2002, p.88); context-focused information for purposes of conciseness (Duemer, 1999); the need to monitor and evaluate the implementation on a large scale (Meyer, 2002, p.104); the need to use indicators for distinctly different purposes within the general function of monitoring (Crouch, 1998); the need to develop appreciation for good quantitative data, together with qualitative data, as a means of providing "an impression or sketched outline of the total picture" (Meyer, 2002, p.109); and the need to develop "strategic thinking about the aims and the process of implementation and coordination" (Welton, 2001, p.178).

(iii) Competent professional and technical support agents are not available to provide workable, impactful implementation assistance. This Theme Six involves two issues, namely (1) the need to clarify the role definitions and responsibilities of support agents; and (2) the capacity that needs to be developed within the system.

The first issue involves the need to identify and focus on the high priorities within the system (De Clercq, 2002, p.90); the need to clarify the different roles of the constitutional arrangement of a three-tiered system (De Clercq, 2002, p.88); the significant role that teacher unions need to play during the pre-implementation phase (Joyner, 2000, p.858); the need to understand that "schools and districts are conservative rather than innovative systems, and that schools are frequently not particularly healthy organisations for the growth and development of their members" (Fullan, 1995, p.3); the need to have a strategy on how to deal with "unsympathetic administrators" (Crookes, 1999, p.281) and; the need to clarify who the "change agent" is within the policy-process (Oakes et. al., 2000, p.960).

The second issue deals with the need to manage conflict and resistance to change (Karavas-Doukas, 1998, p.26; Anderson, 1998, p.159); the need to focus on problem solving and project management approaches (Cheng

and Cheung, 1995, p.11); the need to act as "change agents in schools
(which) require conceptual support to develop strategies that unabashedly
confront the active ideologies that resist equity-minded changes" (Oakes
et. al., 2000, p.958); the need "to make informed choices regarding the
selection of reform initiatives and purposeful staff development" (Joyner,
2000, p.855); the need to develop system capacity to prevent failure of the
current system (Skinner, 2003, p.52) and; the need to capacitate support
agents to engage in policy analysis (Lungu, 2001, p.79).

2.2.3.3.   Operational implementation:

(i) *Site personnel are not effectively leading implementation processes
consistent with the functionality levels and challenges existing in their
schools.* This Theme Seven involves the needs existing at implementation
level, including in particular the need for quality leaders at implementation
level (Moore and Muller, 1999; Taylor and Vinjeveld, 1999); the need to de-
contexualise knowledge in order to "separate it from the knower" (Moore and
Muller, 1999, p.193); the need to move beyond the "instrumentalist discourse"
which validates 'experience', 'practice', and what is 'local', 'contextual' and
'school based' (Murray, 2002, p.62) and; the need to clarify when a policy
should be 'top-down' and/or 'bottom-up' (Oakes et. al., 2000, p.967).

(ii) *Site personnel are not developing and following implementation timelines that
reflect policy complexity, implied depth of change, and site functionality
levels.* This Theme Eight focuses on the "pace of policy development" and
the fact that site-based personnel are expected to implement the policy very
"fast" at school level (Cheng and Cheung, 1995, p.10).

(iii) *Site personnel are not exhibiting sufficient commitment, professionalism, and
operational functionality to assure workable, impactful policy implementation.*
This Theme Nine focuses on three issues, namely (1) the professional
capacity; (2) the social capacity; and (3) the combination of the professional
and social capacity of the school as a reflection of the overall functionality of
the school.

The first issues deal with the need to understand teachers "against the
backdrop of teachers' professional lives, within the settings where they
work, and within the circumstances of that work" (Johnson and Freeman,

1998, p.405); the "inadequate preparation of teachers and administrators for service in schools, particularly those that serve low-income students" (Joyner, 2000, p.855); the "frequent turnover of leadership and school staff" (Joyner, 2000, p.855); the need to develop good "management practice" otherwise it undermines "basic expectations such as punctuality, teacher preparation and learner participation" (Gallie et. al., 1997, p.461); the need for dynamic leadership that cultivates "a shared knowledge-base and a set of practices, a strong service ethic, and control over who enters the profession and how their practices are evaluated" (Gebhard, 1998, p.507); the focus "on individual teachers is unlikely to bring about change in schools, particularly in the absence of a supportive environment" (Michael, 2000, p.8) and; that principals have "stress stemming from their incompetency and inadequacy in handling new managerial tasks" (Chow, 2000, p.19).

The second issue focuses on the notion that "schools are situated in particular local enactments of large cultural norms, rules, values and power relations, and these cultural forces promote either stability or change. Accordingly, they set the parameters of policy, behaviour, beliefs, and actions in schools" (Oakes et. al., 2000, p.958) and; that "twenty-five years of research on teaching and teacher learning argues that learning to teach is built out of and through experiences in social contexts … And teachers and students and teaching and learning are shaped by the institutional settings in which they work" (Johnson, 2002, p.1).

The third issue focuses on the argument that "the critical variable has more to do with social and professional structures of work – with whom teachers work and how they work together – than what they bring to the job … Although these tools come from somewhere else, however, they are always used locally." (Freeman, 2001, p.5); that "school unions … can be part of the solution to school reform, or part of the problem" (Joyner, 2000, p.855); that at least twelve 'metaphors' exist about the 'work of teachers' (Smyth, 2000, p.1245); that success focuses on nine practical recommendations (Hafner and Slovacek, 2000, p.11); that the success story of school change, include key elements (Gebhard, 1998, p.505); to use personal elements of teachers to provide better sense of context

through preserving the experience of those teachers (Manning, 1990); to

develop understanding and clarity of the types of schools where policy implementation take place (Odden, 1991, p.2; Chisholm and Vally, 1996, p.1); to 'critically' define the nature and character of schools with their 'vast disparities' (Sayed, 2001)and; to know that schools are in reality located in societies where changes "seek to achieve parity in opportunity and achievement across diverse groups of learners" (Oakes et. al., 2000, p.953).

The argument continues by focusing on the need for supporting and empowering processes to assist teachers to move from being 'social change agents' to being 'subject or learning area specialists' at school level (Gallie, 1997); "that even the best ideas do not, indeed cannot, tell you how to get there, because that requires working in specific settings with their unique combination of factors and personalities that play themselves out in unpredictable ways … The uncertainty about how to get there is endemic of complex systems" (Fullan, 1998, p.255); the need "to construct 'tool kits' that are capable of illuminating identified aspects of school and systems functioning sufficiently to make information-based management possible … The task is not to describe, but to gauge …" (Meyer, 2002, p.112); and that "what has emerged from this cross-fertilisation (of the same professional development project in two countries) is a clearer view of the importance of school culture in the nurturing and maintenance of new teaching methods … This suggests that the problem lies not so much in the teachers' capacity, as in the environment they find themselves in, which may or may not be supportive of innovative methods" (Adey, 2000, p.6).

2.3   Creating a framework of key research issues

At this stage of the analysis, I was faced with nine plausible, research-based explanations for why Cape Flats Secondary School might have failed to implement the highly promising DAS policy. The nine themes just discussed clearly fell into three groupings, those pertaining mainly to the Policy Formulation stage of the overall Policy-Process, those reflecting the Intervention Support stage, and those embodying the Operational Implementation stage.

What I noticed, however – and Table 1 on page 38 represents this – is that there were similarities in the themes across the stages. Initially, for example, it was most obvious that Themes 3, 6, and 9 all pertained quite directly to the presence or qualities of key role players (who would be expected to be involved) at each stage. So, for the time being, I considered those three themes to be a set sharing that attribute.

Upon closer examination, I observed a common pattern in Themes 2, 5, and 8 as well. They seemed to focus on the timing, duration, and adequacy aspects of the implementation process; in other words, were the timelines, deadlines, and levels of support specified in a Policy-process consistent with the implied demands of the Policy in question? So, for the time being, I considered them to be a set sharing that attribute as well.

When I turned my attention to the three remaining theme, namely Themes, 1, 4, and 7, I observed that they too shared a common characteristic. Each was describing something about the essence of what its respective stage represented in the overall Policy-process. For example, Theme 1 is about the essential quality one would expect in a policy: that is, that it embodies the best ideas available regarding sound practice so that the system would be affected positively when it was enacted on site. Similarly, Theme 4 relates to the essential thing one would expect to result from Intervention Support; namely, that it establish the conditions that make policy implementation actually happen on site. And finally, Theme 7 reflects the core of what 'should' happen on-site as implementation unfolds; that is, that local staff take responsibility for implementing the policy 'on the ground', given the 'realities' of their school context – particularly its functionality levels and related challenges.

These three patterns turned out to be the "three neglected aspects in the current education policy making process", as represented in the Hodgkinson Model (see page 11). I therefore called them the Analytical Aspects of policy making.

2.3.1. The framework of key policy-practice gap (PPG) issues

So in order to further organise my thinking and portray the PPG and related literature in a more coherent and systematic way, I combined these sets of themes into the matrix that appears in Table 1. The columns of the matrix portray the three, now familiar stages of the Policy-process: Policy Formulation,

Intervention Support, and Operational Implementation. I have numbered them 1, 2, and 3 just to keep things consistent.

Table 1: The framework of key policy-practice gap issues

	1. Policy Formulation Stage	2. Intervention Support Stage	3. Operational Implementation Stage
A. Intended Systemic Impact	**1A**. Policy makers are not developing policies that embody best ideas related to sound educational practice, facilitation approaches, and readiness conditions within provinces, districts and schools.	**2A**. Support agents are not developing and establishing the **conditions essential to successful policy implementation** in districts and schools.	**3A**. Site personnel are not effectively leading implementation processes consistent with the functionality levels and challenges existing in their schools.
B. Process Requirements and Implications	**1B**. Policy makers are not formulating and communicating implementation timelines and support provisions consistent with **policy complexity, implied depth of change** and site readiness.	**2B**. Support agents are not providing the length and frequency of assistance and development consistent with policy complexity, implied depth of change, and site readiness.	**3B**. Site personnel are not developing and following implementation timelines that reflect policy complexity, implied depth of change, and site functionality levels.
C. Essential Roleplayer Qualities and Interests	**1C**. Top level professional, political, technical, and practitioner experts are not a part of formulating workable, impactful policies.	**2C**. Competent professional and technical support agents are not available to provide workable, impactful implementation assistance.	**3C**. Site personnel are not exhibiting sufficient **commitment, professionalism, and operational functionality** to assure workable, impactful policy implementation.

The rows of the table contain the three sets of issues just described, and I have labelled them A, B, and C just to keep those elements straight. Themes 1, 4, and 7 appear in row A from left to right under the title 'Intended Systemic Impact'. From this point forward I will be calling them 1A, 2A, and 3A respectively. Similarly, Themes 2, 5, and 8 appear from left to right in row B which I have named 'Process Requirements and Implications'. They will now be called 1B, 2B, and 3B respectively. Finally, Themes 3, 6, and 9 are displayed in row C and have been relabelled 1C, 2C, and 3C respectively. That row of the table I have named 'Essential Role Player Qualities and Interests'.

When arrayed in this systematic way, the information in Table 1 allows me to

examine the substantive essence of the entire PPG literature in one coherent framework and to see patterns in this vast body of work that were clearly not evident as I examined each study separately. In addition, once I formulated it, the table served as a grounding and organiser for what unfolded in the remainder of the study.

2.3.2.   Building an explanatory framework for the study

With all of this analysis behind me and the framework in Table 1 in hand, I was finally in a position to develop an explanatory model for my study. The essence of the PPG and related literature gave me nine potentially fruitful starting points for what may have been the key 'causes' of the Cape Flats-DAS dilemma. But nine different things, even though systematically organised, seemed more like a 'list' than an explanatory model. So I began to examine each of the themes in Table 1 more closely, asking myself whether it was actually central to the CFSS problem, or whether it was merely a theme in the literature that did not apply directly in this particular case.

2.3.2.1.   Potential policy formulation stage 'causes'

I was encouraged by the results of my initial analysis of the Policy Formulation stage themes. First, Theme 1A having to do with the inclusion of "best practice" ideas in policies clearly did not apply to the CFSS-DAS situation. If anything, DAS was the embodiment of best practice thinking and research from the very beginning, so it had substantive 'integrity' (see features of DAS in Chapter One, page 5). For the same kind of reason, I could quickly eliminate Theme 1C as a factor in the CFSS situation. The developers of the DAS policy represented a variety of top level people representing all the roleplayer groups mentioned in 1C (see Chapter 1, page 6). That left 1B as a possible contributing factor from this stage of the Policy-process.

Was it possible that DAS was simply too complex and required too much deep organisational change for teachers to implement, given the timelines and requirements built into the policy? Upon deeper consideration, I was clearly willing to examine this possibility in my study.

2.3.2.2.   Potential intervention support stage 'causes'

When I turned to the three themes in the second column of Table 1, the process of elimination was a bit more difficult because there was at least a small amount of credibility in all three possibilities. However, I was eventually able to eliminate 2C as a likely factor in the CFSS situation because I, one of the developers of DAS, had provided five days of specific training to the staff in 2001 on its content, procedures, and implications. It would have been difficult for CFSS to receive support from a more qualified person than me at that point in time. Similarly, I eventually eliminated Theme 2B for the same kinds of reasons. I felt I had done a thorough job of explaining all of the features of DAS in my five day workshop, and I had encouraged questions and provided answers about every aspect of the policy. This left Theme 2A as a clear possibility. While my assistance workshop may have provided a great deal of information about DAS, I was not in a position to ensure that the conditions for successful implementation actually existed at CFSS. People told me they did, and I assumed they did, but the staff and I were actually proceeding 'on faith' about that issue at the time. Hence, I designated Theme 2A as a possible factor deserving further exploration as my study progressed.

2.3.2.3.   Potential operational implementation stage 'causes'

Because I was not initially present at CFSS in 2002 either to lead, oversee, or observe the attempted implementation of DAS, I was not in a position to directly verify what was and was not happening as the school's Staff Development Team and staff moved forward with the DAS implementation. Hence, I took the word of the coordinator of the SDT about what had and had not happened at CFSS once I initially learned in 2003 that the school had not moved forward with the intended implementation plan. However, since I had conducted the five-day workshop and had worked out an agreeable timeline with the staff at that time on implementing the various components of DAS, I felt that Theme 3B pertaining to inappropriate timelines was the least likely of the three Operational Implementation themes in the PPG literature to have been a prime factor in the CFSS context.

As I carefully weighed the remaining 3A and 3C themes as alternatives, it eventually became clear that one of them might potentially be an underlying determinant of the other. That is, it seemed quite possible that the failure of site

personnel to 'lead' policy implementation (Theme 3A) was because their school

as a whole did not have a culture of commitment, professionalism, and high operational functionality (Theme 3C) sufficient to either value or support their initiative. Clearly my assumptions about the Cape Flats' functionality and readiness for change were quite optimistic when I first planned the study, but I had been forced to confront a different reality in 2003. Something inside the CFSS culture and operations was not what it appeared to be from the outside. Hence, I decided to look closely at 3C as a possible/probable factor in CFSS's failure to implement DAS and to learn all I could in the literature that might help me explain it.

2.3.3. Constructing the Implementation Readiness Conditions (IRC) framework

Graph 2 displays the nine themes in the PPG literature debate. These themes are displayed in the same numerical order from left (Theme One) to right (Theme Nine being the last theme) as presented earlier in this chapter. The number appearing above each bar in the graph indicates the number of different issues in
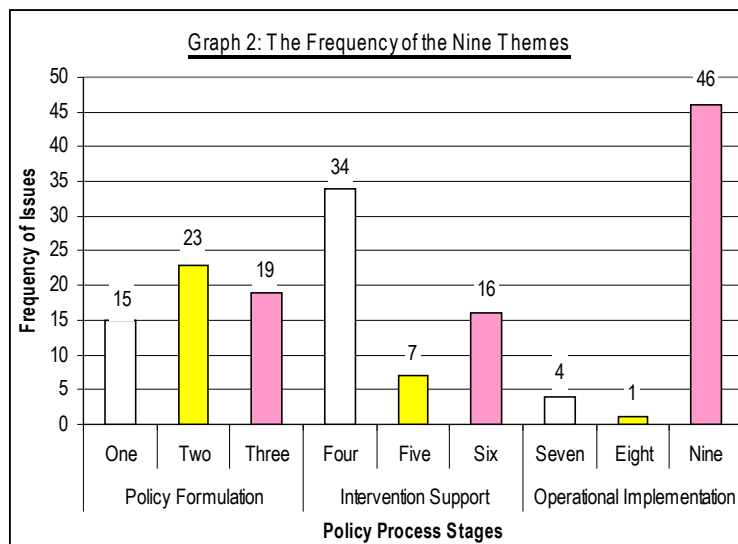
the PPG literature that are contained within each particular theme. Graph 2 clearly shows that the three themes I chose for intensive investigation in the remainder of the study (2-1B, 4-2A and 9-3C) also contain the greatest number of issues found in my analysis of the PPG literature. For example, within the Policy Formulation stage, bar 2 represents 23 PPG issues, compared to the 15 and 19 of bars 1and 2 respectively. This same pattern occurs in the other two stages as well. In the Intervention Support stage bar 4 contain 34 of the possible 57 issues, and the Operational Implementation stage bar 9 represents 46 of the 51 issues pertaining to that stage. Clearly, the three themes I had chosen for further investigation seem to be those receiving

the most attention in the PPG literature.

When calculated across all 165 issues raised in the PPG literature, these three themes (2, 4, and 9), which constitute what I am calling my Implementation Readiness Conditions (IRC) framework, account for 62% of the total of 165. This is represented in Graph 3. Note especially that the 'functionality level of schools to facilitate
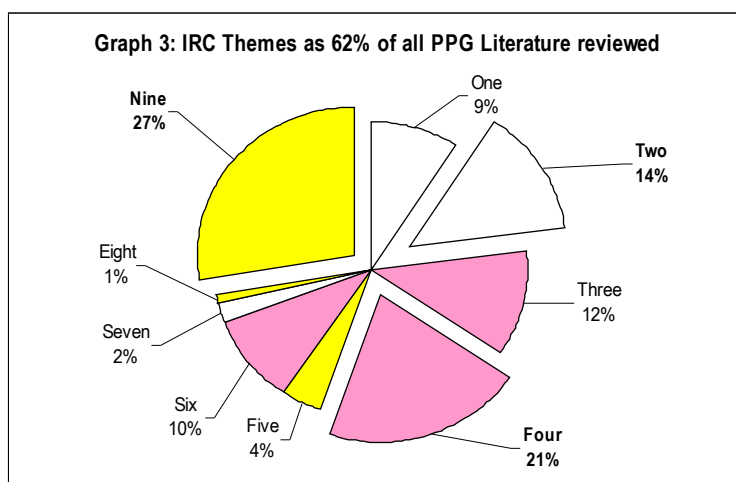
Graph 3: IRC Themes as 62% of all PPG Literature reviewed

Operational Implementation' theme (No. 9) by itself contains 27% of all the issues in the literature. The 'awareness of complexity of policy during Policy Formulation' theme (No. 2) represents 14% of the total, and the 'Intervention Support agents create conditions for successful implementation' theme (No. 4) subsumes another 21% of the 165 issues.

The next section with discuss in detail the three Themes in the IRC framework as well as other literature that directly supports them.

2.4 A critical review of the literature related to the Implementation Readiness Conditions (IRC) framework

The literature that is presented in this section only represents the specific issues related to the Implementation Readiness Conditions framework, both from the national and international literature. I will critically describe and review only the most pertinent references since other related studies have been cited in section 2.2.3 (pages 27-35) of this study. Where national literature is used, I will make reference to South Africa specifically. The issues I raise from international literature will not make reference to any particular country, although most of that literature comes from the UK, USA and China. The full complement of PPG issues mentioned in section 2.2.3 was used in the Human Science Research Council – Education Labour Relations Council (HSRC-ELRC) research project focusing on workplace policies for teachers, and a fair amount of the literature

was reflected within the report (HSRC/ELRC 2004, p. 5-20).

The Implementation Readiness Conditions framework consists of the following three central themes, namely:

2.4.1. The 'Policy Complexity and Implied Depth of Change in Reform Policies' theme

This is Theme Two in the PPG literature reviewed above. It involves the types, difficulties and complexity of reform policies. On the types of policies, Carrim (2001, p.103-5) mentions that these types ("legislative and negotiated policies") complicate the different notions of participant fit into these different education policy-processes in South Africa. What he fails to raise is another dimension of policy difference, namely labour and professional policies (see Figure 3).

Figure 3: Two different domains of the type of policies in education

Mode of Formulation	Negotiated	++	++++
	Legislated	+	++
		Labour Focus (Conditions of Service)	Professional Focus

Quality and Complexity of Policy

The distinction of Carrim (2001) is therefore not clarifying the quality and complexity. For this, the vertical domains had to be added. Figure 3 displays the increase in complexity when formulating policy, where (+) indicates least complex and (++++) indicates most complex. Making a difference between these two domains will require a will to "engage with difference" in making these policies, and to "engage in tough dialogues", which is often deliberately prevented, for the fear of confrontation (Schneider, 1997, p.120). If these differences are ignored, "the (different) quality of these policies", and "the impacts of these policies" will continue to be too "far-reaching" for education systems (Cheng and Cheung, 1995, p.10).

Scheerens (2000, p.1098), on the other had, developed a matrix where he displays the lack of understanding among policy makers that there are different focuses of different policies with different 'results', as well as the responsible agent for the policy. This complicated issue of 'policy focus' is summarised (see Table 2) around five main theories, namely those which are influenced by the

economic conditions, the nature of the organisation, the human relations, the mode of operation and political motive. These five theories of Scheerens (2000) only relate to the different intentions of policy as interpreted by different structures within education. He argues that by looking at the different intentions of the policy, aligned expectations must be developed in terms of its relevant "focus of result", its "level of accountability" and the "nature of the expected output". For example, if the intention of the policy is a human relations approach, often captured within a more specific policy title, like in the case of this study - the setting up of an appraisal system - the focus should not be on the level of results within the components of the specific policy title, but rather on the level of involvement by individuals and the possible increase in motivation and professionalism among teachers. This approach must be consistent throughout the different structures of the system. What Scheerens (2000) is not clarifying is the fact that most policies tend to want to achieve more than just one of these 'effectiveness levels' with one policy, which is just increasing the complexity of implementation the policy.

Table 2: Policy making theories and responsibility channels of Scheerens (2000)

Theoretical background	Effectiveness criterion	Level at which the effectiveness question is asked	Main areas of attention
Economic rationality	Productivity	Organisation	Output and its determinants
Organic system theory	Adaptability	Organisation	Acquiring essential inputs
Human relations approach	Involvement	Individual members of the organisation	Motivation
Bureaucratic -, system member -, social psychological homeostatic theories	Continuity	Organisation and individual	Formal structure
Political theory on how organisations work	Responsiveness to external stakeholders	Subgroups and individuals	Independence power

Related to these different theories, Soudien et. al. (2001, p.79) argue in a very abstract way that, there is a lack of understanding about the complexity and depth of reform policies at that moment of policy making in South Africa, because:

> (p)olicy needs to be read as a school and a moment of engagement

> in which enunciation is preceded by displacement, and where the act of inscription can certainly also be an act of negation. In these terms, the object of analysis has to include, simultaneously, the policy text at its moment of generation, its implementation and indeed its analysis.

Their argument is about a lack of understanding about how the complexity of policy gets adapted to recognise and accommodate the 'continuities' and 'discontinuities' between the different policy-process stages. These include the different processes of Policy Formulation and implementation, and during the process of policy critique, because the policy arena is informed by ideology (social equality), economics (resource efficiency) and politics (social reconstruction) (Soudien et. al., 2001, p.81). For them, policy makers must realise that Policy Formulation involves "multiplicity of negotiations, formal and informal, and sleight of hands take place recursively" (2001, p.79). And even if the formulation of policies is informed by a particular ideological position, it gets influenced within the "continuum of activities and event, from the textual to the practical" (2001, p.79). Therefore, the policy implementation hardly ends up with the original intention with which it started. The different structures and people make sense of the policy as it drifts along the policy-process continuum, and contextualise and/or re-contextualise the policy to fit their needs. It is well known that Rensburg (1998), a senior official in the national Department of Education indicated at a policy conference that the intentions which drove, for example, the curriculum policy did not coincide with intentions when it had to be implemented. In his own words, he states that the curriculum was created during a 'reconstruction and development' era (coming up with the best possible curriculum available), while it was implemented during a 'Growth, Economic and Reconstruction' era (tight financial control and limited budgets). This mismatch between the thinking and resource process, points to the fact that policy makers often only have control over the thinking (policy formulation) stage, but not over the operational (policy implementation) stage.

Even Manganyi (2001), despite being an education administrator whose responsibility was to support the implementation of policies, confirms the lack of understanding about the mismatch between complexity, capacity and the difficult conditions South African teachers find themselves in by arguing that "… doing policy work involves working with scenarios; it is doing future work in the deepest sense of the word" (2001, p.27) in "a school system in which a significant number

of teachers are under-prepared and rarely teach …" (2001, p.36). And the most difficult part of the policy-process, he argues is the "translation of policy into delivery of service" (Manganyi, 2001, p.32) by getting those who need to act on the policy to do so. As an administrator in education, Manganyi (2001, p.33) admits that "… the scale and complexity of the education changes envisaged were well beyond the human and material resources available at the time". Despite his admission to this mismatch between the intentions and human/material resources, he is not proposing a way out of this dilemma. In fact, not doing anything about the dilemma will inevitably result in 'someone' being blamed for non-implementation of policies. More often than not, teachers will bare the brunt of this non-implementation.

De Clercq further argues (2002, p.90) that there is a lack of will among policy makers to think outside or beyond the 'policy control' mode of policy making. This rational approach to policy focuses on a "strong central control" to policy analysis with an underlying thinking that "the different bureaucratic levels execute loyalty through their directives". Given the South African scenario at all levels of the education system, it is naïve to expect loyalty from all implementation agents. As indicated earlier, all current systems will benefit a portion of the population, who inevitably will find themselves even among the implementation agents, whether they are national departmental officials or teachers at school level.

The complexity of policy should also take into account the working conditions of teachers. Bascia (2000, p.899) states that it is natural for teachers to first look at how the change will influence their "working conditions", especially when the non-implementation of policies allows others to point a finger at teachers for the lack of commitment to service delivery. In such situations, teachers will retreat and defend themselves when the contextual conditions are not in their favour, like "where resources are scarce or perceived as scarce, and where there is a general lack of support for teachers' work …" (Joyner, 2000, p.909). She argues that it is not fair to ask teachers to continue to implement and make reform policies work with so little support from the education system as a whole. She therefore makes a clear link between the conditions teachers find themselves in during the teaching process and their ability to deliver quality learning at challenging schools. The essence of this argument is about getting to know what is going on at schools. Not just looking at the 'results' coming from school but

also the conditions under which they need to be produced.

The PPG literature mentioned above gave me a clear sense of the problem, but was short on solutions. In order to develop responses to the complexity of reform policy, I decided to seek for possible solutions in other literature in education. This literature search process delivered a collection of five types of reform policies which are currently being implemented in different countries and schools. Deeper analysis of these five types showed that the generic reference to 'reform policy' often mentioned in the PPG literature should be more specific.   My analysis resulted in the identification of levels of complexity that move from left to right (moving from less difficult to highly difficult), namely:

(i) Single component reform

The first category of school reform policy involves policies that focus on a single component and, often, a limited grade span reform. In the literature this is also called procedural, surface or bureaucratic reform (Cousins and Simons, 1996; Scheerens, 2000; De Clercq, 2002).   One example of this type of reform is Reading Recovery, a one-to-one tutoring programme originally developed by Marie Clay (1985) in New Zealand and now used in thousands of schools throughout the English-speaking world (Lyons, Pinnell and DeFord, 1993; Pinnell, 1989).   Little (1994, p.2) argues that "… change in subject matter standards, curriculum content, and pedagogy increasingly aspire towards more ambitious learner outcomes". These changes include also "the shift to a whole language and literature-based approach to language arts, the new mathematics standards, proposals for integrated science curricula and the like" (Little, 1994, p.2).

(ii) Comprehensive reform

The second type is called comprehensive reform.   This is also called programmatic, substance and delivery reform (Tse, 1982; Considine, 1992; Cheng and Cheung, 1995). The growing appeal of the comprehensive reform approach is rooted in its many advantages. The first advantage is that its adoption encourages the termination of single-focus reforms, thereby preventing the fragmentation associated with these traditional reform efforts (Glennan, 1998). At the core of comprehensive school reform is a unifying vision, or mission, one that offers an integrated approach across all grade levels, all students, and all elements of school practice (Bodilly, 1998).

Its second advantage is that it provides schools with access to external
assistance and expertise. A number of school designers have developed
comprehensive reform models for Pre-primary to Grade 12 schools. School
designers offer assistance to schools, usually for a fee, to help them transform
themselves.

The third advantage of this type of reform approach is that it introduces quality
control mechanisms often lacking from previous reform efforts. Comprehensive
designs bring with them a clear blueprint for changing a school's educational
standards, curriculum, and instructional practice. These blueprints not only give
schools a clear path to reform but also make it easier for educational researchers
to evaluate the effects of comprehensive reform efforts on educational outcomes
(Bodilly, 1996; Fashola and Slavin, 1998; Ross et. al., 1997; Slavin, 1995;
Stringfield, Millsap and Herman, 1997).

A fourth advantage is that it provides schools with specific learner materials,
teachers' manuals, focused professional development, and relatively prescribed
patterns of staffing, school governance, internal and external assessment, and
other features of school organisation. The American 'Success for All' and 'Roots
& Wings' programmes provide the most elaborate examples of this approach
(Slavin, Madden, Dolan and Wasik, 1996; Slavin, Madden, Dolan, Wasik, Ross,
Smith and Dianda, 1996). Success for All, in use in more than 475 U.S.
elementary schools in 31 states and adapted in four other countries, provides
specific curriculum materials for pre-kindergarten, kindergarten, and Grades 1-6
reading, writing, and language arts. Roots & Wings adds to this also materials in
mathematics, social studies, and science. Both programmes provide one-to-one
tutoring to: primary-grade learners who are struggling in reading; family support
teams to build positive home-school relations and deal with such issues as
attendance, behaviour, health, and mental health; and to help teachers
implement and coordinate all programme elements. The 'Core Knowledge'
project (Hirsch, 1996; Mentzer and Shaughnessy, 1996) and the 'Modern Red
Schoolhouse' (Kilgore, Doyle and Linkowsky, 1996), which uses Core Knowledge
materials, are two additional approaches that also have relatively well-specified
approaches to curriculum and instruction.

(iii) Organisational development reform

The third type of reform is called organisational development. It is also called "technical skills, ability and process" reform (Karavas-Doukas, 1998; Michael, 2000; Goodson, 2000; Motala, 2001). This dominant approach engages school staff members in an extended process of formulating a vision, creating work groups to move toward implementation of that vision, identifying resources (such as external assistance, professional development, and instructional materials) to help the school toward its vision, and often locating "critical friends" to help the school evaluate and continually refine its approaches. In the U.S., the largest networks of this kind are Sizer's (1992) Coalition of Essential Schools, currently approaching a thousand middle and high schools, and Levin's (1987) Accelerated Schools network, with more than 900 mostly elementary and middle schools.

Another widespread model of this kind is the National Alliance for Changing Education, closely affiliated with the New Standards Project, which is an important organisation in the promotion of State and district systemic changes around standards, assessments, and accountability (Rothman, 1996). Comer's (1988) School Development Project has more specific guidelines for activities relating to parent participation and integrated approaches to mental health and self-esteem, but in the instructional arena it also asks each school to create its own approaches to curriculum, instruction, and professional development. The National Alliance and Comer projects also serve hundreds of schools throughout the U.S. Dozens of smaller networks of changing schools also exist, including the Carnegie Corporation's Middle Grade School State Policy Initiative (Jackson, 1990; Felner, Jackson, Kasak, Mulhall, Brand and Flowers, 1997), the Paideia Network built around the work of Mortimore Adler (1982), the Foxfire network, Carl Glickman's School Improvement League, and the ATLAS project, which incorporates elements of Sizer's and Comer's programmes (Orell, 1996). This approach to educational change is also common outside of the U.S.

In Canada, the Learning Consortium is a network of schools influenced by the work of Michael Fullan (1991). In Britain, IQEA (Improving the Quality of Education for All) promotes a dual focus on the internal conditions of schools and the enhancement of classroom practice (Hopkins, Ainscow and West, 1994). The National Schools Network in Australia and the Thousand Schools Project in South Africa are additional examples. These projects have in common a

philosophy of change calling on teachers and administrators to find their own way to change with some guidance from the national project, but they provide few if any learner materials, teachers' guides, or specific approaches to instruction.

Little (1994, p.3) argues that these change proposals promote a more widespread and rigorous use of authentic assessment. Yet the technical advances in assessment have typically lagged behind the formulation of standards and the advances in curriculum design. At a local level, schools embark on reinventing themselves, teachers wrestle with the criteria for good work and the forms in which it might be expressed.

(iv) Redesign reform

The fourth type is called redesign reform. This is also called structural (or work arrangement, roles and responsibilities) reform (Manning, 1990; Cousins and Simons, 1996; Duemer, 1999; Darling-Hammond, 2000; Adey, 2000; Lang, 2000; Joyner, 2000; Motala, 2001; De Clercq, 2002). Little (1994, p.3) argues that these reforms call for a more systemic change that permeates the school structure. These initiatives are oriented towards principles, not programmes and specific practices. One example involves the redesign of secondary schools (Sizer, 1992).

For Wilson and Daviss (1994, p.24), the "pressures forcing the creation of a new educational vision are precisely the same ones forcing our economy to reinvent itself – pressures that value mind over muscles, process before product, and quality above quantity."

(v) Rethinking reform

The fifth type is called rethinking reform. It is also called paradigm (or redefining the purpose and system of education) reform (Hall, 1995; Moore and Muller, 1999; Darling-Hammond, 2000; Joyner, 2000; Hannay et. al., 2001; Sayed and Jansen, 2001; Welton, 2001; Smith and O'Day, 2001; De Clercq, 2002). Among its examples, one would include conceptions of "authentic achievement" that require a fundamental change in the nature of learners' intellectual tasks and teacher-learner relations (Newmann, 1990). These changes constitute a departure form canonical views of curriculum and from textbook-centred or recitation-style teaching. They represent, on the whole, a substantial departure from teachers' prior experience, established beliefs, and present practice.

Indeed, they hold out an image of conditions of learning for children that their
teachers have themselves rarely experienced.

Little (1994, p.3) argues that these 'professionalisation' changes centre on
teachers' demonstrated knowledge base, on conditions surrounding teacher
certification and licensure, and on the structure of career opportunities in
teaching. These reforms support (1) a sustainable well-prepared and stable
teacher workforce; (2) the assurance of accountability for learner outcomes; and
(3) expanded opportunity and rewards in exchange for increased obligations.
Teachers are expected to contribute to the support of beginning teachers and to
participate in other ways in the improvement of schooling and teaching.

Fine (1992, p.2) puts it that this reform approach pursues the "big systemic,
educational question …" of transforming whole systems into "educationally and
emotionally rich communities of learners". This suggest quite a different
organisation of learning opportunity (and obligation) than one that supplies
teachers with measured increments in knowledge, skill and judgement for a
known pool of effective classroom practices.

In summary, this set of literature reflects on both the literature indicating the
complexity of reform policy, as well as literature attempting to define the levels of
complexity. The first set of literature review reflects on the problems of non-
implementation that have their origin in the way the policy was conceptualised
and developed. These include issues like the multiple types of policy making
theories which serve different areas of attention, focus and levels of
effectiveness. The second set of literature focuses on five different reform
policies and also arranges them into levels of complexity.

The next section will focus on the support that needs to be rendered to schools in
order to facilitate successful policy implementation.

2.4.2. Establishing the necessary conditions essential to successful policy implementation

People involved in the policy implementation support stage are located in such a
unique position to assist in reducing the gap between policy and practice
because it is the stage that can facilitate the communication between the Policy
Formulation stage and the Operational Implementation stage. Cheng and
Cheung (1995) argue in their Frame 3 that there is a lack in readiness conditions

to implement policy. They describe the "gaps between implementation and planning" (Cheng and Cheung, 1995, p.16), as a product of policy implementation analysis. Here, the state of preparedness was highlighted, raising the following issues:

> (a) The Readiness of Concerned Parties, like administrators, teachers, learners and parents to deal with the change in cognitive, psychological and technological domains; (b) Readiness of Resources, like human resources, facilities, space, monetary resources, etc.; (c) Time Frames given to policy implementation, like time available, implementation stages and realistic schedules, and; (d) Legal Preparations, like the regulatory process of the policy and the legal rights of those concerned. Furthermore, they reminded us of the different levels of planning that would be affected by policy, namely the (1) system level, (2) organisational level, (3) classroom/ individual level, and (4) congruence between levels.

Karavas-Doukas (1998, p.31) argues that there is a lack of understanding among policy makers and bureaucrats about factors for successful innovation support. Educational changes need to be looked at from three different levels during the implementation support stage, namely (1) the new programmatic changes in the policy; (2) the new teaching behaviour; and (3) the new teaching beliefs. The author continues by linking these requirements to five factors, namely:

> … (1) teachers' attitudes; (2) clarity of the innovation proposal; (3) teacher training; (4) communication and support during implementation; and (5) compatibility of the innovation with the contingencies of the classroom and the wider educational context.

Karavas-Doukas (1998, p.104) furthermore senses that more is needed and states:

> … we need a better understanding of how teachers meet the demands of programme design and implementation in specific situations, both to provide a better foundation for classroom innovations and to develop our approach to professional development.

The author, though, stops short of making the link to the management of the specific innovation and the support needed to implement the reform policy. The usefulness of the argument of Karavas-Doukas (1998) is located in the three clearly-defined areas that support change, namely (1) an understanding (knowledge) of the reform policy; (2) the capacity and capabilities (skills) to effect the change; and (3) the belief (right attitude) in the contribution of the reform policy. Murray (2002, p.72) argues that South Africa needs quality "systems

analysis, modelling and projections" which will assist support to teachers and prevent "inappropriate and unmanageable" plans (Murray, 2002, p.72). These analyses will highlight the need "for improvement of physical resources, dysfunctional management, poor social relations within the school, and between the school and its community, and a prevailing poor culture of teaching and learning" (Moletsane, 2002, p.132).

Welton (2001, p.180) argues that policy makers and departmental officials lack the ability to analyse the balance between 'capacity to change' and the 'readiness for change' at institutional level. As displayed in Figure 4, he indicates the 'capacity to change' at the horizontal axis, and the 'readiness for change' on the vertical axis. The left side of 'capacity for change' will be negative and the right side will be positive. Likewise, the bottom side of the 'readiness for change' will be negative and the top side will be positive. He states that implementation will have no chance to succeed when the institution is at level 4 (both negative in 'capacity to change' and 'readiness for change'), while level 1 (both positive in 'capacity to change' and 'readiness for change') will be the optimum level for implementation. When the institution is at level 2 or 3 (both have one positive and one negative axis), the implementation process is risky (see Figure 4).

Figure 4: Institutional state of implementation
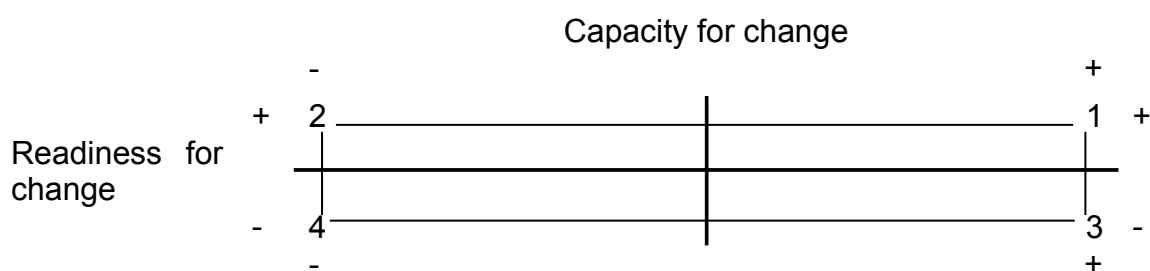
Welton (2001, p.180) further raises the question whether or not policy-makers understand the need for 'pre-implementation' work before policy implementation. The necessary 'pre-implementation' work must be done by government structures or policy makers before the process moves on to the implementation level. The abovementioned two components, 'capacity to change' and 'readiness for change' are prevalent to all policies eliciting a move away from the status quo. 'Readiness for change' refers to 'an attitude' or 'ownership' problem, while 'capacity to change' refers to 'a skill or resource' problem. What is lacking in this discussion is who should support schools to ensure the presence of both these

components, as well as who should make the call about whether or not a school should go ahead with the policy implementation. The evaluation whether a school falls within level 1,2,3 or 4 is an important activity that must be located with the correct support agency as well as the school community since the 'capacity to change' should be the responsibility of the departmental officials while the 'readiness for change' should be the responsibility of the school community.

The research work of Schwahn and Spady (1998, p.22-23) focuses specifically on the elements needed for successful operational implementation. They argue that there is a lack of assistance among departmental support staff in creating the necessary condition elements that should be present at schools during reform policy implementation. They suggest that the reform policy-process needs five conceptually elements necessary in ensuring that operational implementation has a possibility to succeed, namely:

> (1) Purpose - a clear and compelling purpose for the desired change; (2) Vision - a concrete and inspiring vision of the desired change in ideal form; (3) Ownership - strong ownership for the desired change among those affected by it; (4) Capacity - broad capacity and skills for implementing the desired change, and; (5) Support - tangible organisational support for making the desired change happen.

The research they synthesise indicates that policies are often irrelevant to the context of implementation, or have little hope of succeeding if these key components are not present in schools. Therefore, when attempting to implement policy in schools without these five components, policies are actually not tested but rather their possibility for success is undermined. Without these elements, the policy does not have the chance to be successful since with the absence of, for example, a clear purpose of the policy, teachers will constantly differ on the usefulness of the policy. Therefore, those schools in need of these five elements should not be exposed to reform policies without establishing these elements within their schools. What is absent in their argument is how to get schools to develop these necessary condition elements, especially in schools where education is seen as an isolated activity (teachers only focus on what they individually see as important, without working together). Furthermore, they assume that an agreement on the conceptual (thinking) issues would lead to teachers acquiring the skills and capacity (doing) to implement the policy.

Joyner (2000, p.872) is more practical by arguing that these condition elements refer to a lack of understanding of the contextual elements (eight) that need to be

developed by departmental support staff at schools when implementing reform policies at a systemic level, namely (1) leadership; (2) political stability; (3) expected levels of cooperation; (4) knowledge of the reform; (5) understanding of processes and relationships; (6) ability and willingness to support the change; (7) overall administrative capacity, and (8) fiscal capacity. Reflecting on the two sets of elements by Schwahn and Spady (1998) and Joyner (2000), one can see a close link between these elements. For example, there is a link between leadership and capacity, knowledge of reform to vision, etc. Again, Joyner (2000) is not explaining who and how these elements must be achieved at school level. For example, is the reference to leadership to positional leadership or to motivational leadership – a person(s) best placed and capacitated to lead the reform process?

At institutional level, McLaughlin (1998, p.72) refers to these condition elements as the lack of assistance by departmental support staff in developing at school level the necessary capacity and motivation that will affect the outcomes of the implementation process. When the reform policy is transformative, it expects the people, the organisation, the structures and resources to be used in a fundamentally different way to what they have been used before. "The presence of will or motivation to embrace policy objectives or strategies is essential to generate the effort and energy necessary to a successful project." Here, McLaughlin (1998) is clarifying the will to change through two elements, namely the effort and energy to succeed. The will or motivation stems from having a clear purpose and vision of the change, as well as the capacity and support for the change (Schwahn and Spady, 1998). McLaughlin (1998) is not making a distinction between the will to implement a policy, and having the willingness to add value to the process, whatever it may be to make it successful (meaning the effort and energy). Often, having the will is linked to a political intention, while having the willingness to do it is based on the skills and capacity to do what is required to succeed.

In summary, this section reflects on three main themes, namely (1) the contextual conditions (both conceptual and practical) elements needed to facilitate successful policy implementation which consist broadly of the capacity (support

from outside) and the will (efforts and energies from inside); (2) the management of change strategies by organising the work of teachers and the resources necessary to implement the change policy; and (3) most importantly how to support both the contextual conditions elements and change management in order to restore faith in the support system in education.

The next section will focus on the level of school functionality needed during the Operational Implementation stage.

2.4.3. The professionalism and level of functionality of the school at the operational implementation

This section starts with the debate of Sayed (2001) about the "vast disparities" among different schools in South Africa. This demonstrates the lack of understanding among policy makers and bureaucrats about how to define 'critically' the nature and character of different schools in the country. He argues that it has become important to acknowledge that developing policy for implementation and impact in the same way in all schools is not useful since schools are not the same. Sayed (2001) does not specify these disparities. His contention that "schools are not the same" is too vague a statement to be helpful.

Fullan (1998, p.255) contributes more specificity to the debate by arguing that specific setting prevails in different schools. He outlines an approach for addressing this specific change management difficulty, by advising that:

> (a)n even more basic problem is that even the best proven ideas do not, indeed cannot, tell you how to get there, because that requires working in specific settings with their unique combination of factors and personalities that play themselves out in unpredictable ways.

Although his argument is raised within a very theoretical way, the essence of the argument is that treating all schools as if they are the same is not wise.

From a South African point of view, Meyer (2002) argues that the lack of having a full picture of school performance and system functionality is due to the unreliable data systems. Meyer (2002, p.112) argues that what is often missed is the realisation that:

> … not even the richest qualitative description can yield a complete picture or full knowledge of the facts of reality … they can only signify. … We have to give up the ideal of certainty, of ever knowing anything fully. … It allows, even challenges, us to treat all

information and all methods as limited and partial, to take all
analysis with a pinch of salt.

The abovementioned problem can be solved by policy makers when they:

> … construct 'tool kits' that are capable of illuminating identified
> aspects of school and systems functioning sufficiently to make
> information-based management possible … focus on the main
> objective: to obtain adequate information and understanding as a
> basis for defensible professional judgement. The task is not to
> describe, but to gauge … (Meyer, 2002, p.112)

Meyer's point that qualitative data might not be the only reference of
understanding schools is very important.

Gebhard (1998) describes a school where key process elements for policy
implementation were developed, despite the lack of support from educational
support staff in creating these reform elements. The school "cultivated a
teaching faculty that had developed a shared knowledge-base and a set of
practices, had a strong service ethic, and had control over who enters the
profession and how their practices are evaluated" (Gebhard, 1998, p.507). The
presence of a dynamic leadership was crucial to the success of the school, but
the author is silent about the nature and characteristics of this dynamic
leadership.

Manning (1990) on the other hand focuses on the individuals by stating that
policy makers and departmental officials make a serious mistake by not utilising
the 'personal elements' of individual teachers in the implementation stage of
policy. The exclusion of personal elements is motivated by policy makers using
'a rational decision-making framework' of policy implementation where individual
compliance is expected. He argues that the use of the personal element
provides a better sense of context through preserving the experiences of those
who were involved in policy implementation.

Michael (2000, p.7) argues that there is a lack of capacity among educational
support staff in South Africa to create supportive environments that will facilitate
policy implementation at school level. He lists seven key principles, one of which
is that "it is critical that the school management teams and governing bodies
support changes being made by teachers in their classrooms." (Michael, 2000,
p.8) He continues by stating:

> … however, the experience of this phase emphasised, more than

anything else, that focusing on individual teachers is unlikely to bring about change, particularly in the absence of a supportive environment" (Michael 2000, p 8).

As was pointed in the review of Michael's report (2000), it is rare that a professional development project addresses directly and with some practical relevance the issue of change management and effective implementation.

Adey (2000, p.6) continues on this point by arguing that policy makers lack the understanding of the cultures that prevail within different schools. He states:

> (w)hat has emerged from this cross-fertilisation (of the same professional development project in two countries) is a clearer view of the importance of school culture in the nurturing and maintenance of new teaching methods...This suggests that the problem lies not so much in the teachers' capability, as in the environment they find themselves in, which may or may not be supportive of innovative methods."

Again, he makes the link between the school culture and the way teachers teach. An environment that is hostile towards teachers will force them to 'protect themselves' (closing up, defending oneself). Adey (2000) is not clarifying what will happen if the policy is expecting teachers to declare openly their 'weaknesses', what teachers have to do when they find themselves in hostile environments.

Oakes et. al. (2000) state that there is a lack of understanding among policy makers and educational support staff on how to create a 'learning organisation' in a context of power, conflicting interest and struggles. Oakes et. al. (2000, p.953) state that there is:

> … the need for schools to become 'learning organisations' where teachers and administrators become 'change agents' who are experts at dealing with change as a normal part of their work. Consequently, the lessons that teachers learn from the change literature are overwhelmingly in the nature of neutral … (p.953).

This research therefore reflects on the interest of teachers, rather than the interest of policy makers and departmental officials. They remind readers that teachers are not neutral in the education process, and their interests must be seen as part of the components that influence success or failure in organisations. Again, the researchers are not clarifying how the interest of the education system and the interest of teachers must be balanced, if any.

Chow (2000) continues on the theme of leadership by expressing the problem of

implementation as a lack of capacity among educational support staff to develop capable school leaders. The author notes that school leaders must become more introspective and encourage more participatory decision-making with teachers. Chow (2000, p.19) further argues that the principals:

> … would rather adopt instructional bureaucratic leadership to control their teachers than using facilitative and collaborative leadership to empower their staff.

Their approach to leadership could be the result of their inadequate capacity as it is noted that principals have "stress stemming from their incompetency and inadequacy in handling new managerial tasks" (Chow, 2000, p.19). Perhaps this is why new reform policies are "rarely" (Chung, 2000, p.5) sustained in practice at schools. The lack of capacity tends to lead to the adoption of the bureaucratic approach. What the author is not clarifying is whether competency should lead to a more participatory approach to leadership.

In summary, this section reflects on the functionality of schools by reflecting on two broad themes with seven issues each, namely (1) the internal differences in a school by looking at the support structures, enabling environment, available resources, community it serves, capacity of individuals and collective, relationships between different individuals and groups, and the leadership to manage the change; and (2) the internal differences in teachers by looking at their work, their interests, their development, their beliefs, their reasoning, their buy in, and their mission for being involved in education.

2.5   A summary of the chapter

This chapter critically examines the existing literature on policy making, organisational change and change management in education, and provides a critical reframing of that literature. It establishes that a large volume of research has been conducted on PPG issues – the substance and demands built into reform policy and the processes and stages necessary to support their implementation effectively.

Both international and local literature question the development of complex and in-depth reform policies by policy makers, without their fully understanding and conceptualising the systemic change and resource demands that their policies imply and require. South African research in particular indicates that the policy-

making process is even more challenging locally, given the lack of resources and capacity at all levels of the system, especially at school level. Although these studies often focus on limited physical and financial resources, 'the willingness to make things happen' might be a more important missing resource in the system. Compounding this oversight is the lack of understanding of the diverse levels of school functionality where policy needs to be implemented. Therefore, setting short term, evaluative and monitoring targets could be more useful than ignoring the problem of available information on schools.

The literature on the Intervention Support stage and arguments about the need to support schools more in implementing reform policies are clear. How these schools might be supported is not clear from the arguments, other than the general debate about continuous professional development and staff development. Dalin (2000, p.1068) argues for the inclusion of the local capacity around schools, as support to policy implementation at the school level. Some literature questions the capacity of departments of education to render these support services to schools. Given this opinion, clarity on the roles and responsibilities of the different structures in the education system is important. As soon as clarity is established about the roles and responsibilities of especially the district departments of education, employment requirements and skills should be in line with the expected role responsibilities of these officials. For example, the local literature questions the capacity of the new senior officials within the education departments, especially their ability to manage large bureaucracies. If it is the role of senior officials to have the skills of managing large bureaucracies, then selection and appointment systems must put these skills as a high priority.

The Operational Implementation stage literature focuses mostly on the need for support schools to get ready for implementation and understanding the types of schools (referring mostly to resource capacity) within the education system. Linked to this point is the demand for schools to be learning organisations and systems oriented. A large section of the literature questions whether policy makers understand the current working conditions and the work of teachers at school level. This, in particular, relates to the working environment of teachers, teachers' skills and capacity, the lack of management support to teachers, the opportunity for teachers to discuss and engage with colleagues, and for teachers to familiarise themselves with the new understanding about teaching and

learning. Policy makers therefore have to understand the practical institutional difficulties which teachers deal with every school day, before teachers consider implementing reform policies formulated by 'outsiders'. Finally, the literature reminds policy-makers that teachers are influenced by personal and institutional factors when they have to implement reform policies, therefore their opinions must be taken seriously.

This critical review of the literature assists me to understand the three stages of policy making, and the distinct limitations and opportunities which exist within these stages, in making the implementation of policy more difficult or to be sensitive to the challenges of teachers who need to implement the policy.

The next chapter focuses on the conceptual framework for the entire study.

Chapter Three

The conceptual framework of the study

3.1   Introduction

A review of the PPG and other literature was conducted in the preceding chapter in order to develop the rationale for the Implementation Readiness Conditions (IRC) framework. A number of pertinent assertions emerge as a result of the three-by-three matrix and the subsequent literature engagement in the IRC framework. These assertions are discussed in this chapter. These discussions form the basis for the concluding phase of this study, namely the development of the 'Strategic Integrated Policy-process' (SIPP) model for policy making in South Africa.

3.2   The Conceptual Framework

The non-implementation of the DAS policy led to the investigation of the 'Policy-Practice Gap' (PPG) literature. This PPG literature investigation in Chapter 2 yielded the design of the 'Key Policy-Practice Gap' matrix. This matrix represents within its design, the two big conceptual organisers of this study namely (1) the Policy-Process (PP) stages; and (2) the Implementation Readiness Conditions (IRC) framework.   The policy-process includes three stages namely the Policy Formulation, the Intervention Support and the Operational Implementation stage. The IRC framework includes three themes which were identified as potential reasons why the DAS policy was not implemented (see Figure 5).

In this section, I will discuss the current policy-process and the one-dimensional perspective within it. Owing to its limited perspective, this process does not render any clarity to the current non-implementation of policy. This limitation led to the investigation of the 'PPG literature and the construction of the 'Key Policy-Practice Gap' matrix. The matrix highlighted three issues which could potentially result in why the DAS policy was not implemented, which I call the IRC framework. Furthermore, the matrix highlighted among the IRC framework and other issues, the distinct three perspectives of looking at the policy-process. In particular, the IRC

framework represents one of the three perspectives. I will then explain how the three components of the IRC framework individually assist and collectively enrich my understanding of the reason for the non-implementation of DAS. Finally, I propose a solution to overcome the current 'disconnected' policy-process, called the Strategic Integrated Policy-process (SIPP) model. This model represents the two dominant perspectives in policy making, namely the Policy Makers and Teacher perspective.

Figure 5: Two big conceptual organisers
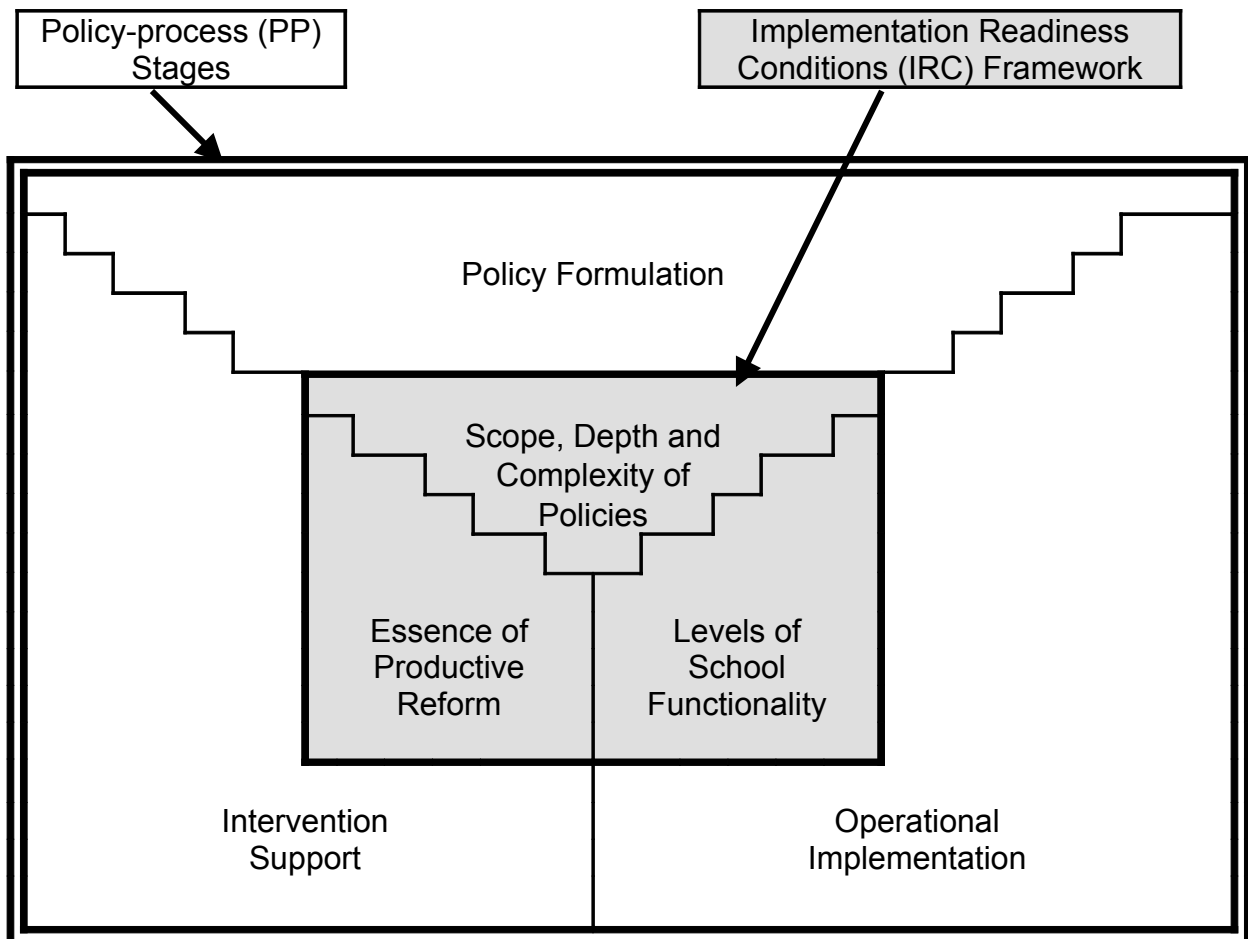
### 3.2.1.   The policy-process

The policy-process is described in the literature under different names, but they all identify three distinct stages, i.e. the Policy Formulation, Intervention Support and Operational Implementation stages. Understanding the unique and related role and responsibility of roleplayers within each of these stages is critical when studying non-implementation of policy.

The current policy-process in South Africa, often the source of critique of policy implementation evaluators, is a linear, one-dimensional, one-directional, instructional, authoritarian, 'top-down' approach where Intervention Support follows on Policy Formulation and Operational Implementation follows on Intervention Support (see Figure 6).   The most common critique of this approach is when teachers at school level blame those who formulate the policy for 'not knowing what is going on at school level'.

Figure 6: The current policy-process in South Africa

| 1. Policy Formulation | → | 2. Intervention Support | → | 3. Operational Implementation |

Since the Ministry of Education has included various roleplayers within the policy formulation process from 1994, roleplayers other than the education officials could not use the 'common critique' of non-implementation, as mentioned earlier. It was only through deeper analysis of the 'Key PPG Issues' matrix, that clarity arose on why the policy could not be implemented.   This matrix separates the type of roleplayers involved from the perspective taken on by different roleplayers in the policy-process. By using the same symbols in the 'Key PPG Issues' matrix (Chapter 2, page 39), I display the three distinct roleplayer perspectives.

Figure 7: The three distinct roleplayer perspectives (lenses)
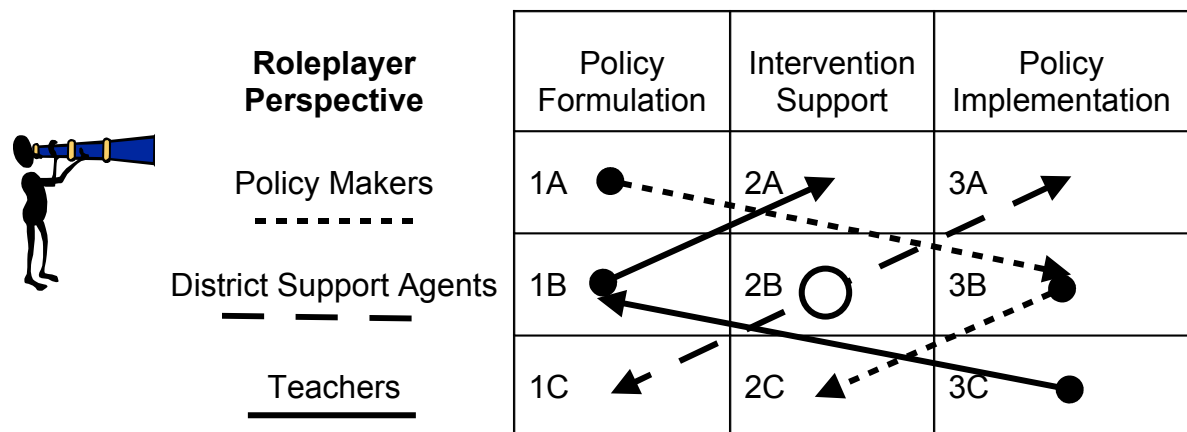
Figure 7 displays the three 'process lenses' which represent three different interest groups in the policy-process. First, policy makers focus on formulating the 'best possible policy' [1A], then assume that teachers will 'implement the policy as defined

by them' [3B], and then finally they assume the 'presence of competent support agents' [2C]. Second, district support agents consider the 'length and frequency of assistance needed by schools' [2B], then reflect on 'the workability and impactfulness of the policy' [1C], and finally look at 'the readiness of schools' [3A]. Third, teachers on the other hand reflect on 'the contextual conditions at school level' [3C], then focus on the 'complexity of the policy and the depth of change' [1B], and finally reflect on the 'availability of assistance to create the conditions essential to successful policy implementation' [2A]. Within these perspectives, all roleplayers will focus on the three policy-process stages, but they focus on their own interests.

Through the process of elimination in Chapter 2, I clearly identified the dominant 'policy maker perspective' within the DAS policy. And since the 'intervention support perspective' is legally within South Africa the responsibility of provincial and district support officials, the most neglected interests within the DAS policy is the 'teacher perspective'. The IRC framework, therefore, represents the 'teacher perspective', as the reason why roleplayers struggled with the implementation of DAS.

3.2.2. Implementation Readiness Conditions (IRC)

The Implementation Readiness Conditions framework represents three dimensions namely (1) the complexity of reform policy; (2) the essential elements necessary for successful policy implementation and (3) the level of functionality of the school.

3.2.2.1   Level of complexity, depth and intensity of reform policy

The first dimension of this concept focuses on the complexity, depth and intensity of the reform policy. Again, it is not the purpose of this study to define the different types of reform policies that might exist, but rather to indicate conceptually that policies vary in the challenges they pose to schools. For the purpose of clarifying this argument, I will make use of the five types of reform policies identified in Chapter 2. My assumption is that the level of complexity and intensity of these policies will increase in difficulty from Type 1 to Type 5 policies (moving from Type 1 policy as less complex to Type 5 policy as highly complex). Furthermore, Type 1 policies will focus on change that challenges the individual's practice; Type 2 policies will focus on change that challenges individual and team practice; Type 3 policies will focus on change that challenges individual, team and institutional practice; Type

4 policies will focus on change that challenges individual, team, institutional and entire system, and; Type 5 policies will focus on change that challenges individual, team, institution and systemic roleplayers to re-defining the purpose of education, the roles of actors within the system, and systemic changes at different structural levels.

The energy and effort needed by schools to implement a Type 1 policy are considerably less than that of a Type 2 policy. A Type 2 policy deals with the challenges of individual capacity to change, addition to the challenges of team members working together to find a common and/or shared perspective on the need, nature and interest of the reform policy. The policy challenges are therefore cumulative, meaning that they do not increase gradually in difficulty but rather substantially, as attempted by the ratios indicated in Figure 8 (1:4:9:16:25). These ratios are not an exact quantitative value, but rather a mechanism to display the differences and complexities for conceptual and illustrative purposes. A Type 1 policy is therefore twenty-five times (these are conceptual numbers and not mathematical numbers) more difficult to implement than a Type 5 policy.

Figure 8: The increase in complexity of 5 types of reform policies

| Type 1	Type 2	Type 3	Type 4	Type 5
1	**4**	**9**	**16**	**25**
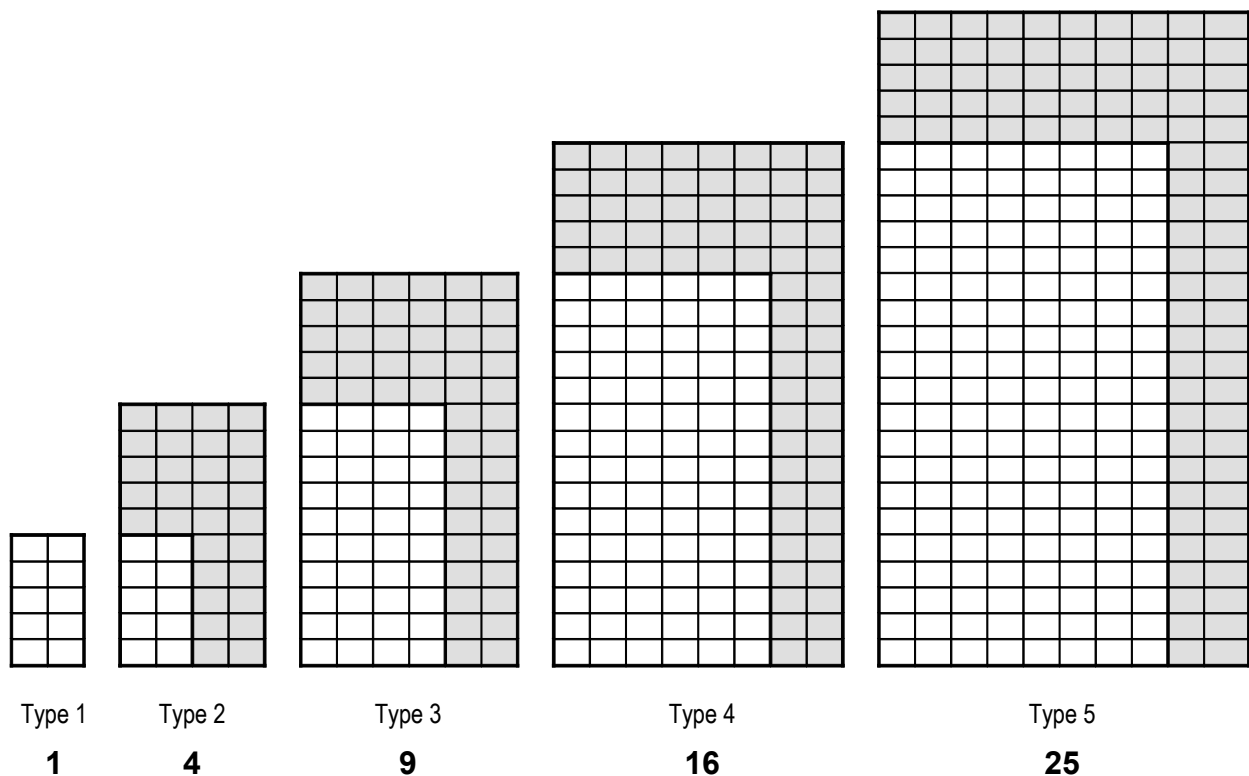
The purpose of this graphic display of the different types of reform policies is to show that 'reform policies' do not mean the same thing to different people. These different types of reform policies are currently implemented in different countries and schools. The reference to 'reform policy' often mentioned in the policy implementation literature should be more specific since different types of reform policies present different implementation challenges to schools.

3.2.2.2   Necessary conditions for successful reform implementation

The second dimension of this concept focuses on the readiness conditions prevailing at different schools. As indicated, this study will use the five labels of Schwahn and Spady's (1998) research, taken from over a hundred literature sources. These labels include the desire for those responsible for implementing the change policy, to have (1) a clear and compelling Purpose for the change; (2) a concrete and inspiring Vision of the change in ideal form; (3) strong Ownership for the change among those affected by it; (4) broad Capacity for implementing the change; and (5) tangible organisational Support for making the change happen.

Schwahn and Spady's research indicates that policies often do not take into account the context where policies need to be implemented, especially in relation to the human commitment and institutional support needed. These policies therefore have little hope of succeeding if these key commitment and support conditions are not present in schools. I argue that both the human commitment (will to change – purpose, vision and ownership) and institutional support (capacity to change – capacity and support) will impact on the quality of Operational Implementation (Figure 9).

Figure 9: The five necessary conditions to implement policies successfully

| Purpose | Vision | Ownership | Capacity | Support |
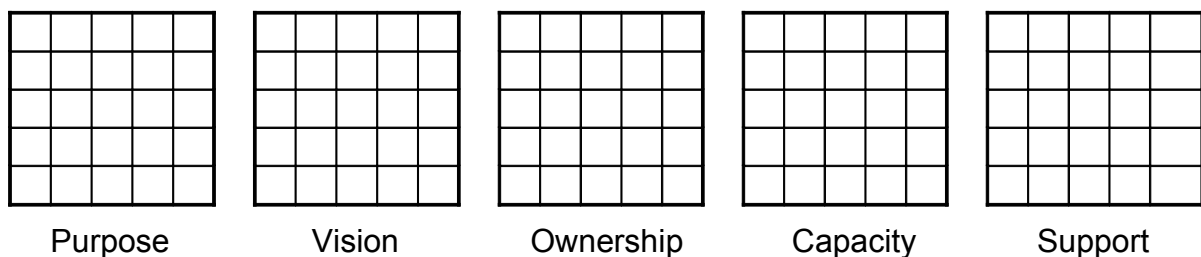
Therefore, when attempts are made to implement a reform policy in schools without establishing these five conditions, these attempts are actually not testing the policy's

implementation potential but are instead actually undermining the policy's possible success.   Without these conditions, the policy, the abovementioned researchers argue, does not have a chance of being successful. Policy makers therefore may be alienating those schools who are in need of these conditions, rather than assisting them to establish these conditions within their schools.   Although Schwahn and Spady (1998), Joyner (2000) and McLaughlin (1998) discuss these conditions only in relation to the Operational Implementation stage, and Senge et. al. (2004) and Fullan (1985) in terms of individual and leadership capacity to deal with change, this study will further combine these conditions with the three different types of school functionality under discussion in the next section.   In essence, I argue that the amount of support for these five elements will vary among the three different functionality levels of school; meaning, that high functioning schools will need less support in these five elements than will non-functioning schools.

3.2.2.3   *Level of school functionality*

The third dimension of the IRC framework focuses on the context of schooling and the vast disparities existing among schools in general and in South African schools in particular as indicated by Sayed (2001). Knowing the level of functionality of the school could therefore assist policy makers, Intervention Support agents and those responsible for facilitating policy implementation at school level in understanding and responding to the readiness of schools to implement a given policy as well as the amount of support and resources needed by those schools.

After scanning the literature on the PPG, 'School Effectiveness Research' (SER) and the 'School Improvement Research' (SIR), and eliminating the 'learner performance' items, the literature debate focuses on ten areas (see Table 3). These ten areas are identified as the necessary capacity and skills (functionality levels) that must be present for school to respond to reform policy challenges.   However, within the 'school functionality' debate in this study, no distinction is made between the types of school (public or independent) or the different stages of schools (primary – reception year, foundation phase, intermediate phase and senior phase; secondary – senior phase and further education and training phase).

Table 3: Example of characteristics of three levels of school functionality

	Level 3 High Functioning School Professional Orientation Achieving the characteristics at an average of between **61%** and **100%**	Level 2 Low Functioning School Bureaucratic Orientation Achieving the characteristics at an average of between **21%** and **60%**	Level 1 Non-Functioning School Dysfunctional Orientation Achieving characteristics at an average of between **-20%** and **+20%**
1. School Ethos	• Clear purpose, common beliefs and values, and consistent direction exist among teachers, learners and parents about core responsibility and why they are at school.		
2. Vision, Aims and Strategic Planning	• Everybody understands the shared vision and their role in achieving the vision, which is accompanied by high standards and expectations. • Teachers and staff believe that all learners can learn and meet high expectations through ambitious and rigorous course of study. • Planned and actual curricula are achieved through researched based teaching strategies and materials to overcome obstacles.		
3. Role of Principal	• Effective professional, instructional and administrative leadership is present. • Leadership is proactive and seek help that is needed to implement reform. • Leadership natures instructional programme and school culture conducive to learning and professional growth. • Teachers and other staff, including district officials, have leadership roles.		
4. Role of Principal and SMT	• Leadership allows work within a team, where members in the team own and support the decision making process. • Collective decision making does not blur clearly defined individual roles and responsibilities among staff. • The collective leadership is highly visible, especially for supporting teachers.		
5. Structures, Roles and Responsibilities	• Clear organisational structures exist, with roles and responsibilities of staff not exclusively defined and assigned according to traditions. • Systems and structures are in place to monitor and review learner assessment to identify learners who need help, and more support and instruction time is provided, either during the school day or outside normal school hours, to these learners. • Teaching is adjusted based on frequent monitoring of learner progress and needs.		
6. Decision Making and Communication	• Purposeful staff meetings are used to discuss and make decisions on major issues. • Teachers feel well-informed. • Communication is frequent, direct and open between staff and management, and it operates in both up and down direction.		
7. Professional Working Relationship	• Everybody is involved and connected to each other to identify problems and solutions. • A strong emphasis is placed on training and developing staff in areas of most need. • Feedback from learning and teaching focuses on extensive and ongoing professional development, to achieve school or district vision and objectives.		
8. Link with Parents and the Community	• There is a sense that everybody has a responsibility to educate learners, not just the teachers and staff at school. • Parents, businesses, social service agencies, and community colleges/ universities all play a vital role in educating learners. • Those who support the learning process are made to feel welcome in the school.		
9. SGB and DoE	• There is a positive and harmonious relationship between teachers, the SGB and DoE. • SGB members are informed about the internal workings of the school. • Members of the DoE play a significant role in school management.		
10. Managing Change	• There is no degree of professional scepticism about changes within education. • Resources are allocated to support full implementation of all innovations or developments, and therefore non are left 'up-in-the-air'.		

To give more clarity to this argument, let us conceptually assume three levels of school functionality, ranging from Level 1 - 3. Within this range, Level 3 schools are defined as institutions where decisions are made based of 'professional' discussions, driven by educational principles. Decisions are made in the best interests of the profession and education in general, and not because they benefit particular groups at school. Percentage-wise, these schools function at levels ranging from 61% to 100%. On the other hand, Level 2 schools are institutions making decisions based on 'bureaucratic' discussion, which are driven by policies, rules and regulations. At these schools, teachers are willing to do things because the policy instructs them to do so, and not because it is in the best interests of education. Even if what they are asked to do make sense, but the policy is not explicit that they must do it, it would not be done. Percentages-wise, these schools function at levels ranging from 21% to 60%. Finally, Level 1 schools vary in capacity with regards to the essentials of education, but at these schools more than half of the activities that teachers engage in have nothing to do with the essence of education – the facilitation of teaching and learning. At these schools, teachers are constantly distracted by things unrelated to education like social problems, gang fights, discipline problems, and issues related to personal interests and benefits. Teachers at these schools have multiple visions of why learners attend school and what they need to contribute. Some teachers will believe that empowering learners with skills to survive within their tough communities might be sometimes more important than what would be defined by other colleagues as 'education', and the achievement of academic results. The lack of a common vision will fuel tension, mistrust and sometimes outright disrespect for each other's position or opinion about education. They often focus on individual or group survival. As an example, the level of stress and despondency among them is very high, and therefore they need each other's support and protection when one of them is absent or leaves the school for the purposes that are either educational or personal. Decisions are made in the school based on allegiance and group affiliation rather than on what is in the best interest of education. Percentage-wise, these schools function at levels ranging from negative 20% to positive 20%. Schools, who find themselves within the 'negative zone' of functionality, are effectively harmful to learners and should be closed down (see Figure 10).

Figure 10: Three levels of school functionality in relation to the support needed by schools

| Non-Functioning	Low-Functioning	High-Functioning
-20% − +20%	21% - 60%	61% - 100%
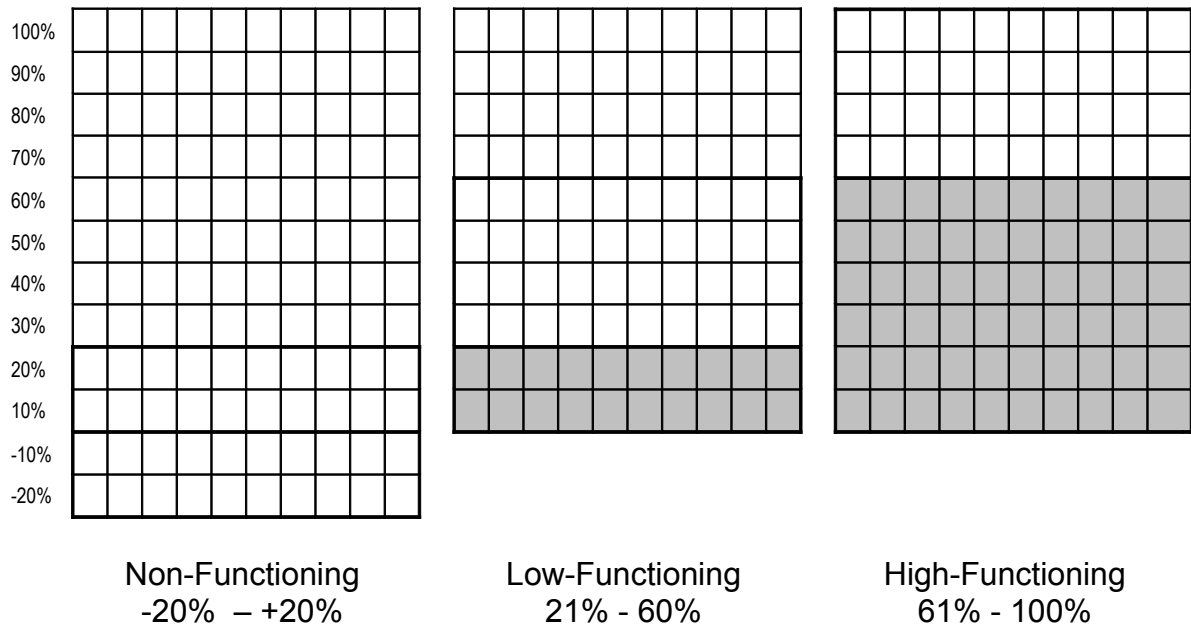
The concept of 'high, low and non-functioning schools' is used to clarify conceptually arguments within this study about the different levels of school functionality. The precise quantification of the different margins of percentage between these three functionality levels, or the possibility of different terminology, is therefore not at the core of this study. Instead, these concepts will be used as tools to explain the conceptual arguments within this study. The concept of a 'high, low and non-functioning school', is not based on the level of academic performance of learners, or the quantity of resources (especially material) available at school, but on the quality of organisational capacity available to perform effective change management functions.

The characteristics and levels of school functionality are not used in the study to label these schools, but rather to indicate that policy cannot be formulated based on a one-size-fits-all approach since schools are not the same. Different schools need different kinds of support and different solutions, unique to their particular problems and challenges.

Eventually, when the three dimensions are put together within one display, they construct the **Implementation Readiness Conditions** framework (see the three-

dimensional display in Figure 11). Although a presentation as captured within Figure 11 will never fairly represent the challenges of this three-dimensional display, it is intended to show that the greater the complexity of the policy, and the lower the functionality of the school, the more intense the support needs to be to assist the school in implementing the reform policy. And in some instances, policy makers must declare which schools will be ready to implement their policy, and furthermore, what needs to be done to assist others who are 'not yet ready' to implement the policy.

Figure 11: The Implementation Readiness Conditions (IRC) framework

Non Functioning School

Low Functioning School

High Functioning School

Rethinking Reform

Redesign Reform

Organisational Development Reform

Comprehensive Reform

Single Component Reform

Purpose   Vision   Ownership   Capacity   Support
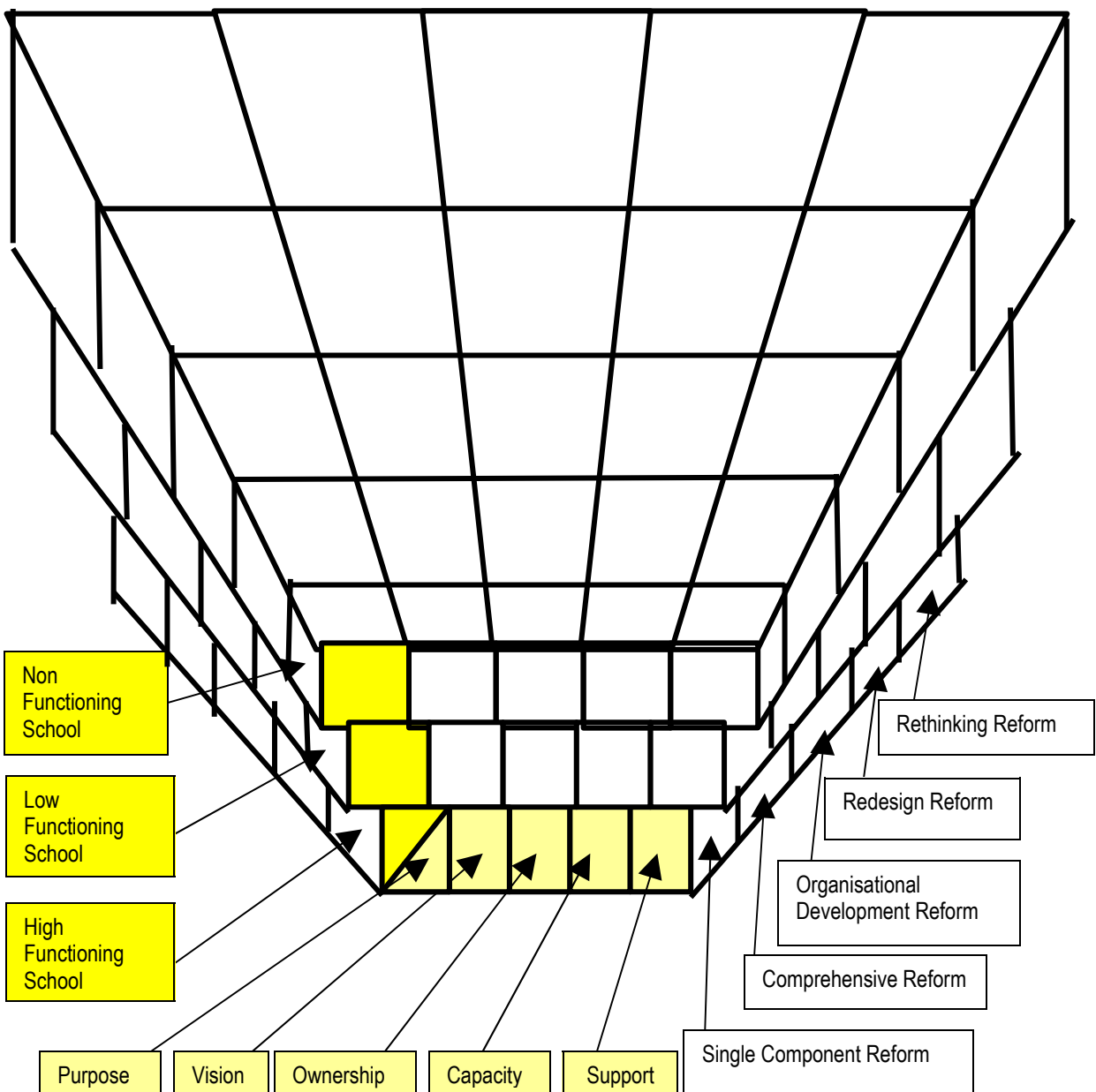
3.2.3.   Constructing the Strategic Integrated Policy-Process (SIPP) model of policy making in South Africa

The final component to the conceptual framework is the incorporation of the IRC framework into the current 'disconnected', top-down approach to policy making in education. The IRC framework adds the 'bottom-up' approach to this current policy-process. The combination of the 'bottom-up' and the 'top-down' approaches will be termed in this study the Strategic Integrated Policy-process (SIPP) model.

The three IRC framework components form the 'first leg' of the 'bottom-up' process of Policy Formulation. This will allow policy makers to make informed decisions (data-driven decision making) about (1) the depth of change that is needed at different schools; (2) the level of complexity of the reform policy/ instrument; and (3) the Intervention Support, development and mediation needed to implement the reform policy. The 'second leg' will be the current 'top-down' process of Policy Formulation. Together, these two processes make up an approach to policy making which this study calls the Strategic Integrated Policy-process approach (see Figure 12). This approach starts off with understanding the nature and functionality of the school and ends up with the Operational Implementation of the policy at school level. Knowledge of the school is therefore at the centre of this school-based policy-process.

Figure 12: Strategic Integrated (A + B) vs Disconnected (A) policy-process model
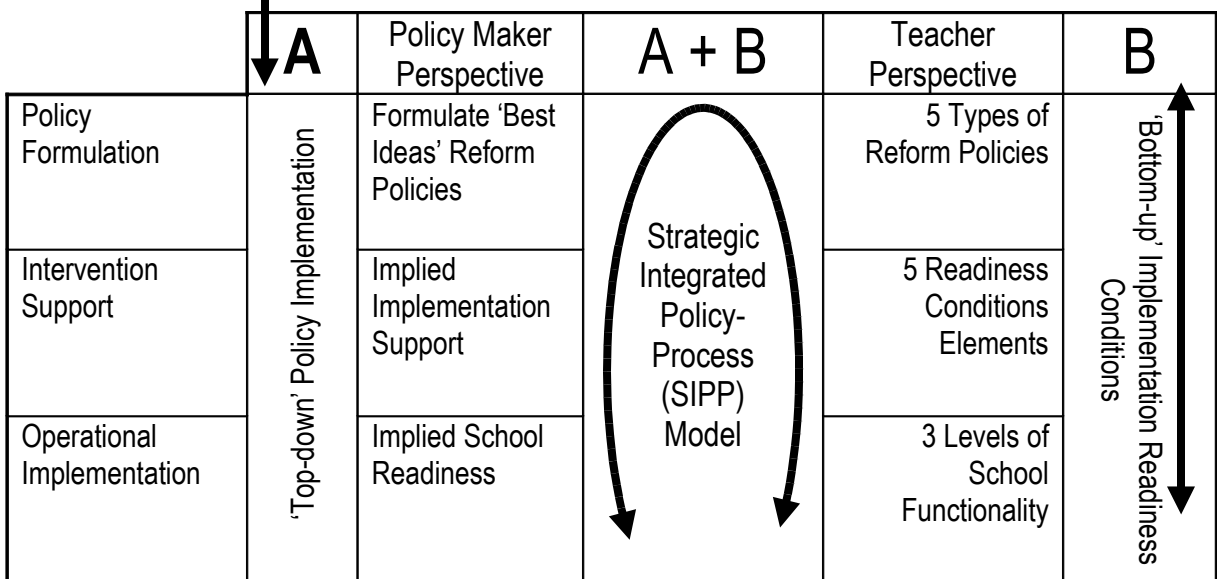
3.3   The key conceptual argument of the study

The key challenge of policy reform as argued in this study is when the inappropriate policy strategies are applied to the inappropriate school settings. For example, when a systemic-reform-policy approach (Type 4 and 5) is applied to a 'non-functioning' school (Level 1), it is by definition doomed to fail, and the attempt drains the energy and enthusiasm of all concerned, not least the policy makers and teachers.   A systemic change (Type 4) is too far out of the reach of non-functioning schools to be implemented (see Table 4).   Even the two other school reform policies (comprehensive and organisational development change) are too challenging for non-functioning schools.

Table 4: Percentage of policy difficulty in different types of schools

Different Types of Reform		High Functioning School	Low Functioning School	Non Functioning School
Type 1. Single Component	School Change	Easy	Possible	Difficult
		Manageable	Challenging	
Type 2. Comprehensive		Possible	Difficult	
Type 3. Organisational Development				
Type 4. Redesign	Systemic Change	Challenging		
Type 5. Rethinking		Difficult		

The most challenging policies for low-functioning schools are the groups of 'school change', which include the single component, comprehensive and organisational development reform policies.   Even 'systemic change' policies are too difficult for low-functioning schools to handle.   It is only the high-functioning schools that are able to implement systemic change policies, which include redesign and rethinking reform policies.   As schools develop the ability to deal with a lower type of reform policy, it gets easier for them to deal with such policies in future, and the next type of policy.

3.4   A summary of the chapter

The arguments within this chapter centres on a new phase within the 'policy-practice gap' debate, which in South Africa is led by the current Minister of Education. In essence, her argument is not about the production of new reform policies, but rather to focuses on strategies and solutions to implement the existing policies on the statute books. Therefore, getting the implementation strategies and other systems in support of Operational Implementation right is of utmost importance for the Minister.

In support of this new focus, this chapter proposes a conceptual understanding of the different levels of school functionality, the need for creating the condition elements that support successful policy implementation, as well as matching up the correct type of reform policy with the known capacity and need of the schools. More specifically, the focus of this chapter is therefore to argue that it is time to become more sophisticated and selective about how reform policies are applied to schools with different stages of readiness to change. It is argued that policy makers and departmental officials can develop the capacity, skills and data on how to identify the different needs of schools and provide for these needs, so that the efforts of dedicated and committed change agents are exerted where they will do the greatest good for children.

The next chapter will focus on the research methodology of this study.

Chapter Four
The research methodology

4.1   Introduction

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

4.2   Research design and methods

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

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

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

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

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

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

4.2.2.   Research methods

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

(1) How did the SDT and staff conceptualise the intention of the DAS policy, and how did their conception compare with that of the written policy?

(2) What were the critical decisions the SDT and staff made during the process of conceptualising the DAS policy?

(3) What were the internal culture and the School Readiness Conditions for implementing the DAS policy?

(4) How did the organisational and human elements influence the implementation process?

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

(1) The interview process was used to get responses on the conceptualisation of the policy by the SDT and two other staff members, as well as the critical decisions they had to make during the conceptualisation process;

(2) The National Appraisal Task Team (NATT) process and the policy documents were used to respond to the intention of the written DAS policy;

(3) The interviews, questionnaires and capacity-building workshops were used to generate the data needed to respond to the questions relating to the internal culture and the School Readiness Conditions of the school, and;

(4) The interviews and questionnaires were used to explain the organisational and human elements which influence the implementation process.

Figure 13: The research methodology

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                        ┌─────────────────────────┐
                        │       Methodology       │
                        └─────────────────────────┘
              ┌──────────────────────┴──────────────────────┐
    ┌─────────────────────┐                    ┌──────────────────────────┐
    │  Research methods   │                    │ Document selection method │
    └─────────────────────┘                    └──────────────────────────┘
        │  ┌──────────────────────────────┐        │  ┌──────────────────────────┐
        │  │ Capacity building workshops  │        │  │     Policy documents     │
        │  └──────────────────────────────┘        │  └──────────────────────────┘
        │  ┌──────────────────────────────┐        │  ┌──────────────────────────┐
        │  │     Strategic liaison team   │        │  │     Training manuals     │
        │  └──────────────────────────────┘        │  └──────────────────────────┘
        │  ┌──────────────────────────────┐        │  ┌──────────────────────────┐
        │  │          Interviews          │        │  │     Union documents      │
        │  └──────────────────────────────┘        │  └──────────────────────────┘
        │  ┌──────────────────────────────┐
        └──│        Questionnaires        │
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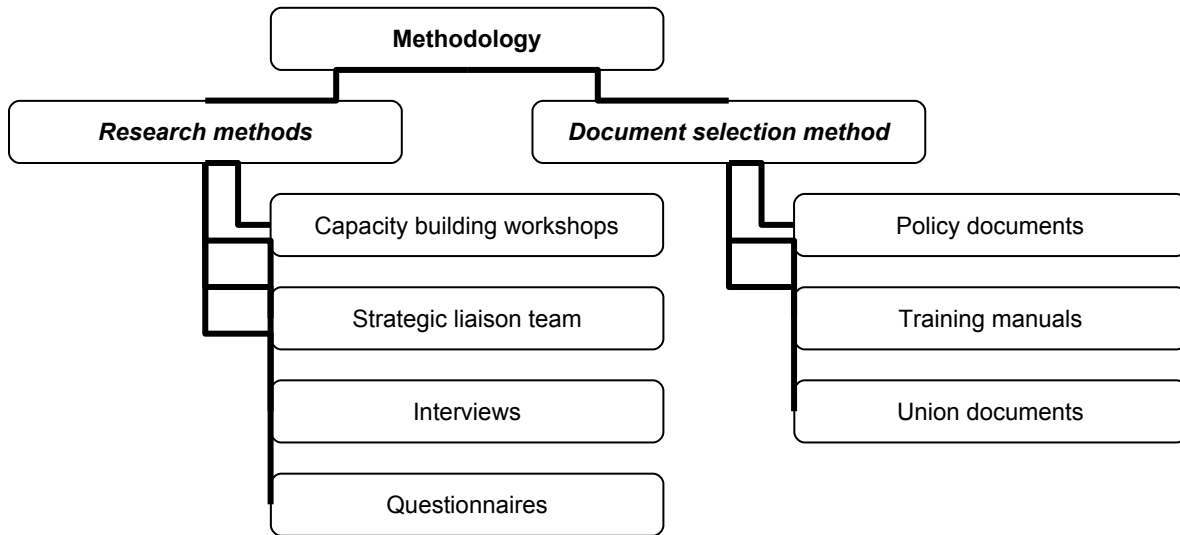
4.3 Data collection

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

4.3.1.   Documents as data

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

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

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

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

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

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

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

4.3.2.   Observations

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

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

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

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

Figure 14: The different data sets and corresponding timelines
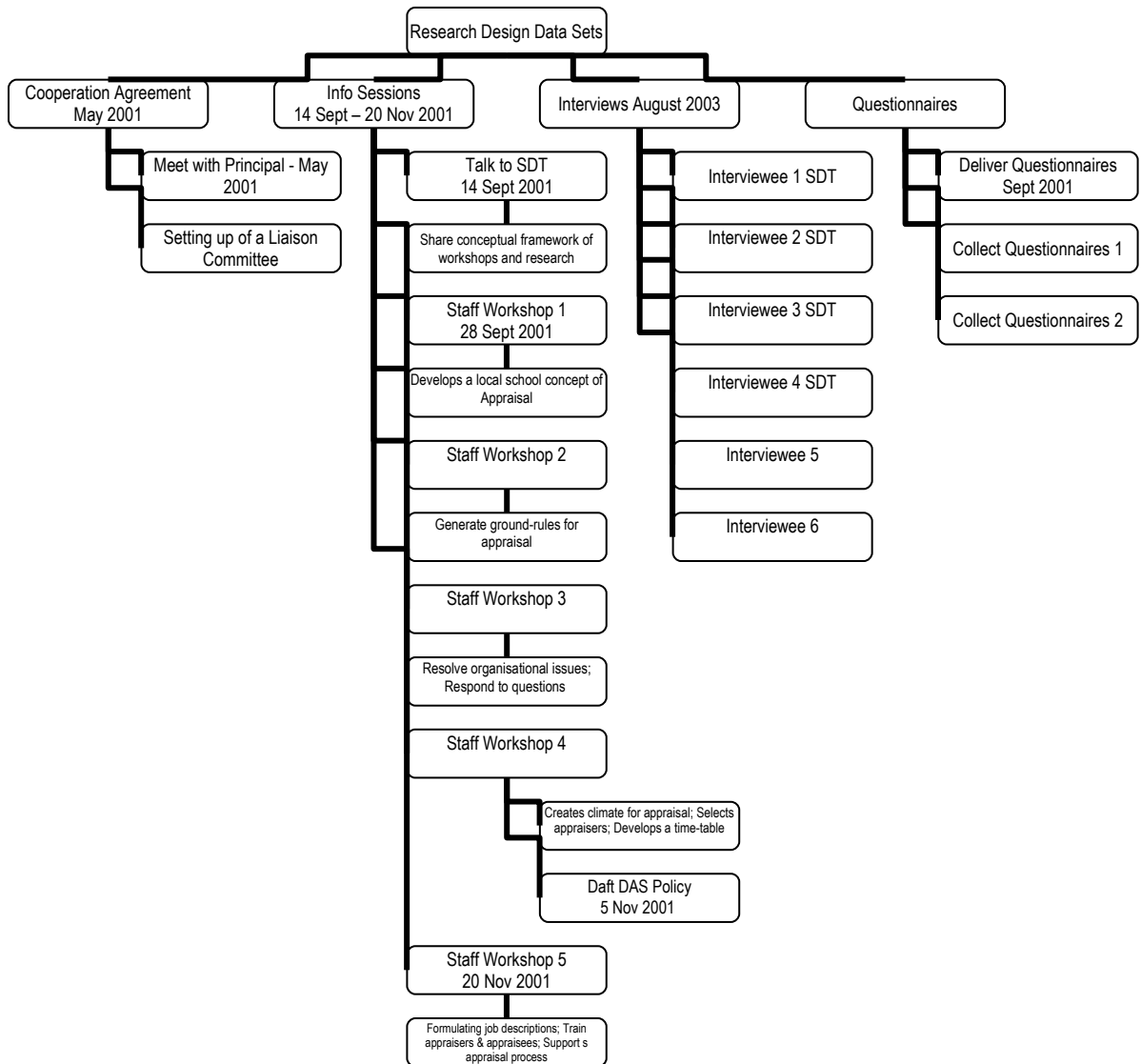
4.3.2.1   Information sessions

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

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

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

4.3.3.   Interviews

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

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

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

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

(1) Who are you? How long have you been teaching? and What is your position at the school?

(2) What is your role in the DAS policy implementation process?

(3) What are the skills that you bring to the Staff Development Team and to the school in general?

(4) What is your opinion of the DAS Information Sharing workshops which were organised to empower the staff?

(5) Did you implement the Developmental Appraisal Scheme at your school? How? or Why not?

(6) What is your perception about the DAS policy? and How does it compare with the previous Inspection policy?

(7) What is the climate at your school right now, and how does it contribute or militate against the implementation of DAS policy?

(8) What is your perception about the management of your school, and its contribution to the implementation of this policy?

(9) Give us a sense of the power relationships at your school, if any, and whether different cliques exist, and why, at your school? and

(10)Is there anything else that you want to raise (that needs to be said) during this interview?

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

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

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

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

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

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

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

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

4.3.4.   Questionnaires

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

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

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

Table 5: Summary of questionnaire design elements used

Design elements	Questionnaire
Questionnaire items	• Use of the Likert scales (3 scales only – Yes, No, I don't know) • Each item and response scales appear on the same page
Questionnaire length	• 100 items on 10 pages
Questionnaire appearance	• Professionally printed • One blank page at the end of the questionnaire for additional respondent comments • Instructions for completion of questionnaire placed on cover page
Covering letter	• Name of participants was optional • Brief explanation of proposed research and outline of benefits • Statement of confidentiality
Distribution of questionnaires	• Personally delivered to school, in the care of a senior member of staff • Enough questionnaires for every staff member, including the temporary personnel • Questionnaires to be distributed by senior staff member, as agreed to by liaison committee and SDT
Follow-up reminders	• Approximately two months following initial distribution • Re-distribution and collection after another two months

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

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

4.3.4.1.   Questionnaire analysis

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

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

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

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

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

A. School Ethos	Summary Responses				%		
Questions	Yes	No	I don't know	Non-responses	Yes	No	I don't know
1.1 Are attendance, discipline and vandalism by learners, major problems in school?	23	1	0	2	95.8%	4.2%	0.0%

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

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

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

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

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

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

Section	Q 1	Q 2	Q 3	Q 4	Q 5	Q 6	Q 7	Q 8	Q 9	Q 10	Total
One	24	24	24	24	24	23	23	24	23	24	237
Two	24	24	24	24	24	24	23	23	24	24	238
Three	24	24	24	23	24	24	23	24	24	24	238
Four	24	24	23	24	24	24	24	24	24	24	239
Five	24	23	23	23	23	23	24	24	24	24	235
Six	23	24	23	23	23	24	24	24	24	24	236
Seven	24	24	24	24	24	23	23	24	24	24	238
Eight	24	24	24	23	24	24	24	24	24	24	239
Nine	24	24	24	24	24	23	24	24	23	23	237
Ten	24	24	24	24	23	24	24	**22**	24	24	237

Total Responses	2374
Total Responses as %	98.92%
Total Non-response	26
Total Non-response as %	1.08%

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

Graph 4: Total response rate of 24 participants
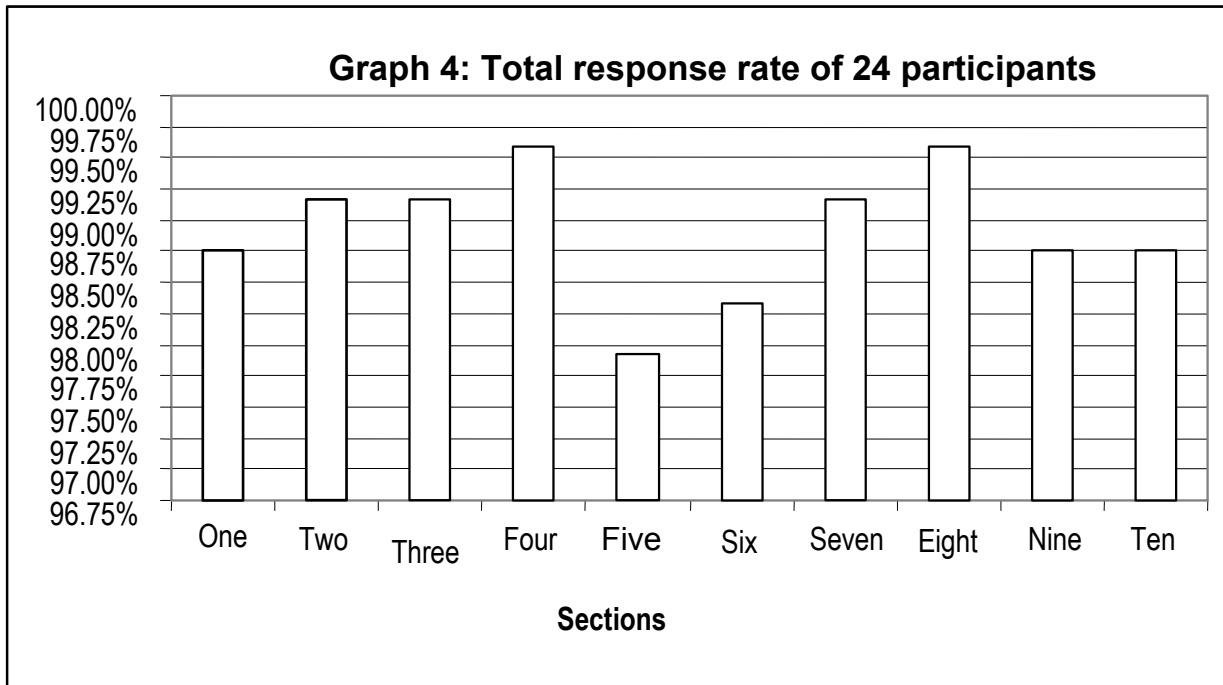
It was hoped that patterns would emerge during this collation process from which themes would be formed.

4.4 Validity, trustworthiness and limitations of the study

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

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

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

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

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

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

4.5   A summary of the chapter

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

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

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

Chapter Five

The level of complexity and depth of the DAS policy

5.1   Introduction

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

5.2   An 'insider' view of the policy formulation stage

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

| Steps 1 – 12 | Steps 13 – 17 | Steps 18 – 22 |
| Pre-Implementation work | Policy Implementation | Post-Implementation Systems and Structures |
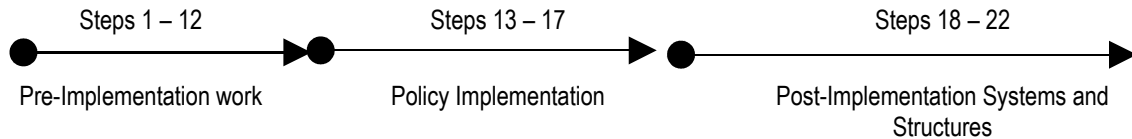
These first 12 steps need to be put in place before appraisal (the next five steps) actually can take place. These five steps are about the professional development of teachers. Since provinces never developed regulatory frameworks for this policy, these 22 process steps are merely the interpretations of the national appraisal task team of SADTU. They were created to give guidance to its members on how to implement the policy at their schools. Since the policy lacked a regulatory framework, teachers found it difficult to contextualise it at their schools. The national appraisal task team of SADTU argued that translating the policy into a specific plan of action (like the 22 steps) would assist its members in implementing the policy. This approach took into account the argument of Hall (1992, p.2) which states that "contextual factors, social definitions, power and resources, and contingent interaction transform the received policy by elaborating as well as altering it" during the translation of the policy by the school staff.

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

5.4.2.   The 22 implementation steps of the DAS policy

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

5.4.2.1   The preparatory work before appraisal

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(1) To elect the chairperson of the appraisal panel.

(2) To clarify the aims and purposes of appraisal to the entire panel.

(3) To set the tone and direction for the appraisal process by clarifying the roles and responsibilities of both the appraisers and appraisee.

(4) To share possible misgivings and problems which appraisers and the appraisee might hold as individuals.

(5) To identify who, when and how the data that will be collected for the appraisal interview (at this point, any optional or/and additional criteria which the appraisee wants to include must be identified in order to facilitate the verification of this data).

(6) To identify the information that will be needed from the appraisee, how the information will be used as well as what will be expected from the appraisee during the appraisal interview.

(7) To discuss the date for the appraisal interview meeting.

(8) To agree on the procedure of how to conduct the appraisal.

(9) To discuss whether classroom observation will be appropriate in the case of the specific candidate, and, if yes, to determine who, when, the nature, and how often it will be performed.

(10) To identify the criteria that will be used, taken from the appraisal instrument.

(11) To agree on the time-frame of the appraisal process.

(12) To agree on the repeat of the process if an 'agreed-upon statement' cannot be reached.

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

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

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

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

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

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

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

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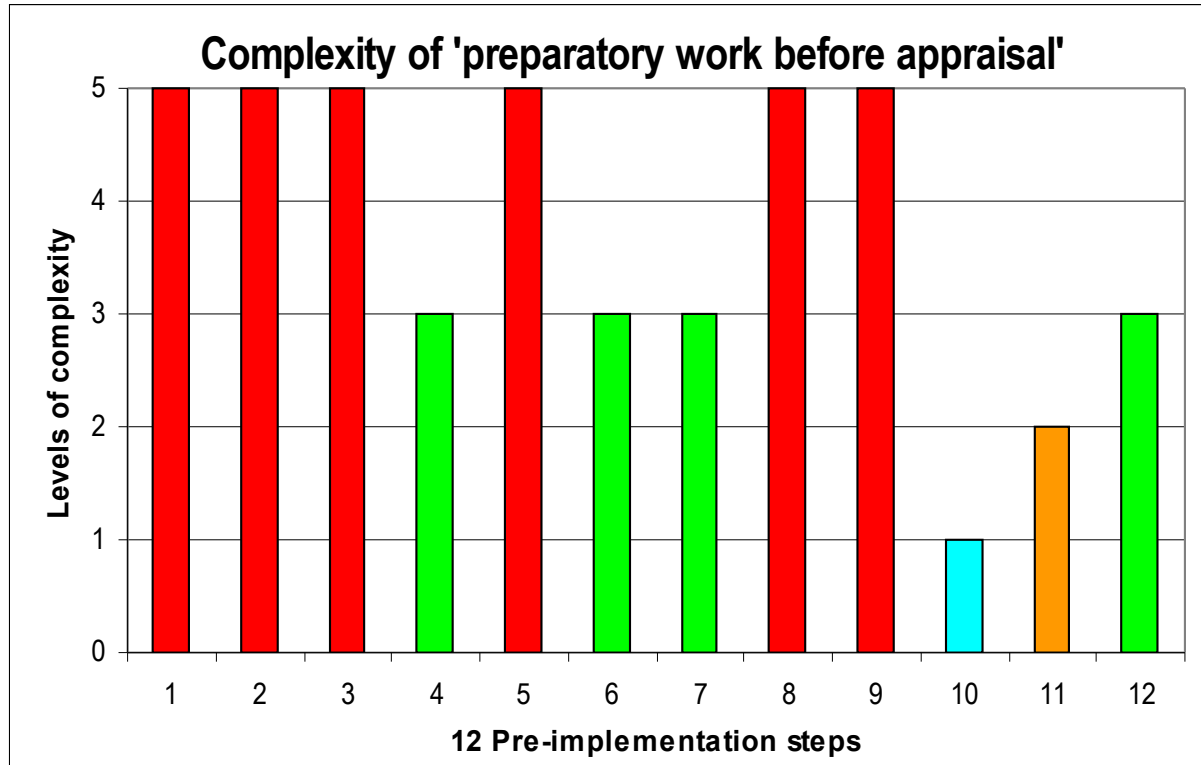
Of the 12 pre-implementation steps, six are at a complexity level 5 (see Graph 5). The significant part of this is that the first three steps are at complexity level 5. This phenomenon will result in challenging schools not even attempting the policy because of its complexity level. The first 'easy'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

5.4.2.2   Appraisal interview meeting

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

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

(1) The consideration of the job description and key performance areas.

(2) The review of the teacher's work since the last appraisal.

(3) The discussion of the professional development needs.

(4) The discussion of career development.

(5) The discussion of the teacher's role in and contribution to school management and policies and identification of any constraints which the school places on the teacher.

(6) The identification of targets for future action and development.

(7) The clarification of issues to be included in the appraisal statement.

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

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

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

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

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

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

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

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

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

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

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

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

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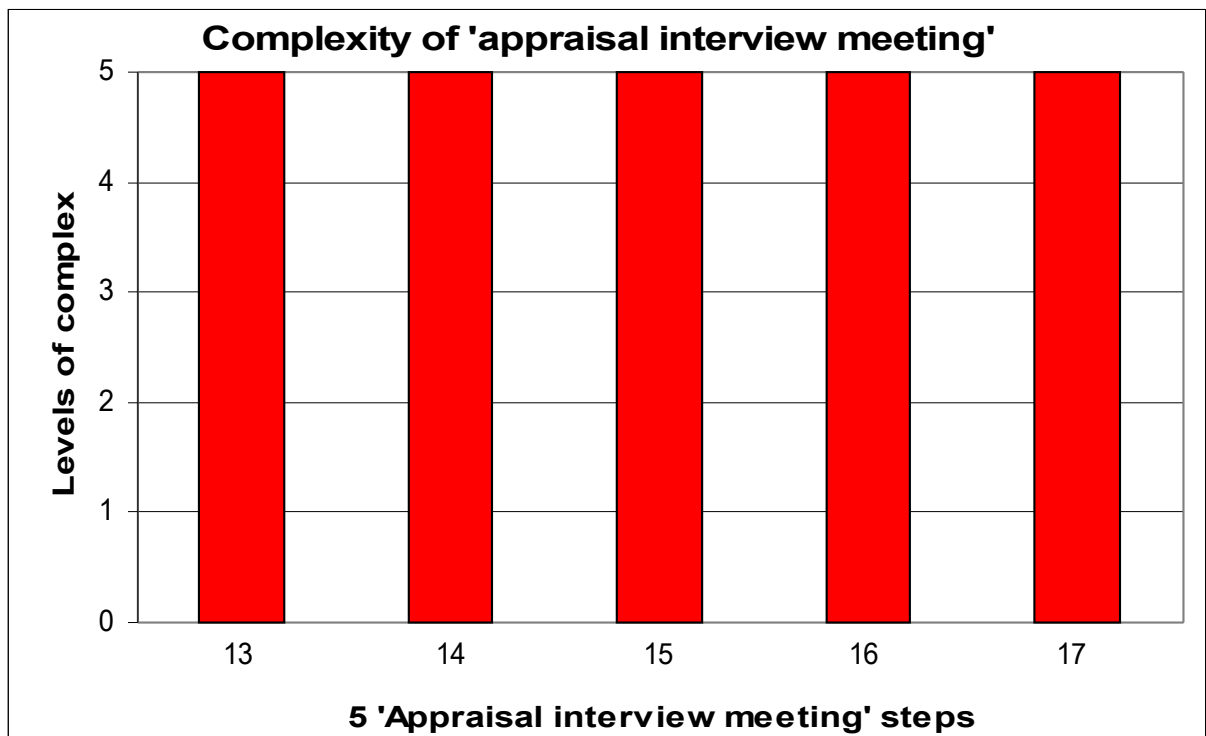
Graph 6 displays all five 'appraisal interview meeting' steps, each at complexity level 5. A huge paradigm shift is thus needed to implement the policy. Taking into account the previous 12 steps during 'pre-implementation', challenging schools will not move beyond these steps due to the level of complexity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

5.4.2.3   Follow-up meeting

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

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

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

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

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

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

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

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

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

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

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

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

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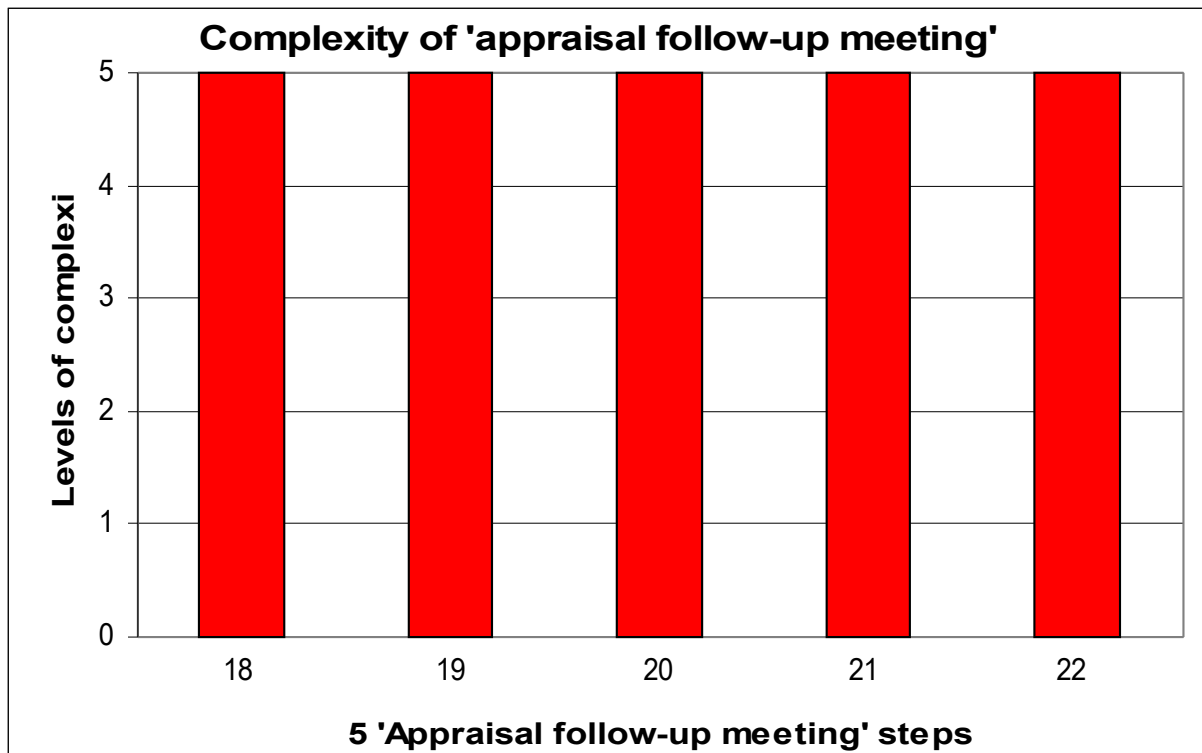
Graph 7 displays another set of five 'appraisal interview meeting' steps at the complexity level 5. Therefore, the last ten steps, out of the 22, are all at a

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

5.5 Data from provincial education departments workshops

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

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

- Step 5 - Gauteng indicated that the setting up of the appraisal panels was "too difficult", while Mpumalanga indicated that the process involved the setting up of "too many" panels.

- Step 9 - Mpumalanga commented that the process of hosting the initial meeting involved "too many" meetings (not just referring to the initial meeting).

- Step 11 - Gauteng commented that there is a "lack of consensus on the criteria" and on their interpretation of the criteria when completing the Prioritisation Form, while Mpumalanga again indicated that this activity included "too much paperwork".

- Step 12 - Gauteng indicated that there was a "lack of feedback and support" for the appraisee in the process.

- Step 15 - Gauteng indicated that "very few actual appraisals" took place, while Mpumalanga commented that the appraisal process involved "too many" meetings, especially when it has to be done for every teacher.

- Steps 10, 13, 16, 17, 21 and 22, which deal with the Personal Form, the self-appraisal form, the agreement, the PGP, the discussion paper and appraisal

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

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

- Implementation instrument of the DAS policy – Gauteng and Mpumalanga felt that the instrument was generally "too difficult to use", while Mpumalanga called it "burdensome". This last comment can be related to their frequent reference to "too many meetings" and "too much paperwork".

- Other initiatives – Gauteng felt that the government's "rationalisation and redeployment" policy had "a negative effect and attitude from teachers" on the DAS policy, while Mpumalanga had reservations about the lack of "link with Whole School Evaluation policy, and the District Improvement Plan", and that it would even cause "clashes".

- Career paths of teachers – Gauteng felt that clarity was needed on the career paths of teachers in order for the policy to be implementable.

5.6   A Summary of the chapter

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

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

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

Graph 8: Comparing complexity of 22 with 11 steps
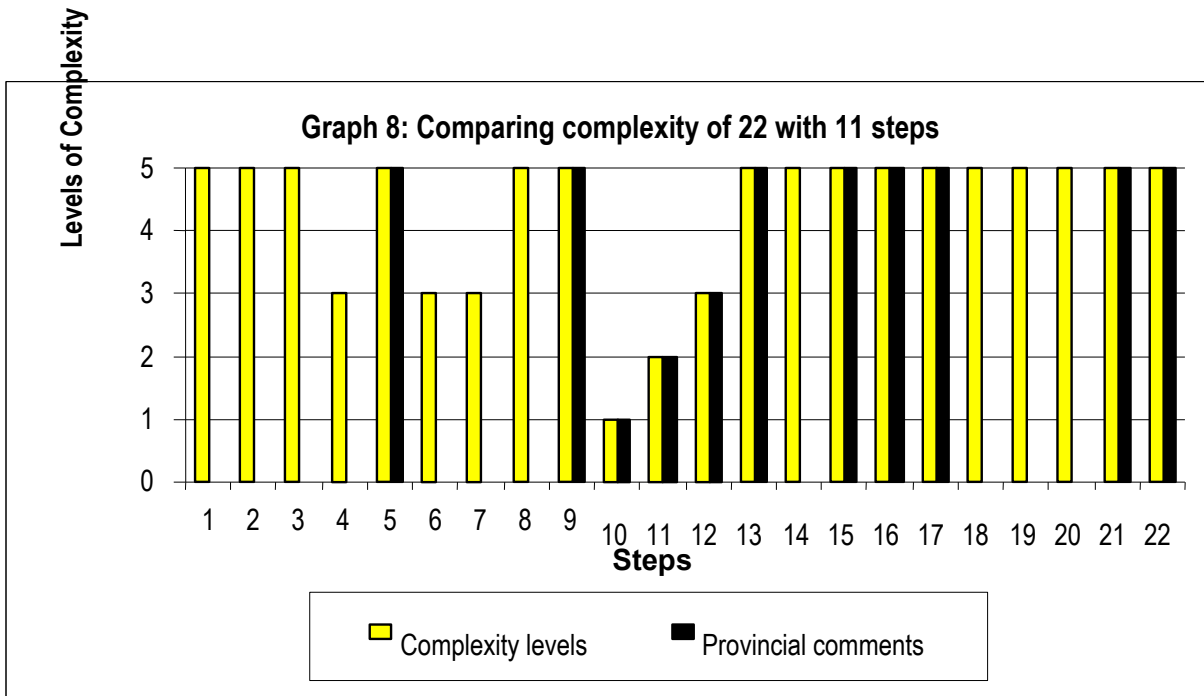
In the next chapter I discuss the necessary conditions for successful implementation of reform policy at schools in detail.

Chapter Six

The intervention support given to Cape Flats Secondary School

6.1   Introduction

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

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

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

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

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

(1) By first examining whether a compelling purpose for the implementation of the policy was established. The evaluation for a clear purpose will be based on whether enough information about the policy was shared with the teachers at Cape Flats Secondary School (CFSS).

(2) The second examination focuses on whether a vision of possibility for implementing the policy was created. The evaluation for a vision of possibility will be based on whether a deep understanding of the policy implications was created among the teachers at CFSS.

(3) The third examination focuses on whether an organisational ownership was orchestrated and shaped in order to implement the policy. The evaluation of ownership will be based on whether the workshops assisted teachers at CFSS in making sense and creating meaning of how the policy will affect and change their current operations as well as their acceptance of these changes.

(4) The fourth examination focuses on whether enough capacity was created in order to ensure successful implementation of the policy. The evaluation of capacity will be based on whether the workshops instilled the required technical

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

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

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

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

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

6.3.1.   The NATT workshop pack for provinces

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

(1) Preamble;

(2) Instruments for developmental appraisal;

(3) Forms for developmental appraisal; and

(4) Implementation.

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

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

(1) Simplicity; It is easy-to-understand and applies to all teachers.

(2) Feasibility; It can be administered within different types of institutions.

(3) Legitimacy; The unions were involved in formulation, hence teachers take ownership.

(4) Flexibility; It is used for developmental purpose and confirmation of probationers.

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

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

(1) A democratic organisational climate

(2) A learning culture at institutions

(3) A commitment of teachers to development, and

(4) Openness and trust (NDoE[a], 1998, p.3)

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

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

Table 10: Suggested programme for workshop

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

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

(1) A general understanding of the historical development of the new developmental appraisal system;

(2) An operational understanding of the guiding principles of the new developmental appraisal system;

(3) A critical understanding of the notion of 'appraisal' and its links within 'whole school development" and processes of educational reform;

(4) A clear understanding of the composition of 'appraisal panels' and the roles of its members;

(5) A clear understanding of procedures and processes the 'appraisal team' needs to follow; and,

(6) A thorough understanding of the nature of the 'appraisal instrument' in all of its aspects."

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

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

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

6.3.2.   The school information workshop sessions

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

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

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

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

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

Workshop Sessions	Topics	Questions relating to the topics
One	a) Developing a local concept of appraisal.	• What does your school understand by appraisal? • How does this fit in with your overall professional development plan and teacher quality? • Describe your concept of appraisal.
Two	b) Generating ground-rules for appraisal.	• Generate a set of ground rules for your appraisal programme (scope, confidentiality, access, information, feedback, period, etc.).
Three	c) Resolving organisational issues.	• What organisational issues does appraisal present you with? • How do you propose to build trust and establish understanding about the system?
	d) Responding to the questions of colleagues.	• Who will conduct the appraisal? • What training will there be for appraisers and appraisees? • What will be appraised and what criteria will be used? • What data will be collected for the appraisal? • What use will be made of the appraisal record? • What time will be available for the process? • How will appraisal influence the management and organisation of the school? • How will appraisal influence decisions on promotions?
Four	a) Creating a climate for appraisal.	• What is the existing climate of opinion and feeling about appraisal? • Is there trust and openness between teachers?
	b) Selecting the appraisers.	• How do you intend to approach this issue? • Make a list of possible appraisers for you school. • Who would appraise whom? • What factors do you need to take into account in coming to these decisions?
	g) Develop a time-table.	• How will you find and allocate time to accommodate appraisal?
Five	h) Formulating job descriptions.	• Provide a framework for action. • Do all staff members have accurate and up to date job descriptions? • If not, what is to be your strategy to update and correct the job description of all staff members?
	i) Training for appraisers and appraisees.	• Who will need training and at what level? • What in-service training is likely to be needed by appraisers and appraisees?
	j) Supporting the appraisal process.	• What support, both internally and externally, will be required by groups or individuals at the school in order to implement the appraisal policy successfully?

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

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

6.4 Evaluation data on DAS intervention support from various data sources

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

6.4.1.   Data from the PATT workshops from two provincial groups

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

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

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

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

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

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

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

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

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

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

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

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

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

6.5   A summary of the chapter

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

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

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

Chapter Seven
Cape Flats' level of functionality

7.1.   Introduction

This research study is an investigation into why the DAS policy was never implemented at Cape Flats Secondary School (CFSS). In particular, the focus of the interview questions was 'appraisal specific' (see Appendix A). Despite my attempt to focus on the semi-structured 'appraisal specific' questions, most of the interviewees constantly spoke about 'what was going on at the school'. While the focus of the semi-structured questions was to elicit issues or challenges which could indicate why the DAS policy was not implemented (due to either components within the DAS instrument or processes of the reform policy), interviewees preferred to focus on the 'state' (functionality) of the school - the ability of the school community to implement anything new or different from outside the school. Interviewees believed that only by understanding the functionality of the school, would I understand why the DAS policy was never implemented at CFSS. They therefore turned my initial focus upside-down. Instead of allowing me to focus on DAS, and investigate why it was not implemented (Approach A), the interviewees forced me to focus on the functionality of the school, and then to investigate whether the level of complexity and depth of DAS was implementable given the lack of sustained support and the level of school functionality (Approach B).

Figure 16: Two approaches to reform policy evaluation
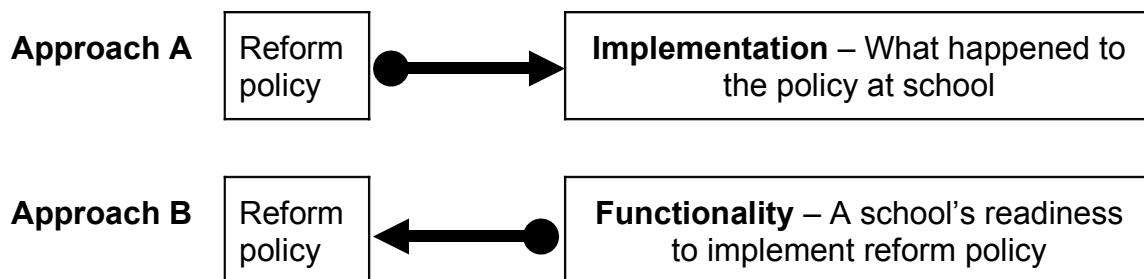
Since I interviewed only six staff members in order to elicit in-depth information on the non-implementation of the reform policy (Approach A), I decided to develop a

questionnaire which would be completed by all staff members, aimed at substantiating the comments of the interviewees about the functionality of the school. By interrogating literature on 'school effectiveness', 'school improvement', 'school readiness to change' (see Appendix B) and the 'organisational capacity requirements' indicated within the NDoE (1998) DAS manual, I developed a questionnaire (see Appendix C) based on the key areas in this literature and the manual. Through a combination of (1) the 'functionality of the school and its readiness to change' as well as (2) the responses to the 'complexity and depth of the DAS policy to be implemented', the concept of an 'implementation readiness conditions' matrix was developed in response to the question of this chapter namely, What was the level of functionality of CFSS in respond to the level of complexity and depth of DAS?

This chapter will focus first on the contextual and development history of CFSS, in order to locate the debate within the context where the policy had to be implemented. Second, I will discuss briefly the evaluation and analysis instruments that will be used to identify the level of functionality of the school. Finally, I will use the data from interviews and questionnaires in an attempt to determine the level of functionality of CFSS.

7.2. The contextual and developmental history of Cape Flats Secondary School (CFSS)

Cape Flats Secondary School (Photo 1) is situated in the Cape Flats area of Cape Town, a historically 'coloured' suburb established in 1959 under the Group Areas
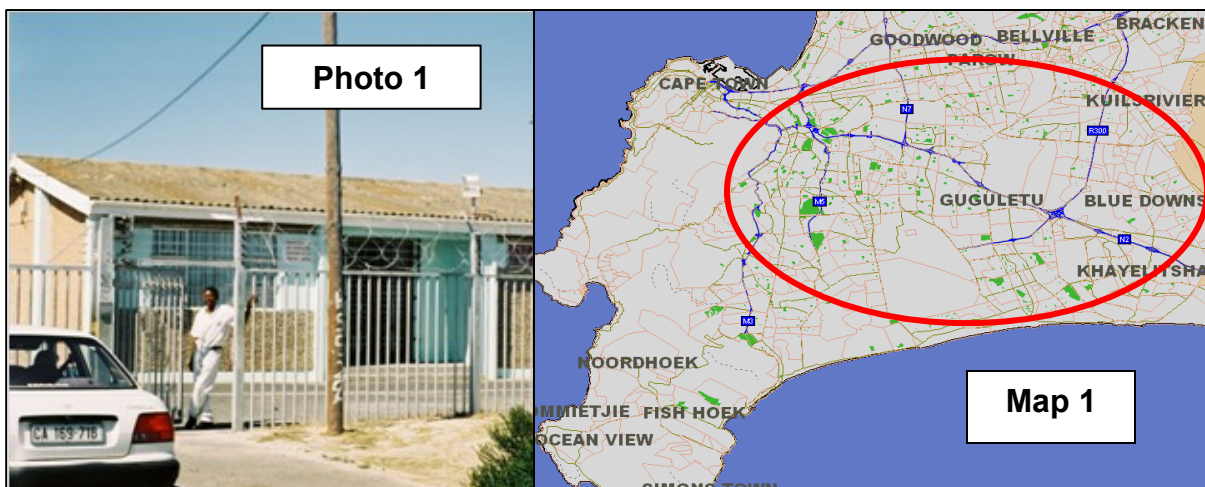
Act. This separate development policy was formalised in 1949, commonly known as the apartheid system. The suburb is approximately 15 kilometres from Cape Town (see Map 1) and is characterised by small brick houses and numerous blocks of flats (see Photo 2), complemented in many cases by wood and iron structures in the backyard. The inhabitants of Cape Flats are mainly working class, with more than half of them at retirement age. Unemployment, crime, substance abuse, general violence and gangsterism (see Photo 1, 3 and 4) are major problems in the suburb.

Established in 1960, the school was built to host 800 learners, but can accommodate approximately 1200. In 2002 the enrolled complement of learners was at 60% girls and 40% boys. Owing to the fact that most of adult community residents are at retirement age, the community

Photo 2

immediately surrounding the school is not supplying enough learners to the school. Those learners who come from the Cape Flats community are therefore residents' grandchildren. The children of these retired people (who are the parents of the learners) often leave their children in the care of their parents so that they can earn a living elsewhere. Sometimes this involves children coming from surrounding

Map 2

Cape Flats
Secondary
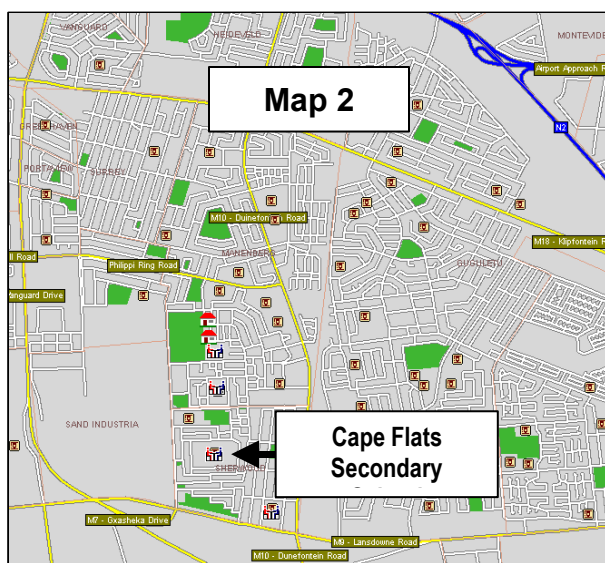
suburbs into Cape Flats every school day or learners staying at their grandparents' home during the week, and returning home for the week-end. With a scarcity of learners from its own community, the school is now drawing from neighbouring suburbs (see Map 2). Some of these are established townships; others are squatter camps. The ethnic composition of the learners during 2002 was 65% coloured and

35% African (Xhosa speaking).   English and Afrikaans are the mediums of instruction.

The teaching staff complement in 2002 was 31 (27 permanent and four temporary) with one administrative support staff member and four non-teaching staff members. The curriculum is essentially academic, with a concerted effort on the part of teachers to provide as many extra-curricular activities like

Photo 3

drama, sports and capacity-building programmes as possible. The lack of facilities and resources in the school is profound. In spite of this, the school offers athletics, soccer, netball and rugby.

The school has a long and proud history of being at the forefront of the 'struggle'. This was characterised by an active opposition to apartheid education and the

Photo 4
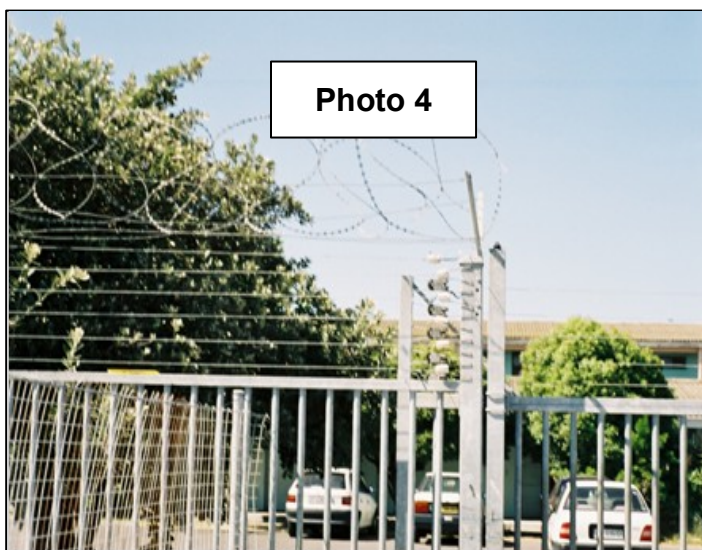
inequities of the system. 'People's education' was an influential source of development at CFSS, especially in the critical selection of learning support materials and the extension of learning beyond the syllabus. This 'activist' energy still appears to be very much a part of the school's culture, but the direction of this vision and mission is not as clear anymore. Several staff members are key figures in teacher unions, particularly the South African Democratic Teachers' Union (SADTU).

The 'activist' culture of the school is also characterised by a remarkably stable staff, the majority of whom have been at the school for more than ten years. The current

principal has been at the school since the late 1970s, while a fair number of teachers have been learners themselves at the school, growing up in this particular community.

Since the macro political changes of 1994, the terrain of 'struggle' has shifted from 'protest politics' to 'reconstruction and development politics'. This shift has placed a different kind of demand on CFSS. Historically the 'enemy' was the 'illegitimate apartheid government'. Now the new democratic government requires support and input from teachers to make the transition to a fully-fledge democratic order. This poses a big challenge for the school.

Despite the many teacher union leaders and active union members at the school, CFSS appears to be an 'unsuccessful' school. Internally and externally it comes across as a severely adverse learning environment, characterised by typical socio-economic problems such as gangsterism, substance abuse, poor discipline among learners and teachers, and high levels of absenteeism and drop-out. The threat of gangsterism is both from outside and inside the school. More often than not, gang fights which are started at week-ends find their way back to school during the week. This threat of violence has

Photo 5

forced teachers to park their cars outside the secured school ground, within their own parking area (see Photo 5) in order to protect their cars.

Despite this gloomy context, I was motivated to work with the school, because there was a willingness among staff members to implement the DAS policy at the school. Our agreement was based on mutual responsibility and accountability indicators. First, I had to facilitate a series of information-sharing workshops with staff members between September and November 2001 and strengthen in particular the capacity of the Staff Development Team (SDT). These workshops consisted of five information-sharing sessions ranging from one-and-a-half hours to two-hour sessions, covering

a host of topics taken from a workshop manual developed by Jones (1993, p.15-31). The discussions were contextualised to make it relevant to the staff of CFSS. Although these workshops were recorded on tape, the content was not used for the study since these sessions were aimed at only assisting the school to understand the new appraisal policy.

Second, based on my commitment to facilitate these information-sharing workshops, the staff agreed to give me unlimited access to teachers and documents at the school. I further committed myself to sharing unfolding ideas during the process of the research as well as the draft conclusions and insights of the study.   This commitment was fulfilled during February of 2004, when the six interviewees were invited to check the accuracy of the transcripts and fairness of the data analysis and conclusions.

7.3. The evaluation and analysis instruments that were used to determine the level of functionality of CFSS

During the literature review in Chapter 2, I argue that the best ideas captured with reform policy do not guarantee implementation.   I further suggest that the implementation of a reform policy is informed by the specific settings and the combination of factors and personalities that play themselves out at school level. In particular, I highlight two broad themes (see page 59) which include (1) the internal differences in the school (support structures, enabling environment, available resources, community it serves, capacity of individuals and collective, relationships between different individuals and groups and the leadership to manage change) and (2) the internal differences in teachers (their work, their interests, their development, their beliefs, their reasoning, their buy-in and their mission for being involved in education).

In Chapter 3, I argue that these internal differences in the school and teachers are indicators of the level of functionality of the school community. To this end, I identify three types of schools, namely those that are 'non-functioning schools' (NFS), those that are 'low functioning schools' (LFS) and others that are 'high functioning schools' (HFS) (see page 69).   I further argue that on a scale of 0% to 100%, HFS are functioning between 61% and 100%; LFS are functioning between 21 and 60%; and

NFS are only functioning between -20% and +20%. I also make the comment that these percentages (levels of functionality) are not used to label the schools, but rather to allow district support agents to assist schools as individual institutions rather than a one-size-fits-all approach to school support.

I will therefore use the eight issues which were raised during the interview process related to the 'organisation capacity requirements' which policy makers assumed should be present in schools. Finally, I will used the data from the questionnaire (ten themes), which is a confirmation of the interview data, to determine the level of functionality of CFSS.

7.4.   What teachers say about their school - The analysis of interviews and questionnaires

There are two types of data presented in this section, namely (1) the interview comments from six teachers [in italics] and (2) the questionnaire responses for the CFSS staff [indicated by a question number]. The comments from interviews will be represented through quotations, while the opinions from questionnaires will only be represented by the number of the questionnaire question and the percentage of support or disagreement among teachers. The proof of these percentages will be located within Appendix D (Summary of analysis of questionnaire responses). Table 12 is only an extract (two questions) from the list of hundred questions.

Table 12: Extract of the summary of analysis of questionnaire responses

	Y = Preferred response (both Yes and No)	Summary of					Percentage		
Y= n	A. School Ethos	Responses				Pos			
Y= p	Questions	Yes	No	Don't know	Diff .	%	Yes	No	Don't know
N	1.1 Are attendance, discipline and vandalism by learners major problems in school?	23	1	0	2	4	96%	4%	0%
P	1.2 Are most of the parents proud that their children are attending this school?	4	4	16	2	17	17%	17%	67%
(1)	(2)	(3)			(4)	(5)	(6)		

The summary should be read in the following way:

(1) The first column indicates whether the preferred answer to the question is negative (No) or positive (Yes). For example, the preferred answer to question 1.1 is 'No', while the preferred answer to question 1.2 is 'Yes'.

(2) The second column shows the question asked.

(3) The third, fourth and fifth columns represent a summary of the total respondents who answered the question, either 'Yes', 'No' or 'Don't know'.

(4) The sixth column represents those respondents who did not answer the question in any way as reflected in (3).

(5) The seventh column represents the preferred response, whether 'Yes' or 'No'.

(6) The eight, ninth and tenth columns represent the total responses in percentage. The total percentage is made up of responses only, and therefore non-responses were excluded from the calculations. For example, the total responses in question 1.1 are 24 out of a possible 26. The response percentage is based on 23 'Yes' opinions out of 24, and not 23 out of 26.

The eight sections below reflect the four issues within the NDoE DAS manual, under the focus of organisation capacity requirements (see Chapter 6, p.127). The power relations and union issues, (7.4.1) as well as implementation issues (7.4.2) will focus on the democratic organisational culture of the school. The discipline (7.4.3), contextual conditions (7.4.4) and leadership (7.4.5) sections will focus on the learning culture of the school. The policy issues (7.4.6) and appraisal issues (7.4.7) will focus on the commitment of the teachers to develop, and finally the trust and respect (7.4.8) sections will reflect on the openness and trust among teachers.

7.4.1.   Power relations and union issues

Teacher P1 confirmed, as indicated in the history of Cape Flats that,

> *"We have a very strong SADTU group at our school, who often clique together in support of a position, whether or not it is the right or wrong thing to do … In general, I think the positions are intended to be positive rather than negative … I think they (the positions) are about 50/50."*

The union was such a dominant force at school that it could eliminate the influence of any stakeholder other than the teachers.   This was indicated when teachers (63%) indicated there was not a positive and harmonious relationship with the SGB [question 9.1]. Teachers (50%) felt that most of the SGB decisions are not taken seriously, and therefore their decision-making process is not presenting a threat to teacher control at the school [question 9.2].   Often the decision-making process by teachers was influenced from a 'teacher as political activist' approach, since this group looked at the approach as *"this is where we want to steer the school and these are the things we need to do to make that happen"*, indicated teacher P2. Teacher P6 regarded the origin of the power as "being unionised and being streetwise is what the power that the staff has."

As far as unionism is concerned, teacher P2 asked *"How and where does the mandate come from"* when union members are represented at different levels of the negotiation process? This question was asked by interviewees based on the strong culture of democratic decision making (78%) at the school [question 6.3]. Furthermore, teacher P2 noted what he called a *"contradiction"* in the policy and practice of the union members. He argued that

> *"there is a contradiction in terms of taking the teachers out of the class, but then not to supply a substitute. If people need to go, obviously the advancement of the union is also important and if that is the best person to go wherever, then that should be allowed. But then the union must then make money available to pay for a substitute."*

The obvious benefit of these union involvements was a well-informed staff (67%) at the school [question 6.10].

Teacher P3 also indicated that

> *"it is a problem if union members have to keep on leaving the premises. In the first instance those classes of those people are unattended and as manager of the school you have to ensure that those kids are taken care of and perhaps we are fortunate or, I would say, I am fortunate that the community we are serving here is not as demanding as in the southern suburbs."*

This concern was repeated when teachers indicated that only 46% of them felt that the school was trying to build a learning environment for both teachers and learners

[question 7.5]. These two opinions (the low demand for accountability from parents and the low demand for a learning environment) are in contradiction to another statement where 75% teachers indicated that parents are consulted about significant developments affecting their children [question 8.5]. These sets of opinions can only be true if the consultation with parents is limited to the demands placed on learners by teachers and thus excludes consultation about the overall operations and vision of the school.

7.4.2.   Implementation issues

Teacher P1 believed that *"we wanted to start with implementation, but were undermined by some administrative problems."*   Teacher P2 indicated that one of them was to *"see that these people will be trained and to do training; it's going to cost money; you need people to facilitate training and that is going to need money."* About this issue, teacher P3 agreed that, *"at the time the preparation, the training of management in my opinion wasn't thoroughly done."* Furthermore, according to staff members, very little joint planning (35%) took place at the school [question 7.7].

On asking whether the culture and climate is right, teacher P2 said that

> *"for the implementation I would say it's not the right climate … I will say the climate for the implementation of any system is not right. It needs to form part of our everyday work … If it is part and parcel and there is a commitment from management, then it would work. It mustn't be an add-on."*

Only a minority of teachers (33%) felt that the principal was clearing up doubts where they are expressed, and used the opportunity to the advantage of education [question 10.3]. According to the teachers, a supportive culture and climate does not exist at the school.

Teacher P3 also admitted that the DAS policy

> *"… it is not implemented yet. ... At the time there was also a lot of confusion. Now where this confusion came from I really don't know, but messages were signalled or sent out that DAS is no longer on the table. Even though I did not get anything official in my hands, but I think what reinforced that perception was the fact that nobody was policing it. … there was no – nobody came and said, listen you must give us feedback now as to how the process is going. … that sort of*

reinforced this message which I got from – I don't know – which said it
is no longer to be implemented."

This response is very much in line with opinions of teachers (39%) that a coercive atmosphere of 'policing' prevails [question 1.7] at the school. Teachers only engage in processes when they are 'forced' to do it, and are not doing it because it is in the interest of the school and education in general. This opinion was echoed by teacher P4 in that

> *"… unless we are forced, I think it's the 'we don't know how' and*
> *therefore 'we don't do it'. … If there is a form that has to be completed*
> *that has to go away now. Otherwise it will just remain there."*

The working atmosphere was thus not stimulating, enjoyable or satisfying to implement policy, as expressed by 88% of teachers [question 1.10].

7.4.3.   Discipline among learners and teachers

The issue of discipline was perhaps the most consistent issue that was raised by all six teachers, without them specifically being asked about discipline. This should not amaze anyone since 96% of teachers regarded discipline as one of the major problems in the school [question 1.1]. And therefore the biggest percentage (67%) of 'Don't know' responses was recorded to the question that dealt with whether parents are proud that their children attend this school [question 1.2]. Teachers responded unanimously with a 'Yes', when asked whether the success of their practices (their ability to be good teachers) was hampered by the lack of discipline in the classroom and at school in general. Teacher P3 indicated that,

> *"constantly you have to tell children to go into the classroom, but you*
> *can see that they just don't want to be there. They do not want to be*
> *part of the formal academics of the classroom."*

And because they do not want to be part of the academic programme, teacher P2 indicated that they (learners) disrupt the class activities and this is how "discipline spills over (and undermine) the academic responsibilities."

The nature of this ill-disciplined behaviour often intensifies into anger and aggressive behaviour from these learners. The fact that 74% of teachers felt that both learners and teachers were not safe at the school does not assist in its management [question 1.9]. This was described by teacher P3 as,

"then we have a problem of children fighting. There is a lot of anger in these kids. The moment a child just bumps into another one then it's a fight. It's massive swearing and then it's a fight. It would seem that these children don't know ho to deal with conflict.   Perhaps it's something that also stems from the communities that they come out of. The only way we can solve the problem is either to swear at the person or to fight it out with the person and the stronger of the two wins – that is how a conflict situation is solved."

And sometimes it went as far as was described by teacher P3 –

"Kids who challenge teachers and the manner in which they challenge teachers is unacceptable. As a teacher I want to shout at the child, but will not allow the child to shout back at me.   So it's a whole power relationship."

We therefore see the issue clearer when we look at the smaller details of what teachers are saying. It is not necessarily learners deliberately disrupting the class activities, but that the school might need to look at the origin of these problems and to analyse them, instead of responding only to the ill-behaviour of learners.

Teacher P5 made a surface analysis that *"the kids don't want to be here"*. This was important for a school where only 46% of teachers felt that there was not a questioning and critical attitude present at the school [question 1.4]. An enquiring environment will allow learners to question the essence of education, and their contribution to the success of the process. And the functional role of the principal is crucial in setting the tone for creating this environment, but the responses from the questionnaires expressed a great need for development of the principal.   All questions under the section of '3 - The Principal' indicated that a big percentage of 'No' in the responses [questions 3.1-5, 3.7].

On the other hand, teacher P3 attempted a deeper analysis to this issue by saying:

"It's a group of learners. I would say about 30% – 40% that's causing us this type of headache. While the others – they have their problems – but they are manageable. If one look at the type of problems, firstly children who don't want to be in the classroom. I have done my investigations already along those lines. I discovered that the child could not read. Now the teacher without realising that assumes that if a child came into the classroom everybody can do the task, because

you are on that level. Then the child has some behavioural problems
and seeks attention."

Teacher P6 took a stronger view - *"Don't talk about the lack of discipline among*
learners when we ourselves lack discipline." This teacher saw the problem as not
just on the side of learners, but that the problem was also on the side of teachers, or
perhaps that the origin of this ill-discipline was 'modelled' by teachers themselves.
Furthermore, the majority of teachers (65%) were holding low expectations of learner
behaviour and achievement, and thus not displaying confidence in the learners
[question 1.6]. But regardless of the origin of this problem, teachers (79%) were at
least concerned about the provision of quality education [question 1.3].

7.4.4.   Contextual conditions

Teacher P1 was convinced that

> *"those people at national level do not know what is going on at school*
> *level. When the circuit manager comes to school, he is only presented*
> *with the good things of the school. I think we need to drastically do*
> *something to change this."*

What came through the statement was that principals might be engaging in 'window
dressing' when their seniors arrive at the school, and therefore do not give the
opportunity to these seniors to see the school as it is (with all its problems) in an
attempt to start solving those problems, rather than to hide them. This buffer action
(expressed by 42% of teachers), as an attempt to protect staff [3.8], undermined
teachers' incentive to grow and improve [question 1.5].

Most of the interviewees felt that the school lacks direction. This was displayed
through their responses to section '2. Vision, Aims and Strategic Planning' in the
questionnaire, where 54% of teachers felt that there was no common vision
[question 2.1], 71% felt there was no action plan [question 2.2], 71% felt teachers
were not sharing common educational values and purpose [question 2.3], and 63%
felt that policies were not owned by teachers [2.4]. Teacher P2 replied to the
question whether the school has a vision and mission statement in action:

> *"… No … There is something on paper … At the beginning of the year*
> *when we received this lovely document for the year – it was in there –*

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we actually forgot about that already.   … we don't have a common vision."

Due to the lack of contextual understanding among policy makers and departmental officials, teacher P3 argued that *"with any new system, any change, one has to make a shift."* And given the lack of capacity of the principal to manage a school like Cape Flats Secondary, he argued that

> *"I am compelled to be in a classroom. Now with that I don't have a problem per se, because as an teacher I need to be in contact with the curriculum, but if one looks at the situation in which I find myself in, I always want to say that people who work on that policy, they weren't perhaps well informed or too well informed about the realities on the ground. Where a principal in a situation like in Cape Flats has to deal with so many different aspects in one day that ultimately the children that you have to take care of suffer in the end …"*

Teacher P3 supported the abovementioned argument by suggesting that *"there are certain schools that need to be treated at this stage of transformation, differently to others."* Despite the call for flexibility by an interviewee from the policy makers and departmental officials, 46% of teachers felt that the school was not affording learning the same learning and academic flexibility which they are requesting [question 2.5].

Teacher P3 argued that they

> *"… are dealing with kids that come from a socially and culturally deprived community. A child who comes from a gang-infested area, a child who comes from single-parent families – so many different factors. You spend so much time dealing with those problems that you cannot really get on with your core responsibility – that is teaching."*

Teachers (65%) indicated that the school aims to provide an environment where learners are happy, feel valued and acquire universal moral values [question 1.6]. The flexibility as far as cultural and social issues are concerned, does exist within the school. But the contradictory response to being flexible with regards to social and cultural issues, and not academic learning, is adding to the mistrust among individuals and groups of teachers, often described as *"things that people fear. There are still people with hidden agendas."*   Without knowing how others would react, e.g. in support or in attack, when they act flexibly and supportively towards the learners, teachers (88%) were not willing to take risks [question 1.10]. Teacher P5

described that *"in a day the climate at the school shifts. You function on a day-to-day climate trying to get through the day,"* because the management team (as indicated by 67% of teachers) does not display the capacity to avoid crisis [question 2.10].

Teacher P3 argued that the policy makers do not really understand that there are different types of schools. The policy approach of policy makers, which is based on a 'one-size-fits-all', is not assisting schools like CFSS. What he argued for was

> *"not a policy change but an interim measure to be put in place where the principals who find themselves in that situation, somehow something can be worked out."*

He further explained the non-implementation of DAS as follows - *"It is not so much because we tried to implement it and we had practical problems. We did not start with it yet."* Without this accommodation within the system, P3 felt that *"I can't deliver the way I should be delivering"*, since the context was prominently dictating his performance. But despite their difficult situation, teachers (61%) observed a management team that failed to think and plan strategically [question 2.8].

Teacher P4 felt that the school often never got to the practical implementation of policy, because the staff talked too much about the policy. P4 called for action, meaning that

> *"it would be really nice if things could be sort of pushed along if we could really get to the practical part of this because that is what I want I think that is why I got on to this thing. I want to see what is going to happen and I want to learn something. Somebody can help me make a mind shift. So many people, out there at the school, have the same problem."*

This inactivity could be due to the inability of management to anticipate developments and their implications of these developments by management (as stated by 46% of teachers), therefore no action was a safe option for them [question 2.9].

Teacher P5 felt that,

> *"… at our school we have issues that appear to be more important than education. Education in isolation is not targeting the needs of*

children." He continued, *"We're not doing the actual job, we're doing the normal paper work."*

And those teachers (63%) who go beyond 'doing the normal paper work' did not feel valued [question 7.2] for the additional support they render to learners. He further argued that the operation at the school of every year is *"the same approach in a different way and it has become frustrating."* Due to the lack of a common vision, P5 felt, *"we are all pulling in completely the wrong direction"*, which results in the lack of team spirit, as expressed by 50% of teachers [question 7.1]. He said that although some could say that there is something on paper, *"I think its dead. We don't have a plan. We need to know where we are going."*

As advice to tackle the problem, teacher P5 argued that *"the first thing that should be done is to have a plan. Where is the school going? What part we have in it? Who is going to be doing what?"* This plan must recognise that *"the school comes with so many attachments, so many personalised attachments basically a power struggle, basically differing personalities …"* argued teacher P6. He said that this *"has been going on for a long time and that I think is partly to the blame of the retardation in implementing DAS."* The lack of common vision and a work-plan is diverting the focus of teachers from their core responsibility towards personalised and petty differences and arguments.

Teacher P6 further indicated,

> *"Secondly I think – I'm not going to down play what I'm going to say now, there is a massive – apathetic approach by teachers at the school – that is the apathy I'm speaking about. There is apathy to want to change; there is apathy to implement change."* And *"the third thing why I think DAS was not implemented … peer assessments and group assessments."*

He felt that *"there is a lot of undermining here as well."*

Furthermore, a healthy working culture must be established. Teacher P6 argued that

> *"Don't you in your management capacity walk into my classroom and remove a cap from one of my student's heads. You are telling me that I cannot carry out one of the clauses in the Code of Conduct."*

Therefore, all teachers at the school must *"start with self-analysis – make an analogy of your contribution in the school. ... A lot of self-restoration and maybe re-examining my purposes"*, indicated teacher P6.

7.4.5.   Leadership

Teacher P1 in particular was very upset about the 'crisis management' approach that was going on at the school. He said that *"everyday there are meetings …"* Teachers (63%) believed that these daily meetings are not kept to a minimum [question 6.6] while 67% also said that the management team does not have the capacity to avoid this crisis management approach [question 2.10]. And when having these meetings teacher P6 indicated that

> *"there is never a compromise; things hang in the air. (For example), the problem of our bunking students, every time we have the same discussion and we come with the same resolution and in a day or two it is peaceful, but in a week's time, there is no sustainability. I'm saying don't say there is not sustainability and you don't have a solution for that."*

Teachers (54%) believed that the inability to implement decisions is due to the lack of strong leadership, a definite sense of direction [question 3.1] and (58%) strategic thinking and planning [question 3.2].

Furthermore, teacher P2 believed that when the department wants something done, management tends to respond more vigorously (as expressed by 50% of teachers), than when it comes to supportive or developmental issues [question 3.10]. As an example, he indicated that *"progressive discipline, it came from the department and it was vigorously implemented"*.

Teacher P2 argued that the appointment of principals must be looked at. He said,

> *"A mistake that was made in terms of appointments of principals was that we didn't train the governing body, because you know if the governing body is not properly trained, they are not going to be capacitated to appoint a person to do a job that they had no inkling about."*

Teachers (83%) already indicated that parents are not encouraged to understand the curriculum part of education [question 8.6], and 88% of the teachers felt that

parents are not invited to join educational excursions [question 8.7]. So, without building capacity within the parents, they cannot make informed decisions or contribute support which undermines the governance leg of management decision making within the school community.

Teacher P2 further argued that some principals are not aware of what the responsibility of a principal entails, therefore *"when you applied for a job you need to know what the job description is."* And *"so that we can see that they are taking the lead. They are the leaders of the school, we want to see that"*, argued teacher P2. In the case of the school, teachers (46%) felt that the SMT does not work well together as a team [question 4.1]. Despite his concern, teacher P2 admitted that

> *"for this year I must say, they have met quite a lot of times. The previous years they only met when there was a problem and they met during school hours. That contributed to the chaos at the school."*

As an example, teacher P2 referred to an incident of chaos where

> *"teachers refused to go to class because they wanted to sort something out … four teachers are absent. You will find at a time 100 learners are outside during school time. That is part of the culture of creating learning and that has been broken down."*

And teacher P2 believed that the origin of the problem is often apportioned to learners. To this, he argued that *"we cannot blame the learners … I blame our teachers, they are absent, they leave any time …"* despite the regular briefing meetings (as stated by 67% of teachers) with teachers [question 6.9]. Therefore, teacher P2 argued that *"to correct you need to first acknowledge that you are wrong."*

Teacher P6 argued that solving the problems among teachers must be approached in a way that empowers everyone, and should not be an attempt to score points. He said:

> *"Don't in a position of power, 'skimp'. Don't tell me that yesterday I was absent so today I mustn't complain about children who are running outside because yesterday I had to look after your kids when you were absent. If management is throwing stones like that can you imagine what the undercurrents are like."*

To this, teachers (50%) felt that the SMT was not delegating meaningful tasks to develop and empower staff [question 4.10].

7.4.6.   Policy issues

Teachers had a lot to say about policy.   Teacher P1 commented during the interviews that

> "they (policy makers) want us to implement a whole host of things in a very short period of time.   Those in disadvantaged schools find themselves in difficult conditions."

Often these teachers did not know why a particular policy was developed and then blamed policy makers for developing 'policy in search of a problem'.   Teachers (75%) indicated in the questionnaire that there existed real scepticism about the current changes (question 10.2).   Teachers therefore did not see policy as an instrument of solving a problem, but rather as an instrument that's causing problems.   One teacher, during an open discussion, referred to policy as a form of 'invasion'.   Teachers (50%) felt there was an overload of these 'invasions' in education [question 10.4].

Teacher P2 held the opinion that *"I just feel that the problem lies with policy making and implementation."*   Teacher P2 continued by saying,

> "between the development of policies and the implementation … there is a gap where I feel that sometimes teachers are not properly informed.   They (policy makers) are not on the ground, they are not involved and if you look at policies that are made I think from the department's side it is not clearly thought out."

Furthermore, teachers (59%) felt that these changes are not successfully managed [question 10.8].

Teacher P3 argued that one problematic thing is

> "capacity …was one of the major problems …If we had to go evaluate a peer; what would happen to our classes, at that particular time? … they (teachers) say that they did not have the necessary skills, for example, to observe and to comment on a colleague who works in a classroom."

How policy makers could not have anticipated the lack of capacity building, was difficult for Teacher P3 to be understood. In continuation of this argument, Teacher P3 said that, as a member of the SDT that must lead others, *"if I do not understand it, if I have not seen the thing in operation yet"* there was no way that Teacher P3 could speak with conviction to other teachers about the policy, since most of the teachers (74%) felt that most of the education policy in South Africa ends up 'left in the air' and not fully implemented [question 10.5].

Teacher P6 felt that sometimes *"it's a matter of having a policy on paper and wanting to make it work."* The issue here was that policy makers must have the ability to admit when a particular policy needs to be adjusted or even changed in order for school to implement it. Teachers (46%) argued that the school is also not re-aligning their structures in line with the changes [question 10.6].

It was also argued that communication needs to be improved between different people involved in the policy-making and implementation process. Teacher P4 said that: *"I think we need to be adequately informed."* Furthermore, Teacher 6 felt that policy makers need to take into account that *"the mentality of a primary school teacher in comparison to a high school teacher is totally different."* It is argued that policies need to be different for different kinds of schools.

7.4.7.   Appraisal issues

Teacher P1 described the nature of the old inspection policy as:

> *"I think about inspection as one person coming to the school once in five years to inspect you. He just informs you that he is coming to inspect you on a particular day."*

What became clear was that the unhappiness about the old policy was mainly about the process, and not necessarily about the policy. This could be why teachers (54%) felt that the school was not ready for the new appraisal policy which includes more changes than expected by teachers [question 10.1]. They often did not understand the extent of the policy change, and why it was developed in the first place.

Teacher P2 defined appraisal as:

"In my analysis appraisal centres around number one, the mission statement, and secondly there should be a quality culture and thirdly there should be constant organisational review – what are we doing and are we doing it the best way – and out of those three things need to flow what is called the organisational development plan. So what I need to do as a teacher adds or contributes to the bigger plan."

Teacher P3 explained the purpose of appraisal as: *"In a developmental system, many people understood it to be – if I had a weakness, this is where I can improve, and people saw that as positive."*   P4 indicated, *"… at the end I'm going to be helped to become a better teacher".*   These appraisal definitions and purposes, interviewees attributed to the insights and understandings gained during the information-sharing workshops.

Teachers like P6 also realised that *"appraisal can also in a positive way highlight my shortcomings. How am I going to know where I am falling short if I'm not going to be appraised?"* He continued by saying that without implementing appraisal, teachers could end up *"go(ing) into your little corner and I in mine."* And this could already be a reality at the school since teachers (50%) felt there was no good team spirit [question 7.1]. The majority of teachers (70%) indicated that they were striving to improve their professional practice [question 7.6].

Teacher P6 argued that in the policy-making process in South Africa,

"there is no continuity. Appraisal can say we should be here – that is where we should be. We are lacking a bit in our class management skills, I suggest and advise you I'm criticising you in a positive way. I would start with the positives and would tell you, you know that is fantastic what you used. Where do you get it? And then you go and talk about that guy in the corner was disruptive and this is maybe how you could have managed him. This is maybe how you could draw his attention to the fact that you are aware of what he is doing. Appraisal is a major plus point."

For the relationship between appraiser and appraisee to be supportive, both material and human resources have to be allocated strategically in support of policy implementation success. The opinion of teachers (46%) was that resources were not allocated to support reform policy implementation [question 10.7].

Teacher P3 then gave me a sense of the way the school has prioritised its operations by stating that

> *"What I must say is due to the fact that there was a lot of confusion around DAS. We don't have DAS as a slot on our year plan. But now if we get a clear indication from WCED (Western Cape Education Department) or whatever which says listen, by June you have to hand in reports, or October you have to hand in reports, then surely management would make provision for that on the year plan where it is engraved and people know that say, every Monday or Tuesday or every Friday, the appraisal has to take place."*

Since teachers (61%) felt that the DoE was not playing a significant role, the school was stuck because of no instructions came from the Provincial Department of Education [question 9.9].

7.4.8.   Trust and respect

Teacher P2 argues that in order to implement the policy, *"you want someone who you can trust."* Teacher P2 explained the word 'trust', by referring to an example: *"People have respect for him because he earned it because he has shown respect to those people."* Teacher P4 also agreed that *"it's a trust issue!"* When teacher P4 was asked how many staff members were trustworthy, the response was *"about half of the staff …, but I'm not sure whether or not they will be objective."* Despite the lack of respect and trust among staff members, teachers (67%) still expressed their views openly and honestly [question 7.3]. This might result in 'good conversations' without the seriousness to make a decision or even to implement a decision.

Furthermore, teacher P6 believed that

> *"there are too many teachers with personal insecurities. An example that I speak of is trust – there is very little trust. There is very little sincerity. There is very little comradery. In a nutshell from the perspective of the learners, at the school I'm sorry to say that the learners at the school had a major academic backlog, partly because of – I will not degrade my colleagues – it's not incompetence, it's laziness… The teachers are lazy at the school. I'm saying the kids have an academic backlog because your performance at the school is not as it should be."*

7.5. Understanding the level of functionality of Cape Flats Secondary School

While the previous section dealt with the seven broad issues raised by teachers during the interview process, this section will summarise the broad trends from the questionnaires in order to identify the level of functionality of CFSS. This section will be organised in line with the ten broad headings of the questionnaire, and will reflect the average comments from participants within the study.

7.5.1. School ethos

The average responses of participants on the questionnaire section dealing with 'School ethos', reflected an almost 50% split among those who responded with a 'Yes' and those who responded with a 'No'. A fair amount (21%) of the respondents did not know, or either did not respond.

When I take the preferred responses, which include the 'No' responses of 1.1 and 1.4, and the rest of the 'Yes' responses of this section, the situation changes dramatically (see Graph 9). Apart from 1.3, 1.4, 1.5 and 1.8, all other responses are below and far below 40% (6 out of the 10, as indicated by the bold circle at 40%). The average of these ten responses is 32.8% (see Appendix F).

Graph 9 - School Ethos
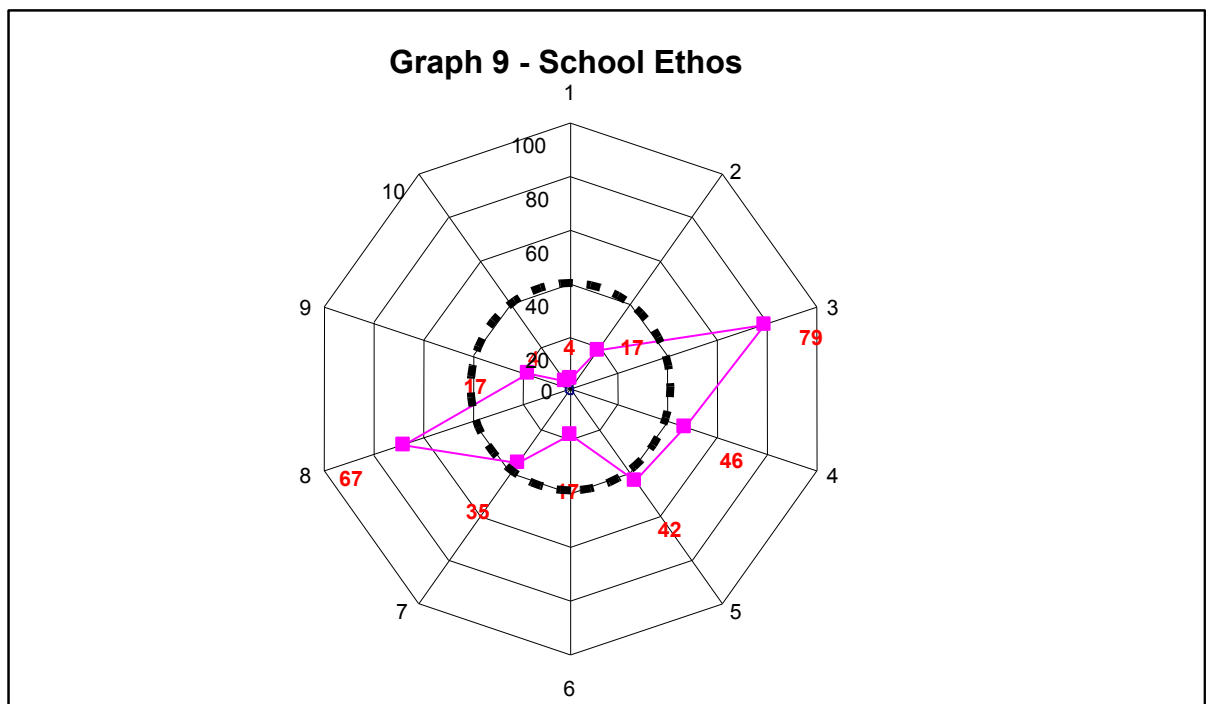
7.5.2.   Vision, aims and strategic planning

The average response on the section dealing with 'Vision, aims and strategic planning', reflected a high 'Yes' response, only because the amount of 'I don't know' responses were extremely high.

When I reflect on the preferred responses, which include all the 'Yes' responses, question 2.6 and 2.7 are the only ones where it is over 50%. All the other responses fall below and way below 40% (8 out of 10, as indicated by the bold circle at 40%). One of the core questions (question 2.1) of this section, which focuses on 'a shared vision among the principal and staff', ends up being only 8%. On the other hand, the two questions (2.6 and 2.7) that deal with 'pastoral care' got high responses [54% and 52% respectively] (see Graph 10).   The average of these ten responses is 27.5% (see Appendix F).
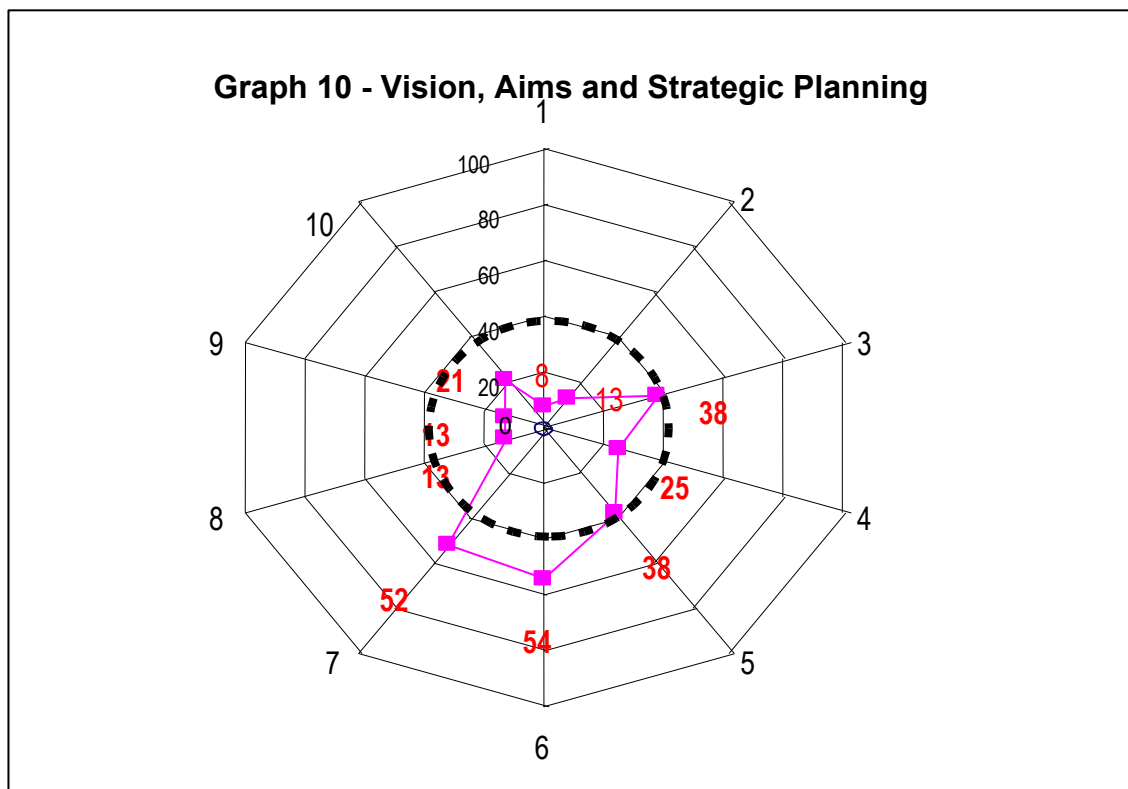
7.5.3.   The principal

The average responses to this section, focusing on the 'Role of the principal', reflected a low perception among staff about the productivity and effectiveness of

the principal. The majority (41%) stated that the principal is not effective, while only 35% stated that he is effective.

When I take into account the preferred responses from staff, which include all the 'Yes' responses against the 'No' responses, the 'Yes' responses reflect a fairly high

Graph 11 - The Principal
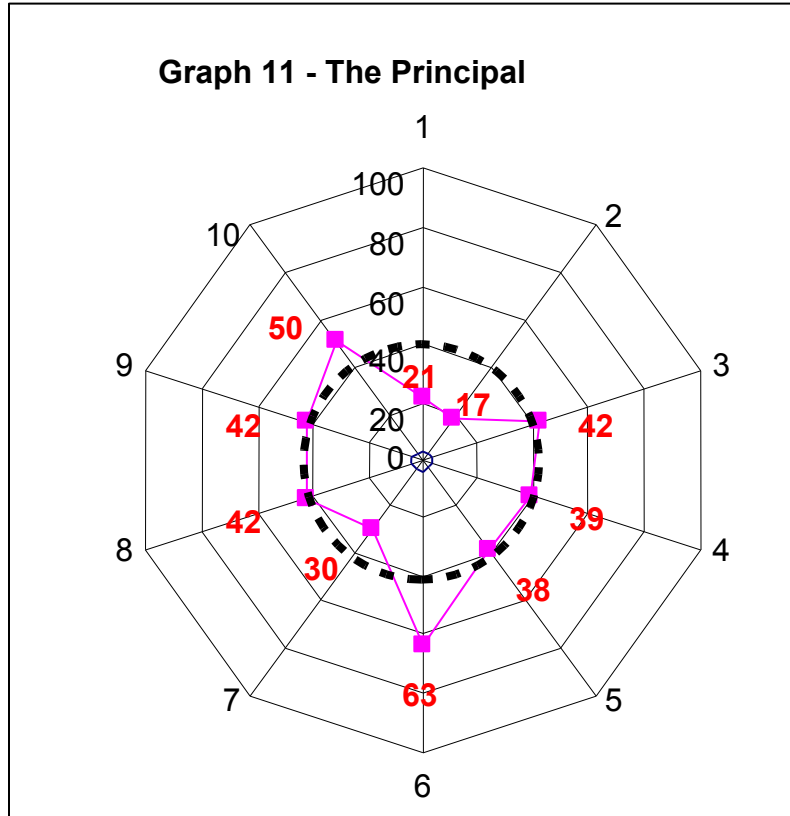
percentage of preferred responses because the 'I don't know' and the 'non-responses' are 24% of the total responses. Five of the ten questions (3.3, 3.6, 3.8, 3.9 and 3.10) have a score higher than 40%, which is particularly high when comparing this section with previous sections (see Graph 11). The average of these ten responses is 38.4% (see Appendix F).

7.5.4.   The principal and the Senior Management Team (SMT)

The average responses of this section dealing with the 'Principal and SMT', reflected almost a one-third split between 'Yes' (34%), 'No' (37%) and 'I don't know plus difference' (29%). In particular, the 'No' responses are more than the 'Yes' responses.

When I take the preferred responses, which include all the 'Yes' responses of this section, only four responses (4.2, 4.3, 4.6. and 4.7) scored over 40%. Only 25% of staff believes that the principal and the SMT 'are working well together' (question 4.1). This percentage (25%) is also relevant for question 4.4, which deals with 'a sense of joint ownership' (see Graph 12). The average of these ten responses is 37.7% (see Appendix F).

Graph 12 - The Principal and SMT
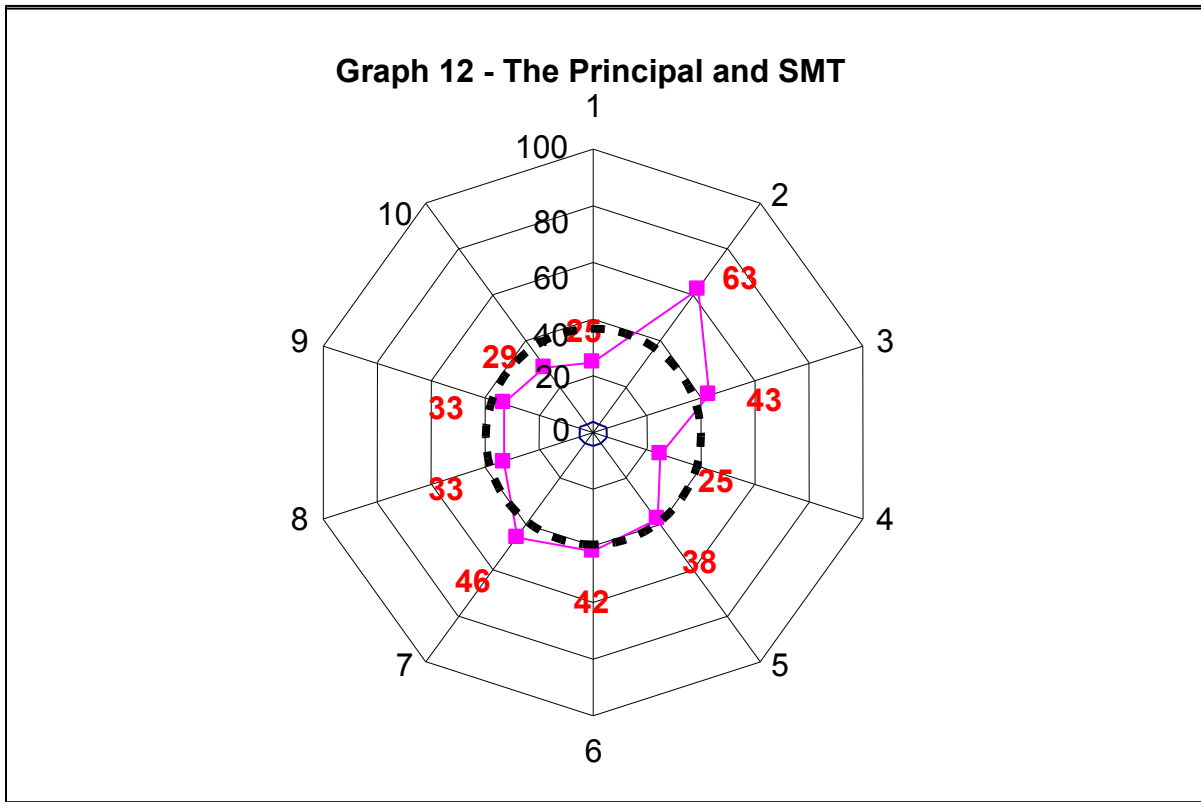
7.5.5.   Structures, roles and responsibilities

Graph 13 - Structures, Roles and Responsibilities
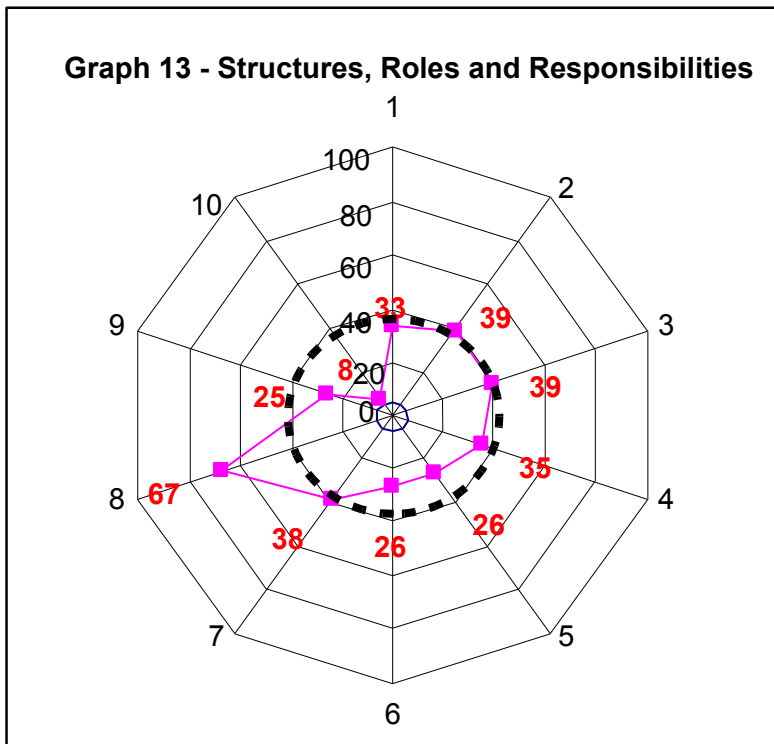
The average responses of this section dealing with the 'Structures, roles and responsibilities' of staff, reflected a majority 'No' response (39%) from participants. The 'Yes' (31%) and "I don't know plus different' (30%) are very close in scores.

When I take the preferred responses, which include all 'Yes' responses, only question 5.8 scores a response above 40% (see Graph 13). In particular, the question (5.10) focusing on

the gender representation within the management level, scored the lowest (8%). The average of these ten responses is 33.6% (see Appendix F).

7.5.6.   Decision making and communication

The average responses of this section dealing with the 'Decision making and communication' of staff, reflected an extremely high percentage of 'Yes' responses, especially if compared with all the other sections. The 'Yes' responses is 56%, the 'No' response is 25% and the 'I don't know plus difference' is 19%.

Graph 14 - Decision Making and Communication
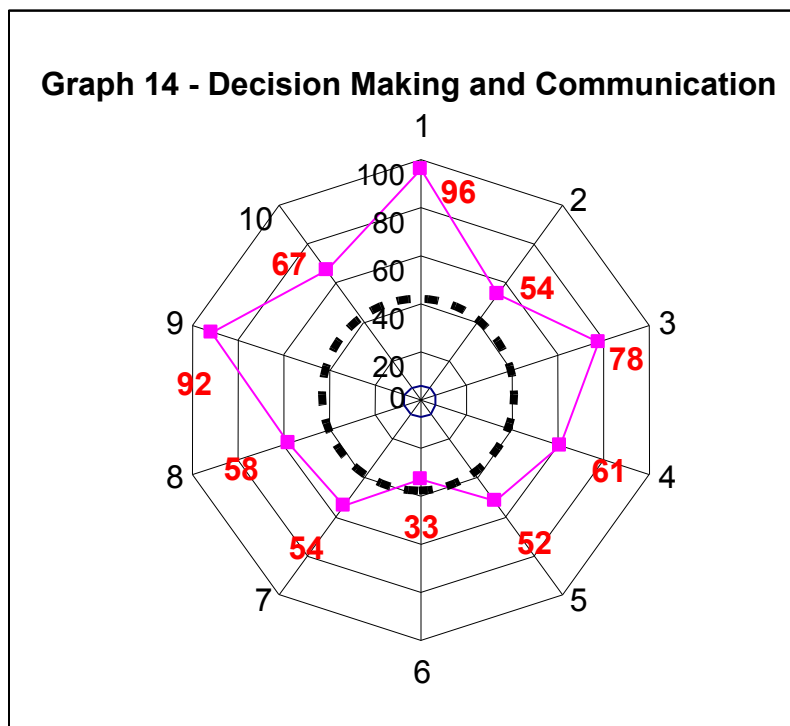
When I take the preferred responses, which include all 'Yes' responses, only question 6.6 scores a response below 40% (see Graph 14). In particular, the question (6.10) focusing on the availability of information scored the highest of the entire questionnaire (97%). The average of these ten responses is 64.5% (see Appendix F).

7.5.7.   Professional working relationships

The average responses of this section dealing with the 'Professional working relationships' of staff, reflected a majority 'No' response (40%) from participants. The 'Yes' (39%) and "I don't know plus different' (21%) make up the other scores.

When I take the preferred responses, which include all 'Yes' responses, six questions (7.3, 7.4, 7.5, 7.6, 7.8 and 7.9) score a response above 40% (see Graph 15). In particular, the question (7.3) focuses on the voice of teachers ('Freedom of speech' scores 67%). The average of ten responses is 44.0% (see Appendix F).

Graph 15 - Professional Working Relationships
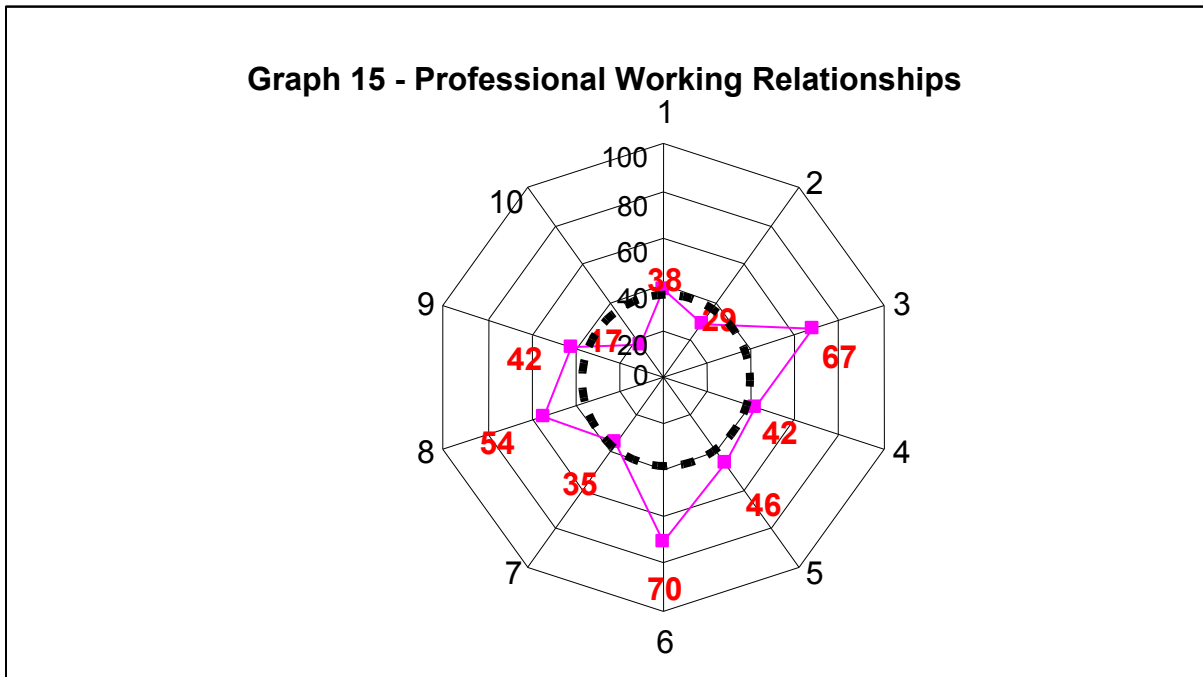
7.5.8.   Links with parents and the community

The average responses of this section dealing with the 'Links with parents and community', reflected a majority 'No' response (42%) from participants. The 'Yes' (37%) and "I don't know plus different' (21%) make up the rest of scores.

Graph 16 - Links with Parents and Community
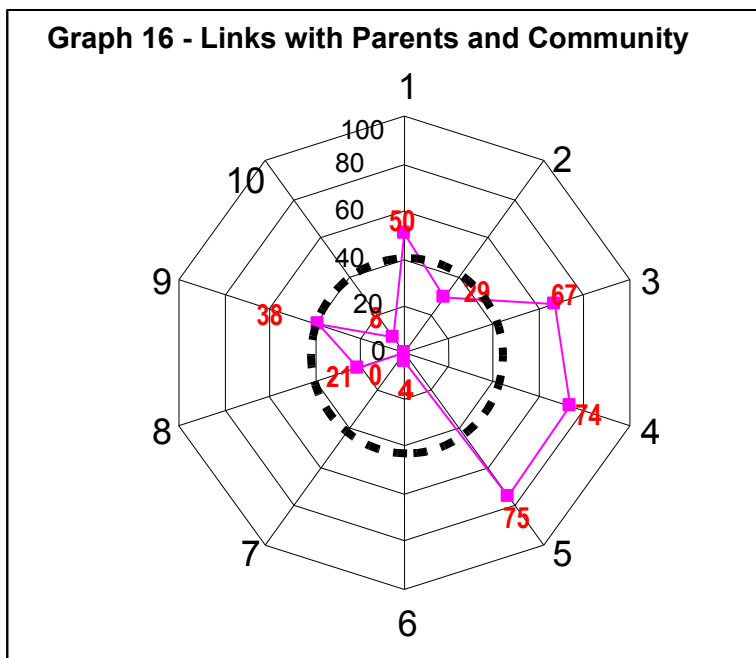
When I take the preferred responses, which include all 'Yes' responses, four questions (8.1, 8.3, 8.4 and 8.5) score above 40% (see Graph 16). In particular, the question (8.8) focusing on the involvement of parents in educational outings scores 0% (only one of four questions to which participants scored a unanimous 0%). The average of these ten responses is 36.6% (see Appendix F).

7.5.9.   The governing body and Department of Education (DoE)

The average responses of this section dealing with the 'Governing body and the DoE', reflected a 50% split between 'No' response (41%) and 'I don't know' responses (41%) from participants.

From the preferred responses, which include six 'Yes' (9.1 and 9.5 – 9.9) and four
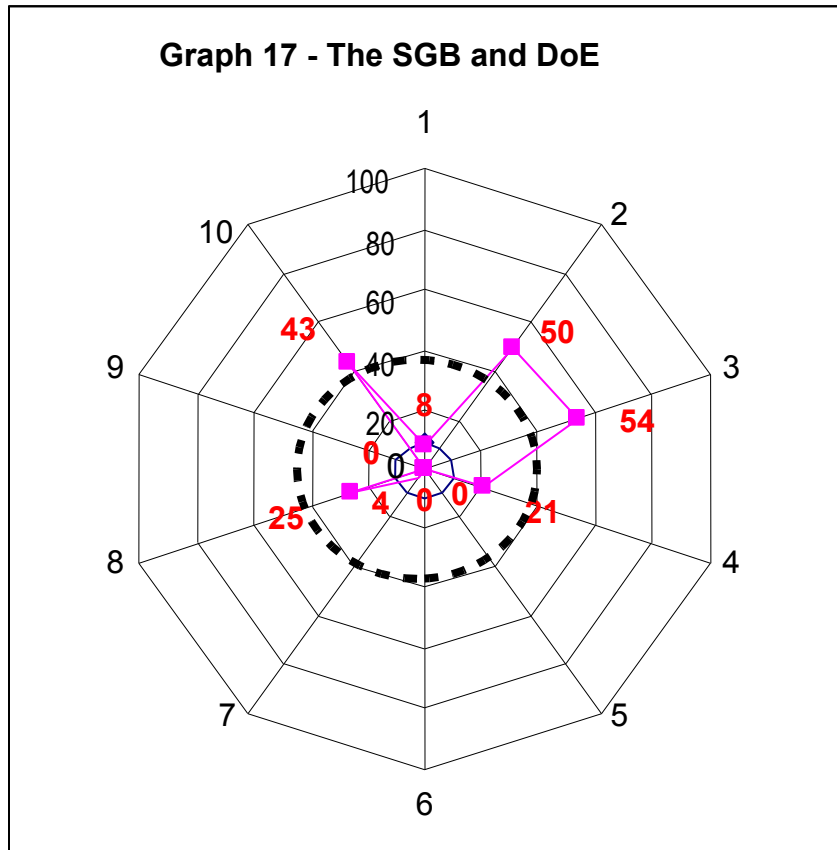
'No' responses (9.2 – 9.4 and 9.10), only two questions (9.2 and 9.3) score above 40% (see Graph 17). In particular, the question (9.9) focusing on the role of DoE in school management is non existent (0%). This is one of three questions (9.5 and 9.6) which got a score of 0% within this section. The average of these ten responses is 20.5%, which is the lowest score for a section (see Appendix F).

Graph 17 - The SGB and DoE

7.5.10.   Managing reform

The average responses of this section dealing with the 'Managing reform' reflected a one-third split between 'No' responses (33%), 'Yes' responses (31%) and 'I don't know' responses (30%) from participants.

When I take the preferred responses, which include seven 'Yes' responses (10.1, 10.3, 10.6 – 10.10) and three 'No' responses (10.2 and 10.4-10.5), only question 10.1 (dealing with the receptiveness to innovation and reform) scores a response above 40% (see Graph 18). In particular, the question (10.5) focusing on the

Graph 18 - Managing Reform
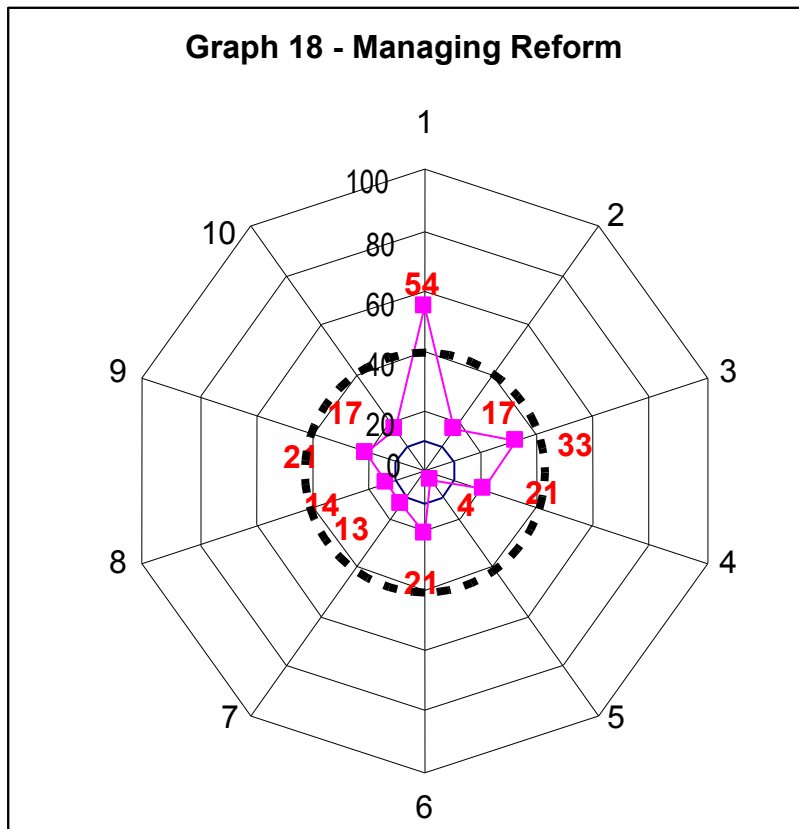
implementation of innovations, scored the lowest (4%). The average of these ten responses is 21.5% (see Appendix F).

Finally, when all the sections are put together, the summary of responses reflected a 39% 'No', 34% 'Yes, 21% 'I don't know' and 6% 'difference'. But when the preferred responses were taken into account across all sections (see Graph 19), the overall school functionality of CFSS was reflected a 35.7% (see Appendix F). The shaded circle at 40% display most of the sections not covered. Only a few sections have responses beyond the 40%, in particular the 'Decision making and communication' and the 'Links with parents and community' sections. Such quantitative data on schools has the potential for support staff in education to approach schools with an informed data source for teacher development, instead of only relying on the opinion of individuals and groups of teacher about the capacity-building and development need of the school.

Graph 19 - Level of school Functionality A
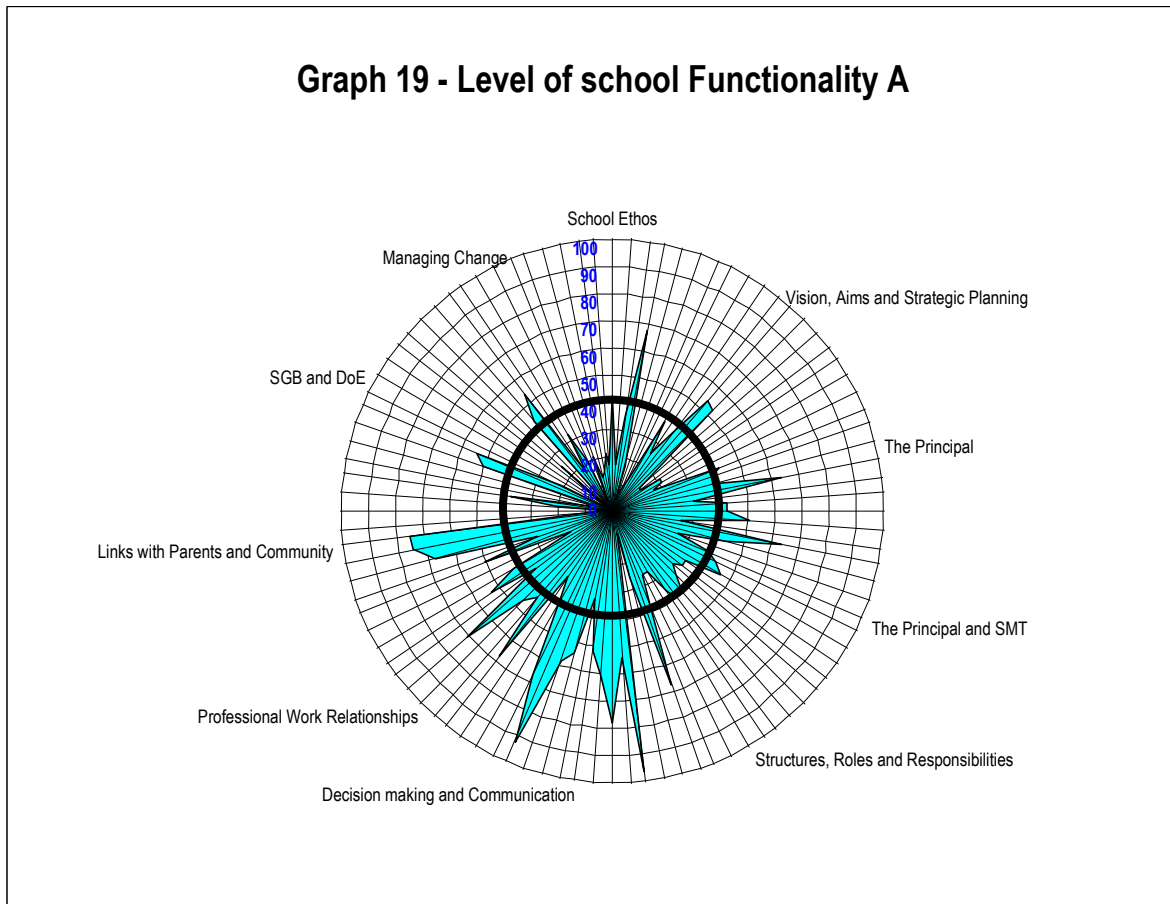
In Graph 20, I display the individual sections on a line-graph. Within this graph the 'Decision making and communication' section as a higher functioning component and 'Managing reform' section as a non-functioning component are evident.

Graph 20 - Level of School Functionality B
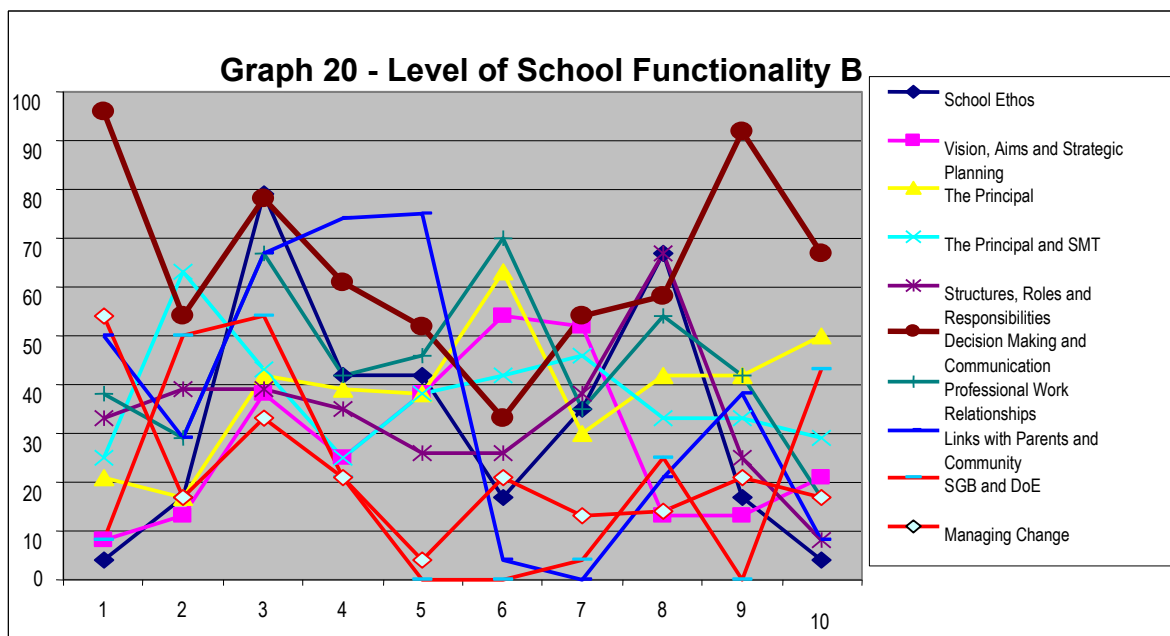
7.6.   A summary of the chapter

Central to this chapter is the determination of the level of school functionality at Cape Flats Secondary School (CFSS).   Both at theoretical and empirical level, school functionality is discussed in relation to earlier conceptions which reflect school effectiveness and improvement approaches. From this chapter, I conclude that determining a school's level of functionality could serve as a measurement to guide policy makers when formulating policies.   In particular, the complexity and depth of reform policies will then inform policy makers at which schools their policy has the potential to be successfully implemented, and which others will need additional support and development before such policies should be attempted to be implemented.   The potential of a school feedback system based on the functionality indicator study is argued to be a useful tool to assist and understand schools, especially during the implementation of reform policies.

The next chapter will conclude this study, and make recommendations about future research with this 'functionality-indicator' approach to school functionality.

Chapter Eight

Theoretical and methodological considerations in this study

8.1   Introduction

The key question of this research was to address the following: Why was the highly promising DAS policy, intended to change the practice of teachers, not implemented at all at Cape Flats Secondary School (CFSS)? This chapter makes use of the discussions in Chapters 5, 6 and 7 to justify the importance and value of the Implementation Readiness Conditions (IRC) framework, which forms the central contribution of this study (see page 72). In particular, the IRC framework captures the degree of complexity and depth of a reform policy; the level of support needed to implement a policy; and the level of functionality of a school. As is known from the literature review in Chapter 2, implementation of reform policies has been a weakness of the South African education system since 1994. The DAS policy is but one such reform policy under question.

The first section of this chapter concludes the study by synthesising the arguments presented in Chapter 5, 6 and 7 which leads to the construction of the Strategic Integrated Policy Process (SIPP) model. This model, I argue, adds a bottom-up component (IRC framework) to the current 'disconnected', top-down policy process which is often the basis for critique of the current policy process. The second section discusses the policy insights of the study. In particular, the ideas developed from the three policy-making stages will be discussed. Finally, before I conclude the chapter, I will discuss the contributions of this study.

8.2   Synthesising the arguments of Chapters 5, 6 and 7

In Chapter 5, I discussed the level of complexity and depth of the DAS policy. In particular, I made reference to five types of reform policies, which increase in complexity and depth from Type 1 to Type 5 reform policy. Concluding this chapter, taking into account the 22 steps, I identified the level of difficulty of the DAS policy in

the region of a Type 4-5 policy (calculated at 4.3). In Chapter 6, through analysing the PATT and the school-based information workshops, I argued that both workshops focused only on 'understanding' or 'information sharing' of the DAS policy and not on deeper capacity building to assist teachers to implement the policy. I found that no real support and development took place to assist teachers to implement the policy. The existing school capacity and skills of teachers had to be utilised to implement the policy. This existing capacity and skills at school, displayed through the level of functionality (operations) in Chapter 7, was ascertained through analysing the information from interviews and questionnaires. I concluded this chapter by indicating that the school was only operating at a 'low-functionality' level (35,7%). Based on Table 4 (p.74), CFSS was only 'ready for change' of a Type 1 policy; it would find a Type 2 policy challenging; and it would have been difficult to implement a Type 3 policy. Since the DAS policy was at a Type 4.3 complexity level, it was far too difficult for CFSS to reach for or stretch to implementing the policy. This analysis gives me the reason why it was impossible for CFSS to implement the DAS policy.

In an attempt to overcome the development of policies which end up unimplementable by institutions, this study pulled together these three conceptual components from Chapters 5, 6 and 7 into an Implementation Readiness Conditions framework (see p.72). I argue that these three components form the missing 'first leg' of the 'bottom-up' policy process (see Figure 12, p.73). This additional first leg will allow policy makers to make informed decisions (information-driven decision making) about (1) the level of complexity of the reform policy; (2) the support, development and mediation needed to support the implementation of the reform policy; and (3) the level of functionality of schools to implement reform policies. Based on this information, they will construct policies in a way that takes into account 'what is going on' in schools (readiness to change) and the support system. The inclusion of the IRC framework into the current policy process is therefore adding the missing information component to the current 'disconnected' policy process.

The adoption of the SIPP model will bring about a two-tier approach to the education policy process. Both these approaches will be informed by the information gathered

by the IRC framework, namely (1) to increase the school functionality until the level of possibility; and/or (2) to decrease the complexity and depth of the policy for different schools. First, as discussed in Table 4 on page 74, non-functioning schools already find it difficult to implement Type 1 policies. All other policies are out of their implementation reach.   Therefore, these schools should not be expected to implement Type 2, 3, 4 and 5 reform policies. Rather, it should be the responsibility of both district support agents and the school staff first to build capacity and skills in order for the school to implement the Type 1 policy; and thereafter to build capacity and skills to take on Type 2 and 3 policies. Once the school has mastered these skills to implement Type 2 and 3 policies, the next step will be to build capacity for Type 4 and 5 policies. This capacity-building process should be incremental and gradual, and based on the commitment, energy and will that can be mustered from teachers and other roleplayers (see Figure 17).

Figure 17: The SIPP model with its two-tier approach

Policy complexity		Implementation Support		School Functionality
Type 5				High +
Type 4				High
Type 3				Low +
Type 2				Low
Type 1				Non

Second, it is possible to decrease the complexity and depth of a reform policy in order for different schools to implement the policy. The challenge of this approach is a reduction in 'democratic processes'.   This does not mean the adoption of 'autocratic processes', but more the restriction of 'collective activities among teachers'. The decision-making form Type 1 to Type 5 reform policies increase in collective decision making. In a Type 1 policy, the individual is the decision-making entity, while a Type 3 policy involves the decision making of the entire school. For example, instead of developing a policy that requires the involvement of a team or group of teachers to make decisions, such a policy could restrict the decision making to activities that involve only individual teachers. In the case of the DAS policy, the

demand is for the formation of the SDT to guide the implementation of the policy. At non-functioning schools, teacher will find it difficult to form such a structure because of tensions and infighting over who must serve on such a team. Policy makers could allocate this role to senior personnel to fulfil such functions, such as the Head of Department (HOD) of the particular teacher involved. By decreasing the complexity level (from a team or group to an individual), movement along the implementation steps will become possible, instead of the policy getting stuck at the earlier implementation steps.

Both these approaches will have to be accompanied by intense support to schools that are committed and willing to improve and develop. Schools that are functioning below the complexity level of the policy can be enticed through human resource strategies at the operational implementation stage and policy improvement strategies at the policy formulation stage.   This discussion, taken from the experience of DAS, leaves aside the question of how to transform schools whose teachers are not willing to reform.   Therefore, it in particular does not deal with policies which focus on constitutional imperatives such as non-racialism and access to schools. These policies I regard as 'politically driven' rather than 'educationally and professionally driven', and they therefore need a different strategy than the argument in this section.

8.2.1.   Human resource strategies

There are many reasons why a school may not be ready for change and these require different strategies rather than the current one-size-fits-all approach. Schools which are complacent either because they are serving low-risk communities or because they are actually succeeding beyond the expected levels may perhaps be left alone. Well-crafted assessment and accountability systems may provide an adequate incentive for such schools to examine and gradually improve their practices. Some schools might be identified to be 'low-functioning' schools for reasons which are only temporary. This could be because the school is undergoing changes in principal/leadership or is losing experienced teachers.

The responsibility to change is enormous, and the human and financial resources to do it are limited. It therefore, makes sense to focus on schools that are ready for change with an expectation that many schools not ready for change this year may in

the normal course of events become ready within a few years. In particular this approach can be useful since South Africa does not have 'laboratory' schools where these policies can be 'tested, amended and/or adjusted' within controlled situations. Again, well-crafted accountability systems, consistent district-level support for change, and the growing availability of technical assistance over time make it likely that schools that 'sat out' one opportunity for temporary reasons will adopt or create a change plan in later years.

In some cases, schools not otherwise willing to adopt a change, but in need of major change, might be offered substantial inducements to do so. However the element of choice is still important to maintain. In other cases, it may be possible for schools to work with organisational development experts or other advisors to help them become ready for change. For example, if interpersonal problems, factionalism, and inadequate leadership are inhibiting a school's ability to reach an informed consensus on a direction of change, an organisational development consultant might help the school's staff recognise and solve the problem. Another supportive role might be played by mediators - individuals aware of a broad range of changes, who can help staff members assess their needs and resources to make a rational choice between promising alternatives. This assistance may help non-functioning schools to move toward readiness for change.

The most difficult situation is presented by non-functioning schools that are also deeply dysfunctional (indicated by the negative percentage in Figure 10 on p.71). Dysfunctional schools are a section of the non-functioning schools of which there is no development taking place or it is negative (downward spiral), meaning that their level of functionality is not improving or it is even getting worse. At the extreme, these schools may be actively harming children. More often, an incompetent principal, or faction-ridden staff are running non-functioning schools incapable of developing a common vision or change plan. Working with such schools to try to create a climate for change is extremely difficult and unlikely to succeed. These schools are prime candidates for principal changes and, in some situations, reconstitution. Reconstitution, a potential strategy to revive schools, is an unpopular strategy among teachers and teacher unions. It is typically applied to schools that are very low and declining on accountability measures. It usually means transferring

out all staff except those who apply to remain and are accepted by a new principal under a new vision and change plan. Such drastic measures have actually been carried out in other countries, but are very uncommon within the South African education context. But this possibility has become part of the options mentioned by the current Minister of Education (Naledi Pandor) during her visits to the Eastern Cape Province in 2005, as an attempt to save learners and communities from non-functioning schools that are getting worse.

8.2.2.   Policy strategies

As argued previously, schools in turmoil might be reconstituted, possibly to emerge with a new staff committed in advance to implementing a Type 2 reform policy. Within the South African context, this argument will need legislative amendments to allow the necessary structures and personnel to take such a decision. In particular, getting the teacher unions to agree to such a mechanism will be a major challenge.

Additional to human relations strategies, policy strategies that would be necessary to create an infrastructure for the implementation of reform policies include the following:

8.2.2.1.   *Implement reform policies around clear performance standards and accountability expectations*

An important first step in any reform policy plan is to come to an agreement about what the expected standard of delivery is and then hold schools accountable. By themselves, performance standards, assessment, and accountability are unlikely to make a substantial difference in school practices or learner achievement. But if they are tied to an array of practical, attractive, proven options for school and classroom change, they can help motivate school staff members to do the hard work necessary to implement more effective practices. They can also help identify schools that are not facilitating learning among learners so that these schools can receive special assistance and, if assistance is ineffective, reconstitution.

8.2.2.2.   *Help schools make informed choices among a variety of implementation strategies*

One general problem of reform policies is that school staff members are not given the option of choosing an implementation strategy that suits the school because most of the policies are developed as one-size-fits-all approaches. Schools must be

given the option of choosing implementation approaches that match the characteristics of the staff and functionality level of the school, and therefore responding to the school's needs and capabilities. Failing to allow this choice will result in frequent mismatches between the complexity of the reform policy and the functionality of the school.

8.2.2.3.   Target funding to encourage adoption of proven change practices

Almost all reform policies should be designed to be implemented in the long run more or less within the existing financial structure of schools, but many require significant additional investments in the early years (for extensive professional development, materials, technology, and so on). Further, additional funding may be necessary to motivate schools to invest their own resources in the change process. Schools should be given the responsibility to write proposals for funding, indicating the way the school intends to use the resources in order to enhance ownership of the change process.

To promote the transformation of schools and the implementation of reform policies on a broad scale, a stable, predictable source of funds needs to be earmarked just for this purpose. Proposal such as the creation of a 20% set-aside (ring-fenced) fund from the initial education budget could be an option. Dedicated funding for the implementation of reform policies is essential, as displayed within Chapter 6, regardless of the level of funds available to schools for other purposes.

8.3   Policy insights of the study

This section will draw some insights from this study. It refers, in particular, to the policy formulation stage, the policy intervention support stage and the school operational implementation stage. The insights fall into two categories, namely (1) those insights that would be drawn from empirical data like the interviews, questionnaires and my own experience within the policy process; and (2) those insights that would be of a conceptual nature (new thinking), and from which a study of one school could not furnish me with enough information to make generalisations of all other schools.

8.3.1.   Policy formulation insights

Insight One:

Policy makers have to re-assess and re-conceptualise the current policy-making paradigm in operation when developing 'professional' policies such as DAS.

I argue that there are possibly two ways policies could be made in education, namely by following either a 'labour paradigmatic' approach or a 'professional paradigmatic' approach of policy making.   The difference between these two approaches is more about the process of making the policy.

As far as the DAS is concerned, this policy was negotiated within the Education Labour Relations Council (ELRC), the official bargaining council for public teachers in South Africa. Policies are negotiated here based on 'trade-offs', 'compromises' and 'collective agreements'. The essence of negotiations is thus not necessarily to find the best possible solution to a particular problem, but more about getting an agreement on the table that would satisfy most or the majority of stakeholders. Stakeholders would allow changes to the initial policy if it could result in an agreement (majority support). This 'labour-paradigmatic' approach to policy making might be acceptable and useful within a process of salary negotiations and conditions of service agreements.   However, the ELRC would be too narrow a structure to make policy that affects the education system as a whole, especially where the policy would affect different stakeholders either negatively or positively (the need to sacrifice individual benefits for the greater good). On the other hand, a 'professional-paradigmatic' approach to policy making would focus on finding the best relevant solution to the problem or vision. In this case, the focus is not about the benefits of individual stakeholders, but rather what is relevant and suitable in solving the problem.   Inevitably, some of the policies would affect teachers negatively.   For example, a policy that requires teachers to go for professional development during their vacations might be the best possible solution to the problem of teacher capacity at that point in time. During such debates, the vision of attaining quality education for all learners would be the overall driving force or consideration, and not the particular benefits of individual stakeholders.

With this conceptual framework in mind, I do acknowledge the hard fought history of teacher union rights for collective bargaining, and the past deliberate undermining of

teachers by employers.   But it is important that the policy process shows some movement away from a 'no-trust' environment to a 'trust' environment where parties attempt to share the common intent of a policy, instead of, in opposition to each other, looking for ways and means to outmanoeuvre each other.   With reference to Figure 18, I argue that the current South African policy process might be somewhere to the left of level 5, and therefore focused more on labour-orientated approaches rather than professional-orientated approaches to professional policy making.

Another possibility is to subject all professional policy processes within the ELRC to the scrutiny of a professional council.   In this case, the work of the ELRC would be seen as a sub-process of the professional council, which would look at the proposals of the ELRC from a professional point of view.   This professional council would look at the possible impact and effect that such a policy would have on the profession at large.

Figure 18: Moving from a labour paradigm to a professional paradigm of policy making
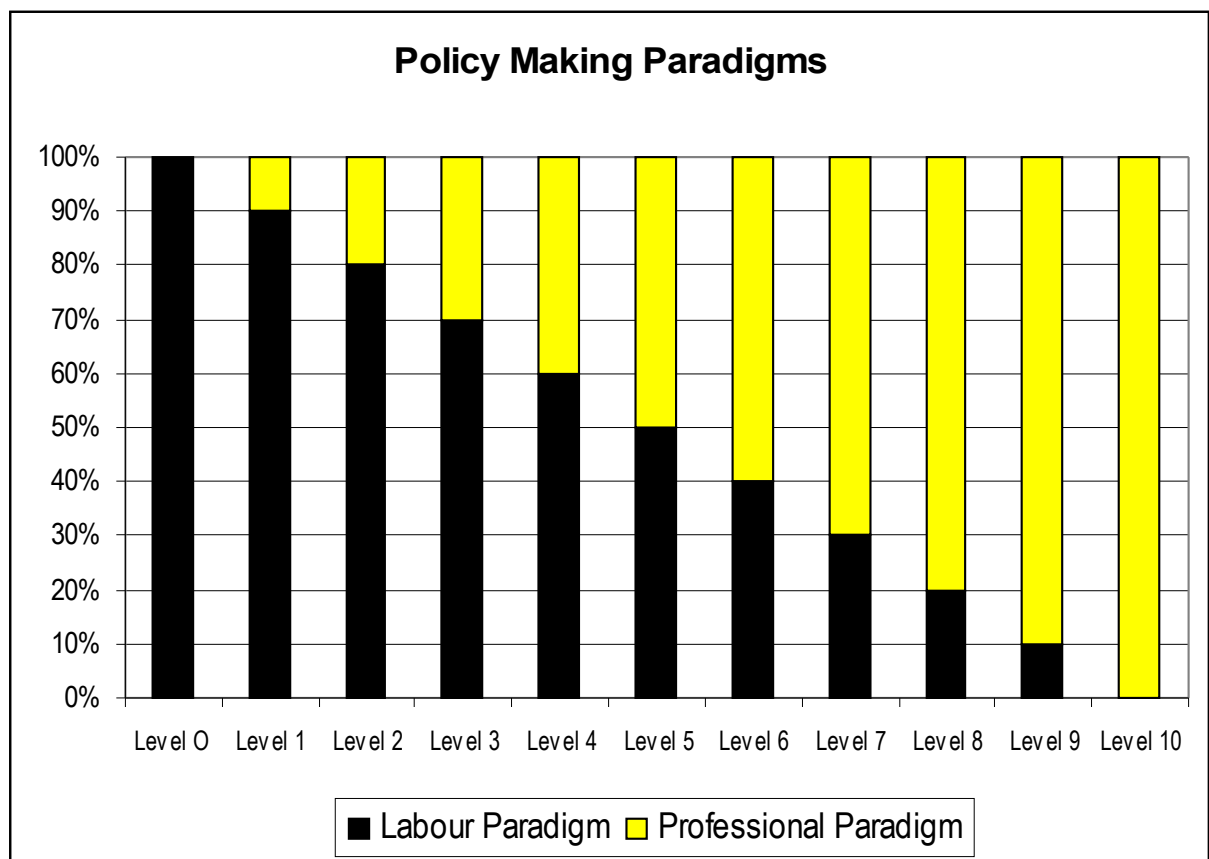
Insight Two:

The limited capacity and skills of employer and employee parties in the DAS policy-making process must be re-assessed and re-conceptualised in order to strengthen future policy making processes in South Africa.

The current education policy process terrain is saturated by only two sets of stakeholders, namely the employee representatives (teacher unions) and employer representative (Departments of Education). When making education policy, there are far more than two roleplayers that could contribute fruitfully to the terrain. In fact, some of those who have been excluded are normally very good at criticising the policy, and therefore could be utilised fruitfully. But the inclusion of additional or new roleplayers must not be based on 'silencing' the current two stakeholders, but on recognising that other roleplayers can add value to the process of policy making.

When I look at the South African processes of policy making, the current two stakeholders certainly have a major role to play during the 'political' and 'mobilising' stages of Hodgkinson model (see page 11), but I argue that other roleplayers will have a more prominent role to play during the 'philosophy', 'planning', 'managing' and 'monitoring' stages. Especially during the 'managing' and 'monitoring' stages, implementation must be left to those who are employed (district officials) to fulfil those roles, but not necessarily without accountability towards other stakeholders. This confusion of roles, which is often expressed by district officials as interference by union representatives or officials, is very prominently demonstrated in my analysis of the DAS policy formulation stage in Chapter 5. Within the DAS policy, teachers are expected to play the role of 'education managers' in the SDT, while teachers are primarily employed to be facilitators of learning and teaching at school level. If teachers have to take on these additional roles within these policy processes, it might result in them (teachers) not having enough time to do what their primary role is, or neglect their role.

My argument about multiple roleplayers during the policy-making process is divided into three focus areas (see p.11), namely the recognition and importance of (i) universities and education researchers during the focus on ideas (ii) teacher unions and departments of education during the focus on politics and (iii) districts and school representatives during the focus on technical implementation.

8.3.2.   Intervention support insights

Insight Three:

The lack of systems (both technical and human), at different levels of education, makes it impossible to support, develop, monitor and evaluate the effective and efficient implementation of the DAS policy.

The DAS policy lacks an integrated development, monitoring and evaluation approach during the intervention support stage. The current 'paper' accountability process through report writing by officials and union representatives, is open for use and abuse by different stakeholders. Most of these reports, during the NATT process mentioned in Chapter 6, have been discovered to be not a truthful account of what is going on at local levels. In fact, most of these reports were discovered to be 'political' reports rather than 'monitoring and evaluation' reports.

By building an ICT (information, communication and technology) database system that reflects the reality at local levels, early-warning signs can be detected and remedied. ICT systems allow principals and policy makers to put mechanisms in place like passwords to control and manage the access of selected individuals and groups to appropriate information. Such a database system will also allow and ensure confidentiality and transparency during the process of appraisal. Those who should have access to the necessary documents would be given the necessary access, and others would be barred. Furthermore, those who should monitor the process of appraisal would know the progress of different schools and individuals.

8.3.3.   Operational implementation insights

Insight Four:

Understanding Cape Flats Secondary School, as an individual organisation with unique characteristics, is a key pre-requisite for developing policies that are aimed at addressing real problems at the school.

During the process of interviewing, almost all teachers at CFSS doubted whether the policy makers actually understood the schools for which they made the DAS policy. Even when I, who had been part of the policy process of DAS, indicated that I certainly understood their school, they were not convinced. After looking deeper into their concerns, I realised that they could not reconcile the demands placed on them by the policy, with the current condition prevailing at their school.

It was evident that the DAS policy has Type 3, 4 and 5 change requirements built into it. On the other had, CFSS only functioned at 35,7%, making it a low-functioning school. The school therefore could attempt complexities of Type 3 policies, but it was too difficult for the school to attempt Type 4 and 5 policy changes. Because the DAS policy, for example, assumed as given the ability of teachers to trust each other when setting up appraisal panels, it would be a major task to adhere to the formation of panels at this school. As discussed in Chapter 7 (see page 153), there is not a high level of trust amongst teachers at the school, and therefore panels would only be formed if they are made up of those people with whom the teacher feels comfortable or only people who are trusted by the teacher. Whether the formation of panels based on the abovementioned process is in the best interests of the teacher is doubtful. And the lack of trust cannot be solved overnight since trust is something that has its origins deeply rooted in the history of relationships and events at the school.

Although this is a conceptual analysis, it is necessary to indicate that the policy of DAS is only relevant to high-functioning schools. Low-functioning schools are operating far beyond the expectations of the DAS policy. For currently high-functioning schools to adhere to this policy would involve a 'down-grading' of what is already happening at these schools. On the other hand, non-functioning schools need other support first, before they could consider implementing the DAS policy. Quite often, these schools must first ensure that they start school on time and close at the expected time; that the teachers are present and in their classrooms. I therefore argue that policy development in South Africa must focus on the three distinct categories of schools, rather than on one-size-fits-all models. Policy makers certainly undermine schools when they attempt to treat different schools as if they are the same.

Insight Five:

The lack of leadership and management skills at Cape Flats Secondary School turned out to be key contributors to the non-implementation of the DAS policy

A central response, separating the opinions of those in leadership and management positions (SMT) at CFSS from that of other teachers, was that the SMT indicated that all the processes and systems are in place (meaning that the 'paperwork' has been

done), while teachers responded that the processes and systems are not in place (meaning that they have not been implemented). If the evaluation of effective and efficient leadership and management at school level continues to focus on scrutinising documents, paperwork and report writing, the gulf between what those 'outside' the school, like circuit managers/inspectors think about the level of functionality of the school and what teachers really experience will increase.

These two perspectives in particular, are very prevalent at non-functioning and low functioning schools. The SMT and the principal are held responsible for what is going on at school, despite the fact that this group has very limited influence in what really happens at the school. Most circuit managers/ inspectors will not accept that their principals are not in charge of the school because they believe in positional leadership. At non-functioning and low-functioning schools, the position is often a burden to those who occupy the principalship. These individuals feel that they carry the problems of the school and school community on their shoulders - problems they believe they have no control over or capacity to solve. Their day-to-day planning, if any, is about survival (surviving the day). A good day will be when not a lot of chaotic things happen and individuals respond to problems the same way fire-fighters respond to calls of emergency. They often leave the school at the end of the day, believing that they have made no difference to the situation at school, but they just hope that the next day(s) will be better.

Most of these principals have never been empowered or capacitated with skills to solve the problems confronting them. Sometimes it will be social problems affecting the community that will spill over to the school, thus affecting the school directly or indirectly. Other times it will be political or cultural problems finding their way into the school. These individuals feel like mediators or negotiators all the time; that there is no real support or understanding of their situation from their seniors or supervisors. The development of the school functionality questionnaire and arguments are attempts to assist school principals and circuit managers/ inspectors to support schools and principals on those things which really need development and improvement.

8.4   Contributions of the study

This study makes the following contributions in these areas:

8.4.1   The 'Policy-Practice Gap' literature

This study shows that the common reference to policy-practice gap issues in the literature, both international and local, can be overcome by the different stakeholders in the policy-making process. If these issues are broken down in the different policy process stages, these gaps can be addressed by different roleplayers and interest groups. For example, policy makers are responsible for the Policy Formulation stage, district support officials are responsible for the Intervention Support and the principal and teachers are responsible for the Operational Implementation of policy.

8.4.2   Implementation Readiness Conditions (IRC) framework

This study highlights three insightful, conceptual components captured within the three policy process stages.

8.4.2.1   *Level of school functionality*

Understanding Cape Flats Secondary School as an individual organisation with a unique level of functionality is a key pre-requisite for developing reform policies like DAS that are aimed at addressing real problems at the school. Because the policy makers of DAS never took into account the level of functionality of the school, teachers at CFSS could not reconcile the demands and challenges placed on them by DAS (Type 4.3 difficulty level), and the current contextual conditions prevailing at their school (low-functioning).

8.4.2.2   *Relevant intervention support*

Understanding the level of functionality of CFSS, and the implementation demands on the schools by DAS could have assisted intervention support agents at district level to tailor their support (both the breadth and depth of support) to the particular needs and characteristics of the school. From the questionnaires, which represent the opinions of the majority of teachers, early deductions could be made that the school was functioning way below the demands of the DAS policy. The commitment and will of the CFSS staff was not sufficient to facilitate the implementation of DAS. The lack of enough capacity and support contributed to the non-implementation of the policy.

8.4.2.3   Level of complexity and depth of reform policy

Understanding the level of complexity and depth of the DAS policy could have assisted policy makers, intervention support agents and operational implementation agents in understanding the effort and resources needed to implement DAS at a school like CFSS. By analysing every step in the DAS process, and its related complexity level for CFSS as a low-functioning school, policy makers would realise that the same implementation process would not work for high-, low- and non-functioning schools. A one-size-fits-all approach to policy is therefore not just unfeasible, but rather inappropriate in the South African school context.

8.5   A summary of the chapter

Is there an easy way of solving our inability to implement education policies in our schools, especially when these policies amount to over a dozen in South Africa? If there were simple and easy answers, it is likely that this study would not have been conducted in the first place. The vastness of the literature on this subject is testimony to the complexity involved in responding to this question. However, I would argue that although there is no one simple recipe for facilitating successful implementation of education policy, there are common issues which are essential for successful policy implementation. How these issues are interpreted and assimilated within the contextual space of a school constitutes the intrinsic complexity of trying to answer such a broad question.

The experience of Cape Flats Secondary School (CFSS) highlights the importance of taking an open and flexible approach when looking for blockages within the implementation process. It further emphasises the importance of contextual factors and conditions as well as the need for flexible, non-homogeneous implementation. Therefore, the study shows that policy makers must let go of their one-size-fits-all notion of policy making. All policy would inevitably be reshaped and adapted based on the character and culture of individual schools, but the essence of the policy should stay the same.

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Appendix A

Interview Questions

(1) Who are you? How long have you been teaching? and, What is your position at the school?

(2) What is your role in the DAS policy implementation process?

(3) What are the skills that you bring to the Staff Development Team and to the school in general?

(4) What is your opinion of the DAS Information Sharing workshops which were organised to empower the staff?

(5) Did you implement the Developmental Appraisal Scheme at your school? How? or Why not?

(6) What is your perception about the DAS policy? and, How does it compare with the previous Inspection policy?

(7) What is the climate at your school right now? and, How does it contribute or militate against the implementation of DAS policy?

(8) What is your perception about the management of your school and its contribution to the implementation of this policy?

(9) Give us a sense of the power relationships at your school, if any, and whether different cliques exist, and why, at your school? and

(10) Is there anything else that you want to raise (that needs to be said) during this interview?

Appendix B   Origin of Questionnaire components

	Questionnaire	What makes a school successful?	Characteristics of successful schools	Factors that support change in different schools	Successful stories	Practical recommendations	Contextual elements	Conditions elements	The Learning school
1	School ethos	Clear and shared focus [2]	Vision [2]	Teacher attitude [7]	Dynamic leadership [3 + 4]	Mission and vision statement [2]	Leadership [3 + 4]	Clear purpose [1]	Identity [1]
2	Vision, Aims and Strategic Planning	High standards and expectations [1]	Leadership [3 + 4]	Clarity of innovation [2]	Make structures more flexible [5]	Core values, principles and goals [1]	Political stability [5' 6 + 7]	Inspiring vision [2]	Strategy [2]
3	The Principal	Effective school leadership [3 + 4]	High Academic Standards [2]	Teacher training [7]	Allocate resources to support educators [6 + 7]	Administrative support [3 + 4]	Levels of cooperation [7]	Strong ownership [6]	Structures and procedures [5]
4	Principal and SMT	High levels of collaboration and Communication [6]	Standards of the heart [1]	Communication and support implementation [6]	Create a discourse of possibility [10]	Develop governance structures [9]	Knowledge of reform [10]	Broad capacity [5]	Technical support [5]
5	Structures, Roles and Responsibilities	Curriculum, Instruction and Assessment aligned with standards [2]	Family-school-community partnerships [8]	Make contingencies compatible with classroom [10]		Set up broad advisory board [8]	Understanding processes and relationships [5, 6 + 7]	Tangible organisational support [6]	Human resources [3 + 4]
6	Decision making and Communication	Frequent monitoring of teaching and learning [5]	Professional development [7]			Develop evaluation plan [5]	Ability and willingness to support change [3 + 4]		Leadership and management [3, 4 + 9]
7	Professional work relationship	Focused professional development [7]	Evidence of success [10]			Development standards and assessment plan [6]	Administrative capacity [3 + 4]		The context [6, 7, 8 + 9]
8	Links with parents and community	Supportive learning environment [5]				Get internal and external support [8 + 9]	Fiscal capacity [3 + 4]		
9	SGB and DoE	High levels of communicty and parental involvement [8 + 9]				Involve stakeholders in all processes [8 + 9]			
10	Managing Change								

Appendix C
CFSS - Questionnaire on School Functionality

A. School Ethos

Questions

	Responses		
	Yes	No	I don't know

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

2. Are most of the parents proud that their children are attending this school?

3. Is there a general concern through the teaching and learning process to provide quality education?
4. Is a questioning, critical attitude actively encouraged, and a complacency attitude actively discouraged among staff?

5. Is there a continual striving for improvement and growth among teachers?
6. Are teachers holding high expectations of learner behaviour and achievements through displaying confidence in them?

7. Is there an open atmosphere for change in the school?

8. Are teachers talking freely about professional matters?

9. Are learners and teachers feeling safe and secure at school?

10. Are teachers working in a stimulating, enjoyable and satisfying atmosphere?

B. Vision, Aims and Strategic Planning

Questions

	Responses		
	Yes	No	I don't know

1. Do the principal and you, as staff member share a common vision about the school's future development?

2. Is there a plan about how to move in the direction of achieving the shared vision?

3. Is there a common set of educational values and purpose among most staff members?

4. Is the school's aim and whole school policies set down clearly in writing, and owned by teachers?
5. Is part of the school aims to help individual learners to achieve their potential (both personal and social) by adopting support material and a teaching and learning style that are sufficiently differentiated to cater for individual needs?

6. Is part of the school aims to provide an environment in which learners are happy, feel valued as individuals and acquire universal moral values?

7. Is part of the school aims to provide an environment in which learners learn to cooperate with one another?

8. Is the management team thinking and planning strategically, paying attention to current practice by being proactive and keen to stay in the forefront of change?
9. Is the management team competent at anticipating future developments and implications these might have for school?

10. Is the management team displaying the capacity to avoid crisis management?

C. The Principal

Questions

	Responses		
	Yes	No	I don't know

1. Does the principal provide strong leadership and a definite sense of direction through a clear vision based beliefs and values?
2. Does the principal actively shape the culture and ethos of the school through strategic thinking and planning?

3. Does the principal encourage quality teaching and high expectations, but supportive to colleagues in crisis?

4. Does the principal discourage complacency through motivation?

5. Does the principal display enthusiasm, optimism, being positive and constructive?

6. Does the principal regularly express appreciation to staff, and celebrate special achievements?

7. Is the principal prepared to help out instead of putting him/her self above colleagues?

8. Does the principal generally act as a buffer, protecting staff from political and other external interference?
9. Is the principal well organised and in touch with events in school, as well as keeping abreast of new initiatives?

10. Is the principal strongly supporting and regularly participating in staff and management development?

D. The Principal and the Senior Management Team

Questions

	Responses		
	Yes	No	I don't know

1. Are they working well together as a team through clearly defined roles and responsibilities known to staff?

2. Are they highly visible and approachable?

3. Are they highly visible and approachable, and face up to differences of opinion by working for a negotiated solution?

4. Do they have a sense of joint ownership of school developments when making decisions?

5. Do they set out a broad strategy for change and support teachers during the implementation of change?

6. Do they model desired behaviours and attributes e.g. hard work, commitment, mutual support and team-work?

7. Do they acknowledge that they are accountable to staff by providing clear evidence of the outcomes of their actions?

8. Do they behave with openness, honesty and integrity, and are they ready to admit mistakes and to consider alternatives?

9. Are they adept at managing people, including identifying and mobilising individual talents and energies?

10. Are they delegating meaningful tasks in order to develop and empower staff?

E. Structures, Roles and Responsibilities

Questions

	Responses		
	Yes	No	I don't know

1. Is there a clear organisational structure that is appropriate for meeting the school's aims?

2. Are the staff roles and responsibilities defined within the structure?

3. Are the lines of accountability known to everyone within the structure?

4. Is the structure flexible enough to be altered to meet changing circumstances?

5. Are systems in place for monitoring and reviewing practice?

6. Is there a readiness to modify and adapt the practice where necessary?

7. Is a whole-school approach in achieving school goals encouraged?

8. Are teachers having easy access to school policy documents and support materials?

9. Are women teachers in promotion posts assigned traditional female responsibilities?

10. Are the proportion of women on the staff reflected in the number of managerial positions held by women?

F. Decision Making and Communication

Questions

	Responses		
	Yes	No	I don't know

1. Are staff meetings used for the discussion of major policy issues?

2. Are working parties or small groups used to investigate particular issues and make policy recommendations?

3. Are teachers sharing in major decision making?

4. Are meetings well-chaired?

5. Are meetings purposeful?

6. Are meetings kept to a minimum?

7. Is there frequent, direct and open communication between staff and management?

8. Are channels of communication operating in both directions?

9. Are teachers regularly briefed by the principal about day-to-day issues?

10. Are teachers generally feeling well-informed?

G. Professional Working Relationships

Questions

	Responses		
	Yes	No	I don't know

1. Is there a good team spirit?

2. Are the staff feeling valued?

3. Are teachers able to express their views openly and honestly?

4. Are teacher contributions given recognition and taken seriously in staff meetings?

5. Is there a concern to build a learning environment for both staff and learners?

6. Are teachers striving to improve their professional practice?

7. Are teachers regularly engaging in joint planning?

8. Are teachers encouraged to share ideas, experiences and success?

9. Is professional development an integral part of the job of teachers, in order to acquire new skills?

10. Are experimentation and reasonable risk taking encouraged?

H. Links with Parents and the Community

Questions

	Responses		
	Yes	No	I don't know

1. Are teachers working to build and maintain good relations with parents?

2. Is there an active and supportive school governing body?

3. Are parents made to feel welcome in the school?

4. Are parents informed about significant developments in the school?

5. Are parents consulted about significant developments affecting their children?

6. Are parents widely encouraged to help out in the classroom?

7. Are parents invited to joint educational excursions?

8. Are teachers working to build and maintain community links?

9. Is the school responsive to the culture of the local community?

10. Are there good links with local business?

I. The Governing Body and Department of Education

Questions

Responses		
Yes	No	I don't know

1. Are the staff and governing body enjoying a positive and harmonious relationship?

2. Are teachers resenting the powers of the governing body?

3. Is there evidence of serious disagreement between school staff and the governing body?

4. Is the governing body very content to follow the principal's advice on educational issues?

5. Are all members of the governing body well-acquainted with the internal workings of the school?

6. Are governing body members provided the opportunity in sub-committees and working parties to work with staff on reviewing specific aspects of school policy and practice?

7. Are governing body members involved in exercises concerned with institutional review?

8. Is there a sound relationship between school and the Department of Education?

9. Are members of the DoE playing a significant part in school management?

10. Is the school very dependent on the support of the DoE?

J. Managing Change

Questions

Responses		
Yes	No	I don't know

1. Is the school receptive to innovation and change?

2. Is there a degree of professional scepticism about the current changes?

3. Does the principal, where doubts are expressed, use it effectively to the advantage of education?

4. Is there a perceived 'innovation overload' among staff?

5. Are some of the innovations or developments left 'up-in-the-air' and not fully implemented or discussed?

6. Is the school re-aligning the existing structures in line with the innovations?

7. Does the principal allocate resources to support innovations?

8. Is change being successfully managed?

9. Have current transformations led to an increase in collaborative decision-making?

10. Despite the fact that collaborative decision-making is taking more time, is management perceiving it to lead to better results?

Appendix D

Summary of Analysis of Questionnaire responses

Y = Preferred response (both Yes and No)

Y=n
Y=p

A. School Ethos

	Questions	Yes	No	Don't know	Diff.	Pos %	Yes	No	Don't know
n	1.1 Are attendance, discipline and vandalism by learners major problems in school?	23	1	0	2	4	96%	4%	0%
p	1.2 Are most of the parents proud that their children are attending this school?	4	4	16	2	17	17%	17%	67%
p	1.3 Is there a general concern through the teaching and learning process to provide quality education?	19	3	2	2	79	79%	13%	8%
n	1.4 Is a questioning, critical attitude actively encouraged, and a complacency attitude actively discouraged among staff?	11	10	3	2	46	46%	42%	13%
p	1.5 Is there a continual striving for improvement and growth among teachers?	10	9	5	2	42	42%	38%	21%
p	1.6 Are teachers holding high expectations of learner behaviour and achievements through displaying confidence in them?	4	15	4	3	17	17%	65%	17%
p	1.7 Is there an open atmosphere for change in the school?	8	9	6	3	35	35%	39%	26%
p	1.8 Are teachers talking freely about professional matters?	16	6	2	2	67	67%	25%	8%
p	1.9 Are learners and teachers feeling safe and secure at school?	4	17	2	3	17	17%	74%	9%
p	1.10 Are teachers working in a stimulating, enjoyable and satisfying atmosphere?	1	21	2	2	4	4%	88%	8%

B. Vision, Aims and Strategic Planning

	Questions	Yes	No	Don't know	Diff.	Pos %	Yes	No	Don't know
p	2.1 Do the principal and you, as staff member share a common vision about the school's future development?	2	13	9	2	8	8%	54%	38%
p	2.2 Is there a plan about how to move in the direction of achieving the shared vision?	3	17	4	2	13	13%	71%	17%
p	2.3 Is there a common set of educational values and purpose among most staff members?	9	15	0	2	38	38%	63%	0%
p	2.4 Is the school's aim and whole school policies set down clearly in writing, and owned by teachers?	6	15	3	2	25	25%	63%	13%
p	2.5. Is part of the school aims to help individual learners to achieve their potential (both personal and social) by adopting support material and a teaching and learning style that are sufficiently differentiated to cater for individual needs?	9	11	4	2	38	38%	46%	17%
p	2.6 Is part of the school aims to provide an environment in which learners are happy, feel valued as individuals and acquire universal moral values?	13	9	2	2	54	54%	38%	8%
p	2.7 Is part of the school aims to provide an environment in which learners learn to cooperate with one another?	12	7	4	3	52	52%	30%	17%
p	2.8 Is the management team thinking and planning strategically, paying attention to current practice by being proactive and keen to stay in the forefront of change?	3	14	6	3	13	13%	61%	26%
p	2.9 Is the management team competent at anticipating future developments and implications these might have for school?	3	11	10	2	13	13%	46%	42%
p	2.10 Is the management team displaying the capacity to avoid crisis management?	5	16	3	2	21	21%	67%	13%

C. The Principal

	Questions	Yes	No	Don't know	Diff.	Pos %	Yes	No	Don't know
p	3.1 Does the principal provide strong leadership and a definite sense of direction through a clear vision based beliefs and values?	5	13	6	2	21	21%	54%	25%
p	3.2 Does the principal actively shape the culture and ethos of the school through strategic thinking and planning?	4	14	6	2	17	17%	58%	25%
p	3.3 Does the principal encourage quality teaching and high expectations, but supportive to colleagues in crisis?	10	10	4	2	42	42%	42%	17%
p	3.4 Does the principal discourage complacency through motivation?	9	12	2	3	39	39%	52%	9%
p	3.5 Does the principal display enthusiasm, optimism, being positive and constructive?	9	12	3	2	38	38%	50%	13%
p	3.6 Does the principal regularly express appreciation to staff, and celebrate special achievements?	15	8	1	2	63	63%	33%	4%
p	3.7 Is the principal prepared to help out instead of putting him/her self above colleagues?	7	11	5	3	30	30%	48%	22%
p	3.8 Does the principal generally act as a buffer, protecting staff from political and other external interference?	10	8	6	2	42	42%	33%	25%
p	3.9 Is the principal well organised and in touch with events in school, as well as keeping abreast of new initiatives?	10	8	6	2	42	42%	33%	25%
p	3.10 Is the principal strongly supporting and regularly participating in staff and management development?	12	9	3	2	50	50%	38%	13%

D. The Principal and the Senior Management Team

Questions	Yes	No	Don't know	Diff.		Yes	No	Don't know
4.1 Are they working well together as a team through clearly defined roles and responsibilities known to staff?	6	11	7	2	25	25%	46%	29%
4.2 Are they highly visible and approachable?	15	5	4	2	63	63%	21%	17%
4.3 Are they facing up to differences of opinion by working for a negotiated solution?	10	9	4	3	43	43%	39%	17%
4.4 Do they have a sense of joint ownership of school developments when making decisions?	6	10	8	2	25	25%	42%	33%
4.5 Do they set out a broad strategy for change and support teachers during the implementation of change?	9	8	7	2	38	38%	33%	29%
4.6 Do they model desired behaviours and attributes e.g. hard work, commitment, mutual support and team-work?	10	9	5	2	42	42%	38%	21%
4.7 Do they acknowledge that they are accountable to staff by providing clear evidence of the outcomes of their actions?	11	9	4	2	46	46%	38%	17%
4.8 Do they behave with openness, honesty and integrity, and are they ready to admit mistakes and to consider alternatives?	8	9	7	2	33	33%	38%	29%
4.9 Are they adept at managing people, including identifying and mobilising individual talents and energies?	8	11	5	2	33	33%	46%	21%
4.10 Are they delegating meaningful tasks in order to develop and empower staff?	7	12	5	2	29	29%	50%	21%

E. Structures, Roles and Responsibilities

Questions	Yes	No	Don't know	Diff.		Yes	No	Don't know
5.1 Is there a clear organisational structure that is appropriate for meeting the school's aims?	8	8	8	2	33	33%	33%	33%
5.2 Are the staff roles and responsibilities defined within the structure?	9	7	7	3	39	39%	30%	30%
5.3 Are the lines of accountability known to everyone within the structure?	9	12	2	3	39	39%	52%	9%
5.4 Is the structure flexible enough to be altered to meet changing circumstances?	8	10	5	3	35	35%	43%	22%
5.5 Are systems in place for monitoring and reviewing practice?	6	12	5	3	26	26%	52%	22%
5.6 Is there a readiness to modify and adapt the practice where necessary?	6	10	7	3	26	26%	43%	30%
5.7 Is a whole-school approach in achieving school goals encouraged?	9	11	4	2	38	38%	46%	17%
5.8 Are teachers having easy access to school policy documents and support materials?	16	4	4	2	67	67%	17%	17%
5.9 Are women teachers in promotion posts assigned traditional female responsibilities?	6	13	5	2	25	25%	54%	21%
5.10 Are the proportion of women on the staff reflected in the number of managerial positions held by women?	2	16	6	2	8	8%	67%	25%

F. Decision Making and Communication

Questions	Yes	No	Don't know	Diff.		Yes	No	Don't know
6.1 Are staff meetings used for the discussion of major policy issues?	22	1	0	3	96	96%	4%	0%
6.2 Are working parties or small groups used to investigate particular issues and make policy recommendations?	13	6	5	2	54	54%	25%	21%
6.3 Are teachers sharing in major decision making?	18	2	3	3	78	78%	9%	13%
6.4 Are meetings well-chaired?	14	5	4	3	61	61%	22%	17%
6.5 Are meetings purposeful?	12	6	5	3	52	52%	26%	22%
6.6 Are meetings kept to a minimum?	8	15	1	2	33	33%	63%	4%
6.7 Is there frequent, direct and open communication between staff and management?	13	6	5	2	54	54%	25%	21%
6.8 Are channels of communication operating in both directions?	14	6	4	2	58	58%	25%	17%
6.9 Are teachers regularly briefed by the principal about day-to-day issues?	22	2	0	2	92	92%	8%	0%
6.10 Are teachers generally feeling well-informed?	16	5	3	2	67	67%	21%	13%

G. Professional Working Relationships

Questions	Yes	No	Don't know	Diff.		Yes	No	Don't know
7.1 Is there a good team spirit?	9	12	3	2	38	38%	50%	13%
7.2 Are the staff feeling valued?	7	15	2	2	29	29%	63%	8%
7.3 Are teachers able to express their views openly and honestly?	16	6	2	2	67	67%	25%	8%
7.4 Are teacher contributions given recognition and taken seriously in staff meetings?	10	7	7	2	42	42%	29%	29%
7.5 Is there a concern to build a learning environment for both staff and learners?	11	7	6	2	46	46%	29%	25%
7.6 Are teachers striving to improve their professional practice?	16	2	5	3	70	70%	9%	22%
7.7 Are teachers regularly engaging in joint planning?	8	14	1	3	35	35%	61%	4%
7.8 Are teachers encouraged to share ideas, experiences and	13	8	3	2	54	54%	33%	13%

success?

	Questions	Yes	No	Don't know	Diff.		Yes	No	Don't know
p	7.9 Is professional development an integral part of the job of teachers in order to acquire new skills?	10	11	3	2	42	42%	46%	13%
p	7.10 Are experimentation and reasonable risk taking encouraged?	4	14	6	2	17	17%	58%	25%

H. Links with Parents and the Community

	Questions	Yes	No	Don't know	Diff.		Yes	No	Don't know
p	8.1 Are teachers working to build and maintain good relations with parents?	12	8	4	2	50	50%	33%	17%
p	8.2 Is there an active and supportive school governing body?	7	12	5	2	29	29%	50%	21%
p	8.3 Are parents made to feel welcome in the school?	16	5	3	2	67	67%	21%	13%
p	8.4 Are parents informed about significant developments in the school?	17	3	3	3	74	74%	13%	13%
p	8.5 Are parents consulted about significant developments affecting their children?	18	4	2	2	75	75%	17%	8%
p	8.6 Are parents widely encouraged to help out in the classroom?	1	20	3	2	4	4%	83%	13%
p	8.7 Are parents invited to joint educational excursions?	0	21	3	2	0	0%	88%	13%
p	8.8 Are teachers working to build and maintain community links?	5	13	6	2	21	21%	54%	25%
p	8.9 Is the school responsive to the culture of the local community?	9	11	4	2	38	38%	46%	17%
p	8.10 Are there good links with local business?	2	17	5	2	8	8%	71%	21%

I. The Governing Body and Department of Education

	Questions	Yes	No	Don't know	Diff.		Yes	No	Don't know
p	9.1 Are the staff and governing body enjoying a positive and harmonious relationship?	2	15	7	2	8	8%	63%	29%
n	9.2 Are teachers resenting the powers of the governing body?	5	12	7	2	50	21%	50%	29%
n	9.3 Is there evidence of serious disagreement between school staff and the governing body?	5	13	6	2	54	21%	54%	25%
n	9.4 Is the governing body very content to follow the principal's advice on educational issues?	8	5	11	2	21	33%	21%	46%
p	9.5 Are all members of the governing body well-acquainted with the internal workings of the school?	0	13	11	2	0	0%	54%	46%
p	9.6 Are governing body members provided the opportunity in sub-committees and working parties to work with staff on reviewing specific aspects of school policy and practice?	0	14	9	3	0	0%	61%	39%
p	9.7 Are governing body members involved in exercises concerned with institutional review?	1	12	11	2	4	4%	50%	46%
p	9.8 Is there a sound relationship between school and the Department of Education?	6	9	9	2	25	25%	38%	38%
p	9.9 Are members of the DoE playing a significant part in school management?	0	14	9	3	0	0%	61%	39%
n	9.10 Is the school very dependent on the support of the DoE?	4	10	9	3	43	17%	43%	39%

J. Managing Change

	Questions	Yes	No	Don't know	Diff.		Yes	No	Don't know
p	10.1 Is the school receptive to innovation and change?	13	6	5	2	54	54%	25%	21%
n	10.2. Is there a degree of professional scepticism about the current changes?	18	4	2	2	17	75%	17%	8%
p	10.3 Does the principal, where doubts are expressed, use it effectively to the advantage of education?	8	7	9	2	33	33%	29%	38%
n	10.4 Is there a perceived 'innovation overload' among staff?	12	5	7	2	21	50%	21%	29%
n	10.5 Are some of the innovations or developments left 'up-in-the-air' and not fully implemented or discussed?	17	1	5	3	4	74%	4%	22%
p	10.6 Is the school re-aligning the existing structures in line with the innovations?	5	11	8	2	21	21%	46%	33%
p	10.7 Does the principal allocate resources to support innovations?	3	11	10	2	13	13%	46%	42%
p	10.8 Is change being successfully managed?	3	13	6	4	14	14%	59%	27%
p	10.9 Have current transformations led to an increase in collaborative decision-making?	5	10	9	2	21	21%	42%	38%
p	10.10 Despite the fact that collaborative decision-making is taking more time, is management perceiving it to lead to better results?	4	7	13	2	17	17%	29%	54%

Appendix E

Comparing the 22 steps of SADTU with the 11 steps of the facilitator's manual

	11 steps of Facilitator's manual		22 steps of SADTU		
Step	Meeting	Action		Level	Step
			School need to establish **a Professional Development Committee**, as prescribed by the South African Schools Act of 1986 (people interested in staff development).	5	1
			From this committee, the staff will elect **a Staff Development Team** (SDT) whose responsibility is to train teachers, oversee, monitor, organise and manage the DAS. Members of the team will be elected based on their ability or potential to perform the task within the SDT. By virtue of his/her position the principal will be part of the SDT, but not necessarily the chairperson or co-ordinator.	5	2
1	Staff meeting	SDT explains developmental appraisal purpose, philosophy, process, forms, management plan, appraisees and appraisal panels.	After electing the **SDT**, the two staff members who were trained by the Provincial Appraisal or District Appraisal Team, will then **train the entire staff** at the school.	5	3
2	Staff meeting	The persons to be appraised will be decided.	The staff will, based on sound democratic principles, **identify halve of the staff complement to be appraised** during the first phase of the appraisal cycle. The other halve will be appraised during the second phase of the cycle.	3	4
3	Panel meeting	The appraisal panel will be formed and their roles within it resolved.	The appraisees will, in consultation with the SDT, **establish the rest of the Appraisal Panel**. It is advisable to spread the appraisers as widely as possible to avoid the over-burdening of one or a small group of people. It will also assist schools it appraisal panels could be identified for a group of	5	5

			appraisees, if this could be agreed on. The **appraisees** must be given the opportunity to propose the **peer and union representative**, while collectively the **panel** will identify the most **appropriate senior and outside person**. It must be emphasised that this process is not a 'power play', but a process of consensus.		
			The SDT will complete the list of all the appraisal panels at that school. Collectively, the participants will **identify dates for the initial meeting** of the panel. It is crucial that appropriate venues be identified for all the appraisal activities.	3	6
			The **appraisers** will now **familiarise themselves** with the institution, appraisee and the broader community.	3	7
			The **appraisee** will do **self-assessment** in order to facilitate the discussion during the initial meeting. Self-assessment ensures that the appraisee becomes part of the process of appraisal, and not just an 'object' which is under 'investigation'.	5	8
5	Panel meeting 2	The forms filled in by the appraisee are discussed and finalised within an appraisal panel meeting. Also at this meeting the appraisal panel will finalise arrangements for how the appraisal will be conducted, by whom and how the criteria are being understood.	The initial meeting for the appraisal panel will focus on the following issues: ■ a) to elect the chairperson of the panel; ■ b) clarify the aims and purposes of appraisal to the entire panel; ■ c) to set the tone and direction for the appraisal process by clarifying the roles and responsibilities of both the appraisers and appraisee; ■ d) for members to share possible misgivings and problems which might be part of individuals on the panel; ■ e) identify who, when and how the data that will be collected for the appraisal interview (at this point, any optional or/and additional criteria	5	9

			which the appraisee wants to include must be identified in order to facilitate the verification of this data);		
			■ f) identify the information that will be needed from the appraisee, how the information will be used as well as what will be expected from the appraisee during the appraisal interview;		
			■ g) discuss the date for the appraisal interview meeting;		
			■ h) the procedure to be followed;		
			■ i) whether classroom observation will be appropriate in the case of the specific candidate, and if yes, who, when, the nature and how often it will be performed;		
			■ j) the criteria that will be used, taken from the appraisal instrument;		
			■ k) the time-frame of the appraisal process, and;		
			■ l) the repetition of the process if 'agreed statement' cannot be reached.		
4	On your own	The appraisee fills in the form for Personal Details and the Professional Growth Plan.	The **appraisee** will complete his/her **personal details form**. This form will be filed at the institution within the educator's personal folder, which will contain all the relevant teacher development reports. The inclusion of these reports must be discussed with the teacher involved.	1	10
			Copies of the **Prioritisation form** will be handed to the **entire appraisal panel by the SDT**. The a**ppraisee** alone will complete the *first column*, and the **peer and/or senior** will complete the *second column*. The *last column* will be completed by the **entire appraisal panel**, of which the appraisee is part of.	2	11
6		The appraisal is conducted by members of the appraisal team using the criteria decided upon.	Between the initial meeting and the appraisal interview meeting, the **SDT will act as the support structure** to the appraisal panel, especially with the collection of data by the appraisers and the conduction of the self-appraisal by	3	12

			the appraisee.		
			The **appraisee** will submit his/her **self-appraisal** to the appraisal panel (this will be translated onto the first column on the prioritisation form).	5	13
			The **appraisers** who were identified to do **class observation** as well as completing **the <u>Learners</u> <u>Feedback Questionnaire</u>** where agreed (this will be translated onto the second column of the prioritisation form), and **data collection** will submit the information to the appraisal panel.	5	14
7	Panel meeting 3	The findings of the appraisal are tabled at an appraisal panel meeting.	A *professional development conversation* will now take place, based on the necessary information at hand (any data under dispute which cannot be verified, must be ignored).	5	15
			It is at this point that an **agreed statement** (Appraisal Report) will be drafted based on the assessment of the previous year's PGP (*but not during the first cycle of appraisal*).	5	16
			After the panel has agreed on the necessary growth need, the <u>**Professional Growth Plan**</u> (PGP) will be completed, with the endorsement of the appraisers and appraisee. **Time-frames** will be built around the implementation of the PGP. In consultation with the SDT, the appraisal panel must ensure that **the agreed growth needs should be implementable** (whether such developmental agencies are available to develop teacher and whether monies are available where necessary). The **appraisee** will now **implement the PGP**, with the support of the SDT.	5	17
8		Other follow-up appraisal may be necessary.	The intention of this follow-up meeting is to **assess** whether the appraisee has **implemented the PGP**, or if not, what are the problems surrounding the development.	5	18
9	Panel	If follow-up appraisal were done, then these would be	This **meeting must take place during the middle of the second phase** in	5	19

	meeting 4	reported back to an appraisal panel meeting.	order to be meaningful to the appraisee.		
			It could also be that the PGP has under-stated the potential development, by which the panel can agree on enriching the PGP by recommending **further development.**	5	20
10	On your own	The appraisee fills in the Discussion Paper.	It is during this meeting that the <u>**discussion paper**</u> will be submitted by the appraisee to the appraisal panel.	5	21
11	Panel meeting 5	The Discussion Paper filled in by the appraisee is discussed at an appraisal panel meeting and the appraisal report is finalised and signed. This may happen over two appraisal panel meeting, rather than just one.	The panel will draft the **Appraisal Report** with the adjusted PGP, where applicable. The appraisee, after implementing the adjustments, will be ready for the **next cycle** of appraisal.	5	22

Appendix F

Average Functionality of CFSS in different sections of the questionnaires

A. School Ethos	32.8
B. Vision, Aims and Strategic Planning	27.5
C. The Principal	38.4
D. The Principal and the Senior Management Team	37.7
E. Structures, Roles and Responsibilities	33.6
F. Decision Making and Communication	64.5
G. Professional Working Relationships	44.0
H. Links with Parents and the Community	36.6
I. The Governing Body and Department of Education	20.5
J. Managing Change	21.5

Average	**35.7**