

**CAPACITY BUILDING AND SCHOOL MANAGEMENT DEVELOPMENT:
A STUDY OF PRINCIPLES AND PRACTICES OF SELECTED NORWEGIAN
AND SOUTH AFRICAN SCHOOLS.**

by

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DECLARATION

DEDICATION

I declare hereby that all the research done is my own work, and that I have acknowledged all the sources used in this research report.

I would like to thank my supervisor, Prof. Dr. J. van der Merwe, for his guidance and support throughout this process. I would also like to thank my family and friends for their encouragement and support.



C.C. van Heerden

Date: 2002-04-13

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DEDICATION

I dedicate this research to my mother, Corrie van Heerden and my late father, Willie van Heerden. They were both educators who strove for excellence throughout their educational careers. They led by example, and I would strive to be like them. God could not have given me better parents.

Summary

Capacity Building and School Management Development: A Study of Principles and Practices of Selected Norwegian and South African Schools

CARE OF LANGUAGE

I, the undersigned, testify herewith that I was responsible for the care of the language of the thesis: Capacity Building and School Management Development: A Study of Principles and Practices of Selected Norwegian and South African Schools, prepared by Ms Carolien van Heerden.

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Summary

Capacity Building and School Management Development: A Study of Principles and Practices of Selected Norwegian and South African Schools.

In recent times the emphasis fall all the more on the efficient functioning within the school set up. Several international research projects have been undertaken to establish what it is that makes a school function effectively. According to this research, one of the success factors is an exceptional kind of leadership. The importance of effective leadership can never be emphasized enough. With the latter kept in mind, the first section of the study emphasizes leadership in education.

Chapter two addresses the following aspects of educational leadership:

- Effective leadership.
- The different managerial roles of the principal.
- Encouragement of leadership.
- Leadership for school improvement.
- Leadership according to different models of Education Management.
- New leadership values.
- Importance of communication as a management competency.

Seeing that the South African education system is continuously changing, management competencies are required from education leaders in these changing and sometimes unsure circumstances. These ongoing changes lead to greater responsibilities that rest on the shoulders of education leaders (principal, management team) to manage these changes positively. Capacity building and training to address the needs that may arise, are very important. Chapter three addresses the components of Capacity Building that are necessary for our current education system. Components of Capacity Building in chapter three are the following:

- Holistic approach to education management and development.
- Strategic guidelines.

- Guidelines for education management development.
- An overview of major components.
- The meaning of change and the change process.
 - Capacity Building and joint decision-making.
 - Capacity Building Programs.
 - Capacity Building and quality contributors.

With the empirical research and the formal interviews with selected school principals, the research tries to determine the possible problems and needs that may occur in the armour of principals. Background knowledge of schools in Norway and more specifically in Bergen were given, followed by similarities and differences that may arise in selected schools in Norway and in South Africa. Major needs for Capacity Building were identified during the empirical investigation and formal interviews:

- Staff development (SA).
- Listening skills (SA).
- Managing change (SA).
- Financial management (SA).
- Knowledge of motivational theories (SA).
- Maintaining discipline (SA).
- Staff appraisal and commendations (SA & Norway).

Minor needs:

- Conflict management (SA & Norway).
- Time management (Norway).

In chapter five the researcher provides guidelines on how to address the major and minor needs that were determined by means of the empirical investigation. The complexity, diversity and responsibility with which education leaders are confronted in their day-to-day management of the school, demand a penetrating look into Capacity Building for school principals and school management,

because the constantly changing environment demands more competencies from educational leaders on a daily basis.

Key words

- Capacity
- Leadership
- Communication
- Role
- Management
- Education Management
- Capacity Building
- Constructive leadership
- Quantitative research
- Qualitative research
- Empowerment

Opsomming

Kapasiteitsbou en skoolbestuur ontwikkeling: 'n Studie van beginsels en praktyke van geselekteerde skole in Noorweë en Suid Afrika.

In die jongste tyd val die klem al meer op doeltreffende funksionering binne die skool opset. Verskeie internasionale ondersoeke is al onderneem om vas te stel wat 'n skool doeltreffend laat funksioneer. Hieruit blyk dit dat een van die suksesfaktore 'n besondere soort leierskap is. Die belangrikheid van effektiewe leierskap kan nooit genoeg beklemtoon word nie. Met laasgenoemde in gedagte, word die eerste gedeelte van die studie gewy aan leierskap in die onderwys. Hoofstuk twee spreek die volgende aspekte van onderwysleierskap aan:

- Effektiewe leierskap.
- Verskillende bestuursrolle van die skoolhoof.
- Aangemoediging van leierskap.
- Die bydrae van leierskap tot die verbetering van die skool.
- Leierskap m.b.t. verskillende modelle van Onderwysbestuur
- Nuwe leierskapwaardes.
- Belangrikheid van kommunikasie as bestuursbevoegdheid.

Die Suid Afrikaanse onderwysstelsel is voortdurend besig om te verander, wat daartoe lei dat andersoortige bestuursvaardighede vereis word van onderwysleiers in hierdie veranderende en soms onsekere tye. Hierdie voortdurende veranderende omstandighede dra daartoe by dat daar 'n groter verantwoordelikheid rus op onderwysleiers (hoof en bestuurspan) om veranderinge positief te bestuur. Op grond hiervan moet onderwysleiers toegerus wees met kennis en opleiding om leemtes wat mag ontstaan aan te spreek. Hoofstuk drie spreek elemente van Kapasiteitsbou aan wat noodsaaklik is binne die huidige onderwysstelsel. Komponente van Kapasiteitsbou wat aangespreek word in hoofstuk drie is die volgende:

- Holistiese benadering tot onderwysbestuur en ontwikkeling.
- Strategiese riglyne.
- Riglyne vir onderwysbestuur ontwikkeling.
- Oorsig van belangrike komponente.
- Die betekenis van verandering en die veranderingsproses.
- Kapasiteitsbou en deelnemende besluitneming.
- Kapasiteitsbou programme.
- Kwaliteite wat bydra tot kapasiteitsbou.

Met die empiriese ondersoek en formele onderhoude wat met geselekteerde hoofde gevoer is, poog die navorser om die moontlike probleme en leemtes wat mag voorkom in die mondering van die skoolhoofde, te identifiseer. 'n Agtergrondskennis van skole in Noorweë, meer spesifiek in Bergen, word ook gegee, gevolg deur ooreenkomste en verskille wat voorkom in geselekteerde skole in Noorweë en Suid Afrika. Belangrike behoeftes vir Kapasiteitsbou wat vasgestel is tydens die empiriese ondersoek en informele onderhoude is:

- Personeelontwikkeleing (SA).
- Luistervaardighede (SA).
- Bestuur van verandering (SA).
- Finansiële bestuur (SA).
- Kennis van motiveringsteorië (SA).
- Handhawing van dissipline (SA).
- Personeel aanprysing (SA & Noorweë).

Minder belangrike behoeftes:

- Konflikhantering (SA & Noorweë).
- Tydsbestuur (Noorweë).

In hoofstuk vyf verskaf die navorser riglyne vir die belangrike behoeftes en minder belangrike behoeftes soos uiteengesit op die vorige bladsy, wat gemanifesteer het uit die empiriese ondersoek. Die kompleksiteit, diversiteit en verantwoordelikheid waarmee onderwysleiers daagliks gekonfronteer word in hul

dag-tot-dag bestuur van die skool, vereis dat daar indringend gekyk moet word na kapasiteitsbou vir ons skoolhoofde en skoolbestuurspanne, want veranderende onderwys omstandighede vereis daagliks meer verantwoordelikhede van onderwysleiers.

Sleutelwoorde:

- Kapasiteit
- Leierskap
- Kommunikasie
- Rol
- Bestuur
- Onderwysbestuur
- Kapasiteitsbou
- Konstruktiewe leierskap
- Bemagtiging
- Kwalitatiewe navorsing
- Kwantitatiewe navorsing

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Capacity Building and School Management Development: A study of principles and practices of selected Norwegian and South African schools.

Chapter 1

1.1 Introduction

“At every level of management, across the spectrum of our institutions, whether government, business, education, armed forces, or the church, we need a rediscovery of the value of the individual imagination and rekindling of that passion for human purpose which is the authentic light of leadership. To manage is to lead, and to lead others requires that one enlists the emotions of others to share a vision of their own. If that is not an art, then nothing is”, (Bolman & Deal, 1994:77).

The smooth and effective functioning of any organization is dependent essentially upon those responsible for managing it. The kind of leadership and guidance provided by those who are in charge, in the ultimate analysis, determines the effectiveness of that organization.

Schools, says Hansen (1985:1), are perhaps the most complex of all our social institutions. He attempts to justify this statement by making two assertions. Firstly, like other formal organizations, the school must deal with the task of structuring, administering and giving direction to a complex mix of human and material resources. Secondly, unlike most other formal organizations, the school's output is a human product that gives rise to unique problems of management. The body charged with these responsibilities is the school management team comprising of the principal, deputy principal and head of departments.

A distinct relationship is observed between a healthy climate in an organization and the team spirit that prevails. There exists a positive correlation between morale and performance of personnel.

Key factors determining high group morale are effective leadership, a predominantly democratic leadership style and competent management, (Grouden & Dayaram, 1990:310).

1.2 Orientation

This study will be mainly focussed on Capacity Building and its connection with Leadership Development as well as School Management Development. This research will also be a study of principles and practices of some schools in Norway and South Africa. This study will focus on different leadership styles, problems that may occur in the management structures and capacity building. It will look at what has been done, what still needs to be done and whether there is a need, or more than one need, that School Management feels it needs to address. It will also focus on how to solve the problems that may occur.

1.3 Problem statement

The problem of this research will focus on the following questions:

- i) What are the most important leadership skills?
- ii) What are the most important components of Capacity Building?
- iii) What are the most important problem areas in School Management?
- iv) How does South African and Norwegian primary schools compare on Leadership and Capacity Building?

1.4 Aims and objectives

With this study in question I aim:

- 1.4.1 To explore/probe/investigate the underlying skills for effective leadership in South African and Norwegian primary schools.
- 1.4.2 To explore/probe/investigate Capacity Building in South African and Norwegian primary schools.
- 1.4.3 To identify the most important problem areas in School Management in South African and Norwegian primary schools.
- 1.4.4 To compare (point out differences and similarities) South African and Norwegian primary schools on Leadership and Capacity Building.

1.5 Research methods

The researcher has utilized the following research methods:

- Literature survey: implemented to support aims 1.4.1 and 1.4.2.
The literature survey is of a descriptive nature and describes what Education Leadership is. The suitable components of Capacity Building are addressed by means of the literature survey. The literature survey includes books, journals, research reports and research articles.
- Qualitative research: implemented to support aims 1.4.1, 1.4.2, 1.4.3 and 1.4.4.

This form of research deals with descriptions of the schools, the people and situations. Qualitative research can be described as a spiraling,

circular movement between theory, suppositions and data throughout the entire fieldwork.

- Personal interviews have been implemented to support aims 1.4.1, 1.4.2, 1.4.3 and 1.4.4. Selected primary school principals were interviewed. These interviews were formal and structured, because the researcher made use of a questionnaire. After the completion of the questionnaire, however, the researcher has conducted an informal conversation with each of the respondent principals about matters that have arisen from the questionnaire.
- Comparisons between schools in Norway and South Africa have been implemented to support aim 1.4.2. With reference to the research findings, the researcher will indicate the existence of similarities, and thereafter the differences, which might exist between some selected schools in South Africa and in Norway with regard to Capacity Building and Management Development.
- Questionnaires and a combination of the qualitative and quantitative research methods have been implemented to support aims 1.4.1, 1.4.2 and 1.4.3

1.6 Clarification of concepts

The following concepts have been used in this research report and therefore needs further clarification.

1.6.1 Capacity

Capacity building is a crucial component of reform. Capacity is a general term, referring to the power or ability to do some particular thing, such as reaching the goals of systemic reform (Floden, Goertz, & O' Day, 1995:19).

1.6.2 Leadership

1.6.2 Leadership

Leadership is a political activity, bringing people with conflicting points of view together to work out their differences in order for the organization to be productive (Bolman & Deal, 1994:82).

1.6.3 Communication

1.6.3 Communication

Communication stems from the Latin word "communico", which means, "to share". Kindred (1984:74) defines communication as "..... the transfer of thoughts and feelings from one person to another".

1.6.4 A role

1.6.4 A role

"A role is defined as an organized set of behaviors belonging to an identifiable office or position. Individual personality may affect **how** a role is performed, but not **that** it is performed. Actors, managers and others play roles that are predetermined, although individuals may interpret them in different ways," as defined by Mintzberg (1973:54).

in this study leadership has been defined as the reciprocal learning process that enables participants in a community to construct meaning toward a shared purpose (Lambert, 1998:18)

1.6.5 Management

“Management is defined here as the accomplishment of desired objectives by establishing an environment favorable to performance by people operating in organized groups” (Koontz & O’Donnell 1964:1).

1.6.6 Educational Management

“Creating an environment for effective teaching and learning.” As defined by the report of the Task Team on Education Management Development – December (1996:27).

1.6.7 Education Management

“Management is a process of managing the professional administration of an institution. It entails managing, controlling, supervising, directing and providing guidance by a manager (Oxford Dictionary 1992: 927).

1.6.8 Purposing

“That continuous stream of actions by an organization’s formal leadership which has the effect of inducing clarity, consensus, and commitment regarding the organization’s basic purposes” (Sergiovanni, 1991: 340).

1.6.9 Constructive leadership

In this study leadership has been defined as the reciprocal learning process that enables participants in a community to construct meaning toward a shared purpose (Lambert, 1998:18).

1.6.10 Quantitative researcher

Isolates and defines variables and variable categories. These variables are linked together to frame hypotheses, often before the data are even collected, and then to test it upon the data. The quantitative researcher looks through a narrow lens at a specific set of variables (Brannen, 1997:4).

1.6.11 Qualitative researcher

Begins with defining very general concepts, which, as the researcher progresses, change their definition. For the former, variables are the vehicles or means of the analysis. The qualitative researcher is said to look through a wide lens, searching for patterns of inter-relationships between a previously unspecified set of concepts (Brannen, 1997:4).

1.6.12 Empowerment

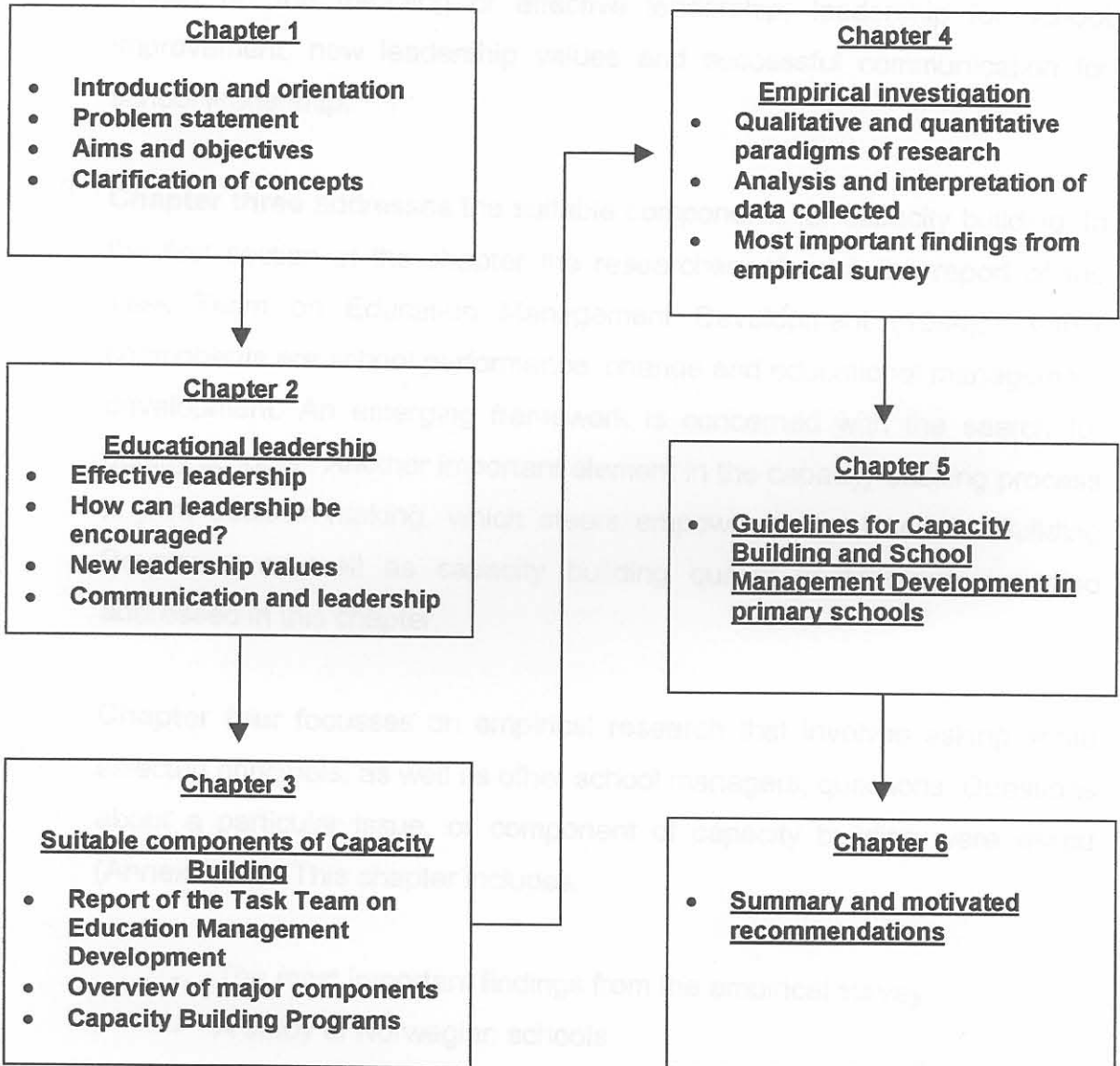
Empowerment, in this study, has been defined as “the fundamental transfer of authority whereby teachers are treated as professionals. It includes the following: the process by which teachers make decisions regarding assigned tasks; teachers’ involvement in creating ways to maintain a productive and satisfying work environment and their involvement in daily problem-solving and decision-making” (Steyn, 1998:132).

Chapter one deals with the following aspects

- Question
- Problem statement
- Aims and objectives

1.7 Research program

The research program or design that was followed by the researcher can be schematized as follows:



Chapter one deals with the following aspects:

- Orientation
- Problem statement
- Aims and objectives

- Research methods
- Clarification of concepts
- Research program

Chapter two describes what educational leadership is. A high priority is placed on the meaning of effective leadership, leadership for school improvement, new leadership values and successful communication for school leadership.

Chapter three addresses the suitable components for capacity building. In the first section of the chapter the researcher refers to the report of the Task Team on Education Management Development (1994). Other components are school performance, change and educational management development. An emerging framework is concerned with the search for quality schools. Another important element in the capacity building process is joint decision-making, which steers empowerment. Capacity Building Programs, as well as capacity building quality contributors, are also addressed in this chapter.

Chapter four focusses on empirical research that involves asking some selected principals, as well as other school managers, questions. Questions about a particular issue, or component of capacity building were asked (Annexure 1). This chapter includes:

- The most important findings from the empirical survey
- A study of Norwegian schools
- A picture of schools in Bergen
- The similarities and differences between selected schools in South Africa and Norway with regard to Capacity Building and School Management Development

Chapter five attempts to point out the necessity of competence and to determine the major and minor needs for capacity building in selected South African and Norwegian primary schools. This chapter provides guidelines on how to go about building capacity in schools.

Chapter six gives an overview of the research as well as addressing the research problem. Motivated recommendations with regard to capacity building will be given. Opportunities for further research will be exposed.

1.8 Conclusion

There is a mutual relationship between empowerment and capacity building. It is therefore difficult to talk about one element without referring to the other. Empowerment and capacity building arise as a result of transformation, which involves every aspect of South African life. Major steps are being taken to transform economy so as to promote growth with equity and justice. In each sphere there is a need to change, not simply the scale of provision and access to services, but the nature of those services and the way they are conceptualized, resourced and delivered. Therefore empowerment and capacity building are means that are used to address the imperatives for change in education.

2.2 What is effective leadership?

Burns & Deal (1994:78-79) said that trying to pinpoint the significant characteristics of successful leadership is a slippery, risky, and often unproductive enterprise.

Chapter 2

Educational leadership

2.1 Introduction

Few would argue that schools can work well without the presence of competent management, but too often school officials, at both state and local levels, provide little else. Too many schools are over-managed and under-led. This condition leads to an undue emphasis on doing things right, rather than doing the right things. In searching for the proper balance between management and leadership, H. Ross Perot, the founder of Electronic Data Systems Corporation, puts it this way, "Our country needs strong effective leaders willing to sacrifice to make this country strong. We need to stop managing and start leading" (Sergiovanni, 1990:17).

Bolman & Deal (1994:77) said, "Leadership is needed to foster purpose, passion and imagination. Particularly in times of crisis or rapid change, we look to leaders and not to managers for hope, inspiration and a pathway to somewhere more desirable."

Good management is an essential aspect of any education service, but its central goal is the promotion of effective teaching and learning in schools.

2.2 What is effective leadership?

Bolman & Deal (1994:78-79) said that trying to pinpoint the ingredients or characteristics of successful leadership is a slippery, hotly contested enterprise.

Steman & Deal (1984: 80) believe that the education system requires
 There is consensus around several issues:

- The difference between leadership and management
- The distinction between position and leadership
- The importance of political and symbolic dimensions of leadership
- The deeper human qualities that effective leadership requires

2.2.1 Leadership and Management are different

To capture the essence of leadership requires burrowing behind popular misconceptions. One of these is the notion that leaders are god-like heroes. There is a misconception that the leader has all the answers and is going to take us to the Promised Land. A big problem for leadership today is when nobody has an answer, and where the essence of good leadership lies in the ability to be great enough to consult with others.

A second misconception takes us to the other extreme, by equating leadership with management. The two concepts are not mutually exclusive because good leaders can be good managers, or vice versa.

Can a great manager also become a great leader? There are managers who don't have the capacity to become great leaders, but there are managers who do have the capacity to become great leaders. And then there are leaders who have no capacity to be managers, but are great leaders.

Effective leadership and effective management can be exercised by the same individual, but with each of them addressing a different set of issues in an organization.

Management is basically an authority structure with the function of making the trains run on time and by making sure we are on time and on budget. If it is a good system, managers need to make sure that the system functions well.

Bolman & Deal (1994: 80) believe that the education system requires both management and leadership because both are extremely important, though different. Part of being able to manage and lead in a complex environment, is the requirement that you take advantage of all of the leadership potential of the people around you.

2.2.2 Leadership and position are not synonymous

Another misconception is when leadership is equalized to the position in which someone has officially been appointed as a manager. Bolman & Deal (1994: 81) hold the belief that, in order for wisdom to prevail, leaders are “often the individuals who borrow the ideas of others, package them effectively, and then communicate them powerfully. They are not usually the creative genius. In many ways they are almost always the implementor or constructor.”

Even though it is the officially appointed leaders who often receive official credit or blame in an organization, leadership can be exercised anywhere in a less a hierarchical structure.

2.2.3 Leadership is inevitably political

Bolman and Deal (1994:82-83) said that the current conception of leadership focusses typically on authority by emphasizing the qualities of decisiveness and command. “Figure out the right thing to do, tell people what it is, and assume it will be done”, is one of the most formidable of all contemporary leadership traps. This misconception assumes that leadership is a rational activity, when in reality it is essentially political.

Leadership is not necessarily confined to authority, position or by obtaining power, but to get things done!

Leadership is strongly linked to conflict, and that’s one of the reasons why people don’t want to be leaders.

To recognize the political dimension of leadership, Bolman & Deal (1994:83) feel the need to review and renew the importance of power, conflict, and building coalitions in the public school sector. They feel the school leader has to be a political coalition builder, a political negotiator and a political architect, dealing with forces and constituencies of much greater power.

2.2.4 Leadership is inherently symbolic

Effective leadership requires a supportive culture, but creating a positive culture requires leadership. Leaders must be able to identify cultural themes, values and dreams that people may have.

Leaders organize and communicate values through vision. If you don't know where you're going, it doesn't matter how you proceed. The clearer your vision of the kind of culture you are trying to create, and the more people that see and become convinced that it is the proper goal, the higher the probability that you as leader can actually succeed.

Bolman & Deal (1994:84) said that whatever the source of a vision may be, one of the most important aspects of leadership is communicating the vision to others. Effective leadership involves an "incredible ability to touch the heart with words that bring out the best values."

2.2.5 Leadership calls primarily on intangible human qualities

Leadership styles, leadership skills and personal characteristics are identified and linked to important and desired outcomes. Bolman & Deal (1994:85) call attention to leadership qualities such as ethical commitment, risk taking, self-knowledge, character, courage and a long-term vision.

- Charismatic leaders are willing to take **personal risks** and to make sacrifices. They are willing to take risks that may harm them personally.
- Leaders' **self-confidence** comes from the fact that they have overcome the egocentric worry of how people perceive them. They are really more concerned to help others and/or to expand knowledge. When they are criticized, they don't worry whether or not they look bad; their only concern is whether others can benefit. Self-confidence is acquired through getting rid of, rather than focussing on the self.
- A leader, in order to be effective, must clearly have **integrity**. It does not matter how well a person communicates, or how inspirational that person is, over a period of time the lack of integrity will ultimately be his/her downfall.
- Leaders have **passion**. They know how to present things in a compelling way, without necessarily rising to something great such as producing a news flash of the greatest and latest theories.
- The opposite of fear is **courage**, by taking heart, and dealing with change.

2.3 Managerial roles and leadership roles (Mintzberg)

The task of management, at all levels in the education system, is ultimately to create and support conditions under which teachers and their students are able to achieve learning.

Mintzberg (1973:56) said that managerial activities could be divided into three groups:

- Those that are primarily concerned with interpersonal relationships
- Those that deal primarily with the transfer of information
- Those that essentially involve decision-making

It is for this reason that the ten roles are divided into three groups: three **interpersonal roles**, three **informational roles** and four **decisional roles**.

- The manager was previously defined as the person that is formally in charge of an organization. From formal authority and status thus come the three **interpersonal roles**. First and most simple is the role of *figurehead*. The manager has the duty of representing his organization in all formal matters. The educational leader is the ceremonial head of the school. Status also enables the manager to play the *liaison* role in which he interacts with his peers and other people outside his organization to gain favours and information. This role links the school to its environment. The third interpersonal role of *leader* defines the manager's relationships with his subordinates, like motivation and all other issues related to the staff. One of his tasks as a leader is to integrate individual needs and organizational objectives.

The interpersonal roles place the manager in a unique position to get information. His external contacts bring special outside information and his leadership activities serve to make him a focal point for organizational information. The result is that the manager emerges as the nerve center of a special kind of organizational information.

- Of the three **informational** roles, the first role of *monitor* identifies the manager as receiver and collector of information, enabling him to develop a thorough understanding of his organization. The second role, termed

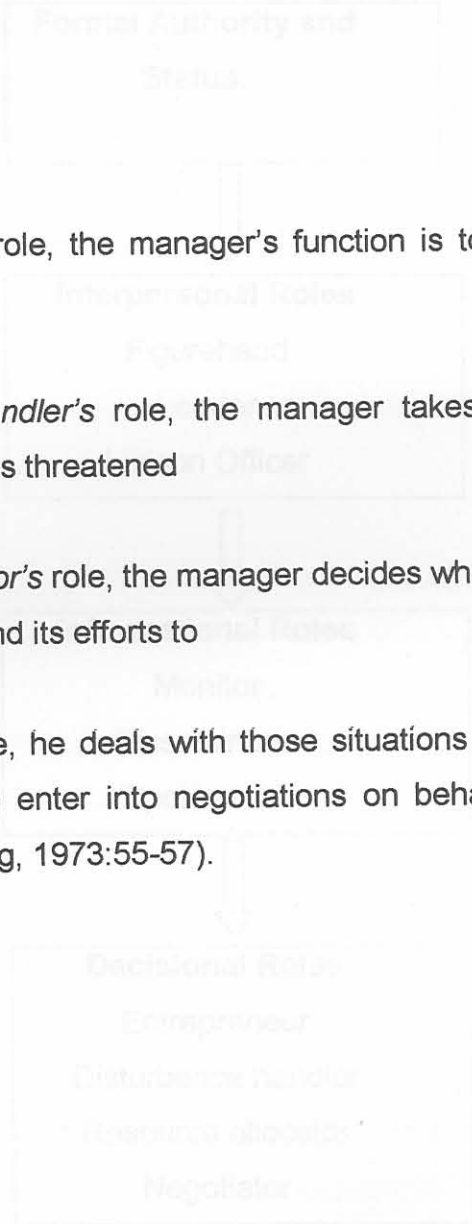
disseminator, involves the transmission by the manager of special information into his organization. The third, the *spokesman* role, involves the dissemination of the organization's information into its environment.

Tylen Tom Mintzberg (1973: 50) Fig. 2.1

- The manager's unique access to information and his special status and authority places him at the central point in the system by which strategic organizational **decisions** are made.

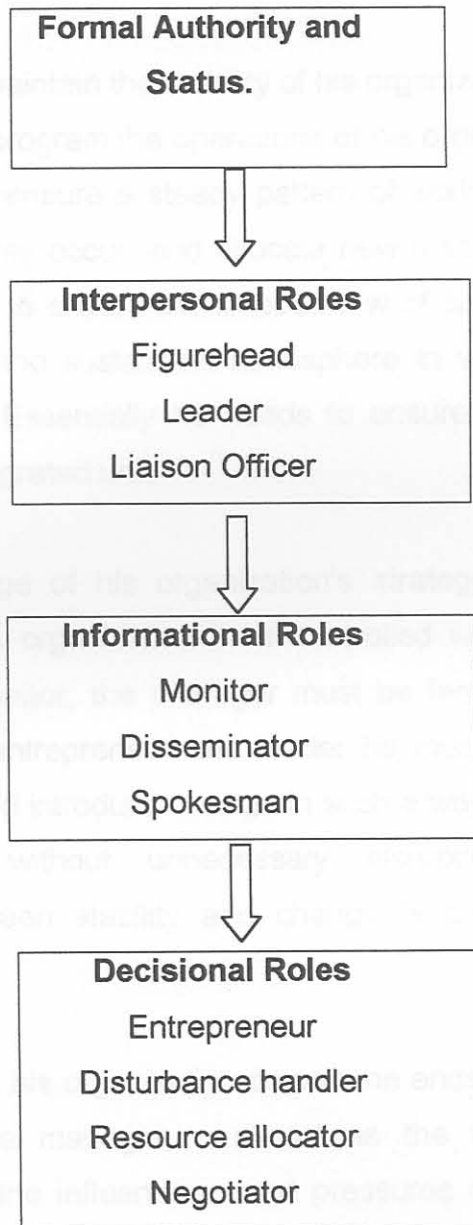
Four roles may be delineated here:

- In the *entrepreneur's* role, the manager's function is to initiate change
- In the *disturbance handler's* role, the manager takes charge when his organization is threatened
- In the *resource allocator's* role, the manager decides where his organization will expand its efforts to
- In the *negotiator's* role, he deals with those situations in which he feels compelled to enter into negotiations on behalf of his organization (Mintzberg, 1973:55-57).



The manager's roles

Taken from Mintzberg (1973: 59) **Fig. 2.1**



Mintzberg (1973:95) gives **five** basic reasons why organizations need managers:

1. The prime purpose of a manager is to ensure that his organization serves its basic purpose – the efficient production of specific goods or services. This gives rise to the next two purposes of the manager.
2. The manager must design and maintain the stability of his organization's operations. The manager must program the operations of his organization and monitor these programs to ensure a steady pattern of workflow. He must correct deviations when they occur, and allocate new resources as they become available, in order to ensure the smooth flow of operations. As a leader he must develop and sustain an atmosphere in which the necessary work will get done. Essentially he needs to ensure that the organization functions as an integrated unit.
3. The manager must take charge of his organization's strategy-making system, and therein adapt his organization in a controlled way to its changing environment. As monitor, the manager must be familiar with environmental trends and as entrepreneur and leader he must provide direction for his organization and introduce change in such a way that the organization adapts to it without unnecessary disruption. The maintenance of balance between stability and change is among the manager's most difficult tasks.
4. The manager must ensure that his organization serves the ends of those persons who control it. The manager must act as the focus for organizational values, and as the influencers exert pressures on him to have the organization serve their ends, the manager must interpret the values of each influencer. He need to combine it all in order to determine

- the true power system, and then inform his subordinates of this in the form of organizational preferences to guide them in their decision-making.
2. 5. The manager must serve as the key informational link between his organization and its environment. Only the manager, because of his formal authority, is capable of creating that vital link between certain special sources of information and his organization. He must serve as nerve center for this kind of information. As liaison officer the manager creates the link, as monitor he receives the information, and as disseminator he transmits it to his subordinates. The manager is obliged to create the link in the opposite direction by sending organizational information to the environment in his roles as spokesman and negotiator.

To be able to manage and organize a school, the school management must have certain leadership qualities. But how, or under which conditions, can such qualities be taught or encouraged?

2.4 How can leadership be encouraged ?

Bolman & Deal (1994:86) said that billions of dollars are invested each year in developing American's leadership capital. Businesses, universities, schools, hospitals and military organizations spend significant amounts of money to encourage the leadership abilities of those people in key positions. They say that efforts often aim at the wrong targets in the wrong way. Most training methods prepare potential leaders for managerial roles, not for the leadership challenges they are going to be confronted with. To improve current programs, the panel stressed several guidelines: leadership is learned mostly from experience; leadership can be learned from reflection, observation and dialogue; leadership can be learned from exemplary

practices; and leadership can be taught – but only in programs far different from those that exist today.

2.4.1 Leadership is learned mainly from experience

It is often assumed that leaders are born, not made, but that's not true. Leadership is cultivated or nurtured primarily through experience. To develop leaders involves the structuring of careers in such a way that emerging novices have ample opportunities to learn from the rough and tumble and give and take of working in an organization. Career experiences nurture leadership. People need an opportunity for some real challenges early in their careers where they are exposed to situations where they can actually really try to lead. They also need opportunities to work for some bosses who are either terrific leaders or awful leaders. The lessons taught when one learns to lead are derived from both positive and negative experiences. Leaders learn as much from their failures as from their triumphs or successes. Bolman & Deal (1994:87) said that if we look at the histories of many leaders, we would often find early career failures. Failure becomes, in many ways, a test of those who ultimately go on to become leaders.

One of the major differences between effective and ineffective leadership is whether or not people learn from early failures. Not all the learning need to be gleaned from firsthand experiences. People learn secondhand from examples set by others. Such opportunities can be provided in formal mentor programs where emerging leaders are assigned to a mentor. Learning to lead ultimately involves trying one's wings in a challenging situation – usually at a young age (Bolman & Deal, 1994:88).

2.4.2 Reflection and dialogue with others also help people learn to lead

Whereas most leadership lessons are learned in the daily give and take of organizations, the lessons of experience are not always obvious. Many managers or leaders learn too little – or learn the wrong things – from what happens to them. Effective learning often requires individual reflections or peer discussions to distill important lessons from life experiences. Bolman & Deal (1994:89) said that when people do not know what to do, they often do more of what they know. The result is that they become inordinately busy while their effectiveness continues to decline.

To some panel members in this article, reflection is an individual process of taking stock, of trying to see oneself in an instant replay. Beth Jandermoa, a principal that was part of this panel, said, “Leadership is a discovery, a self-discovery. It’s an opportunity to have some experiences, on the job or not, to develop insights about your own abilities, how to be with other people, and what happens in some interactions with people. More opportunities provide a kind of reflection, a mirror in which I can begin to discover myself, and my potential as a leader” (Bolman & Deal, 1994:89).

Self-reflection can be enhanced by feedback from others. Superiors, subordinates, and peers often have a different view of a leader’s strengths and weaknesses, and often these diverse viewpoints can converge into some recurring patterns. Another panel member, Walter Ulmer, president of the center for Creative Leadership, said, “The older we get and the higher we rise, the less open we are to looking at our own strengths and weaknesses – particularly the latter. If we are serious about changing a leadership group within any organization we have to develop a system that provides assessment, feedback and insight. That

is something we are fundamentally not open to.” Elsa Porter, another panel member, put it elegantly. She said, “Good leadership is an elegant conversation, you have to know what you’re talking about and have a rapport with the person or people that you’re talking with.” This article of Bolman & Deal shows that top executives and top managers share the same problems in any organization. There is a definite need for all managers to get together and talk about these problems. Elsa Porter said in the article of Bolman & Deal (1994:91) that it was very difficult to have a conversation because these issues were often taboo subjects.

However, after a period of about four or five months these managers established a sense of trust with one another and they really began to have an elegant conversation. Their conversations had to do with their loneliness and with the moral stresses that they experienced in their jobs. In the end they told the panel that the most important outcome was that they were encouraged. They understood that other people were facing the same issues. They didn’t leave with specific resolutions for these issues, but they were personally encouraged and they felt they had support - they were not alone.

Elegant conversations do not have to be a one-time experience. Such opportunities can be structured into formal leadership development programs or become an ongoing forum for dialogue in specific organizations. A very important fact is that managers and leaders should think about various conceptions of the future and ways to frame the underlying values to help constituents hold together rather than to fly apart.

2.4.3 Leadership can be taught – but not the way we currently teach it

Universities, military academies, and other institutions purposely seek to prepare the leaders of tomorrow. Even after one assumes a leadership position, training of one kind or another needs to continue.

For both pre-service and in-service experience we need to ask:

- a) How well does the current leadership training programs work?
- b) How might we try to develop leaders in new ways?

The panel concluded that across the board, we are doing very little to develop leaders. A panel member, Jay Conger who is a professor at McGill University, said, “ A lot of training that currently goes on is what I call management training, not leadership training. That’s an important distinction. I think a lot of programs are teaching people to be good administrators, and they label that leadership” (Bolman & Deal, 1994:92). Developing leadership requires a shift in emphasis. We do more than enough about issues of control, planning, budgeting, performance and appraisal – but far too little on the human and spiritual dimensions. Leaders set the right direction, establish vision and strategies, get people aligned (itself a horrendous communication task), get commitment and inspire people to action so that they are willing to overcome all obstacles, according to John Kotter a professor at Harvard Business School.

Over and again the panel stressed the importance of values in leadership. We need to see leaders as defenders of values and as educators or creators of inspired and motivated cultures. This implies that leaders need to master the symbolic side of organizations and to learn how to create organizations that encourage learning. Leaders redefine the role of manager from one of control, to one of empowerment or of teaching and

coaching. They create a learning organization in the sense that they celebrate successes (often small successes), reinforce the culture, and also create an opportunity for people to learn from their successes and failures (Bolman & Deal, 1994:93).

The collective wisdom of the panel was that businesses are complex organizations in a pluralistic society and so are educational institutions. The panel suggested that leadership needed to be refined in more human, moral and spiritual terms. They said that we need to rethink and restructure our school systems in order to encourage the kind of leadership that can help transform schools from past practices or patterns to those that will be needed to shape a successful future. The need is acute and the time frame for an effective response is short:

“If you boil water in a beaker over a Bunsen burner and drop a frog into it, the frog will jump right out. But if you put a frog in cold water and slowly turn up the heat, by the time the frog feels pain, it’s lost its capacity for jumping. Many schools get into the same position. If it were a real crisis, they would jump out of the beaker. But if the crisis sneaks up slowly they will lose their vital capabilities.”

For schools, the time to jump may be now (Bolman & Deal, 1994:95).

The question that one can ask is what the specific principal behaviors associated with successful school improvement efforts are. Thomas, J. Sergiovanni conducted a research at the Research and Development Center for Teacher Education at the University of Texas, at Austin. The investigators were able to group principal leadership behaviors into three general change facilitator styles.

2.5 Leadership for school improvement

The three facilitator styles are that of Responder, Manager and Initiator. These three styles can be described as follows:

2.5.1 Responders

Responders place heavy emphasis on allowing teachers and others the opportunity to take the lead. They believe their primary role is to maintain a smooth-running school by focussing on traditional administrative tasks, keeping teachers content and treating students well. Teachers are viewed as strong professionals who are able to carry out their instructional role with little guidance. Responders emphasize the personal side of their relationships with teachers and others. Before they make decisions they often give everyone an opportunity to have an input so as to weigh their feelings or to allow others to make the decision. A related characteristic is the tendency toward making decisions in terms of immediate circumstances, rather than in terms of long-range instructional or school goals. This seems to be in part due to their desire to please others and in part to their limited vision of how their school and staff should change in the future.

2.5.2 Managers

Managers represent a broader range of behaviours. They demonstrate both responsive behaviors in answer to situations or people and they also initiate actions in support of the change effort. Managers work without fanfare to provide basic support to facilitate teachers' use of the innovation. They keep teachers informed about decisions and are sensitive to teachers' needs. They will defend their teachers from what are perceived as excessive demands. When they, however, learn that

the central office wants something done in their schools, they become very involved with their teachers in making it happen. Yet, they do not typically initiate attempts to move beyond the basics of what is imposed.

2.5.3 Initiators

Initiators have clear, decisive, long-range policies and goals that not only transcend, but also include implementation of the current innovation. They tend to have very strong beliefs about what good schools and teaching should be like and work intensively to attain this vision. Decisions are made in relation to their goals for the school and in terms of what they believe to be best for students, which is based on current knowledge of classroom practices. Initiators have strong expectations for the students, the teachers and themselves. They convey and monitor these expectations through frequent contact with the teachers and give a clear explication of how the school is to operate and how teachers are to teach. When they feel it is in the best interest of their school, particularly the students, Initiators will seek changes in district programs or policies or they will reinterpret them to suit the needs of the school. Initiators will be adamant, but not unkind, and they will solicit input from the staff. Their decisions are made in terms of the goals of the school, even if some of the staff members may be ruffled by their directness and high expectations (Sergiovanni, 1991:285-286).

Harold Geneen (1984:105) made a valuable statement when he provided his formula for administrative success: "Manage, manage, manage, and lead, lead, lead."

2.6 Leadership according to different models of Educational Management

Tony Bush (1995:43) identified six major models of Educational Management. The six models are:

- formal
- collegial
- political
- subjective
- ambiguity
- cultural

In each of the above-mentioned models Bush described the specific style of leadership that applies to a specific model.

2.6.1 Leadership in a formal model

Within formal models leadership is ascribed to the person at the apex of the hierarchy. It is assumed that this individual sets the tone of the organization and establishes the major official objectives. The leader is expected to play a key role in policy-making and adoption of innovations is assumed to follow. The possibility of opposition, or indifference, to change is not acknowledged. It is believed that implementation is unproblematic. Official bodies and individuals behave as if the head or principal is the fount of all knowledge and authority (Bush, 1995:44).

2.6.2 Leadership in a collegial model

In collegial models the style of leadership not only influences, but is also influenced by the nature of the decision-making process. Policy is determined within a participative framework where the principal is expected to adopt strategies which acknowledge that issues may emerge from different parts of the organization and may be resolved in a complex

interactive process. The collegial leader is at most a first among equals in an academic organization. The basic idea of the collegial leader is less to command than to listen, less to lead than to gather expert judgements, less to manage than to facilitate, less to order than to persuade and negotiate. The collegial leader is not so much a star, standing alone, as the developer of consensus among the professionals who must share the burden of the decision.

The collegial theorists tend to ascribe the following qualities to leaders in schools:

- They are responsive to the needs and wishes of their professional colleagues. Principals acknowledge the expertise and skills of their teachers.
- Collegial principals seek to create formal and informal opportunities for the testing and elaboration of policy initiatives. The principal perceives his role as being that of a democrat.
- Collegial models emphasize the authority of expertise rather than official authority. The principal also allows and encourages heads of departments to become co-leaders.

In collegial models the principal is typified as the facilitator of an essentially participative process. The picture of a good principal emerged from the teachers' comments as a person to whom they could talk and with whom they could discuss, who did not dictate, who was effectively a part of the staff group and whose philosophy was clear and shared by colleagues (Bush, 1995:65).

2.6.3 Leadership in a political model

There are two central facets of leadership within the political arena. In the first place principals are seen as the key participants in the process of bargaining and negotiation. Leaders each have their own values, interests and policy objectives which they seek to advance as appropriate at meetings of committees and in informal settings. Principals have substantial reserves of power that can be deployed in support of their personal and institutional goals. Leaders also have a significant impact on the nature of the internal decision-making process and they can exercise a controlling influence on the proceedings of committees.

The second facet of leadership concerns the principals' responsibility to sustain the viability of the organization and to develop the framework within which policies can be tested and, ultimately, receive the endorsement of the various interest groups. To achieve acceptable outcomes, leaders become mediators who attempt to build coalitions in support of policies. There is a recurring pattern of discussion with representatives of power blocks to secure a measure of agreement. This may involve concessions and compromises in order for the more powerful groups to achieve benefits in exchange for their support (Bush, 1995: 88).

2.6.4 Leadership in a subjective model

The concept of leadership fits rather uneasily within the framework of subjective models. Individuals place different meanings on events and this applies to all members, whatever their formal position in the organization. People who occupy leadership roles have their own values, beliefs and goals. All participants, including leaders, pursue their own interests. A significant difference, however, is that leaders of organizations may be in a position to impose their interpretations of events on other members of their institution. Management may be seen

as a form of control with heads and principals elevating their meanings to the status of the school policy. These leaders may use their resources of power to require compliance with these interpretations, even where other staff members do not share those meanings (Bush, 1995:104).

Cohan & March (1986:218) suggest the following approaches to the

2.6.5 Leadership in an ambiguity model

In a climate of ambiguity, the traditional notions of leadership require modification. According to Cohan & March (1986:195-203) leaders face four fundamental ambiguities:

1. There is an ambiguity of purpose because the goals of the organization are unclear. As there are no clear goals for leaders, there exist an inadequate basis for assessing the actions and achievements of the institution.
2. There is an ambiguity of power because it is difficult to make a clear assessment of the power of leaders. Principals do possess the authority though that arises from their position as the formal leaders of their institutions. However, in an unpredictable setting, formal authority is an uncertain guide to the power of leaders.
3. There is an ambiguity of experience because, in conditions of uncertainty, leaders may not be able to learn from the consequences of their actions. In conditions of ambiguity, outcomes depend on factors other than the behaviour of the leaders. External changes occur and distort the situation in such a way that the experience becomes an unreliable guide to future action.
4. There is an ambiguity of success because it is difficult to measure the achievements of leaders. Principals are usually appointed to these

posts after they had good careers as teachers and middle managers. The ambiguities of purpose, power and experience make it difficult for leaders to distinguish between success and failure.

Cohen & March (1986:218) suggest the following approaches for the management of uncertainty:

- Leaders should be ready to devote **time** to the process of decision-making. By taking the trouble to participate fully, leaders are likely to be present when issues are finally resolved and will have the opportunity to influence the decision.
- Leaders should be prepared to **persist** with those proposals that do not gain the initial support of groups within the institution. Issues are likely to surface at several forums and a negative reception at one setting may be reversed on another occasion when there may be different participants.
- Leaders should facilitate the **participation of opponents** of leader's proposals. The inclusion of opponents at appropriate forums may lead to the modification, or withdrawal, of alternative ideas and thus allow the leader's plans to prosper.
- Leaders should **overload the system** with ideas to ensure the success of some of the initiatives. When the organization has to cope with a surfeit of issues, it is likely that some of the proposals will succeed even if others fall by the wayside.

These strategies may be appropriate for periods of high ambiguity, as the tension, inherent in turbulent organizations, may be very stressful for principals who have to absorb these pressures, both to facilitate institutional development and to foster personal survival and growth.

Successful principals have a high tolerance of ambiguity. Principals whose personal needs for structuring, continuity and stability are high may find frequent change and constant uncertainty a potent source of frustration and tension (Bush, 1995:125).

2.6.6 Leadership in a cultural model

The leader of the organization has the main responsibility for developing and sustaining its culture. Principals have their own values and beliefs arising from many years of successful professional practice. They are also expected to embody the culture of the school. The principal, because of his formal authority, represents and symbolizes the school both to people inside and to the members of the community. The symbolic dimension of leadership and the central role of principals are defining the school culture. Leaders have the main responsibility for generating and sustaining the culture and to communicate its core values and beliefs both within the organization and to external stakeholders.

Maintenance of the culture is regarded as a central feature of effective leadership (Bush, 1995:138). Sergiovanni (1984:9) claims that the cultural aspect is the most important dimension of leadership. Within his "leadership forces hierarchy", the cultural element is more significant than the technical, human and educational aspects of leadership:

"The net effect of the cultural force of leadership is to bond together students, teachers, and others as believers in the work of the school. As persons become members of this strong and binding culture, they are provided with opportunities for enjoying a special sense of personal importance and significance."

2.7 New leadership values

A number of leadership values are embodied in the ideas presented in the book of Thomas, J Sergiovanni – *The principalship: A reflective practice perspective*. They stem from “the clockworks gone awry mindscape” of how schools actually operate and from the necessity to rely on cultural, as well as bureaucratic linkages, in bringing about co-ordinated action. These values are also revealed by characteristics and actions found to be common among leaders of highly successful organizations. They are summarized below:

2.7.1 Leadership by purpose

Successful leaders practice leadership by purpose. Purposing derives its power from the needs of people at work in order to have some sense of what is important and what is of value. All of us, in both our work and personal lives, want to know what is of value. We desire a sense of order and direction and enjoy sharing this sense with others. At work, people respond to these conditions with increased motivation and commitment. The leader’s behavioral style is less important in reflecting the value of leadership by purposing. Instead, what the leaders stand for and communicate to others, is emphasized. The object of purposing is the stirring of human consciousness, the enhancing of meaning, the spelling out of key cultural strands that provide both excitement and significance to one’s work life (Sergiovanni, 1991:340).

2.7.2 Leadership by empowerment

Highly successful leaders have a capital view of power and authority. They spend it to increase it. They have learned the great **leadership secret** of power invested: the more you distribute power among others,

the more you get in return. But their view of power invested is a sophisticated one for they know that it is not power over people and events that count, but rather, power over accomplishment and the achievement of organizational purposes. Teachers need to be empowered to act – to be given the necessary responsibilities that release their potential and make their actions and decisions count.

Except for the most routine jobs, the major problem facing management in America, and the researcher believes the same is applicable for South Africa today, is the gap that exists between ability and authority. Those who have the authority to act, typically, don't have the necessary technical ability, and those with the ability to act, typically do not have the necessary authority. Leadership by empowerment can remedy this situation by lending to those with ability the necessary authority to act.

Empowerment without purposing is not what is intended by this value. The two must go hand in hand. When directed and enriched by purposing and fueled by empowerment, teachers and others respond not only with increased motivation and commitment, but with surprising ability as well. They become smarter, use their talents more fully and grow on the job.

2.7.3 Leadership as power to accomplish

Successful leaders know the difference between “power **over**” and “power **to**”. There is a link between leadership and power, and indeed leadership is a special form of power: the power to influence. There are, however, two conceptions of power: “power over” and “power to”. “Power over” is to control and it is concerned with “how can I control people and events so that things turn out the way I want?” “Power over” is concerned with dominance, control and the hierarchy to exercise power over. One

needs to have access to rewards and punishments, “carrots” and “bully” sticks. In reality most principals don’t have very many carrots or very many bully sticks. Further, people don’t like carrots or bully sticks and resist power over leadership both formally and informally. This approach is thus rarely effective. The concept of “power over” raises certain ethical questions relating to dominance and manipulation.

“Power to”, on the other hand, is not instrumental but facilitative. It is power to do something, to accomplish something, and to help others accomplish something that they think is important. In “power to” far less emphasis is given to what people are doing and far more emphasis is given to what they are accomplishing.

2.7.4 Leadership density

To see every employee as a possible manager is a goal common to highly successful leaders, because they recognize the importance of leadership density and its relationship to organizational effectiveness. Leadership density does not refer to the number of administrators and supervisors in schools, but to the extent leadership roles are shared and the extent to which leadership is broadly exercised. In highly successful schools the line between principal and teacher is not drawn very tightly, and indeed, effective principals view themselves as principal-teachers.

Teachers, in turn, assume a great deal of responsibility for what is going on in the school – they exercise leadership freely. Every teacher as a leader and every principal as a teacher suggest the spirit of the value of leadership density.

2.7.5 Leadership and quality control

On no other issue might ordinary and highly successful leaders differ more than in their beliefs about, and concepts of, quality control. To ordinary leaders quality control is considered to be a management problem, solvable by using the right controls such as scheduling, prescribing, programming, testing and checking. Though successful leaders recognize that such managerial conceptions of quality control have their place, they are likely to view the problem of quality control as being primarily cultural, rather than managerial.

Quality control, they have come to learn, is the minds and hearts of people at work. It has to do with what teachers and other school employees believe, their commitment to quality, their sense of pride, the extent to which they identify with their work, the ownership they feel for what they are doing and the intrinsic satisfaction they derive from the work itself.

It is for this reason that quality control is not viewed so much as planning, organizing, scheduling and controlling as it is purposing, empowerment, and leadership density as a means to build identity and commitment.

2.7.6 Leadership by simplicity

Highly successful principals believe in lean, action-oriented, uncomplicated, organizational structures. To them "small is beautiful" and "simple is better." Simplicity is action oriented and to the point. It places emphasis on what needs to be accomplished and how best to do it without undue emphasis on protocol and procedural matters (Sergiovanni, 1991: 341-343).

2.8 Communication and leadership

In essence leading has to do with influencing others through communication. Leadership is based on communication. Puth (1994:146) said that the style and substance of communication distinguish dynamic leadership from traditional management. Leaders communicate not only information but also attitudes and assumptions. To understand the communication implication of dynamic leadership it is necessary to distinguish between management and leadership.

2.8.1 Management and leadership

Leadership differs from management, but not for the reasons most people think. Leadership is not mystical and mysterious and it does not necessarily have to do with charisma or other exotic personality traits. Leadership is neither necessarily better than management, nor an absolute replacement for it.

Leadership and management are two distinct and complementary systems of action. Each has its own function and characteristic activity. Both are necessary for success in an increasingly complex and volatile environment:

- Management is concerned with coping with complexity. Good management brings a degree of order and consistency to key aspects, such as quality.
- Leadership is concerned with coping with change. Part of the reason it has become so important in recent years is that the world has become more competitive and more volatile with the result that doing what was

done yesterday, or doing it 5% better, is no longer a formula for success.

People attach different values to leadership. They see it as the ability to inspire followers to take action and to set a good example. It is also seen as the ability to influence people to attain goals rather than simply ordering them to do it. Most successful leaders make their sense of purpose clear to those around them, not by force, coercion or formal authority, but by their sincere devotion to people and purpose and their patient perseverance in the face of all obstacles (Puth, 1994:146-147).

2.9 Successful communication for school leadership

No management can take place without communication. Educational leaders spend the better part of their daily task on communicating, thus the importance of good communication can hardly be overemphasised (Van der Westhuizen, 1995:205).

Wentz (1998:112) said that attention to the communication skills and techniques that emphasizes strategies used by outstanding educational leaders, could mean success for those already working in school leadership positions, as well as for those who aspire to such work.

Effective communication includes written, verbal and nonverbal communication, listening skills and methods of evaluation whether the communications are effective or not.

Hughes & Ubben (1994:47) have said, "The effective principal is to be a communication center for the education hub of the future."

Puth (1994:40) said that communication is the lifeblood of any organization.

Henry Mintzberg found that managers are almost constantly communicating. Mintzberg calculated that verbal interaction accounted for 78% of managers' time and 67% of their activities, according to Puth (1994:40).

Communication is what managers do: it is the essence of managerial work. According to Rasberry & Lemoine (1986:59) there are three basic types of managerial skills that are important to accomplish namely: technical, social and conceptual.

- Technical skills are the means by which a manager accomplishes a specialized activity. This may include methods, processes, techniques and procedures.
- Social or human skills involve the ability to work interpersonally with groups or organizational members. Social skills include, for example, self-knowledge, the ability to interact and relate with others, empathy and understanding. Managers too have to develop social skills.
- Conceptual skills may be defined as the ability to identify and analyze problems and to implement effective decisions. Conceptual skills include skills with the ability to be perceptive, to be creative, to be able to co-ordinate and to integrate in order to lead the organization toward a common goal.

In our awe of communication science, let us not ignore one sombre, but compelling thought. Quantity, speed and coverage are not the only requirements for communication. It is also imperative that we

communicate clearly and precisely. Progress toward greater understandability has come much slower than the technological improvements. It is still quite possible for persons to fail to understand one another, even though they speak the "same" language (Haney, 1992:49).

Much of the daily communication between managers and employees misses the mark. Even more alarming is that most of the time managers and employees are unaware that their messages are being misunderstood. There are a number of barriers or obstacles that can hinder and limit the development of effective managerial communication.

Puth (1994:49) said that there are three major barriers found in all organizations, namely: differences in perceptions, differences in meaning and the effects of organizational structures. There are also a number of smaller, day-to-day barriers in the way, together with mistakes that are made from time to time by virtually everybody.

2.9.1 General characteristics of communication barriers

Barriers can be diagnostic tools. Fisher (1981: 78) pointed out that barriers to effective communication could be useful diagnostic tools. Perhaps the major advantage is that a barrier, once identified, helps to suggest its corrective approach.

Barriers tend to occur in clusters. When one barrier has been identified, there will most likely be others associated with it. Constant, serious differences in meaning or with interpretation in an organization are likely to be associated with the barriers of one-way communication or a lack of feedback. It is essential to identify the nature of the multiple barriers and to deal with the whole cluster.

2.9.2 The major management communication barriers

Organizations are put together by its people, and whatever the magnitude of its physical and financial resources, should the people leave, the organization would cease to exist. If it is assumed that it is the people who form the organization, it should also be accepted that the human strengths and weaknesses of those people would characterize the organization.

There are three major barriers that are characteristic of all organizations. The first barrier is that different people perceive the same object, person, message or incident differently. Secondly it happens that different people also ascribe different meanings to the mentioned elements. The third barrier is one where the messages among people in an organization are influenced by the structures and processes within the organization.

2.9.2.1 Differences in perception

The first major potential barrier: **perception**, is the filter through which we take in stimuli and understand the world. Perception is one person's view of reality. Because people perceive the same phenomenon in different ways, different people prescribe different meanings to the same stimulus.

- Perception influences communication

Understanding perceptual behaviour is the first step on the way to becoming an effective communicator. Perception is defined as the way we take in information about our world, and because each person gathers information differently, problems arise in the way in which each individual perceives people and things. Many of the differences between people can be explained by the psychological

and social programming and training that occurs during the formative stages of childhood and adolescence. Other differences occur because wants and needs vary from person to person.

- Cultural differences

Cultural issues may affect the meaning people ascribe to communication, and eventually determine the effectiveness of communication. There are, for example, cultural differences in the norms determining the appropriate distance between people in interpersonal space. To ensure effective communication, the communicating manager must acknowledge cultural differences and try to see the situation from the perspective of the other person's culture.

- Stereotyping

Stereotyping involves categorizing people or events according to their perceived similarities. Stereotyping consists of three steps:

1. People are classified according to a certain category, for example nationality, sex or age.
2. Attributes are then associated with those categories such as intelligence, musical ability or punctuality.
3. It is inferred that all people in a certain category show the attributes ascribe to that group. All Orientals are intelligent, Germans all sing well and Africans are always late for appointments.

Stereotyping is often inaccurate, and to cling to stereotypes will affect communication in the workplace negatively, rather than to contribute to affective communication (Puth, 1994:51-52).

- The halo effect

The halo effect almost represents the inverse of stereotyping. The halo effect refers to judging a person, place, object or event on the basis of a single trait or experience. This overall impression, positive or negative, will certainly prejudice any further interaction with the person or object. At times people's behaviour is based on a snap judgement as positive or negative. If this first impression is faulty, it can take considerable effort to concede this fact and break the halo effect.

The manager with the somewhat chaotic desk is seen as less competent, the well-dressed man is seen as a womanizer and the assertive secretary as pushy. As in the case of stereotyping, the halo effect can have a severely detrimental effect on communication and interaction.

2.9.2.2 Differences in meaning

Meaning is another potential major barrier to communication. Humans are unique because they can share meaning by using formalized verbal language that consists of symbols that stand in reference for items and events within society. Symbols, however, can become a barrier to effective communication among people who do not share the same meaning to a certain symbol.

- Denotative and connotative meaning

Language affects perception, communication patterns and interpersonal behaviour. Using words is the foundation for accurate communication, because words are the primary symbols used by people. Every word has a denotative (or dictionary) meaning as well as connotative (personal experience) meaning. People mostly communicate by using connotative language based on their personal experience. This is why it is often said that meaning (connotative) is in people, and not in words (denotative).

Major communication conflicts can result from the way we use words. The choice of words, as well as the language in which a person encodes a message, influences the quality of communication as language is a symbolic representation of concrete things. There is room for different interpretations or distortions of meaning.

2.9.2.3 Organizational structure

The third of the potential major barriers is organizational structure. The climate in which, as well as the networks and channels through which communication takes place in an organization, help either to facilitate or to hinder management communication. A number of factors associated with organizational structures can become barriers to effective communication:

- **Patterns of information flow**

An organization's communication network defines the flow of messages in formal patterns (downwards, upwards, and horizontally) and in informal patterns (the grapevine). Each pattern of information flow in an organization has a distinctive effect on the overall communication quality.

- **Degree of centralization**

Organizations have various degrees of centralization. Some organizational members may have access to more information than others, and because of centralization, some people know more than others, or have different information. The potential for misunderstanding between various levels and functional units of the organization is increased by centralization, mainly because centralization tends to discourage shared information.

- Level and direction of communication

Almost all organizations are, to a lesser or greater extent, hierarchies: they include both superiors (managers) and subordinates (employees). Certain communication barriers are associated with the direction in which messages are sent in hierarchical structures. Downward communication is the flow of communication from manager to employee in the organizational hierarchy. Upward communication refers to messages sent from employee to managers. Lateral communication is the horizontal communication flow between peers. Each is essential to effective organizational functioning, but each also has its specific problems. Downward communication is often filtered by employees' mistrust of their managers, or the fact that such messages may have been tailored to motivate the employees, rather than to provide them with information. The effectiveness of upward communication may suffer from employees' unwillingness to say anything other than what they think the manager wants to hear. These deficiencies in vertical communication flow are often referred to as the "sponge layer" where information from higher and lower levels is absorbed, but it is not let through.

Managers must continuously assess and understand the communication structures and networks within their organization, and then use or modify them as effectively as possible (Puth, 1994:54-55). School management can promote staff development through communication. Effective staff development requires principals to help people make the best use of the strengths they have at whatever point in their careers they found themselves, although this sometimes means helping them to face up to unpalatable choices.

2.10 Conclusion

Chapter 3

Effective leadership is very important in every school. Leadership is not necessarily confined to authority or position or to obtain power, but rather to get things done. Leaders organize and communicate values through a specific vision. The clearer the vision, the more people become convinced that it is the proper goal to strive for. Highly successful leaders have learned the great leadership secret of power invested: the more you distribute power among others, the more you get in return.

The following chapter will address Capacity Building and components of capacity building in more detail.

Chapter 3

Suitable components of Capacity Building

Reference is made in the first section of this chapter to the report of the Task Team on Education Management Development (Godden et.al, 1996).

There is a mutual relationship between empowerment and capacity building. It is therefore difficult to talk about one element, without referring to the other. Empowerment and capacity building arise as a result of transformation, which involves every aspect of South African life. Major steps are being taken to transform the economy in order to promote growth with equity and justice. In each sphere there is a need to change; not simply the scale of provision and access to services, but the nature of those services and the way they are conceptualized, resourced and delivered. Empowerment and capacity building are therefore means that are used to address the imperatives for change in education.

The new approach to Education Management and Education Management Development shifts directly towards democratic governance as outlined in recent education policy papers and legislation. If this approach is to be realized, we cannot continue "business as usual."

A new generation of school managers will have to develop effective relationships with both their schools' governing bodies, as well as the departmental education officials. District officials and administrators will have to learn to relate to governors and school principals in ways that focus on empowering schools, in order to improve the quality of teaching and learning. School governors need to learn to take responsibility, not only for the decisions they make that affect their schools, but also for their interaction with the

management team in ways which offer support and guidance, balanced by thoughtful direction and control.

The task of instilling these new skills, attitudes, knowledge and understanding is at the heart of the challenge we face in transforming governance and management. The task may be daunting, but not impossible. The new policy framework for decentralized decision-making is now embedded in the South-African Schools Act (1996). The progress that is made in building up competency at all levels will determine the pace of change that will take place toward more democratic governance.

The way forward requires creative strategies in order to turn the new approach to Education Management and Management Development into effective action. The Task Team's framework can best be understood as a guiding instrument, and not a blueprint, for change. The intention is to focus the attention on the principal ingredients for systematic capacity building. In other words, the Task Team does not dictate what the Minister, the departments of education, district officials or school management teams must do. According to the Report on Education Management Development, Godden et.al, (1996:35-36), the Task Team only makes recommendations. In order to build capacity in the institution in which they work, the different people in the system then take the necessary action.

INFRASTRUCTURAL &
OTHER RESOURCES

- reviewing physical resources
- improving allocation & use of resources
- accessing additional resources
- materials collection and development

Fig. 3.1 A Holistic approach to Education Management Development



Taken from the Task Team Report , by Godden et.al, (1996).

3.1 Guiding strategic principles

The Task Team's recommendations were gathered from the following practical principles that were drawn from their consultations and from international experience. The Task Team believes that in order to be effective, the Education Management Development strategies for South Africa must aim at the following:

- **consensus and commitment:** it must be based on shared purposes, goals and principles, and a common understanding of what constitutes good management and leadership practice
- **confidence:** it must be based on a foundation of its trust in an education framework, its capacity for reflection and its potential for professional self-motivation
- **contextual relevance:** it must take into account the historical and continuing disparities amongst schools, institutions and governing bodies with regard to provision, organization, skills, resources and commitment
- **co-operation and co-ordination:** it must be based on new working relationships within the education community and on active, focussed partnerships inspired by commonly-held goals
- **coherence:** it must provide for possibilities to improve both the skills of managers and the performance of the education service by integrating the needs of individuals with the needs of the system
- **creativity:** it must make the best use of all available human, material and financial resources and a variety of training and support techniques

- **coverage:** it must have the capacity to reach the large numbers of people now responsible for managing and leading educational transformation in all parts of South Africa

3.2 Guidelines for Education Management Development

The Task Team suggested that the primary purpose of Education Management is to “create an environment for effective teaching and learning”, that is, to improve performance in the education service according to three criteria:

- **effectiveness:** to achieve the objectives of the school, institution or education system
- **efficiency:** to improve performance at equivalent or lower cost; using resources to best effect
- **relevance:** to sustain the ability to learn and adapt.

How then can we build capacity in order to achieve improvements in the quality of education we provide?

The Task Team has consistently stressed that Education Management Development does not only provide training for individuals, but it also includes the processes whereby people agree on the values which underpin the vision and mission of every education institution and the performance of individuals in them. This also includes education systems and structures, policies and procedures within which people are able to work effectively.

The Task Team recognizes the need to promote a common understanding of Education Management Development and to foster a systematic approach to building capacity for improved educational performance.

In keeping with the theme of this report – changing management to change education – the Task Team proposes a dynamic framework that will evolve and be adapted for use in a variety of ways, according to need.

3.3 Overview of the major components

The central driving force of this framework is capacity building. It is to develop the ability of institutions and individuals to perform effectively and consistently. It consists of five key components:

- **strategic direction:** to build capacity (within the context of agreed values and principles) which will guide schools, institutions and various other levels of the education service and keep them on course
- **organizational structures and systems:** to build the capacity to develop and deliver quality education services through effective structures and procedures
- **human resources:** to develop the potential of people at all levels of the education service, whether they are managerial, technical, professional or support staff
- **infrastructural and other resources:** to develop the basic infrastructure for decision-making and to provide adequate technical, financial and material back-up

- **networking, partnerships and communication:** to link institutions, people, resources and interest groups inside and outside South Africa in a variety of practical, focussed ways and to improve levels of communication.

All these components, put together, constitute a holistic framework for changing Education Management in South Africa, and ultimately for improving the quality of teaching and learning in our schools. It is important to recognize that the strategy cannot be fully effective if only one of its components is implemented.

Capacity development includes everything that is needed to contribute to the enhancement of the organization's capacity to increase performance. The afore-mentioned South African Task Team on EMD examined capacity development and identified five themes, which provide a holistic approach to EMD.

3.3.1 Component 1: Strategic direction

Strategic direction must reflect and promote both coherence and diversity within the context of school-based focus on teaching and learning.

Improved access and quality. If the purpose of our education system is to provide a good education to all learners and as a result redress historical imbalances in provision, the quest must be to achieve higher levels of school effectiveness, efficiency and relevance. The first step in developing capacity to manage our schools better, is to understand and promote this vision of schooling.

Building awareness of Education Management Development as the foundation of transformation. The Task Team is concerned that the interconnectedness of management development on the one hand, and transformation on the other, has not generally been recognized. Management development provides the basic foundation for change that is an absolute prerequisite to implement the new education policies successfully.

It is important that all education professionals make a similar commitment to the new vision for Education Management and the new approach to Education Management Development. This means that the concepts of school performance, school quality, school effectiveness, school improvement, whole school development, school-based management and planning and in-service training must become standard items in the vocabulary of education.

Who is to provide leadership? In the new dispensation strategic direction will come from various different sources within the education system. One can expect leadership in this regard not only from the national Ministry and Department of Education, the provincial Members of the Executive Committee and their departments of education, but also from schools and their governing bodies, as well as their partners in tertiary institutions, non-governmental organizations and professional associations.

Decentralized leadership will both be formal and informal. Customarily we find formal leadership exercised by people in positions of authority, for example: the chairman of a school governing body or a district manager. However, informal leadership will be exercised on a more regular basis by anyone in the education community who, by virtue of their skills or resources, is able to exercise influence on the conduct of others. It is not always the

person in authority who has the most influence over decision-making and practice.

Governance and management. The South African Schools Act has just been adopted to guide governance transformation. School governing bodies will, among other things, be expected to articulate the mission and vision for the school and to monitor its performance and hold staff accountable. They will help to select staff, manage finances and physical resources and attempt to bridge the gap between the school and its community. They will also be responsible for conflict management and resolution. This is a tall order by any standard.

It would be wrong to build capacity of the governing bodies in isolation. Governors work in collaboration with principals, their senior staff and the school management team. They also have support from district officials. The Task Team's attention was focussed on the continuing discrimination against women in Education Management, corrupt appointment practices, the appalling conditions under which teachers in many of our schools work, and the consequent low motivation and morale amongst both teachers and students. The Task Team feels that the establishing and then training of school governing bodies must take place within the context of improving Education Management across a wide spectrum of concern.

Research and development. As two of the key blocks in our strategic realignment, research and development are important for setting our education course. The Task Team feels that there is a need to agree on research topics that will most strongly support policy and strategy formulation, as well as better management practices. A number of issues are derived from the imperatives of transformation. This includes women in management; the legal and

practical problems of remote rural and farm schools; aspects of labour relations policy and practice; financial and legal frameworks for teacher management and support; organizational development and transformation and matters related to accreditation, certification, standards and norms.

3.3.2 Component 2: Organizational structures and systems

In order to provide education of as high a standard as possible, we need to build the capacity of organizations and institutions. They need to structure themselves in order to design and set in place effective patterns of work, administrative processes and procedures at all levels. They need to plan and implement their objectives, and to set up education management information and quality assurance systems.

Delivering quality education. This should be the core concern of the education system at every level. As obvious as this may sound, this perspective is often the exception rather than the rule.

A recent study in Gauteng considered various strategies for dealing with school infrastructure; leadership, management and administration; relationship between principals, teachers, students and parents; the socio-economic context and the relationship between the schools and the departments of education. Most, if not all of these issues, sound very much like “management issues”, and so they are. These issues have been raised in the context of improving the culture of teaching and learning, and ultimately this is what Education Management should be about.

Organizational structures. The Task Team refers to the way in which duties and responsibilities are divided amongst organizations and institutions in the system, and amongst units and individuals within each institution and organization.

The Task Team identified a number of strengths in the system on which to build, including:

- an existing core of trained managers - particularly in technical areas
- an injection of new people with enthusiasm to change the system
- the existence of various information systems to support management
- new district structures which provide for more decentralized decision-making
- a wide variety of people and organizations currently involved in policy development and implementation.

A Centre for Education Management Development in each province. Each provincial department of education, as the employer of personnel, bears the primary responsibility to train and support its management teams. Each department must therefore have means by which to develop a strategy for, and adopt a policy on Education Management Development. They also need to oversee the implementation of such a policy.

Education Management Development is unlikely to ever come into its own, unless dedicated loci or centres, suitably located, staffed, mandated and resourced, are established in each province.

Management systems. If organizational structures constitute the “hardware” of educational management, then systems can be thought of as its “software”. Management systems may be quite formal and detailed, or more informal and open. The main issue here is not the nature or shape of the system, but whether it supports the mission of the organization.

Information: the core of management systems. The Education Management Information System (EMIS), now under development will make reliable and practical information available to all stakeholders that should enable managers and school governors to make more informed decisions.

Education Management Development will not only feed off such an information system, but will also contribute substantially to improve its effectiveness.

Quality assurance systems. The processes for monitoring the quality of schools are essential components of the education service; a continuous process that starts at the schools and runs through to the Department of Education. Quality assurance systems help to develop norms and standards for governance and management and to decide where professional training and support is needed. The three cornerstones of quality are to constitute a means to monitor, to evaluate effectiveness, efficiency and relevance, as well as being a mechanism to supply feedback into the process of policy formation. In order for quality assurance systems to operate effectively, considerable capacity building will be required at all levels of the system. A quality assurance framework will include processes for reaching an agreement on the underlying principles of Education Management and Education Development on characteristics of good practice and on norms and standards. Such norms and standards are

likely to develop within the context of the National Qualifications Framework. It will require more detailed policy work around issues such as identifying and promoting management competencies, accrediting Education Management Development providers, validating courses and programs, recognizing prior and experiential learning and giving certificates of qualification to managers or aspiring managers at various levels.

3.3.3 Component 3: Human Resources

It is people that make education work. The quality of our schools and our education service depends on support staff, teachers, principals, school governors, policy makers and administrators throughout the system. These people not only have to deal with change on a daily basis; they have to make change possible at all levels.

Empowering people. Individuals working in a school environment that is constantly changing require support. Managing people ensures that the work gets done properly and on time. Developing their skills ensures that they have opportunities to improve the quality of their work it leads to continuous improvement and positive change for everyone in the organization. It also makes excellence in our schools possible.

The challenge is to provide the kind of support, skills and knowledge that will enable each individual in the education community to contribute as much as possible.

Effective Capacity Building will focus on three aspects of people development:

- **objective empowerment:** staff members need to perceive that promotion and upgrading procedures are rational and fairly applied and that they have access to the information they need. They need to know that leadership locates decision-making at appropriate levels and that they, as staff members, have sufficient physical and material resources to do the job.
- **subjective empowerment:** people need to have a sense of “ I can do this” which originates from a feeling of self-confidence and motivation. This feeling promotes high morale.
- **competence:** people need to have or to develop the skills, knowledge, understanding and attitudes which enable them to carry out their responsibilities effectively.

Developing appropriate competencies. In developing human resources for education, care needs to be taken to meet the needs that are emerging from the new approach to Education Management, including an increased emphasis on relationships and team building skills. Participative management and decentralized decision-making require educators at all levels to interact with many different people and organizations in order to make joint decisions and to co-operate in working through a range of tasks. They need new interpersonal, facilitation, leadership and conflict resolution skills.

According to the Task Team the way to make the best use of our human resources involve the following:

- **Planning** to ensure that people with the right skills and abilities are in the right place at the right time. Planning assists to work out which people are needed in which positions, doing what type

of work and when. Planning enables managers to identify the impact of change on people in order to develop strategies for restructuring an organization on a continuous basis.

- **Employing people** through fair and effective procedures, including those for recruitment, selection, promotion and deployment. “Quality in selection” based on merit and equity is essential to performance and morale.
- **Managing people** in order to balance individual performances, attitudes and aspirations with the overall goals, culture and values of the organization. People management needs to focus on improving individual and team performance in such a way as to contribute to the effectiveness of teaching and learning. Managing people is not just a matter of getting people to work harder – it involves helping people to work more effectively.
- **Developing people** in order to improve the effectiveness of each individual and of the organization. This requires that people have opportunities for improving the skills required in their current position, for pursuing their career goals and for taking up new responsibilities in an education system in transition. Today most skills-upgrading takes place through formal training and development programs. The Task Team anticipates that people development will involve on-the-job training, as well as support in schools and districts, career counselling, mentoring and self-study, distance education and peer-group work with the result that the culture of learning is dispersed throughout the education community.

- **Working together** in order to foster recognition for the interdependence of everyone in the education community. Good working relationships, effective staff participation and disciplined leadership are essential if each individual is to contribute to the attainment of our educational vision.
- **Equity**, that is, to ensure that we recognize the diversity within our education community. It is particularly focussed on developing anti-discriminatory practices with regard to race, gender and disability.

3.3.4 Component 4: Infrastructural and other resources

Even though capacity building requires money, financial resources alone will not build capacity. It is the way in which it is used, that will ultimately determine whether the education system achieves higher levels of performance. Education departments will need to plan *how* funds need to be applied to Education Management Development to the best effect.

Material and physical resources. Infrastructure usually refers to the basic conditions under which teaching and learning takes place in the school and classroom environment. In many schools attention must be given to the very basic needs like water and electricity. Provinces need to analyze current allocations of material resources and devise strategies in order to meet the most urgent needs and also to reduce current disparities in provision.

Improving the allocation and use of resources. One of the most telling demonstrations of commitment - or lack thereof - to a new vision for education, lies in the allocation of resources; particularly in

the context of budgetary restraints and reduction in the size of the public service. In designing an overall strategic resource plan for Education Management Development, the starting point has to be a detailed analysis of the utilization, cost effectiveness and efficiency of the deployment of existing resources.

At the moment, under-provision is exacerbated by the fact that the bulk of financial resources for Education Management Development are allocated to universities and technikons in support of pre-service and post-graduate academic training for professionals. The flow of funds to tertiary institutions will need to be targeted much more precisely, and the funding formula adapted in order to reward such institutions for engaging in professional management development work.

Accessing additional resources. In addition to improve the manner in which existing resources are used, a strong imperative exists for allocating additional resources to Education Management Development. The international community has signaled its willingness to support Education Management Development activities. Agencies representing Britain, Canada, Denmark, France, Sweden, the United States of America, and multilateral agencies, including the Commonwealth Secretariat and the European Union UNESCO, have already made commitments to Management Development or are negotiating support programs.

The contributions of the international community are welcome, as long as it can be directed and focussed toward agreed priorities. This will focus such resources where it is most needed, and in such a way that it builds the capacity of the departments, or institutions, they intend to serve.

Materials collection and materials development. South Africa urgently requires a central, world-class document collection that is dedicated to Education Management.

In order to establish and maintain such a set of resource materials, these materials, available in South Africa or from around the world, cannot simply be collected. It must also involve developing our own training and resource materials. Generic materials, which can be adapted as needed for governing bodies, school management teams, district officials and others, can be prepared nationally or provincially by writing teams. These teams will consist of practitioners who can work on specific topics that were agreed upon by those who will benefit from the topics.

The principal purpose of these generic materials is to set an example of quality with regard to language, content and practicality, and, by such quality gain visibility in and access to the system. Promoting materials development and distribution should be one of the highest priorities of the new approach to Education Management Development at all levels.

3.3.5 Component 5: Networking, partnership and communication

By linking institutions, people, organizations and interest groups inside and outside of South Africa in a variety of practical ways, and by improving communication with one another, it will enable us to make effective use of the technical, financial and professional resources available to Education Management Development. It will also help to find ways to collaborate in dealing with common problems.

A web of support and support for the web. The Task Team believes that only a strongly woven web of vibrant networks and partnerships has the breadth and depth to nurture, drive and sustain the management of change. Schools, educational institutions and government departments cannot do it alone. Working together and sharing information and expertise are consistent with an open, democratic education service. Real and systemic educational change is costly and requires the collaboration of policy makers, researchers, administrators and – most important of all – educators, students and parents. No one can hope to initiate significant change while working in isolation.

Building positive and practical links among members of the education community is an important step in promoting change. The Task Team recognizes that, just because working together is important, it does not mean it is easy to achieve. Working collaboratively has not characterized government practice in the past. Information was something to be guarded, not shared. Seeking outside assistance or advice was seen as a sign of weakness, not strength. Networking and partnerships were not part of the management agenda. The new partnership principles which underlie the Task Team's strategic proposals, depend on people making available a great deal of time and energy to make them work.

A vibrant non-governmental community. South Africa's non-governmental community has had wide experience in drawing on diverse expertise to achieve its goals. Much benefit can be derived from experience and innovation. Non-governmental organizations have expressed their concern about their role as consultants to government and about the fact that they have to compete with

foreign, donor-funded consultants. They are also concerned on how their own programs should be evaluated and by whom.

The Task Team anticipates that non-governmental organizations will not only play an increasingly direct role in Education Management Development Programs, but also in partnerships with training institutions, and in consortia with other non-governmental organizations, institutions and government departments. Guidelines for involving potential partners in new working relationships in Education Management Development are urgently needed.

Evolving partnership. By getting representatives from tertiary institutions, non-governmental organizations and various associations together, opportunities were provided whereby tentative working relationships were extended. Provision was also made for representatives to engage in initial consultations about working together in ways one cannot ever have imagined in the past.

Institutions have started to create formal linkages, such as sharing expertise and developing course outlines and training materials with other institutions at home and abroad. Schools have started to work in clusters, or through twinning arrangements in order to make the best use of scarce expertise, equipment and materials.

Provincial education officials have expressed the urgent need for devices whereby officials can share both information and practical experience related to management in no uncertain terms. They have also told the Task Team that common goals need to be set with regard to national norms and standards and to the transformation of

provincial management structures. Incentives for professional self-development were also negotiated.

Officials have also pointed out the potential of convening on either an ad hoc basis, or with standing inter-provincial joint groups. This would permit provincial officials and their partners not only to tackle practical problems together, but also to establish and train governing bodies; to prepare regulations and legislation; to develop and produce training materials and to rationalize inspection and advisory services.

It is clear that the essential need is to build on national and international initiatives in such a way that working in collaboration with each other is no longer an exception to the rule, or a pilot study, but the cornerstone of the way in which we do business.

Communication. Sharing information is basic to informed decision-making. At every level of our education system our interaction with one another should be characterized by transparency in communication. At every point at which people make decisions, they must have access to information. Therefore the process of decentralization must include provision for information decentralization, thus the report of the Task Team on Education Management Development (Godden, et.al.1996:51-53).

The challenge that we face at the dawning of a democratic society is to create an education and training system that will ensure that human resources and potential in our society are developed to the full. It is the challenge posed by the vision of the Freedom Charter, "to open the doors of learning and culture to all" (Smith, 1997:125).

The above statement captures the essence of the challenges that face those responsible for designing and implementing the new education system in South Africa. Since the publication of the ANC policy framework, the national government and the provincial governments have been working hard to try and establish appropriate frameworks for the governance and management of education and training in South Africa. Among these initiatives was the creation in 1996 of a National Task Team on Education Management Development as previously discussed in this chapter.

Smith, et al. (1997:127) said that making the educational system accessible to all, is only half the battle. The system must provide quality education. Schaefer (1990:39) argues that there is no quality without equality and equality without quality is not worth having. Equality and quality are, in fact, complementary aspects of a global vision of public education, which, if not essential to each other, are mutually supportive and enhancing.

It is within this context that this study seeks to inform the policy development and implementation process in South Africa by advocating school performance and change as a focus of Education Management Development.

3.4 School performance, change and Education Management Development: An emerging framework

Within this broad framework the research on school performance is concerned with the search for quality schools and on how we are performing in relation to where we want to be in terms of schooling.

School performance and change as a focus of Education Management Development will ensure that the essential purpose of the education system stays focussed on teaching and learning. The conceptual framework for the relation between school performance, change and Education Management Development draws on several major research traditions, but particularly the research on effective schools and school improvement (Smith, et al. 1997: 128 -129).

Capacity Building and School Management Development should lead to more effective schools and school improvement.

3.4.1 School Effectiveness and School Improvement: Contrasting Traditions

Clark, Lotto & Astuto (1984:42) contrast the two traditions of school effectiveness and school improvement by the nature of the questions their respective researchers seek to answer: "In the former case, the question is whether altering resources, processes, and organizational arrangements will affect student outcomes. In the latter case, the issue is whether schools can change, and if they can, how they do it?"

Education and education institutions are empowered and capacitated in order to play a meaningful role in the transformation agenda. Both empowerment and capacity building have proportionate effects as catalysts for school improvement, according to Fullan (1997:21). The search for "quality school", "school effectiveness", and "school improvement", invokes empowerment and capacity building.

Reynolds, Hopkins & Stoll (1993:44) distinguish between these traditions on several dimensions, as shown in the below:

Comparison : School Effectiveness and School Improvement

Table 3.1

School Effectiveness	School Improvement
<p>Focus on schools.</p> <p>Focus on school organization.</p> <p>Data driven, with emphasis on outcomes.</p> <p>Quantitative in orientation.</p> <p>Lack of knowledge about how to implement strategies on change</p> <p>More concerned with change in pupil outcomes.</p> <p>More concerned with schools at a point in time.</p> <p>Based on research knowledge.</p>	<p>Focus on individual teacher or groups of teachers.</p> <p>Focus on school processes.</p> <p>Rare empirical evaluation on effects of change.</p> <p>Qualitative in orientation.</p> <p>Concerned with change in schools exclusively.</p> <p>More concerned with journey of school improvement, than with its destination.</p> <p>More concerned with schools busy changing.</p> <p>Focus on practitioner knowledge.</p>

In North America the research on effective schools grew as a response to the research findings of Coleman, et al. (1966:89) who alleged that schools made little difference to student achievement because of the pervasive influence of family background characteristics.

Subsequent research, seeking to refute this conclusion, identified schools which were outliers, that is, schools which scored particularly high or low in relation to their socio-economic status. The high-end outliers became known as effective schools according to Reynold, et al. (1994). The effective schools' research searched for process variables that correlated with high student achievement.

Recent literature has evolved in the search for conceptual models of school effectiveness.

For two decades Michael Fullan has been the lantern bearer in the field of educational policy implementation and change. Policy, it was accepted, was made at the top, but put into effect (or not) by "street-level bureaucrats" according to Smith, et al. (1997:129).

Literature on policy implementation was based on the premise that policies alone do not produce results. The policies must be interpreted, applied, and elaborated into organizational routines and structures (Elmore, 1982:2).

It is not surprising therefore that the early literature on educational change adopted this "top down" perspective, only to be subsequently replaced by a "bottom up" perspective.

This has emphasized the ownership and commitment of school-based personnel as shown in the following table:

Evolution of School Improvement

Table 3.2

	1960's	1980's
Orientation	"top down"	"bottom up"
Knowledge Base	elite knowledge	practitioner knowledge
Target	organization/curriculum based	process based
Outcomes	pupil outcome orientated	school process orientated
Goals	outcome as given	outcome as problematic
Focus	school	teacher
Methodology of evaluation	quantitative	qualitative
Site	outside school	whole school
Focus	part of school	whole school

Taken from " Linking School Effectiveness Knowledge and School Improvement Practice" (Reynold, et al. 1993:40).

While there are a host of different ways in which schools can be effective, the message coming through from research is relatively simple:

" Effective schools are demanding places, where teachers expect and ensure high standards of work and behaviour; at the same time, they are responsive to pupils, for the teachers are approachable and, since they value pupils, seek to include them in the life and work of the school. It is the combination of pressure and support which characterizes the effective school (Brown & Riddell, 1991:67-68)."

The “top down” versus “bottom up” dichotomy falsely presents the change process as an “either...or “ choice. The process of change necessarily involves policy actors and other stakeholders at different levels of the system.

The real question that is germane to the policy debate is not “top” versus “bottom”, but how the various stakeholders will interact to support and sustain change over time. Note at this point that, although the expression “school improvement” is used in a general sense to signify the process of making schools better places for teaching and learning, it has a more narrow, specialized meaning, namely to strengthen the school’s capacity for making change (Hopkins, Ainscow & West, 1994:13).

3.4.2 The meaning of change and the change process

Fullan (1991:3) begins his synthesis of the meaning of educational change as follows:

- As one person claims that schools are being bombarded by change, another observes that there is nothing new under the sun.
- While a policy maker charges that teachers are resistant to change, a teacher complains that the administrators introduce change for their own self-aggrandition and that they neither know what is needed, nor understand the classroom.
- A parent is bewildered by a new practice in reading and by the relevance of education to future jobs.
- A governor works hard to get new legislation passed to reform education and a principal thinks, “this too shall pass.”

Fuller & Snyder (1992:235) describe the difficulty of change penetrating the school as a problem of the “sticky school situation” – it is difficult to penetrate, but once it is done, it sticks for years to come.

In attempting to understand the meaning of change for individuals and organizations, one must first recognize that change, even when leading to positive outcomes, is anxiety provoking. As Fullan (1991:32) states:

”Real change, then, whether desired or not, represents a serious personal and collective experience characterized by ambivalence and uncertainty; and if change works out it can result in a sense of mastery, accomplishment, and professional growth.”

Stoll & Fink (1996:85) have developed a typology of school culture based on the interplay of the state of effectiveness and improvements in the school.

Typology of School Culture

To use their terminology, “moving” schools are both effective and actively striving to improve. “Cruising” schools are also effective, but are engaged in improvement. By contrast “struggling” schools are effective, but trying to improve, while “sinking” schools are ineffective and unprepared, or unable to change. Finally, “strolling” schools, as suggested by Fig. 3.2 (Typology of School Culture) are neither effective nor ineffective and although some effort at change is occurring, the pace is inadequate to the task at hand.

Stoll & Fink (1996:92-97) propose ten cultural norms, which they claim, underpin school improvement:

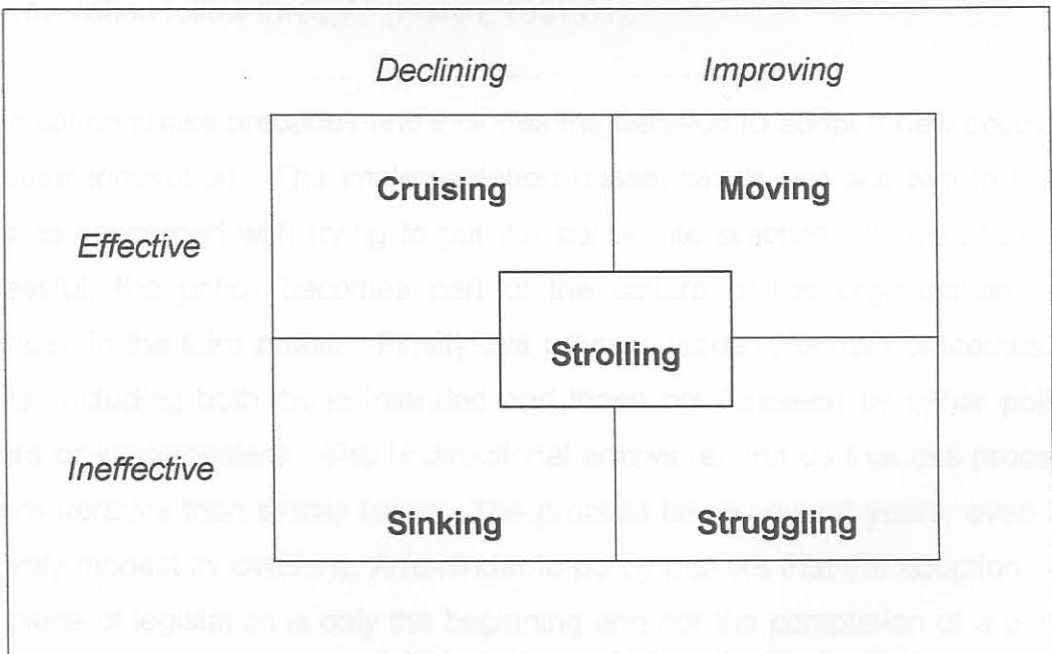
Ineffective

- Shared goals - we know where we are going
- Responsibility for success - we must succeed

- Collegiality - we are working on this together
- Lifelong learning - learning is for everyone
- Risk taking - we learn by trying something new
- Support – there is always someone there to help
- Mutual respect – everyone has something to offer
- Openness - we can discuss our differences
- Celebration and humour - we feel good about ourselves

Typology of School Culture

Fig. 3.2

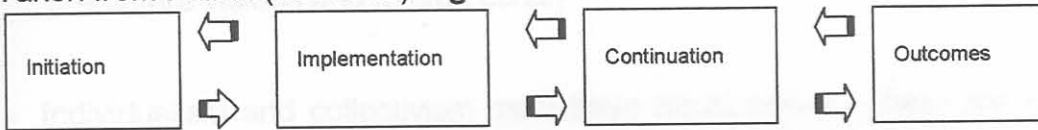


When a new policy is introduced, at least three potential dimensions are involved: possible use of new or revised materials, teaching approaches and teaching beliefs. Fullan (1991:40-41) states that “ innovations that do not include changes or these three dimensions are probably not significant changes at all.”

As mentioned above, change is above all a process, not an event as illustrated below:

Simplified overview of the change process

Taken from Fullan (1991: 48) **Fig. 3.3**



“The political and symbolic value of initiation of change is often of greater significance than the educational merit and the time and cost necessary for implementation follow through” (Fullan, 1991:61).

The initiation phase precedes and includes the decision to adopt a new policy or any other innovation. The implementation phase, which can last two to three years, is concerned with trying to put the policy into practice. If this phase is successful, the policy becomes part of the culture of the organization and continues in the third phase. Finally this process leads to certain outcomes or results, including both those intended and those not foreseen by either policy makers or implementers. The bi-directional arrows remind us that this process is more iterative than strictly linear. The process takes several years, even for relatively modest innovations. A reminder to policy makers that the adoption of a new piece of legislation is only the beginning and not the completion of a policy change.

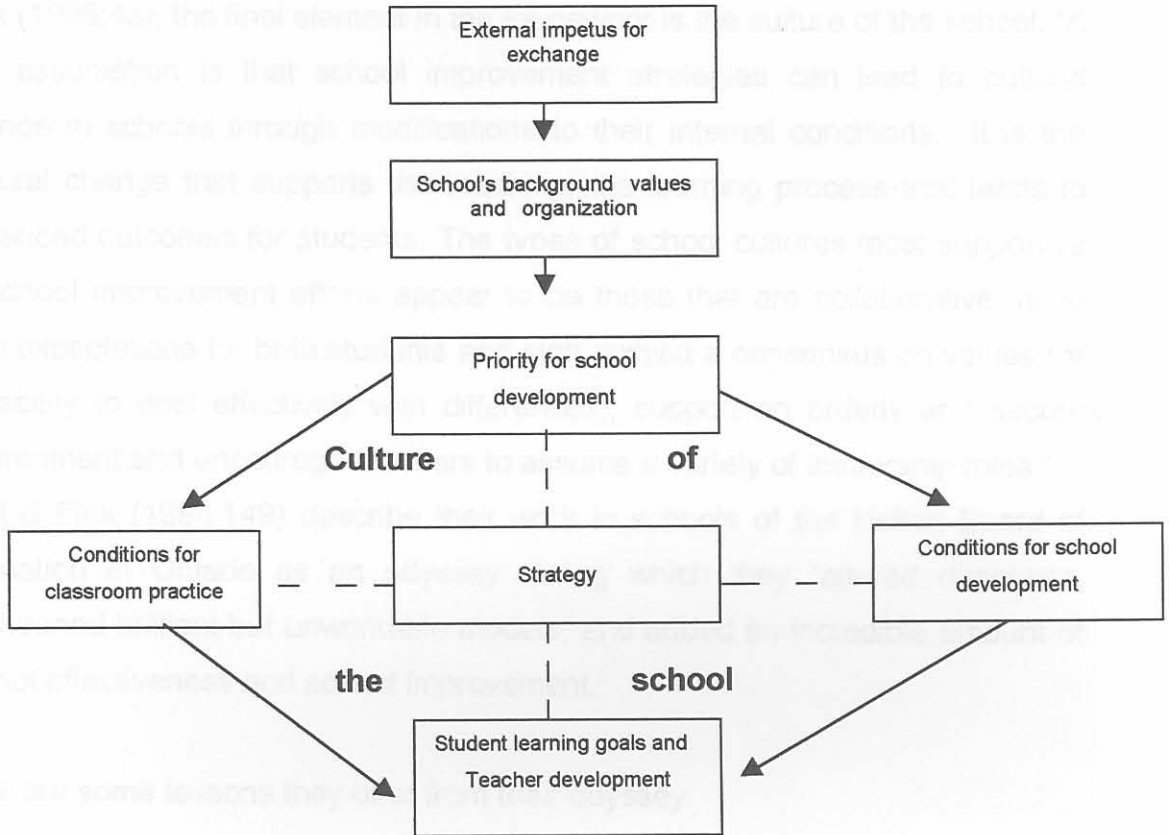
In a later work Fullan (1993:22-23) advances the eight lessons about change:

- You cannot mandate what matters - the more complex the change the less you can force it
- Change is a journey not a blueprint – change is non-linear, loaded with uncertainty and excitement and something perverse
- Problems are our friends - problems are inevitable and you cannot learn without them
- Vision and strategic planning come later – planning usually starts with premature visions and to plan blindly
- Individualism and collectivism must have equal power - there are no one-sided solutions to isolation and group thinking
- Neither centralization nor decentralization works - both top-down and bottom-up strategies are necessary
- Connection with the wider environment is critical for success - the best organizations learn externally as well as internally
- Every person is a change agent - change is too important to leave it to the experts; personal mindset and mastery is the ultimate protection

Hopkins (1996:42) has developed a model for school improvement which, in part, is based on the perspective of school improvement as the adaptation of external changes in order to suit local purposes.

A model for school improvement

Fig. 3.4



The framework shown comprises of three major components: the “givens,” the “strategic dimension” and the “capacity building dimension.” As the name implies, the “givens” are aspects of the change process that are not readily amenable to manipulation, namely the external impetus for change and the school’s background, organization and values.

The “strategic dimension” reflects the vertical linkages in the diagram between priorities, strategies and outcomes. Hopkins notes that although the inherent logic of the sequence was from priorities, to strategies, to outcomes, the most successful schools map backwards from desired outcomes to strategies to priorities.

The “capacity building dimension” reflects the need to enhance the conditions at the level of the classroom and the school. As Hopkins (1996:43) notes, “Without an equal focus on conditions, even priorities that meet the above criteria can quickly become marginalized.” Echoing the afore-mentioned work of Stoll & Fink (1996:43), the final element in the framework is the culture of the school. “A key assumption is that school improvement strategies can lead to cultural change in schools through modifications to their internal conditions. It is the cultural change that supports the teaching; the learning process that leads to enhanced outcomes for students. The types of school cultures most supportive of school improvement efforts appear to be those that are collaborative, have high expectations for both students and staff, exhibit a consensus on values (or an ability to deal effectively with differences), support an orderly and secure environment and encourage teachers to assume a variety of leadership roles.” Stoll & Fink (1994:149) describe their work in schools of the Halton Board of Education in Ontario as an odyssey during which they “altered directions, abandoned brilliant but unworkable models, and added an incredible amount of school effectiveness and school improvement.”

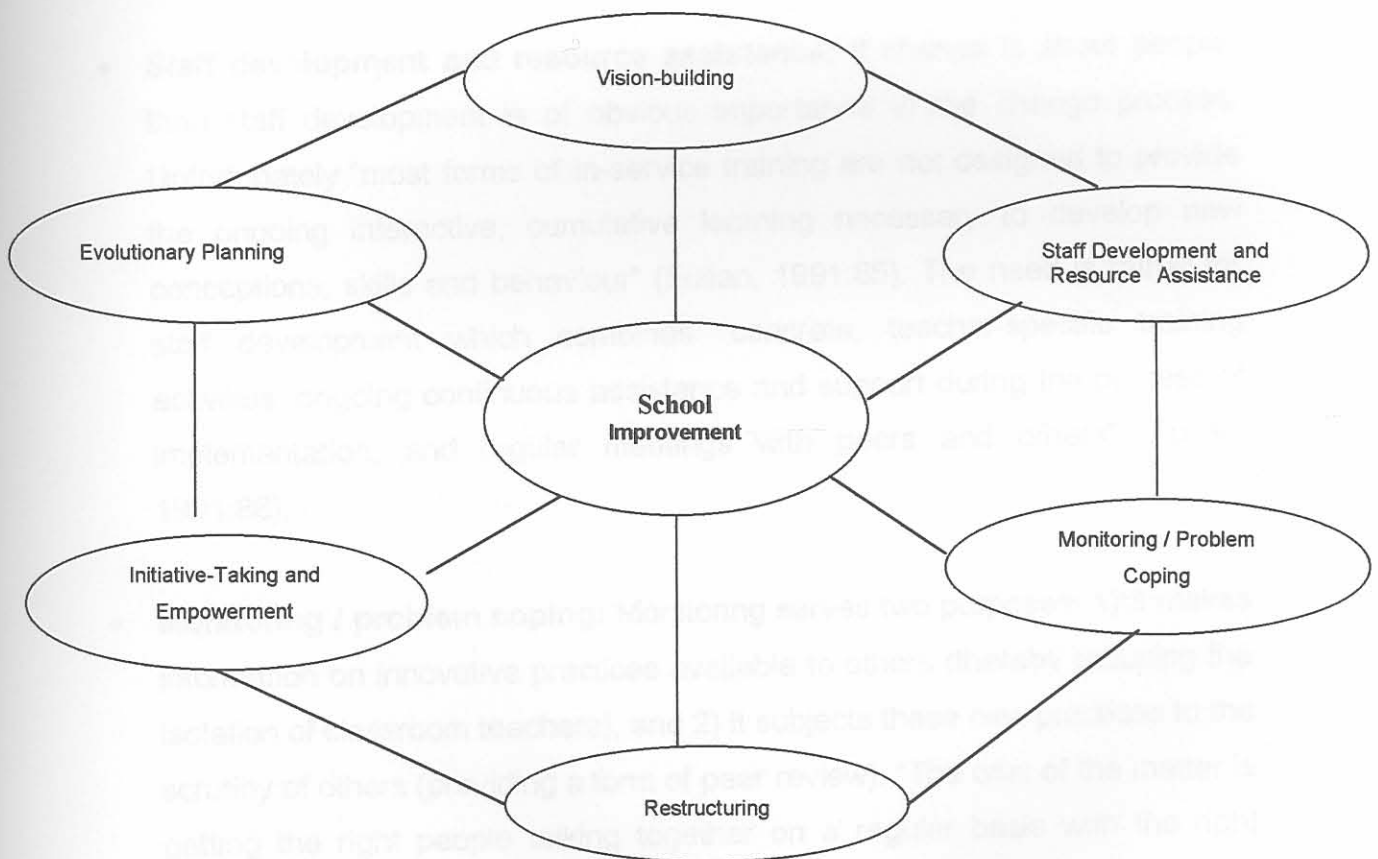
Here are some lessons they offer from their odyssey:

- School growth planning can effect significant change
- Fundamental conditions or school culture pervade the planning process
- The role of leadership is crucial to change
- Principal and teacher mobility can negatively affect change
- Support to schools is crucial to the change process
- Staff development is the key change strategy
- Ad hoc committees and pilot projects are effective ways to support change
- Change processes must integrate multiple innovations
- Goal setting in schools has changed from a wide focus to a classroom focus

Louis (1994:18-24) reinforces the point, namely that change cannot be managed in the conventional meaning of the term. In the earlier work of Louis & Miles (1990:15) school improvement has been imaged as “ a braid in which a collection of reform programs and plans becomes melded with the existing political and cultural setting; at best, changes are based on steady and patient efforts to work within the school as it exists, while maintaining a vision of what can be”. Fullan (1991:84) has build on their work by enumerating six key themes in the development of a holistic approach to school improvement as shown below:

Key Improvement Themes

Fig. 3.5



- **Vision-building:** It is one thing to have a vision, even to be able to articulate it. It is another to build with others a shared vision, both of what the school could look like and the process of getting there.
- **Evolutionary planning:** Successful planning involves “improving the fit” between the desired change and conditions prevailing in the school. Rather than pursuing a fixed course, one adjusts the course as one goes, learning by mistake. In this process calculated risk-taking is essential.
- **Initiative-taking and empowerment:** Developing collaborative work cultures encourage both self-initiative and ownership. “Constant communication and joint work provide the continuous pressure and support necessary to get things done” (Fullan, 1991:84).
- **Staff development and resource assistance:** If change is about people, then staff development is of obvious importance to the change process. Unfortunately “most forms of in-service training are not designed to provide the ongoing interactive, cumulative learning necessary to develop new conceptions, skills and behaviour” (Fullan, 1991:85). The need is rather for staff development which combines “concrete, teacher-specific training activities, ongoing continuous assistance and support during the process of implementation, and regular meetings with peers and others” (Fullan, 1991:86).
- **Monitoring / problem coping:** Monitoring serves two purposes: 1) it makes information on innovative practices available to others (thereby reducing the isolation of classroom teachers), and 2) it subjects these new practices to the scrutiny of others (providing a form of peer review). “The crux of the matter is getting the right people talking together on a regular basis with the right information at their disposal” (Fullan, 1991:87).

- **Restructuring:** Much of the foregoing can only occur if the work place is organized in such a way as to provide for individual and team planning and for new roles for staff members. It is these arrangements that are the subject of the contemporary restructuring of schools.

Throughout the literature on change, the issue of leadership is emphasized as crucial in transforming schools from low performing to high performing institutions.

Based on the urban school study of Louis & Miles (1990), Louis (1994:6) identifies the following images of effective leaders in promoting change:

- **Stimulators** – people who get things started, but turn the action over to others.
- **Story-tellers** – people who help others in the schools to discuss and understand meaning and larger significance of what they are doing as they work on school improvement. The story then becomes the “braid” referred to above.
- **Networkers** – people who spend their time co-ordinating and creating opportunities to get people and programs together in ways that contribute to the emerging school effort.
- **Copers** – people who focus daily on problem scavenging, and who develop a wide variety of coping styles to address the unending, yet largely unpredictable stream of barriers to change.

Louis (1994:24) further identifies six characteristics of effective leaders in promoting change:

1. Providing consistent policies to delegate and empower
2. Spending time on the details of life in the school
3. Modelling risk-taking
4. Providing leadership about values
5. Emphasizing caring for students
6. Actively using knowledge and ideas

As the title of Louis' (1994) article, "Beyond Managed Change" implies, we are just beginning to understand the complexities of change and the myriad of conditions that is required to support change.

It would be useful to consider the following "do" and "don't" assumptions about change (Fullan, 1991:105-107):

- do not assume that your vision of what the change should be, is the one that should or could be implemented;
- assume that any significant innovation, if it is to result in change, requires individual implementers to work out their own meaning;
- assume that conflict and disagreement are not only inevitable, but also fundamental to successful change;
- assume that people need pressure to change (even in directions they desire), but it will be effective only under conditions that allow them to react, to form their own position, to interact with other implementers and to obtain technical assistance;
- assume that effective change takes time; it is a process of "development in use";
- do not assume that the reason for lack of implementation is an outright rejection of the values embodied in the change, or a hard-core resistance to all change;

- do not expect individuals, or even groups, to change;
- assume that you will need a plan that is based on the above assumptions and that addresses the factors known to affect implementation;
- assume that no amount of knowledge will ever make it totally clear what actions should be taken;
- assume that changing the culture of institutions is the real agenda, not the implementation of single innovations.

We should remember that change is not an end in itself; it is a means to an end. South Africa's education system is currently going through a change process. Outcomes Based Education has been introduced to South African schools. Outcomes Based Education has moved from a teacher-centered approach to a learner-centered approach. We have moved from an old education system to a new education dispensation.

Much of the change in education had a reform element inherent in it. In all of this there seems to be reluctance to grasp the essential fact that the world is different today than to what it was, and it is changing fast.

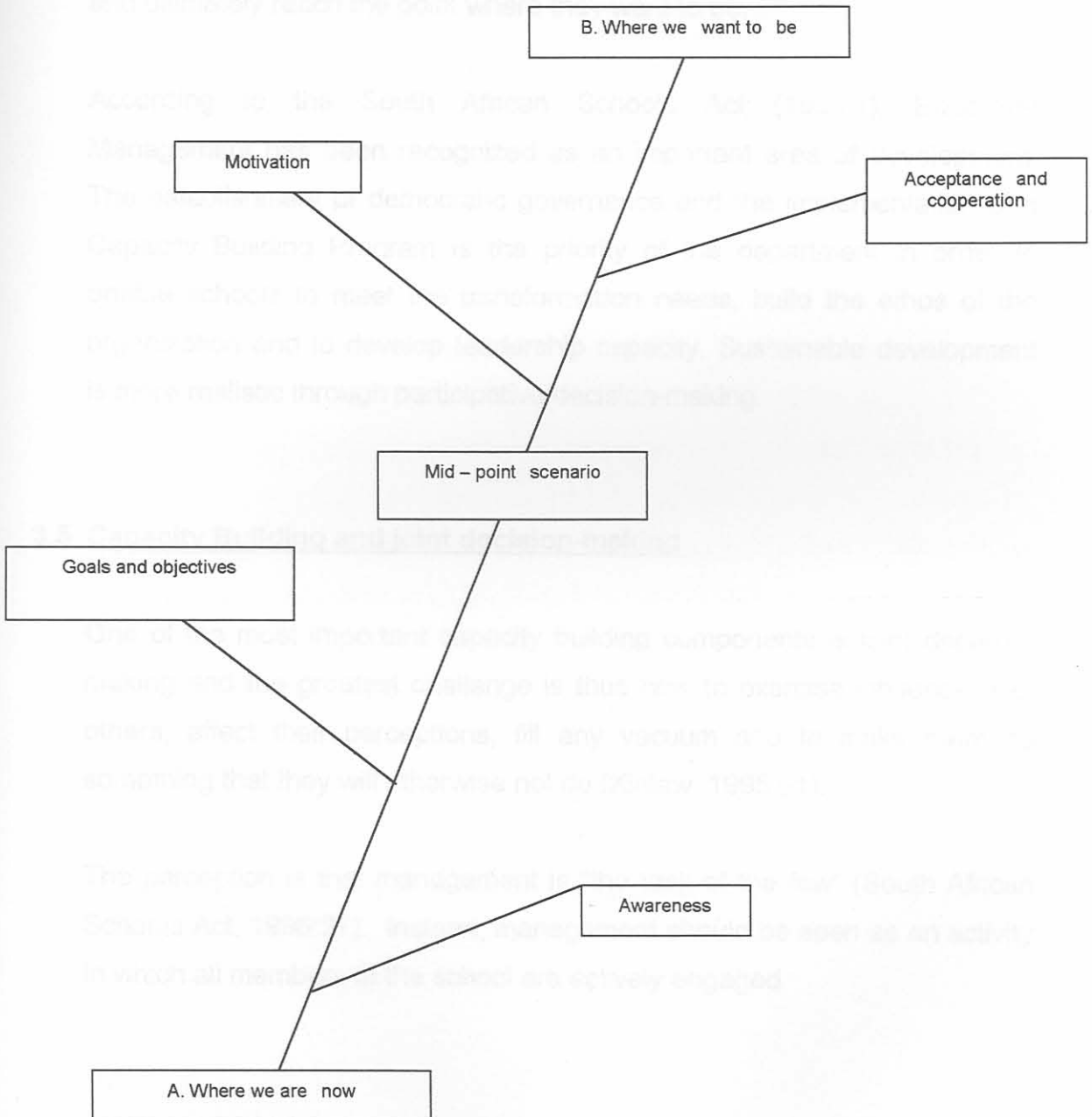
This fast changing education system leads to much resistance and avoidance from teachers who do not want to change, and do not see the need for change. When surrounded by reform or change, school leaders develop a new set of skills, some of them quite radical from traditional ones. They usually engage in three distinct levels of change behaviour:

- intervention – to return to equilibrium
- restructuring work – to improve system performance
- major re-organization – in response to serious internal flow defects or new external problems (Sayels, 1979:152).

In order to manage change in education, one can introduce the Fishbone theory taken from Nolan & Nolan (1995:46) as a way to manage change:

The Fishbone theory

Fig 3.6



At first there is an **awareness** of change and that things have to change. School management sets some **goals** and **objectives**. From the **mid-point scenario** management can look back from where they were and have started, and they are also able to look forward to where they want to be.

Through **motivation**, they as management, then motivate their staff members to **co-operate** and **accept** the change they have gone through – and ultimately reach the point where they want to be.

According to the South African Schools Act (1996:1), Education Management has been recognized as an important area of development. The establishment of democratic governance and the implementation of a Capacity Building Program is the priority of the department in order to enable schools to meet the transformation needs, build the ethos of the organization and to develop leadership capacity. Sustainable development is more realistic through participative decision-making.

3.5 Capacity Building and joint decision-making

One of the most important capacity building components is joint decision-making and the greatest challenge is thus how to exercise influence over others, affect their perceptions, fill any vacuum and to make them do something that they will otherwise not do (Kinlaw, 1995:61).

The perception is that management is “the task of the few” (South African Schools Act, 1996:27). Instead, management should be seen as an activity in which all members in the school are actively engaged.

Joint decision-making promises to meet the challenge as it provides decisions with more technical quality. This means that decisions are taken by people who are involved with the implementation thereof (Kinlaw, 1995:61). If collective responsibility is sought, no individual will be blamed if anything goes wrong. With inputs from all the stakeholders it is impossible to make blunders. Therefore it is important to tap from teachers' expertise and experience in order to facilitate enlightened decisions and build better education programs. A huge challenge is how to transform and develop management from the long and nefarious legacy of autocratic control whereby the teachers were not seen by school managers as active agents who should be encouraged to innovate and seek to bring change (Van den Berg in De Wee, 1994:11).

Power should be utilized in decision-making in order to influence management outcomes such as:

- the capacity to deliver: to create an environment conducive to quality education; to organize, plan, co-ordinate, systematize and structure; to facilitate, guide, support and enable and to provide effective leadership in achieving educational goals by getting things done;
- the capacity to learn and reflect: to assess and monitor systems and processes and to learn from that evaluation;
- the capacity to mobilize and use resources efficiently: to harness new resources while at the same time making best use of existing physical, financial and human resources and to work in partnership in so doing;
- the capacity to innovate: to work effectively towards paradigm shifts and to organize the process of transformation and change (South African Schools Act, 1996:4).

Therefore joint decision-making is an element which steers empowerment and capacity building. When reflecting on the above outcomes the following premises of decisions become conspicuous:

- Organizational constraints
- Assumptions
- Conscious manipulations
- Values and beliefs
- Practices about “who we are”
- How we do things “round here” (Newton & Tarrant, 1992:96)

Decision-making involves processes that are ground rules that guide decision-makers. These rules or principles directly answer questions such as:

- How a decision should be made and who should be involved
- When the decision will be made and when it should be discussed
- At what point on the agenda the decision should be discussed

Answers to these questions are embodied in specific decision-making techniques. Joint decision-making starts with value development that is founded on relationships with parents, teachers, learners and other stakeholders.

Mc Evan (1997:4) identifies three phases of value development:

- I. Acceptance – the individual is willing to identify with the value, but can quickly reassess its worth if more desirable options present themselves.
- II. Preferences – the individual is committed enough to the value to pursue it.

(Reddy, 1992:5). The main thrust of this section will be to discuss the various decision-making and other related issues.

III. Commitment – the individual has such a degree of certainty about it that he or she will always act upon it with firm conviction and certainty.

Values are motivational factors that serve as reference points for self-reflection, they are standards on which to judge decisions of others and they trigger creativity among partners or among the team members. The hallmark of joint decision-making lies in creativity which offer practical ideas to get the job done (Mc Evan, 1997:65).

3.6 Capacity Building Program

Capacity building should be associated with the notion of utility in education, whereby the main concern is usefulness, but not knowledge for the sake of knowledge (Maile, 2000:226). In terms of this predisposition teachers should rather be regarded as worthy resources than merely a means to quality education. Utilitarianism should govern capacity building and permeate education in general.

Utility in education has three aspects, namely:

- learning undertaken for use in further learning
- education regarded as primarily profitable to oneself
- and education intended to fit one in order to serve others

Capacity Building should be seen as a sub-model of empowerment in that it also addresses the issue of improving the teacher's professionalism by focussing on the teacher's academic development, professional and career development, management skills and coping with changes in education (Reddy, 1992:5). The main thrust of this section will be equity considerations and other related issues.

3.6.1 Anti-discrimination program

Historically South Africa emerges from an apartheid era whereby development of skills, knowledge and expertise were afforded certain groups while the large section of the population was sidelined. The misconception of competence is associated with certain groups. The education system should refrain from withholding or limiting access to opportunities, benefits and advantages that are available to other members of society (Maile, 2000:226-227). It means that discrimination should be rooted out in education. Education cannot afford:

“The practice or act of making distinction between people based on such characteristics as race, ethnicity, nationality, language, faith, gender, disability or sexual orientation, which leads to the inequitable treatment of individuals or groups” (Mitchell & Correa, 1997:84).

Practices of discrimination in Education Management reflect broader discriminatory tendencies against women. Women remain invisible in management positions even though they are a majority in the society. Central Statistical Services (1996), shows that women constitute 51% of the population and also in the profession (Department of Education, 1997:198). Even though only 36% of all the teachers in South Africa are male, they hold 58% of principal posts, 69% of deputy principal posts and 50% of head of department posts. These statistics reveal a glaring discrimination against women. As such capacity building should be seen as a critical intervention to normalize the situation and enhance the capacity of women in order to assure them leadership positions in schools. The brief of capacity building will be to level the playing field in such a way that equality for all is achieved.

3.6.2 Equality for all

The notion of equality is invoked in education as a result of changes effected in education policies so as to resonate with constitutional requirement. Hence Ramphele (1995:6) said that:

“Equality is non-negotiable with respect to rights of citizens before the law. All citizens ... have to be treated equally.”

Although equality is laced with paradoxes and often seem difficult to practice, human resources managers are countenanced to persist in implementing it. Bray & Maile (1998:8) defines two different types of equality, that is substantive equality and procedural equality.

3.6.2.1 Substantive equality

Substantive equality refers to contextual or purposive endeavours to equality. Substantive equality requires examination of the actual social and economic conditions of groups and individuals to determine whether the Constitution’s commitment to equality is being upheld. Consequently one has to consider the unique circumstances of persons. Therefore, to realize the ideal of equality in education, it may be necessary to differentiate. Differentiation in this instance does not constitute discrimination.

3.6.2.2 Procedural equality

Procedural equality is often referred to as formal equality. This form of equality requires that all persons are equal bearers of rights, irrespective of the actual social and economic disparities between groups and

individuals. Procedural equality therefore promotes sameness of treatment.

3.6.3 Equity

What has been noted above is that equal treatment in all cases, especially in the education system, is very important. Equity incorporates both equal treatment and preferential treatment. For instance, women as bearers of children have certain demands made on their time and bodies (Ramphela, 1995:6). Women cannot attend over-extended meetings because they have to look after children and have to breastfeed their children. These teachers thus need preferential treatment that will allow them to cope with their biological demands. They are in need of flexible career advancements.

Equity also concerns the need to set standards and to reorganize the nature of workplace environments that imply, for instance, baby-sitting areas as well as ramps in education buildings for proper functioning of the disabled.

It can finally be concluded that equity do not prevent education managers from making classifications and from treating some people differently to others. Managers may therefore classify people for a variety of legitimate reasons, including recognition of competence. Legitimate differentiation is based on identifiable criteria, which then is unfair discrimination. In other words, differentiation is permissible if it does not amount to unfair discrimination. More differentiation should, therefore, not deny equal protection or benefit of the law (De Waal, et al. 1999:197).

3.6.4 Affirmative action

Affirmative action can be described as a systematic, planned process whereby the effects of racial discrimination are being reversed in all areas of life (Quanta, 1995:1).

Affirmative action is a program of capacity building which branches from equality to address the legacies of apartheid in the labour market. In the labour market the disparity in the distribution of jobs, occupation and income reveals the effects of discrimination against the disadvantaged groups, namely women (both black and white) and people with disabilities. These disparities cannot be remedied simply by eliminating discrimination. Policies, programs and positive action designed to redress the imbalance of the past, are therefore critical.

According to Mandela, affirmative action does not entail giving handouts, nor privileging skin pigmentation as it was the case in the past. It does not aim to do away with qualifications and standards in education, but it is premised on justice and equality. These aims are clearly stated in the Employment Equity Act (1998):

- I. To promote the constitutional right to equality and the exercise of true democracy
- II. To eliminate unfair discrimination in employment
- III. To ensure the implementation of employment equity to redress the effects of discrimination
- IV. To achieve a diverse workforce that is broadly representative of our people
- V. To promote economic development and efficiency in the workforce

When evaluating the program of affirmative action, the following criticisms come to the fore:

- It constitutes reverse discrimination
- It lowers standards as the affirmative action appointees under perform
- It leads to incompetence
- It increases tension in the workplace
- It is equal to nepotism and cronyism (Quanta, 1995:17-28)

3.6.5 Diversity management

Broadly speaking diversity management refers to the process whereby organizations, with a diverse workforce, employ mechanisms to enable everyone to perform at their peak and to contribute their own special skills and expertise. Diversity management does not seek to acculturate the minority or different racial groups into the culture of the dominant group within the organization, but rather to harmonize the different cultures to the advantage of the organization (Quanta, 1995:41).

In reality schools, as organizations, not only enroll learners from diverse cultures, but employ educators from different cultures as well. Diversity management should therefore be a program which schools should pursue in order to assure quality in education. To ensure effective management of the system, diversity managers are needed to assess the constraints and possibilities of diverse groups in the population in terms of access, as well as assessment and quality assurance through NQF (National Qualification Forum). According to the Department of Education (1997:204) the education system is obliged to recognize the contribution which men and women with different skills, attitudes, knowledge and cultures can make in improving education quality. It is thus important to focus on anti-discrimination, equality, equity and affirmative action programs to meet the diverse needs of the system and organizations.

Quality education is attained when friction from cultural and racial stereotyping and conditioning are erased and all forms of victimization are reduced. Diversity management aims not to ignore racial, cultural and gender differences, but to prevent it from making a section of the workforce unhappy and unproductive and in the process harming the organization's business. Therefore diversity management is a program that complements the others.

3.7 Capacity building quality contributors

In the South African context, the commitment to quality education requires capacity building in schools. This entails that managers must seek ways to encourage, identify and develop individual human talent. As schools strive to retain excellent teachers in the classrooms, potential quality assurance mechanisms become critical. According to Fourie & Bitzer (1998:29) an appropriate system of quality assurance must embrace a transformative notion of quality and it should facilitate and ensure a process of continuous quality improvement. When relating quality to capacity building the following aspects are relevant: accountability, professional capital, well-behaved teachers and nation building. Each will be discussed individually.

3.7.1 Accountability

Accountability is a set of commitments, policies and practices that are designed to heighten the probability that good practices will occur for students. It reduces the probability that harmful practices will occur and it provides redress and internal self-correctiveness in the system in order to identify, diagnose and change courses of action that do not promote good practices for students (Urbanski, 1998:452).

A large number of South African schools lack in accountability which is founded on elements such as planning, reporting, monitoring, assessment, communication and responsiveness.

The challenge of improving the culture of learning and teaching requires motivational and developmental approaches to accountability because:

“What impedes effective teaching and learning is not that teachers are the problem; it is that teachers work within outmoded, unprofessional systems” (Urbanski, 1998:449).

By taking responsibility for redesigning schools and abandoning unexamined practices and policies, we can restructure the teaching profession in ways that promise more productive teaching. Accountability is the shared responsibility that is driven by the quality of purpose among all stakeholders. That is to say if all members of the school are driven by the same common vision (Fourie & Bitzer, 1998:29).

There is therefore a need for school management to sell their vision and mission. Thereafter they need to choose the right and achievable objectives. School managers should be clear on what the institution's plans are; how they are developed and approved; how they are implemented and how their effectiveness is assessed. Also on how they are reviewed and revised in the light of changed circumstances and evaluation of performance. Accountability, with the purpose of transforming schools democratically, should be based on Capacity Building Programs and those programs related to empowerment.

These programs encourage participative management.

The involvement of teachers is necessary because in terms of Ramusi (1998:7):

“Teachers in particular are not content to be mere followers of top-down instructions but want to be involved in decision-making processes. They are people with current feelings and desires, who feel excluded or undervalued if their views are silenced or ignored.”

Therefore accountability should be premised on democratic management to minimize resistance and effect change smoothly. The fruits of accountability are wide ranging and can be summarized as a sound culture of teaching and learning.

3.7.2 Building professional capital

The decline in the culture of teaching and learning has been accompanied by many teachers losing a sense of the distinctive kind of service they should be offering in schools. This is a serious impoverishment of the understanding of the constituting responsibilities of teachers (Morrow, 1994:28).

There is a need to articulate and operationalize the work ethic (Sibson, 1994:28).

This entails that the set views, values, attitudes and norms that induces teachers to do their best at work, should be transformed. Deploying human capital is not enough. Professional capital is a precondition for capacity building. Professional capital includes things like honesty, trustworthiness, dedication and determination. The education system cannot afford a situation whereby:

“Everybody is bent on trying to cheat everybody else, everybody steals whatever they can wherever they can” (Mokaba, 1998:17).

No matter how huge the resources that are made available, as long as the professional capital is lacking, no sound teaching and learning culture can be built. If teachers disregard timetables and are absent without reason, and learners dodge lessons and cheat in examinations (as was the case in Mpumalanga), our education system will crumble. Therefore professional capital is needed across the board.

However, with the promulgation of the Employment of Educators Act (1998), teaching is moving towards professionalism because the Act entrenches and envisages a professional organ that will regulate teaching,

namely the South African Council for Educators (SACE). These changes thus mark a new era in teaching whereby standards and norms will be regulated and teachers' conduct will be monitored.

3.7.3 Managing teachers' behaviour

Managing behaviour can be quite a problem. People judge others mainly by observing their behaviour and then reaching conclusions. Such an approach is somewhat akin to judging the extent of an iceberg by its tip. Keetan (1996:5) avers that 90% of behaviour is hidden beneath the surface. No one knows exactly what is lurking in the ocean depths. The behaviour that is worth managing for capacity building, is the problem behaviour. When people are behaving well, there is no necessity to explore the reasons for their behaviour. But when they are not, it becomes critical to manage them. This is not to suggest that managers must become fathers and mothers to teachers, but they should be aware of the extent of a teacher's problem behaviour and then introduce management strategies that will remedy or improve the teacher's circumstances. Managers need to observe behaviour objectively, must not confuse personality with behaviour and must circumvent misinterpretations of the teacher's actions.

It can be concluded that if managers make the effort to understand behaviour, they will find it much easier to manage their own organizations and get on better with teachers. Knowing more about the origins of behaviour allows the manager to understand that, when teachers do not behave like themselves, there is probably a very good reason.

3.7.4 Education for nation building

The transformation discourse in the South African education system has set education on the course of nation building. The imperative of capacity

building invokes nation building in education. According to Higgs (1998:41) nation building is a strategy used to create unity from diversity. Support for the education process for nation building is based on the contention that, in order to deal with the problem of reconciling cultural diversity with national unity, there needs to be commitment towards development, as well as a sense of nationalism and a common culture committed to nation building.

In this project it is argued that the recognition of competence with the element of transformation, represents an empowerment program which is driven by a sense of utility (section 3.6 of this chapter). This means that education should be such as to serve the needs of the state and the economy. It is mentioned in the previous sections that education should be concerned primarily with the self-empowerment of the individual. This will then permeate the needs of the state policy and the vocational interests of commerce and industry.

The pace of change, and the need to be adaptable and responsible to local circumstances, requires that education leaders and managers develop new skills and styles of thinking and working.

If South Africans want to break decisively with their past and implement their vision for a new education system, which has the improvement of teaching and learning at its heart, it will be necessary to draw on aspects of the following three resources:

- at first they need to develop structures and systems that are appropriate in order to develop decision-making within the content of new policy legislation
- secondly they need to develop the leadership skills needed to manage people, lead change and support the process of transformation

- thirdly they need to develop individual and team competencies – the understanding, knowledge, skills and attitudes – appropriate to the day-to-day management of education (Calitz, 1998:17-18)

3.8 Conclusion

In this chapter the researcher has outlined suitable components for capacity building, as well as the mutual relationship between empowerment and capacity building. The new approach to Education Management and Education Management Development, as was recommended in recent education policy papers and legislation, was discussed.

If this approach is to be realized, we cannot continue “business as usual”. The meaning of change and the change process is very important in the changing education system of South Africa. To manage change is one of the important competencies that principals should have. Joint decision-making is an element that steers empowerment and capacity building. Power should be utilized in decision-making to influence management outcomes.

In the next chapter the researcher will provide more information on how principals and school management view the current change in South African schools. How do they cope? What do they feel need to be done? What would they as managers see as a need for their own further training and development in the rapid changing environment of education?

Chapter 4

Empirical investigation: Capacity Building in primary schools

4.1 Introduction

In the preceding chapters the researcher outlined, through a literature review, constructs and maxims that are fundamental to the recognition of competence. Although a literature review reveals that the South African education system is engaged in a move towards competence education, there is still a need to ascertain whether such policy initiatives have filtered through to the point of practice – that is, in the schools. The purpose of this chapter then, by means of an empirical investigation, is to determine in which areas of capacity building there exist a need for further development at different schools.

Therefore, this chapter will focus on empirical research that involves asking some selected principals, and other school managers, questions about a particular issue or component of capacity building in order to:

- prove the theoretical foundations of the theories discussed in the previous chapters
- get the real “feel” of the situation
- investigate the extent of problems the principals experience in their specific schools
- determine whether or not school principals experience similar problems in managing their schools

This empirical research will complement the literature review. This method does not castigate previous theories, but builds upon them. The empirical research also does not attempt to duplicate the frontiers of knowledge reached in previous chapters.

This approach is premised on the idea that:

“Until you have learned what others have done in your area, you cannot develop a research project that will contribute to furthering knowledge in your field” (Johnson, 1994:186).

The literature review thus forms the foundation on which empirical research should be built.

4.2 Target group for the investigation

The research involves selected principals in primary schools in both South Africa and in Norway.

In collaboration with both the researcher’s supervisors here and in Norway, they have decided to identify ten primary schools in the Gauteng Province and three schools in Bergen, Norway. The schools that have been identified were ample for the purpose of the researcher’s investigation.

4.2.1 Criteria for selecting the ten South African schools

The selection was done by means of the purposing method which means that schools was deliberately chosen from various socio-economic backgrounds.

- One school was selected from the black residential area Mamelodi; a previously disadvantaged area.

- Two schools were selected from Eersterus, a coloured residential area, also from a previously disadvantaged area.

- Two other schools were selected on the grounds that they were predominantly white schools, but that their school population has drastically changed in the past four years from all white learners to 60% or more black and coloured learners that are currently attending the school.

- Two schools were selected from the Centurion area; predominantly white schools with parents with an average income.

- Three schools were selected from the eastern side of Pretoria. This is a more prestigious area that houses an above-average income group with predominantly white learners.

4.2.2 Criteria for selecting the three Norwegian schools

The researcher visited Bergen for only two weeks and because a workshop was also attended during this time, time was extremely limited. The host, which was in this case also my co-supervisor, organized only the three visits to the three different schools of his choice.

4.3 Research methodology

The following research methods were utilized for the empirical research.

4.3.1 Structured questionnaire

The nature of this study has compelled the researcher to focus on the principals of schools, because they are in continuous contact with their management team and thus aware of their competence and performance. By means of the questionnaire the researcher wants to determine what the principals think need to be done; what the competencies of the specific principals are and where needs for capacity building exist.

The main divisions of the structured questionnaire are as follows:

- Biographical information
- Competencies
- Leadership
- Capacity Building
- School Management

(See Annexure 1)

4.3.2 Interviews

The researcher also interviewed each selected principal in South Africa as well as in Norway formally after completion of the questionnaire. These interviews with selected principals were taped, but in some cases the principals objected to the taping of these discussions. In these

specific cases the researcher did not make use of a tape recorder as a medium for recording of interviews.

The use of a tape recorder increased the validity of information gathered through interviewing the selected principals and assisted the researcher in recovering important information supplied during the interviews.

The empirical study includes a combination of both qualitative and quantitative research approaches, which will be discussed in more detail in the following paragraph.

4.3.3 Qualitative and quantitative paradigms of research

Most methodological commentaries seem to agree that, in so far as two distinct paradigms can be said to exist, the most important difference is the way in which each tradition treats data. In theory, if not in practice, the quantitative researcher isolates and defines variables and variable categories. Often these variables are linked to frame hypotheses before the data are collected, and are then tested upon the data. In contrast, the qualitative researcher begins with defining very general concepts, which, as the research progresses, change their definition. For the former, variables are the vehicles or means of the analyses while, for the latter, they may constitute the product or outcome. The qualitative researcher is said to look through a wide lens, searching for patterns of inter-relationships between a previously unspecified set of concepts, while the quantitative researcher looks through a narrow lens at a specified set of variables.

A second important difference is said to be on data collection. In the qualitative tradition, researchers must use themselves as the instrument, attending to their own cultural assumptions as well as to data. In seeking

to achieve imaginative insights into the respondents' social worlds, the investigator is expected to be flexible and reflexive and yet, somehow, manufacture distance (McCracken, 1988:18). The consequence of this approach is that the method of qualitative research par excellence, is participant observation. In the quantitative tradition, the instrument is a pre-determined and finely tuned technological tool that allows for much less flexibility, imaginative input and reflexivity. For example, where the research issue is clearly defined, and the questions put to respondents require unambiguous answers, a quantitative method, such as a questionnaire, may be appropriate. By contrast, where the research issue is less clear-cut, and the questions to respondents likely to result in complex, discursive replies, qualitative techniques, such as in-depth interviewing, may be called for (Brannen, 1997:4-5).

4.3.3.1 Analytic induction versus enumerative induction

Quantitative research is typically associated with the process of enumerative induction. One of its main purposes is to discover, in general, how many and what kinds of people in the sample population have a particular characteristic. The aim is to infer a characteristic, or a relationship between variables, to a parent population.

With qualitative research it is the concepts and categories, not their incidence and frequency, that are said to matter. "In other words, qualitative work does not survey the terrain, it mines it" (McCracken, 1988:17). Moreover, in so far as qualitative work is theoretical in its aims, rather than descriptive (this is especially so with case studies that use qualitative methods), it is the testing of theory that is important, rather than the issue of inference or generalizability (Brannen, 1997:6).

Enumerative induction is sometimes wrongly associated with the natural sciences. Analytic induction, as applied in qualitative research has, at

times, attracted the criticism of being “unscientific”. It is not always clearly understood that analytic induction may combine an inductive logic of enquiry (which begins with an absence of clear hypotheses) with deductive methods, namely the testing of hypotheses.

Qualitative researchers do have ideas about what they intend to look for, or expect to find. It may not necessarily be ideas to which they are heavily committed before the data collection phase begins. Though it is often criticized for being a-theoretical, qualitative work is to some extent always theory driven.

Criticism of quantitative work, which turns on its positivistic assumptions, makes similar accusations by charging it with being a-theoretical and data driven. The fact that both are subject to similar criticisms is perhaps not so paradoxical when we consider the extent to which there is an overlap in their respective logics of enquiry (Brannen, 1997:8).

4.3.3.2. The methodology of combining approaches

The existence of two distinct paradigms suggests something about researchers’ allegiances, if not their practices (Brannen, 1997:10). This is not surprising since the body of methodology texts, which attests to the existence of the two paradigms, is much larger than the body of literature which instructs researchers in the conduct of multi-method research.

Burgess chooses the term “multiple research strategies” to describe the use of diverse methods in tackling a research problem (Burgess, 1984: 22). The argument is that researchers ought to be flexible and therefore

ought to select a range of methods that are appropriate to the research problem under investigation.

The older and more widely used terminology to be found in the literature which refers to this strategy, is “triangulation”, a term which was originally borrowed from psychological reports. By and large, researchers have taken the term to mean more than one method of investigation and hence more than one type of data.

In this study, the researcher has used the triangulation method, making use of a structured questionnaire, as well as a formal interview with selected principals of schools in Norway and South Africa.

4.3.3.3 Qualitative research method

Beginning in the 1980’s and dramatically unfolding in the 1990’s, the research on teaching has moved away from the quantitative and empirical format with its prescriptive methods and designs and objectives findings.

A new paradigm is called qualitative or ethnographic research and is based on fieldwork. It is usually written in a narrative story form. This new form of research deals with descriptions of people and situations, explanations of knowledge and behaviours, interpretations of theories and assumptions, and evaluations of practices and policies. Ethnographic fieldwork is a shorthand term for the creation of data through a variety of methods.

The characteristics of the qualitative method:

- The systematic use of theory in the collection, processing and interpretation of data.
- Qualitative method is theory-laden (theory rich).
- Qualitative research could be pictured as a spiralling, circular move between theory, suppositions and data throughout the entire fieldwork. There are no real boundaries.
- The qualitative researcher is not the distant, objective observer, but is using him-/herself as a tool in his/her own investigation.
- The qualitative interview is heavily based on the informant's stories (narratives), with the researcher actively involved in the construction of data, by rephrasing a question or repeating an answer.
- The researcher influences the construction of data through the dialogue with the informants. The challenge is to describe this process as honestly as possible.

Max Weber once said, "Man is an animal suspended in the webs of significance he himself has spun." We are caught in a web in order to find meaning; we are a product of our own history and therefore there is a need for construction of reality. Our cultures are the webs and the analysis of this is not experimental science in search of law, but an interpretative one in search of meaning. It is not necessary to know everything in order to understand something (Geertz ,1973:127)

4.4 Analysis and interpretation of data collected by a structured questionnaire and personal interviews:

4.4.1 Biographical information:

Table 4.1

Gender:	Frequency (f)	Percentage (%)
Male	9	90%
Female	1	10%
Total	10	100%

Table 4.2

Age in years:	Frequency (f)	Percentage (%)
20 – 30		
31 – 40	2	20%
41 – 50	4	40%
51 – 60	4	40%
Total	10	100%

Table 4.3

Present position:	Frequency (f)	Percentage (%)
Principal	9	90%
Deputy-principal	1	10%
Total	10	100%

Table 4.4

Experience in position:	Frequency (f)	Percentage (%)
0 – 5 years	6	60%
6 – 10 years	1	10%
11 – 15 years	2	20%
16 – 20 years		
21 – 25 years		
26 + years	1	10%
Total	10	100%

Table 4.5

Qualifications:	Frequency (f)	Percentage (%)
Diploma	4	40%
Degree	1	10%
Honours degree	4	40%
Masters degree	1	10%
Phd – degree		
Total	10	100%

Table 4.6

Size of school:	Frequency (f)	Percentage (%)
100 – 300 learners	2	20%
301 – 400 learners		
401 – 500 learners		
501 – 600 learners		
601 – 700 learners	1	10%
701 + learners	7	70%
Total	10	100%

Table 4.7

Number of staff:	Frequency (f)	Percentage (%)
Permanent		
1 – 10	2	20%
11 – 20	1	10%
21 – 30	3	30%
31 – 40	4	40%
40 +		
Total	10	100%

Table 4.8

Administration staff:	Frequency (f)	Percentage (%)
1	1	10%
2	1	10%
3	4	40%
4	2	20%
5	2	20%
6 +		
Total	10	100%

Table 4.9

Governing body staff:	Frequency (f)	Percentage (%)
0	3	30%
1 – 3		
4 – 6	2	20%
7 – 9	2	20%
10 – 12	1	10%
13 +	2	20%
Total	10	100%

The Governing body of the school consists of the following members:

Table 4.10

Staff members:	Frequency (f)	Percentage (%)
0	1	10%
1 – 3	1	10%
4 – 6	8	80%
6 +		
Total	10	100%

Table 4.11

Parents:	Frequency (f)	Percentage (%)
0	1	10%
1 – 3		
4 – 6	7	70%
6 +	2	20%
Total	10	100%

Table 4.12

Non – teaching staff :	Frequency (f)	Percentage (%)
0	1	10%
1 – 3	9	90%
4 – 6		
Total	10	100%

4.4.2 Rate your current attitude:

Table 4.13

My feeling is that my staff would rate my attitude as:	Frequency (f)	Percentage (%)
Positive 4	6	60%
3	4	40%
2		
Negative 1		
Total	10	100%

Table 4.14

My management team would currently rate my attitude as:	Frequency (f)	Percentage (%)
Positive 4	7	70%
3	3	30%
2		
Negative 1		
Total	10	100%

Table 4.15

Give the same choice to my family and they would rate my attitude as:	Frequency (f)	Percentage (%)
Positive 4	4	40%
3	5	50%
2	1	10%
Negative 1		
Total	10	100%

Table 4.16

My effectiveness level:	Frequency (f)	Percentage (%)
Positive 4	2	20%
3	7	70%
2	1	10%
Negative 1		
Total	10	100%

Table 4.17

My creativity level:	Frequency (f)	Percentage (%)
Positive 4	8	80%
3	2	20%
2		
Negative 1		
Total	10	100%

Table 4.18

My enthusiasm towards my job:	Frequency (f)	Percentage (%)
Positive 4	8	80%
3	2	20%
2		
Negative 1		
Total	10	100%

Table 4.19

My recent disposition- the patience and sensitivity I show to others – deserves a rate of:	Frequency (f)	Percentage (%)
Positive 4	7	70%
3	3	30%
2		
Negative 1		
Total	10	100%

The data on the previous page, gathered through questionnaires that the respondent principals have completed, gives us more information on certain aspects of the schools.

It was very difficult, during this research, to find female primary school principals in Gauteng, and more specifically in the Pretoria region. Principals in the primary schools in the above-mentioned area are predominantly male.

The qualifications of the primary school principals selected for this study are a matter of concern. The only qualification of 40% of the principals that have been interviewed, is a teaching diploma. Keeping the latter in mind, it is a matter of concern as 70% of the schools are very big primary schools (more than 700 pupils).

One of the principals said, " I don't have a very high academic qualification, only a teacher's diploma. I really want to better my qualification, but really don't have time to study further. I don't think a principal with all that he has to do, still has time to study."

Schools of this stature need managers with a qualification in school management on a higher level than just a teacher's diploma.

A further problem is the fact that they do not really have the necessary experience in their positions as principals, because 60% of these principals only have 0 – 5 years experience in their current positions.

These principals, overall, rate their current attitude towards their job as very positive and the researcher has also experienced them as being positive and enthusiastic about their jobs as principals.

4.4.3 Competencies:

How would you evaluate your own competencies towards:

Table 4.20

Staff management:	Frequency (f)	Percentage (%)
Excellent 4	1	10%
Good 3	9	90%
Average 2		
Poor 1		
Total	10	100%

Table 4.21

Staff development:	Frequency (f)	Percentage (%)
Excellent 4	2	20%
Good 3	3	30%
Average 2	5	50%
Poor 1		
Total	10	100%

Table 4.22

Conflict management:	Frequency (f)	Percentage (%)
Excellent 4	1	10%
Good 3	7	70%
Average 2	2	20%
Poor 1		
Total	10	100%

Table 4.23

Managing change:	Frequency (f)	Percentage (%)
Excellent 4	3	30%
Good 3	4	40%
Average 2	3	30%
Poor 1		
Total	10	100%

Table 4.24

Financial management:	Frequency (f)	Percentage (%)
Excellent 4	2	20%
Good 3	5	50%
Average 2	2	20%
Poor 1	1	10%
Total	10	100%

Table 4.25

Facility management:	Frequency (f)	Percentage (%)
Excellent 4	3	30%
Good 3	5	50%
Average 2	2	20%
Poor 1		
Total	10	100%

In the above-mentioned part of the questionnaire, 90% of the respondent principals evaluated their competency towards staff management as good and only 10% evaluated themselves as excellent. This statistic is very satisfactory for South Africa's education, because it seemed as if staff members are very well managed at these selected schools.

Staff development, however, is a factor of concern, because 50% of the respondent principals evaluated their competencies towards staff development as excellent and good, while 50% of the principals as respondents evaluated themselves as average. This response indicates a definite need for staff development as a competency for principals in the future.

80% of the principals as respondents evaluated their ability to manage conflict as excellent and good, while 20% of them are average in conflict management.

Another area of concern is the fact that 70% of the principals as respondents evaluated themselves as excellent and good in order to manage change, while only 30% are average in managing change.

One principal said, "I experience a problem to motivate my older staff members to accept the changes in the new curriculum."

Another principal said, "A big problem that I experience in the changing education system and more specific the new curriculum, is the fact that we, as principals, don't have the answers to questions that staff members asked. The District office, as well as the Department of Education, can't shed light on all our questions. Instructions from above are constantly changing and this leads to problems and resistance to change."

This response is of real concern seeing that South Africa's education system is currently in a stage of radical change. It is therefore of the utmost importance that principals should be competent in managing and implementing all these changes as smoothly as possible.

Financial management is not really a matter of concern, as 70% of the respondent principals evaluated their financial management as excellent and good. There were, however, 20% of respondents who evaluated themselves as average and 10% who evaluated their financial management as poor. This is a matter that needs to be addressed.

One principal said, "I must admit I don't know very much about the financial aspects of my school. I am therefore very glad to have somebody competent on the school governing body to assist me in this aspect of school management."

4.4.4 Leadership:

How would you describe your management style?

Table 4.26

Management style:	Frequency (f)	Percentage (%)
Authoritarian		
Democratic	6	60%
Laissez – fair		
Situational	3	30%
Others: Sympathetic	1	10%
Total	10	100%

Table 4.27

I look for positive challenges during periods of change:	Frequency (f)	Percentage (%)
Usually	9	90%
Sometimes	1	10%
Rarely		
Never		
Total	10	100%

Table 4.28

I'm willing to take risks and learn from mistakes:	Frequency (f)	Percentage (%)
Usually	7	70%
Sometimes	3	30%
Rarely		
Never		
Total	10	100%

Table 4.29

I regularly acknowledge others' accomplishments:	Frequency (f)	Percentage(%)
Usually	9	90%
Sometimes	1	10%
Rarely		
Never		
Total	10	100%

Table 4.30

I look for ways to share power:	Frequency (f)	Percentage (%)
Usually	6	60%
Sometimes	4	40%
Rarely		
Never		
Total	10	100%

Table 4.31

I have written long range plans and I am committed to them:	Frequency (f)	Percentage (%)
Usually	4	40%
Sometimes	4	40%
Rarely	2	20%
Never		
Total	10	100%

Table 4.32

I know how to motivate people:	Frequency (f)	Percentage (%)
Usually	4	40%
Sometimes	5	50%
Rarely	1	10%
Never		
Total	10	100%

Table 4.33

I regularly give honest, constructive feedback to my team:	Frequency (f)	Percentage (%)
Usually	6	60%
Sometimes	4	40%
Rarely		
Never		
Total	10	100%

Table 4. 34

I am always a good listener:	Frequency (f)	Percentage (%)
Usually	5	50%
Sometimes	4	40%
Rarely	1	10%
Never		
Total	10	100%

Most of the respondent principals (60%) make use of a democratic management style, while only 30% of the respondent principals make use of a situational leadership style.

A good manager is one who shares decision-making and work with his/her staff members. This is the benchmark of excellence in governance and management. The response resonates with the spirit of the South African Schools Act, 1996. This act envisages governance and management of schools as a partnership between the stakeholders.

Of great concern is the fact that 40% of the principals as respondents usually have written long range plans and 40% are sometimes committed to them; 20% of them rarely have written long range plans and are therefore also rarely committed to these plans.

The researcher is also concerned about the fact that 40% of the respondent principals only sometimes give honest, constructive feedback to their staff members.

Another matter of concern is the fact that 40% of the respondent principals are sometimes good listeners and 10% of them indicated that they are rarely good listeners.

One principal admitted the following, "As principal my diary is full of appointments and confidential conversations with parents. I have to admit that I don't have a lot of time to really listen to my staff members' problems, or to just talk to them in general. I always told my staff members that my door is open, but I have to admit my doors are literally always closed. This is a situation that I would really like to change." (The principal has shown the researcher his diary, and there were daily a lot of appointments with parents or institutions.) This is a situation that needs further in-depth investigation.

The researcher is of the opinion that the major concern in this section about leadership is the feedback from 50% of the respondent principals who have indicated that they sometimes know how to motivate people, and 10% of them rarely know how to motivate people. This situation needs to be addressed, as principals, being both managers and school leaders, have to be competent in order to motivate their staff members and management teams and to adapt to new educational changes in the fast changing education system of South Africa. This latter matter will be addressed in more detail in the next chapter

4.4.5 Capacity Building:

Table 4.35

How do you determine the needs of your staff?	Frequency (f)	Percentage (%)
Questionnaire	7	30,5%
Observation	7	30,5%
Hear say	3	13%
Information from school management	6	26%
Total	23	100%

Table 4.36

Staff development is done through:	Frequency (f)	Percentage (%)
Workshops	8	26.7%
In- service-training	6	20%
Seminars	5	16.7%
Lectures	3	10%
Formal programs	2	6.6%
Mentors	6	20%
Total	30	100%

Table 4.37

How do you communicate these programs to your staff?	Frequency (f)	Percentage (%)
In writing / circular	5	42%
E – mail		
Staff meetings	7	58%
Total	12	100%

Table 4.38

What problems do you experience with capacity building programs?	Frequency (f)	Percentage (%)
Commitment	6	55%
Time	4	36%
Resistance from staff	1	9%
Others		
Total	11	100%

Table 4.39

Which of the following aspects do you feel needs to be addressed to build capacity with your staff?	Frequency (f)	Percentage (%)
Planning	3	11.1%
Classroom management	4	14.8%
Time management	8	29.7%
Organizing	3	11.1%
Managing conflict	2	7.4%
Team building	6	22.2%
Others: Leadership	1	1.7%
Total	27	100%

Table 4.40

What would you as a manager experience as a need for your own further training and development?	Frequency (f)	Percentage (%)
Time management	1	2.3%
Staff appraisal	5	11.4%
Staff development	3	6.8%
Conflict management	4	9.1%
Motivational theories	6	13.6%
Communication skills	3	6.8%
Outcome based education	3	6.8%
Financial management	5	11.4%
Parent involvement	1	2.3%
Management of facilities and resources	2	4.5%
Pupil management	3	6.8%
Maintaining discipline	7	15.9%
Others: Leadership development	1	2.3%
Total	44	100 %

The respondent principals in this research usually make use of questionnaires, observations and other information received from their school management team in order to determine the needs of their staff for capacity building.

Staff development is mostly done by means of workshops. The researcher would, however, prefer to see more development being done through in-service-training and by making use of mentors during the training programs.

A lack of commitment by the staff (55%), and the difficulty the staff (36%) experiences time-wise, are problems that the respondent principals experience with regard to Capacity Building Programs. Commitment is directly linked to motivation and persuasive communication.

During the formal interviews with different principals, the following tendencies with regard to staff development became evident:

Principal A. “The staff is very young and has a lack of experience. I also feel that they are not as motivated and committed as the staff members that have years of experience. They just don’t make them the same way they use to.”

Principal B. “Problems that I experience in my school are that staff members don’t see the “bigger picture”. They are not self-motivated and lack an attitude of life-long learning. It is therefore difficult to motivate them to attend seminars and workshops.”

Principal C. “ At my school it is very difficult to organize any seminar or workshop during a weekend, because staff members just refuse to attend such workshops. The staff’s attitude is that weekends are for funerals and any business associated with family matters. Proper workshops can’t be held during the week because of other activities taking place at the school. Extra-mural activities, such as sport, can only be practiced till 15:00 in the afternoon, because of public transportation arrangements.”

Principal D. “ I have definite problems in motivating my staff members in the current situation in South Africa with its new education system – the staff sees the future as very bleak. Rightsizing and re-deployment, as well as continuous changes in the new curriculum, make it very difficult for them to adjust. Promotional posts for teachers are few and therefore I see this current situation as a definite problem.”

The school principals, as quoted, experience a definite problem to motivate their staff members to attend staff development programs. Therefore the lack of commitment in schools needs to be addressed if capacity building is to be optimized in our schools.

According to the questionnaire (Table 4.40), the respondent principals themselves have a need for further training and capacity building in the following management areas:

- Motivational theories
- Maintaining discipline
- Financial management
- Staff appraisal
- Conflict management

4.4.6 School management:

4.4.6.1 Planning

Table 4.41

The management team at the school consists of:	Frequency (f)	Percentage (%)
8 managers	3	30%
7 managers		
6 managers	1	10%
5 managers	4	40%
4 managers	1	10%
3 managers	1	10%
Total	10	100%

Table 4.42

How important is planning your day to day task?	Frequency (f)	Percentage (%)
Important 4	7	70%
3	3	30%
2		
Not important 1		
Total	10	100%

Table 4.43

Do you consult your staff in the process of policy making?	Frequency (f)	Percentage (%)
Yes	3	30%
No	7	70%
Total	10	100%

Table 4.43

How important are priorities in your planning?	Frequency (f)	Percentage (%)
Important 4	9	90%
3	1	10%
2		
Not important 1		
Total	10	100%

Table 4.44

Does planning always start with the principal?	Frequency (f)	Percentage (%)
Always 4	2	20%
Sometimes 3	8	80%
Rarely 2		
Never 1		
Total	10	100%

Table 4.45

Do you consult other people when you are planning?	Frequency (f)	Percentage (%)
Always 4	5	50%
Sometimes 3	5	50%
Rarely 2		
Never 1		
Total	10	100%

Table 4.46

When planning, do you always have alternatives?	Frequency (f)	Percentage (%)
Always 4	3	30%
Sometimes 3	7	70%
Rarely 2		
Never 1		
Total	10	100%

Table 4.47

Do you consult your staff in the process of policy making?	Frequency (f)	Percentage (%)
Yes	10	100%
No		
Total	10	100%

Table 4.48

If, YES – who do you consult?	Frequency (f)	Percentage (%)
Management team	9	42.9%
All staff	6	28.5%
Senior teachers	1	4.8%
Governing body	5	23.8%
Total	21	100%

The management teams of the schools vary from 3 to 8 managers. The majority of respondent principals indicated that planning is an important aspect of their daily task and that setting priorities for planning are also important to all of them. 50% of these principals always consult other people when they are planning, while 50% of them only sometimes consult other people. During the process of policy-making the majority of the respondent principals (42.9%) always consult their management team, with 52.3% of these principals also consulting their staff members and the governing body of the school.

In the questions about planning in school management, there is one point of concern, namely the fact that 70% of respondent principals only sometimes have alternatives in place during the planning process, while only 30% do have alternatives in place when planning.

4.4.6.2 Decision-making

Which of the following decisions do you use most?

Table 4.49

Programmed decisions (routine decisions):	Frequency (f)	Percentage (%)
Always	2	20%
Sometimes	5	50%
Rarely	3	30%
Never	1	
Total	10	100%

Table 4.50

Creative decisions (information not always available):		Frequency (f)	Percentage (%)
Always	4	3	30%
Sometimes	3	6	60%
Rarely	2	1	10%
Never	1		
Total		10	100%

Table 4.51

Participation decision- making:		Frequency (f)	Percentage (%)
Always	4	3	30%
Sometimes	3	7	70%
Rarely	2		
Never	1		
Total		10	100%

On what basis do you usually make a decision?

Table 4.52

Afraid of punishment:		Frequency (f)	Percentage %
Always	4		
Sometimes	3		
Rarely	2	7	70%
Never	1	3	30%
Total		10	100%

Table 4.53

Personal compensation:		Frequency (f)	Percentage (%)
Always	4	1	10%
Sometimes	3	1	10%
Rarely	2	3	30%
Never	1	5	50%
Total		10	100%

Table 4.54

To keep others happy:		Frequency (f)	Percentage (%)
Always	4	2	20%
Sometimes	3	4	40%
Rarely	2	2	20%
Never	1	2	20%
Total		10	100%

Table 4.55

Because that is what you are supposed to do:		Frequency (f)	Percentage (%)
Always	4	4	40%
Sometimes	3	2	20%
Rarely	2	2	20%
Never	1	2	20%
Total		10	100%

Table 4.56

That is the rule and regulation:		Frequency (f)	Percentage (%)
Always	4	1	10%
Sometimes	3	7	70%
Rarely	2	1	10%
Never	1	1	10%
Total		10	100%

Table 4.57

The principal always makes the decision:		Frequency (f)	Percentage (%)
Always	4		
Sometimes	3	5	50%
Rarely	2	4	40%
Never	1	1	10%
Total		10	100%

Table 4.58

Is decision-making always subjective?		Frequency (f)	Percentage (%)
Always	4		
Sometimes	3	4	40%
Rarely	2	4	40%
Never	1	2	20%
Total		10	100%

Factors that influence decision-making:

Table 4.59

Values and beliefs:	Frequency (f)	Percentage (%)
Always 4	4	40%
Sometimes 3	6	60%
Rarely 2		
Never 1		
Total	10	100%

Table 4.60

The fact that the school is unique:	Frequency (f)	Percentage (%)
Always 4	7	70%
Sometimes 3	3	30%
Rarely 2		
Never 1		
Total	10	100%

Table 4.61

School environment:	Frequency (f)	Percentage (%)
Always 4	4	40%
Sometimes 3	6	60%
Rarely 2		
Never 1		
Total	10	100%

During the decision-making process 70% (the majority) of the respondent principals sometimes make use of the participation of their staff-members and management team. The majority of these principals do not base their decision-making on personal compensation and rarely or never because they are afraid of punishment. The majority of respondent principals (40%) sometimes make decisions to keep others happy and the same percentage of respondents make decisions because they feel that is what they are supposed to do. The decision-making process is sometimes subjective and at other times rarely subjective.

The majority of respondent principals sometimes make the decisions and this decision-making is sometimes based on the fact that it is the rule and regulation. One of the respondent principals said, "Every school is different from the next school, and therefore problems in the day-to-day organizing differ in some ways from our neighbouring schools."

Values, beliefs and the school environment sometimes influence the decision-making process, while the fact that the specific school is unique, is always seen by the majority of respondent principals as a very important factor and influence on the decision-making process.

4.4.6.3 Organizing

Table 4.62

Is an organizing structure necessary for all school activities?	Frequency (f)	Percentage (%)
Always	6	60%
Sometimes	4	40%
Rarely	2	
Never	1	
Total	10	100%

Table 4.63

Do you think it is important to divide the work – by keeping in mind the staff's capabilities, interests as well as training?	Frequency (f)	Percentage (%)
Always	7	70%
Sometimes	3	30%
Rarely	2	
Never	1	
Total	10	100%

Table 4.64

Do you as leader keep the above-mentioned in mind?		Frequency (f)	Percentage (%)
Always	4	7	70%
Sometimes	3	3	30%
Rarely	2		
Never	1		
Total		10	100%

Table 4.65

Do you make use of a line organizing structure?		Frequency (f)	Percentage (%)
Always	4	3	30%
Sometimes	3	7	70%
Rarely	2		
Never	1		
Total		10	100%

Table 4.66

One person has the authority and one person gives the assignments:		Frequency (f)	Percentage (%)
Always	4	3	30%
Sometimes	3	5	50%
Rarely	2	2	20%
Never	1		
Total		10	100%

The majority of respondents (60%) agreed that an organizing structure is always necessary for all school activities and 70% of these principals also think that it is always important to divide the work, keeping in mind the staff's capabilities and interests, as well as training. The majority of respondent principals always keep the latter in mind when organizing. These principals (70%) sometimes make use of a line organizing structure for activities that have to be organized at their different schools. The majority of principals interviewed are in agreement that sometimes one person needs to have the authority and one person to give the assignments.

One principal said, “At the end of each year I give every staff member the opportunity to indicate what extramural activity he or she would like to organize or be a part of. Staff members can even indicate their choice of the three academic subjects that they would like to teach the following year. Although it is not always possible to please all the staff members by being able to accommodate all their requests, each staff member will be “rewarded” with at least one of their preferences. This method is very useful, because I get to know my staff members, as well as their interests, better. This method works really well at this school.”

In the above-mentioned section about organizing, there appears to be no real concern about the organizing abilities and competency towards organizing activities at the respondents’ schools.

4.4.6.4 Delegating

Table 4.67

As school leader do you delegate tasks easily?	Frequency (f)	Percentage (%)
Always 4	3	30%
Sometimes 3	7	70%
Rarely 2		
Never 1		
Total	10	100%

Sometimes it’s not easy to delegate because I feel that:

Table 4.68

Only I can do the work good, fast and correctly:	Frequency (f)	Percentage (%)
Always 4		
Sometimes 3	4	40%
Rarely 2	5	50%
Never 1	1	10%
Total	10	100%

Table 4.69

I feel the risk to high to delegate work to others:	Frequency (f)	Percentage (%)
Always 4		
Sometimes 3	1	10%
Rarely 2	6	60%
Never 1	3	30%
Total	10	100%

Table 4.70

If I delegate work people will think I can't do the work:	Frequency (f)	Percentage (%)
Always 4		
Sometimes 3		
Rarely 2	6	60%
Never 1	4	40%
Total	10	100%

Table 4.71

If I delegate it feels that I am no longer in charge:	Frequency (f)	Percentage (%)
Always 4		
Sometimes 3	4	40%
Rarely 2	3	30%
Never 1	3	30%
Total	10	100%

Table 4.72

I see delegating as an important aspect of staff development:	Frequency (f)	Percentage (%)
Always 4	8	80%
Sometimes 3	2	20%
Rarely 2		
Never 1		
Total	10	100%

The researcher is elated to see that the respondent principals (80%) always view the delegation of work as an important tool for staff development. In this sub-section the researcher, however, has some concern about the fact that 40% of the respondent principals sometimes feel that if they delegate, they are no

longer in charge. 40% of the respondent principals sometimes feel that only they can do the work good, fast and correctly. This concern may be linked to the fact that respondent principals don't know their staff members well enough. They are not aware of the fact that there may be good, competent staff members that are able and capable to do the work as good, fast and correctly as they see themselves as capable of doing. The delegating aspect is a very good in-service-training method that the above-mentioned 40% respondent principals may use to great effect.

Taking everything else into consideration in the above-mentioned section about delegation of work, the researcher finds no real ground for concern.

4.4.6.5 Direction

Table 4.73

There is a positive relation between me and the staff:		Frequency (f)	Percentage (%)
Always	4	5	50%
Sometimes	3	5	50%
Rarely	2		
Never	1		
Total		10	100%

Table 4.74

I am always self-motivated:		Frequency (f)	Percentage (%)
Always	4	6	60%
Sometimes	3	4	40%
Rarely	2		
Never	1		
Total		10	100%

Table 4.75

I try to reconcile the staff members' personal aims with school objectives:		Frequency (f)	Percentage (%)
Always	4	6	60%
Sometimes	3	4	40%
Rarely	2		
Never	1		
Total		10	100%

Table 4.76

I give appraisal for work well done:	Frequency (f)	Percentage (%)
Always 4	10	100%
Sometimes 3		
Rarely 2		
Never 1		
Total	10	100%

Table 4.77

I have good communication skills:	Frequency (f)	Percentage (%)
Always 4	4	40%
Sometimes 3	6	60%
Rarely 2		
Never 1		
Total	10	100%

Table 4.78

My staff's opinions, feelings are always kept in mind:	Frequency (f)	Percentage (%)
Always 4	8	80%
Sometimes 3	2	20%
Rarely 2		
Never 1		
Total	10	100%

Table 4.79

As manager I have empathy with my staff:	Frequency (f)	Percentage (%)
Always 4	7	70%
Sometimes 3	3	30%
Rarely 2		
Never 1		
Total	10	100%

Table 4.80

Do you think that this is how your staff experiences you? (previous question)	Frequency (f)	Percentage (%)
Always 4	4	40%
Sometimes 3	5	50%
Rarely 3	1	10%
Never 1		
Total	10	100%

Table 4.81

Do you have an open door policy?	Frequency (f)	Percentage (%)
Always	4	100%
Sometimes	3	
Rarely	2	
Never	1	
Total	10	100%

Table 4.82

If any of your staff have a problem, do you think they will discuss it with you?	Frequency (f)	Percentage (%)
Always	4	40%
Sometimes	3	60%
Rarely	2	
Never	1	
Total	10	100%

Table 4.83

Who, at the end of the day, is accountable for events that go wrong at the school?	Frequency (f)	Percentage (%)
Organizer	1	9.1%
HOD		
Deputy principal		
Principal	9	81.8%
Governing body	1	9.1%
Total	11	100 %

Table 4.84

How often do you hold staff meetings?	Frequency (f)	Percentage (%)
Once a year		
Twice a year		
Every term	6	40%
Every month	2	13.3%
Whenever you feel there's a need	7	46.7%
Total	15	100%

In this section about direction, only 50% of the respondent principals always have good relationships with their staff members. Even though a principal can't always please all of his staff all of the time, this percentage is a matter of

concern. This may be a direct correlation to the fact that only 40% of respondent principals rate their communication skills as always being good.

Of greater concern here is the fact that only 40% of these principals feel that their staff experiences them as being empathetic to their needs and to addressing their problems.

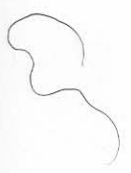
As only 40% of the respondent principals are sometimes self-motivated, they can't expect to motivate their staff and thus to have the respect of, and good relations with their staff members.

100% of the respondent principals say that they give staff appraisal when work is well done. This represents a strong motivational aspect that has been addressed by all principals.

The response of 70% of the respondent principals is that they always have empathy with their staff members, but in table 4.80 where the question was asked how the principal think his/her staff members experience his/her empathy, the response was alarming. Only 40% said always, 50% said sometimes and 10% said that their staff members rarely experience them as being empathetic.

This latter response shows that there is a definite problem with communication skills and the message principals think that they send to their staff members. This represents a problem that needs to be addressed in the following chapter.

- The majority of the respondent principals think that they are proficient in situational management skills.
- The majority of the principals as respondents view delegating as an important aspect of staff development.
- The majority of the respondent principals only sometimes have good communication skills.
- All the respondent principals are sometimes good listeners.



4.5 Most important findings from the analysis of the data gathered by means of a questionnaire:

From the data collected by means of the questionnaire from principals of schools in South Africa, the following most important findings can be deducted:

- Gender inequality still prevails in principals' posts at primary schools.
- The majority of principals are between 40 and 60 years of age.
- The majority of managers have a B-degree and a teaching diploma as their highest academic qualification.
- The majority of the schools are larger than 700 plus learners.
- The majority of principals rated their current attitude as positive and their enthusiasm towards their job also as very positive.
- The majority of the principals evaluated their own competency towards staff development as average.
- The majority of the respondent principals have long range plans, but are only sometimes, or rarely, committed to these plans.
- Staff development is mostly done through workshops.
- The majority of the principals as respondents feel a need for their own further training and development in motivational theories, in maintaining discipline, in staff appraisal and in financial management.
- During the planning phase of whatever activities, most respondent principals only sometimes have alternatives.
- The majority of the respondent principals make use of a democratic or situational management style.
- The majority of the principals as respondents view delegating as an important aspect of staff development.
- The majority of the respondent principals only sometimes have good communication skills.
- All the respondent principals are sometimes good listeners.

- The majority of the principals as respondents experience commitment from their staff members as a problem for Capacity Building Programs.
- The majority of the principals hold staff meetings whenever they feel there is a need.
- The factor that influences decision-making the most, is the fact that the specific school is unique.
- The majority of principals consult their management team when they are in the process of policy-making.
- The majority of principals keep their staff's capabilities, interests, as well as training in mind when dividing the work.
- All the principals give appraisal for work done well by their staff members.
- The majority of the principals think that their staff members sometimes experience them as being sympathetic.

4.6 Most important findings from the formal interviews with selected principals in South Africa:

From the interviews held with selected principals, the following are the most important findings:

- The **qualifications** of the primary school principals selected in South Africa for this study are a matter of concern as the highest qualification of 40% of the principals that have been interviewed, is only a teachers diploma. Keeping the latter in mind, it is a matter of concern that 70% of the schools are large primary schools (more than 700 learners).

One of the principals said, "I started out as a novice at this school and worked my way up the promotion ladder to the position as principal. In order to achieve this position, further study or training was not a prerequisite. I would really like to see more in-service-training programs

their specific academic or school related subjects, but for me as a principal it is also very important to have a “healthy” personnel corps at my school. Personal and emotional issues, such as the ability to handle stress and cope with personality differences, to develop creativity, as well as the ability to manage conflict, are some of the issues that I as a principal address in workshops. If I don’t have the necessary knowledge, I get an authority in the specific area to speak to my staff members. I really think this is a method that works and I got positive feedback from my staff members in this regard.”

- **Financial management** (table 4.40) is another area of concern as some respondent principals indicated that they need further training and development in this management area.

One of the respondent principals said, “I must admit, I don’t know much about the financial aspects of my school. I am therefore very glad to have somebody competent on the school governing body to assist me in this aspect of school management.”

Another principal said, “A school’s financial management is very important and can no longer be managed as it has been in the past. The school can today be seen as a business, and should be managed accordingly. Salaries, facilities and the upgrading of school property are all part of the day-to-day management to ensure the smooth running of a school. Therefore the budgeting and financial management is of utmost importance for every school.”

- **Motivation** and a lack of commitment, as well as a lack of time by staff members, are problems that the respondent principals experience with regard to Capacity Building Programs. During the formal interviews conducted, the following tendencies with regard to staff development and motivation became evident as one of the principals said, “My staff is very young and has a lack of experience. I also feel that they are not as

motivated and committed as the staff members that have much more experience. They just don't make them the same as they use to."

Another principal said, " Problems that I experience in my school are that staff members don't see the "bigger picture". They are not self-motivated and lack an attitude of life-long learning. Therefore is it difficult to motivate them to attend seminars and workshops."

- The majority of respondent principals that have been interviewed are in agreement that sometimes one person needs to have the authority and one person to give the assignments. An **organizing** structure is always necessary for all school activities.

One principal said, " At my school I believe in committees for all activities, such as a sport-, social-, cultural- and academic committee. It works very well in my school. I must also admit that since we have introduced this committee system in the school, I have much less complaints to handle in the office. All the problems that may occur in a specific area are referred back to the committee. Only when the committee can't solve the problem, will the problem land on the desk of the principal. I have more time now to attend to other school matters."

- The response of the respondent principals was alarming on the question asked if they, as principals, think their staff members experience them as empathetic and as **good listeners**.

One principal said, " I must admit I am not a good listener at all. I know that this is something that I need to work on, but the staff know me like this." The researcher also felt that the principal was not really listening to her. He was talking and listening to people talking outside the office in the corridor and he would sometimes remark on something that staff members said outside the office, while the researcher was talking to him. Once he even shouted to one of his staff members to enter his office and

to repeat what has been said, because he didn't hear it clearly. This all happened while the researcher was in the office.

- The researcher asked the recently **appointed principals** what they saw as a need in their newly appointed posts. These newly appointed principals were unanimous in their responses, because they all felt that there should be a workshop/seminar in place for newly appointed principals. These workshops could assist newly appointed principals in their day-to-day tasks in order to achieve a smooth running school. What is important? What needs to be looked at? What is important to know as a newly appointed principal? What to do, and what not to do?

This latter response shows that there is a definite need for training for newly appointed principals.

4.7 Norwegian schools

4.7.1 Introduction

The Norwegian school system is in the midst of a thorough school-reform process, introducing new curricula at all levels and emphasizing that teaching should be perceived as a collective responsibility, not merely as an individual skill. Learning is considered a constructive activity, based on reasoning, reflection and action. Teachers are supposed to act as facilitators and to use teamwork to consolidate this new approach.

Local governments (municipal council and administration in the 435 municipalities) are responsible for compulsory education in public primary and secondary schools, for teachers employed in these schools, their salaries and for pre-school institutions. Local taxes and national funding provide the finances for these tasks. In Norway the education, as well as

the school materials, are free for everyone. The manner of implementation within the school system can differ from municipality to municipality and even from school to school

4.7.2 Fundamental principles and basic legislation

The overall objective of the Norwegian education policy is to provide equal opportunities for all, irrespective of sex, geographic location or economic, social or cultural background. This aim is to offer to all children an education that has been adapted to the abilities of the individual pupil.

The basic principles and priorities of Norwegian education are the following:

- A high level of education that benefits the entire population.
- Equal opportunity in the access to education. Equality is a value that is strongly emphasized within the Norwegian education policies. Education is seen as an important means, both on the macro and on the individual level, of promoting investment in human capital and employment.
- Decentralization.
- Meeting both the long-term and short-term qualification requirements of the labour market.
- More emphasis on a broad and general initial education, leaving specialization to the later stages of learning and to further training at work.

Increased knowledge and higher general and specific competence are guiding principles for educational planning and development on all levels of education. Attention is focused on the content and quality of education.

4.7.3 Compulsory education

Children start school in the calendar year they become 6 and finish their compulsory education in the calendar year they become 16. This means that the Norwegian compulsory education system covers both the primary and the lower secondary education.

4.7.4 Choice of school.

At primary and lower secondary level, the general rule is that pupils attend the public school in the area of the municipality where they live. Municipalities are divided into school districts. As some of these schools cover both levels of compulsory education, the learners complete their studies in the same school. In most areas, however, there are separate schools for the primary and lower secondary level. As there are more public primary schools, several of these schools serve as feeding schools for one specific lower secondary school.

In the upper secondary level, pupils have the right to apply for courses at any school in the municipality/county where they live, or in the neighbouring municipalities.

The primary stage: grade 1-6.

The lower secondary stage: grade 7-9.

There are three, three-year blocks in compulsory education: two in the primary and one in the lower secondary stage. These blocks are divided into grades 1-3, grades 4-6 and grades 7-9.

Teachers often teach the same class through a whole stage (and sometimes through two stages). Those teachers responsible for teaching

pupils in the same stage do the planning of the work in co-operation with each other.

4.7.5 School year.

The academic year for the whole education system starts in mid/late August and end in approximately mid June.

The school year for the primary and the lower secondary education consists of 38 weeks (190 days) for pupils and 39 weeks for teachers. The school week is five days long. The time spent by pupils at school varies from 20 hours per week in the first year, to 30 hours per week in the final years. The minimum total of hours that are annually spend for the six years at primary level, are fixed at 147 hours. For the three years of lower secondary school the minimum total is 90 hours per year.

In the primary and secondary schools there are often a holiday break of a week during the month of October. At Christmas there is a two week long Christmas vacation. In the winter/spring semester there are two main holidays with one week in February (winter vacation) and one and a half weeks during Easter. The year is divided into two semesters in primary and lower secondary schools with a summer holiday that lasts approximately 8 weeks.

After the researcher's visit to three selected schools in Bergen, she now wants to share her impressions and the information gathered about these schools.

4.8 A picture of schools in Bergen.

Bergen is known as “The city between seven mountains.” It has, however, also become the proud bearer of the name “The city between seven fjords.” Bergen is still Europe’s largest city with wooden buildings. The researcher’s first impression of this lovely city was that it is a beautiful city! Colourful wooden houses, mountains with snow – picture pretty to say the least.

Currently there are 27 600 pupils in public schools in Bergen and 1 400 pupils in private schools. In Bergen there is all together 63 primary schools (grade 1-7), 9 primary and lower secondary schools (grade 1-10), 16 upper secondary schools (grade 8-12) and 4 special schools.

4.8.1 Impressions of and information on schools visited in Bergen.

The researcher visited one school on an island. To get to the school one had to go by boat, a 20-minute trip. The school’s setting is beautiful, and her first thought was, “What a privilege it must be to be a pupil in this school.” The island has a population of about 20 000 people. There are 20 primary schools on this island. Some are very small with about 28 pupils in a school and some of the bigger schools have 230 pupils.

The first impression one gets when you arrive at the school is one of warmth and hospitality. It was a very cold day and inside the school’s staff room was a fire, burning friendly in the fireplace. During break the teachers were gathered around the fireplace in a relaxed manner, drinking coffee or hot chocolate while eating their sandwiches. In one corner of the staff room was a teacher, playing his guitar and singing softly. This staff room felt like a living room where the teachers came together as one big, happy family.

The school day in Bergen starts at 9:30 for the pupils and 8:30 for the staff members.

The schools are very well equipped and the number of classrooms varies. The classes are very small with a ratio of 1:15, and in some classes there are an assistant to help the teacher in the classroom. A number of smaller rooms are meant for group activities. A library, a gymnasium, as well as rooms specially equipped for teaching cooking, woodwork, pottery, sewing and natural sciences, are standard at all primary schools.

One of the other schools the researcher visited had a beautiful music room equipped with guitars, drums, two keyboards, a piano and six microphones for singing. The playground and sport fields are very small. There are no extra-mural activities organized by the school – pupils have to join clubs to participate in sport activities.

The classrooms in all the schools visited are very informal and a great deal of group work is being done during class work. In the primary school the pupils write no exams or tests. The pupils write their first exam in the lower secondary school at level 10. All assessments in the primary school are done through dialogue between the teacher and students. These dialogues last 45 minutes and took place twice a year. During these dialogues students are informed about their progress and failures and the work that needs their attention.

These above- mentioned dialogues are compulsory and are based on equality and openness. Pupils may also ask questions during these dialogues and if there are any problems, these problems are solved at the lowest level – most probably in the classroom.

Dialogues are confidential and based on a relationship of trust. These dialogues guide the teachers and give them new insight/vision and perceptions on the current situation and problems that may occur in the

classroom. During these dialogues pupils may comment on the teachers' teaching methods. By really listening to the students, the result of this method is that teachers may understand their teaching practices better, and may start using new teaching methods.

The students' evaluation of their teachers during this process may lead to quality improvement.

Something very interesting, is the fact that each pupil has a logbook. They write comments in these books after the lessons, indicating which methods of teaching they would prefer, and what they found interesting, or boring, about the lesson. These logbooks are then handed over to their teachers for their comments.

In the school the emphasis falls on taking responsibility for your own learning. This process empowers students, as well as teachers. The aim is a better learning environment for students, as well as a better environment for teachers. There has been a movement away from an "I school" to a "we school" where teamwork and project work is stressed.

What really made an enormous impression on the researcher was the fact that the schools that she has visited were very informal, relaxed and hospitable, but where good discipline was maintained by the teachers, as well as by the students.

4.9 Similarities and differences between some selected schools in South Africa and Norway:

According to the research findings the researcher will firstly indicate the existence of similarities and there-after the differences which might exist

between some selected schools in South Africa and in Norway with regard to Capacity Building and School Management Development.

4.9.1 Similarities:

The research findings revealed the following similarities between schools in South Africa and in Norway with regard to Capacity Building and School Management Development:

- All the respondent principals rate their current attitude towards their job as positive.
- Some of the selected principals also have a problem with conflict management, financial management and facility management.
- The majority of selected principals make use of a democratic management style.
- All the selected principals communicate the Capacity Building Programs through circulars and staff meetings.
- A lack of commitment by the staff members, as well as a problem with the availability of sufficient time, are problems that the respondent principals experience with regard to Capacity Building Programs.
- The respondent principals themselves have a need for further training and capacity building in the following management areas:
 - Staff appraisal
 - Conflict management
- Planning, as well as the priorities during the planning process, is very important.
- Respondent principals consult other people when planning.
- During the policy making process the respondent principals consult their staff members and management team.

- Values and beliefs, school environment and the fact that the school is unique, are very important factors that influence the decision-making process.
- All the respondent principals think it is important to divide the work, keeping in mind the staff's capabilities and interests, as well as training. All these principals keep the latter in mind when organizing.
- All the respondent principals always view delegating work as an important tool for staff development.
- All the respondent principals say that they give staff appraisal when work is well done.
- All the respondent principals have an open door policy.
- The question was asked how the principal think his staff members experience his empathy, and the majority of respondent principals said that their staff members sometimes experience them as empathetic.

4.9.2 Differences:

- The majority of the selected schools in Norway's principals are female.
- The majority of respondent principals are in the age range of 51 – 60 years.
- All the respondent principals have longer years of experience: between 6-15 years in their current positions as principals.
- In general the majority of respondent principals have higher academic qualifications which vary from a B-degree to a Masters-degree.
- All the selected schools in Norway are much smaller – the number of learners varies from 100 – 500 learners.
- The number of staff members is much less as result of the school size as mentioned above.
- The Norwegian schools system does not make use of governing bodies.

- The majority of respondent principals evaluate their competency towards staff development, as well as managing change as good.
- The majority of respondent principals know how to motivate their staff members.
- The majority of respondent principals determine the need of their staff members through observation and hearsay.
- Staff development is done through in- service- training and seminars.
- The respondent principals themselves have a need for further training and capacity building in the following management areas:
 - Time management
 - Management of facilities and resources
- All the management teams at the selected schools consist of 5 managers.
- All the respondent principals said that an organizing structure is sometimes necessary for all activities at their schools.
- The majority of respondent principals feel that rarely, or never, one person should have the authority and one person should give the assignments.
- All the respondent principals always have a good relationship with their staff members.
- The majority of respondent principals hold staff meetings every month.

4.10 Critical perspectives on the empirical investigation

The researcher acknowledge with regard to the statistical issues of this research, that a very low number of schools both in South Africa and in Norway have been included in this survey. The reason why so few schools have been consulted were the following:

- a) The researcher acted on the advice of both supervisors to include only 13 schools in the survey.

- b) Practically it is difficult to establish quality time for interviews even at the included schools – due to the time constraints of the principals and the researcher.
- c) The researcher was of the opinion that the information gathered at these schools was adequate to get a feeling and clear picture of capacity building of these schools.
- d) She spent 2 hours on average per school for the qualitative interviews.

4.11 Conclusion

All the respondent principals in South Africa, as well as Norway, have a very positive attitude towards their job. Values and beliefs, school environment and the fact that the school is unique, are very important factors and influence the decision-making process at schools in both South Africa and Norway.

All the principals have an open door policy and view delegating as an important tool for staff development – keeping in mind the staff's capabilities and interests, as well as training.

The respondent principals themselves have a need for further training and capacity building in both South Africa and Norway in the following management areas, namely staff appraisal and conflict management.

The tendency in South African primary schools is that most of the principals are male. In Norway the majority of principals at the selected schools, were female. The academic qualifications of the selected principals in Norway are higher than their counterparts in South Africa.

The selected schools in Norway are much smaller and the number of learners varies from 100 – 500 learners.

All the selected primary schools in Norway are very well equipped with gymnasiums and rooms specially equipped for teaching cooking, woodwork, pottery and sewing. They also have well equipped natural science laboratories.

The Norwegian schools' emphasis falls on taking responsibility for your own learning. This process empowers students, as well as teachers. The aim is a better learning environment for students, as well as a better teaching environment for teachers. There have been a moving away from an "I school" to a "we school" where teamwork and project work are stressed. This latter mentioned fact is definitely something that South African schools can strive to achieve, that is to empower our students and teachers.

In the next chapter the researcher will give some guidelines for specific capacity building areas that needs to be addressed according to the questionnaire and formal interviews.

Major needs	Minor needs
Staff development (SA)	Curriculum development (SA & Norway)
Classroom management (SA)	Classroom management (SA & Norway)
Classroom management (SA)	
Financial management (SA)	
Methodological theories (SA)	
Marketing discipline (SA)	
Staff appraisal (SA & Norway)	

Chapter 5

Guidelines for Capacity Building and School Management Development in primary schools.

5.1 Introduction

In this chapter the researcher makes a further attempt to point out the necessity of competence and to determine the major and minor needs for capacity building in selected South African and Norwegian schools; also to provide guidelines on how to go about building capacity in order to empower themselves.

5.2 Major and minor needs determined during the Empirical survey

Table 5.1

Major needs	Minor needs
Staff development (SA)	Conflict management (SA & Norway)
Listening skills (SA)	Time management (Norway)
Managing change (SA)	
Financial management (SA)	
Motivational theories (SA)	
Maintaining discipline (SA)	
Staff appraisal (SA & Norway)	

Guidelines will be given to address the major and minor needs identified during the empirical survey. These guidelines are more flexible and adaptable. The implementation and application of these guidelines are also easier to follow than those that are fixed elements of a model. A model is rigid with elements that are fixed and that are most of the times difficult to implement in the practical situation.

The contents of Table 5.1 for capacity building will now be elucidated as follows:

5.2.1 Major needs that need to be addressed

- Staff development
- Listening skills
- Motivational theories
- Staff appraisal
- Managing change
- Maintaining discipline
- Financial management

5.2.2 Guidelines for South Africa and Norway

5.2.2.1 Staff development

Staff development is a factor of concern, because 50% of the principals as respondents evaluated their competencies towards staff development as excellent and good, while 50% of the principals as respondents evaluated themselves as average. This response indicates a definite need for staff development as a competency that, in future, needs to be

mastered by principals. The researcher's guidelines for staff development are therefore as follows:

- Teachers' training programs must provide teachers with the necessary knowledge and skills to work in collaboration with each other and to be able to assume leadership roles.
- Courses in teacher leadership, human relations and group processes have become crucial in educating teachers toward empowerment.
- Principals should know their staff members well, because not all staff members are interested in empowerment/capacity building. Many teachers feel that their main responsibility is teaching and that they do not want to be burdened with the myriad responsibilities of school management. Some teachers not only avoid leadership, but they also dislike a position of power. The researcher therefore stresses the importance of knowing your staff members well, because, on the other side of the scale are some teachers who would like to get involved and be exposed to the opportunity to participate in managerial activities.

Guidelines for empowerment and capacity building include three areas: *knowledge, status and access to decision-making* (Steyn, 1998:133).

- Teacher knowledge: Knowledge per se is power and an expansion of knowledge is an obvious step towards empowering teachers.
- Status: Status refers to the ability of teachers to view themselves and others "with dignity and respect and to exercise their craft with quiet confidence" (Steyn, 1998:133). Staff status improves when teachers are granted the authority to address issues such as finances, curriculum materials and personnel and if they perceive positive consequences resulting from their actions.

- Access to decision-making:

Teachers' access to knowledge refers to the ability of teachers to acquire information and skills by means of participative management. It requires opportunities to develop decision-making skills. Research on shared decision-making in schools builds a strong case for more professional, autonomous roles for teachers which could enhance the quality of staff performance in schools for the following reasons:

1. Increased participation of staff is a powerful means of improving the quality of staff performance due to enhanced ownership.
2. Shared decision-making enhances control by extending its influence over a wide range of decisional issues.
3. Increased decision-making improves job satisfaction.
4. Higher performance of both teachers and learners is achieved.

Apart from the implications for teachers being empowered by means of teacher training and development programs, empowerment also has implications for principals of schools. If teacher empowerment implies sharing of power and the development of leadership skills among teachers, it is logical that it has implications for the principals who play a pivotal role in this process. A few major implications will be emphasized:

1) Changing school structures

Mechanisms for teacher participation in school management, such as departmental structures, staff meetings and different school committees, have existed for many years, although the degree of authority granted to teachers varies considerably. Such committees, however, are often chaired by principals and do not operate under independent authority.

Teachers are usually constrained by agendas and items selected by the principal and they are only relegated to “fill in the details”. Principals are uncomfortable with shared decision-making and often appoint a committee of allies. Very often these teachers’ views do not represent the views of all the staff and are they the least qualified to represent the staff. They are usually also easily manipulated by the principal.

Democratizing schools and empowering teachers implies that the schools’ structures need to change in order to allow for greater participation. These structures need to be designed to promote empowerment through participation. The school organization should be structured in such a way that hierarchical differences are deminished and that teachers are given professional autonomy and collegial involvement in decision-making.

2) Sharing power

The most common failure of principals stems from an inadequate understanding of people, whether they are students, staff or parents. Principals express their belief in people by delegating responsibility and trust. The principals who cannot delegate cannot get the best input from their staff.

The key issues for principals are the questions *when, what, and how to “let go”*. The question is also asked on what premises decisions to delegate are made, for example to delegate duties of demanding nature or to recognize the professional development of staff members.

It is often difficult for principals to “let go” and to then delegate responsibilities to teachers. They feel that they don’t have the necessary control. Skilled principals, however, have saved

themselves much time and have created a tremendous sense of ownership by practicing delegation.

If principals pay careful attention to teachers' talents and interests when matching the teacher to the task, teachers are empowered. It implies that principals must learn to share tasks and power. Principals should convince staff members that they are valued and their contributions are appreciated.

3) Adapting to their leadership role

Staff desire committed, positive and decisive leadership, but they also want to be listened to and have their views considered by principals. As teachers empower themselves to become more involved in management and leadership, the traditional role of the principal as the head, will have to move to principals as colleagues. This means that principals will find their effectiveness diminishing to the extent where they fail to rely on leadership as the primary means by which to gain the co-operation of teachers.

Principals who feel threatened, have a desire for power and they want total control over everything and everybody. They often demonstrate autocratic leadership styles that is irreconcilable with empowerment. A laissez-faire leadership style on the other hand poses problems with regard to the direction in which the school is moving.

Teacher empowerment requires leaders with a strong sense of direction, who are confident and who are willing to become an equal partner as well as a facilitator in the decision-making process.

The more power that is given away, the more powerful leaders become. If principals themselves are not empowered in school management functions, it follows that they cannot share what they don't possess.

4) Providing opportunities for co-operative actions

Few staff members possess the necessary group processing skills that are needed to reach a consensus in the group's decisions. Principals should provide opportunities for their staff in staff meetings to develop skills in communication, problem analysis, conflict management and brainstorming. Peer interaction is a crucial element in empowering teachers for effective decision-making. There is a need to break down the isolation accompanying teaching.

Principals should find as many ways as possible to recognize their teachers' competencies, because this represents an important empowering tool.

5) In-service-training of teachers

In-service-training is seen as an indispensable contribution from principals in the process of empowering their teachers. In-service-training creates the opportunity to break down the isolation among staff members and to build new networks, to develop self-confidence, to expand subject knowledge and educational knowledge. It involves teachers in projects and allows them opportunities where they can participate in organizational matters and have access to the decision-making process.

6) Implementing teacher empowerment

Principals should approach teacher empowerment with caution as not all teachers are prepared to assume a collegial relationship (Erlandson & Bifano, 1987:35). It is also possible that teachers can become saturated with decisional involvement. Some of the decisions are not appropriate for them to become involved in. The staff's inability should, however, not be an excuse because it would be the responsibility of the principal to develop the necessary skills through appropriate staff development programs.

The following recommendations are made for the empowerment of teachers:

- Create a climate for risk-taking

Principals should believe that their staff has the ability to make good decisions and also that staff should participate in decision-making as better decisions could be made as a result of their participation. The opportunity to make mistakes should also be seen as a learning opportunity.

- Provide opportunities for collegiality

It is often difficult for principals to delegate responsibilities to teachers. Skilled principals can save themselves a lot of time and create a tremendous sense of ownership by practicing the art of delegation. The act of delegating should be seen as a compliment to the teacher involved. Delegation is an important tool to use in staff development.

- Develop communication skills

Communication among staff members is important if the staff is to experience their meaningful contribution. All staff members should feel that they have a say in matters. Existing communication channels, such as staff meetings, departmental meetings and learning area meetings could all be utilized to develop the communication skills of teachers.

- Networking with other principals who successfully empowered their staff

Principals who are using participative decision-making should develop their own support system. By making contact with other principals who are experiencing similar problems, a forum can be established for encouraging teachers and giving them an opportunity to share successes, to analyze failures and to develop new strategies (Steyn, 1998:136-137).

In a new education dispensation, the governing bodies and principals in South Africa need the participation of their first line managers which is their teachers, in order to perform their own functions effectively. Empowerment involves teachers as leaders rather than committee members who merely advise the principal about managerial matters.

Teachers are professionals and have a reservoir of knowledge, skills and talents that should be tapped by principals (Bezzina, 1993:23).

If South Africa is to succeed in its attempts to transform education, the teachers must be free to make informed decisions and to share equal power in schools. A major challenge that faces principals in teacher empowerment, is the shift from being the sole authority to sharing authority in schools. Their new role places them now both at the top

and at the bottom of the hierarchy. They should no longer ignore the very people who can make or break the school – the teachers.

5.2.2.2 Listening skills

Another matter of concern is the fact that 40% of the respondent principals are sometimes good listeners and 10% of them indicated that they are rarely good listeners. Therefore the researcher provides the following guidelines to these principals:

The importance of listening

The ability to listen and understand is one of the most important skills of an effective manager. Senior and middle management managers devote approximately 60% to 80% of their total working time to communicate work related matters to their staff. Much of this directly involves the art and skills of listening.

In many ways listening is the most crucial of all communication skills, yet it is probably the most neglected (Puth, 1994:64). Listening should not be confused with hearing. Hearing is merely a physical process of perception, whereas listening is a complicated process of absorbing, judging and acting upon what is heard.

Barriers to listening

The problem with the listening process is that it is not seen as a problem. We assume that it is easy, because we do it all the time. We rarely know that we have not listened successfully and attentively.

The following according to Puth (1994:66) are some of the most important barriers to effective listening:

- Listener has preconceived ideas.
- Listener thinks that he or she knows more than the speaker.
- Listener is worried about something else (e.g. time, personal concerns).
- Listener is tired or feels physically uncomfortable.
- Listener is afraid of the speaker, envious, prejudiced, anxious or overeager to put his or her own ideas across.
- Speaker mumbles, coughs, has a heavy accent, etcetera.
- Speaker uses words open to many interpretations.
- External interferences, interruptions or distractions.

Guidelines for effective listening

- Use empathy in communication

The key to effective listening is empathy. Empathy means to understand, but doesn't necessarily involve agreement. If the listener has enough confidence in his or her own beliefs and attitudes, he or she will be less defensive and he or she will be able to understand new information, even if it conflicts with what they believe.

- Recognize your prejudices

Prejudice is a major barrier to good listening. Ideally, listening should be totally free of prejudice. Since this is practically

impossible, the best thing to do is to recognize your prejudices and to make a conscious effort to discard them.

- Keep an open mind and be aware of trigger words

Effective listeners try to identify and to rationalize words and phrases that upset them emotionally and which may impair their ability to perceive and to understand. The emotional impact of such trigger words can often be decreased through free and open discussions with friends and associates.

- Find an area of common interest

Effective listening is much easier if you are interested in the topic under discussion. If you are tempted to declare the subject boring and switch off mentally, ask yourself whether you cannot use some of what is being said. Does the speaker not perhaps have some worthwhile idea?

- Resist distractions

Poor listeners are readily influenced by distractions, even in a face-to-face situation. A good listener instinctively fights distractions. Sometimes distractions can easily be eliminated or reduced by closing a door, turning off a radio, or moving closer to the speaker. If this cannot be done, you have to increase your level of concentration.

- Learn to concentrate

Listening is not a passive exercise, but requires energy and effort. If you are ill or tired, you cannot possibly listen effectively. To listen effectively, you have to be convinced that what you are about to hear is relevant to you. Adopt an attitude of “ what’s in it for me?” to everything you hear. When something worthwhile is being said, you won’t miss it.

- Be a critical listener

As you listen, weigh up what the speaker says and the conclusions that he or she draws. If you notice any weakness in the argument, keep it in mind when it is your turn to speak or when the time for discussion comes.

- Hold your fire

Over stimulation in listening is almost as bad as under stimulation, and together the two constitute the twin evils of ineffective listening. Perhaps the most common barrier to effective listening is to mentally prepare an answer while the other person is speaking. As a result the listener responds by “shooting from the lip” and misfires verbally. If you are silent, attentive and receptive, you can tune in to the speaker’s gestures, subtle meanings, inner feelings and unstated messages. Learn not to become excited about a speaker’s point until you are sure that you understand it thoroughly.

- Listen for ideas

Good listeners focus on central ideas, rather than trying to memorize every fact. Learn to recognize the characteristic language in which central ideas are usually stated.

- Ask questions

The best way to double check your understanding of what a speaker has said, is to ask questions in order to clarify and amplify a point. An intelligent question indicates interest, but be careful of a hostile or belittling question. Politeness is the key word and ensures that your timing is right.

- Capitalize on thinking speed

People talk at a rate of about 125 words per minute, yet we can think quite effortlessly at a rate of 400 words per minute. The difference between talking speed and thinking speed creates a tremendous barrier for effective listening. The good listener uses excess thinking time to advantage, rather than allowing his or her private thoughts to intrude. It is not difficult to develop techniques for using spare thinking time to aid effective listening. You can either anticipate what is going to be said, mentally summarize what has been said, mentally questioning what is being said, or listen between the lines by giving attention to tone and volume, facial expressions, gestures and movements.

- Make sure that you understand
If you are at all unsure whether you have understood a speaker correctly, briefly state what you think he or she has said by asking, "Is that what you meant?"
- Exercise your listening skills
Good listeners make a point of attending and listening to a variety of presentations difficult enough to challenge and develop their mental capacities.

The reward of listening

By listening effectively you will:

- add to your knowledge
- encourage people to open up
- improve your interpersonal relationships
- save time, energy and even money
- eliminate misunderstandings
- facilitate the identification of problems and grievances

5.2.2.3 Motivational theories

According to the questionnaire, Table 4.40, the respondent principals themselves have a need for further training in motivational theories. In Table 4.32 the respondent principals also indicated that they don't know how to motivate their staff members. From the feedback 50%

of the respondent principals indicated that they sometimes know how to motivate people, while 10% of them rarely know how to motivate people.

Principals have to be competent in order to motivate their staff members and management teams and to adapt to new educational changes in the fast changing education system in South Africa.

Motivational theories can be separated into two major categories:

- Content theories
- Process theories

Content theories on motivation

Content theories are concerned with identifying specific factors that motivate people.

Motivational theories in this category are:

- Maslow's need hierarchy

Every teacher wants to feel good about doing his or her job. That's called employee satisfaction. Employee satisfaction is made up of several factors, but they can be related to five levels of need as was first described by a psychologist in the 1960's, Abraham Maslow. The needs start with the most important physical needs until self-actualization is reached.

- Hygiene theory (Two-factor theory, Frederick Herzberg)

This theory has on the one hand the extrinsic factors like salary, job security, working conditions and status. These are factors that are external to the job and that are found in the environment of work. On the other hand there are the intrinsic motivators like achievement, recognition, responsibility, possibility of growth. These factors are built into the job itself.

- Existence Relatedness Growth theory (ERG) Clayton Alderfer

This is a content motivation theory that proposes that individuals have existence, relatedness and growth needs.

- I. **Existence:** These are needs that are satisfied by such factors as food, air, water, pay and working conditions.
- II. **Relatedness:** These are needs that are satisfied by meaningful social and interpersonal relationships.
- III. **Growth:** These are needs that an individual satisfies by making creative or productive contributions.

Process theories on motivation

Process theories focus on the question:

“How does motivation occur?”

- Expectancy Theory – Victor Vroom

Vroom defines motivation “as a process governing choices among alternative forms of voluntary activity” (Schreuder, et.al. 1994: 78).

Four assumptions underpin this theory:

- 1) People join organizations with **expectations about their own needs**, motivations, and past experiences. (These influence how individuals react to the organization).
- 2) An individual's **behaviour is a result of conscious choice** people are free to choose those behaviours suggested by their own expectancy calculations.
- 3) People **want different things from the organization** (e.g. good salary, job security, advancement and challenge).
- 4) People will **choose among alternatives** so as to **optimize outcomes** for them personally.

Goal-setting Theory (Edwin Lock)

Goal: "What is the individual consciously trying to do?" (Schreuder, et.al. 1994:79).

Lock's contribution to goal-setting theories include:

1. Difficult goals lead to higher task performance than do easier goals.
2. Specific goals lead to higher performance than do vague goals such as "do your best."
3. The mechanisms by which goals affect performance are directing attention and action, mobilizing effort, increasing persistence and motivating a search for appropriate performance strategies.
4. Feedback seems necessary in order for goal-setting to work because it allows people to compare their performance against their goals.

5. A commitment to goals is necessary if goals are to affect performance. Expectation of success and degree of success affect goal commitment.
6. Individual differences in factors like personality and education are not generally related to goal-setting performance.

Lock's goal-setting theory proposes that an individual's goals and intentions are the primary determinants of behaviour.

Theory X and Theory Y (Douglas McGregor)

Most managerial actions flow directly from assumptions managers hold about their subordinates.

McGregor referred to these contrasting sets of assumptions as **Theory X** and **Theory Y**.

Managers with Theory X assumptions have the following views of people:

- The average person dislikes work and will avoid it if possible.
- Because people dislike work, they must be coerced, controlled, directed and threatened.
- The average person prefers to be directed and controlled by someone in authority.

The opposite assumptions characterize the Theory Y manager:

- Work is as natural as play or rest.
- Commitment to objectives is a function of rewards for achievement.

- Under proper conditions, people accept and seek responsibility.

Theory Z (William Ouchi)

This theory is based on a Japanese Management technique, and is an extension of McGregor's Theory X and Theory Y.

Theory Z addresses the culture of the whole organization. Culture is the way of life that exists at the organizational level. Culture involves:

- long-term employment
- consensual decision-making
- individual responsibilities
- slow evaluation
- slow promotion
- informal control system with explicit measures of performance
- moderately specialized career paths
- extensive commitment to all aspects of the employee's life

Major components of the theory Z as applied to schools are:

- Skills training
- Shared control and decision-making
- Trust, subtlety, intimacy
- Motivation through self-interest
- Equitable reward system
- Quality Education

Hersey and Blanchard's situational leadership theory can also be useful in the process of staff motivation.

All the motivational theories mentioned in this section were taken from Schreuder, et al. (1994:78-83).

5.2.2.4 Staff appraisal and commendation

The management team manages this commendation system – The In the current South African education system there is no longer an appraisal and commendation system in place for teachers. During the interviews the staff appraisal and commendation system was of great concern to all the respondent principals.

All of them felt that the intrinsic motivators are not enough to motivate their staff members. Something has to be done to address the current situation.

Some of the respondent principals felt that just a mere “thank you” is not enough and that, if it was financially possible, they would like to give a financial reward to a staff member for outstanding performance. During the old dispensation with the annual merit awards for teachers, financial reward was possible. This system, however, is no longer in use.

Some of the old model C schools still make use of a small financial incentive, but not all schools are financially able to give such incentives. During the researcher’s visit to different schools, the researcher was elated to come across a school where a commendation system without financial reward, was in place. According to the principal it works very effectively.

The principal said, “As a management team we have identified staff appraisal and commendation as a need in our school that have to be addressed. We went to the drawing board to have an in depth look at what can be done. The staff members work very hard, put in extra hours and have to adapt to change in the new educational dispensation that challenges every staff member every day.

The management team agreed, after hours of thinking and conversations with staff members, to the following commendation system:

The management team manages this commendation system – The head of department have a booklet with pink slips and whenever a teacher puts in extra effort the concerned teacher receives a pink slip signed by the head of department with the following words, “Thank you, the management team appreciates your effort.” When a teacher has received three of these pink slips, the head of department then informs the principal about the teacher’s efforts. The principal completes a certificate with the heading “From the principal’s office” to thank the staff member and to assure him/her that he/she as principal, takes notice of his /her hard work.

The teachers can include these certificates with their application forms when they are applying for promotion posts. Some of the teachers have framed their certificates and hung them against the classroom or office walls.

The commendation system did not stop at the principal’s office. The principal also brought this extra effort from staff members under the attention of the school governing body. Each teacher, who has received a certificate from the principal, also received a certificate with the heading, “From the School’s Governing Body” to say thank you.

These above-mentioned certificates were handed to the specific teacher in the principal’s office and the chairman of the school’s governing body is also present.”

According to the principal his staff members have accepted this system of staff commendation very well.

5.2.2.5 Managing change

According to the questionnaire (Table 4.23) 70% of the principals as respondents evaluated themselves as excellent and good in order to manage change, while 30% are average in managing change. This response is of real concern seeing that South Africa's education system is currently in a stage of radical change. Therefore it is important that principals should be competent in managing and implementing all these changes as smoothly and effectively as possible.

The researcher refers back to chapter 3 for guidelines where the management of change is discussed in detail. See chapter 3.4.2.

The following aspects of managing change is discussed in the previous chapter:

- The meaning of change and the change process
- Change is a process and not an event – illustrated by Fullan (1991:48)
- Images of effective leaders in promoting change (Louis, 1994:6)
- Six characteristics of the effective leader in promoting change
- “Do” and “don’t” assumptions about change
- To manage change – make use of the Fishbone theory

5.2.2.6 Maintaining discipline

Respondent principals indicated in Table 4.20 that they need capacity building in this above-mentioned management area.

The most important fact in maintaining discipline is to keep in mind that discipline at schools starts with the principal, management team and staff members.

If staff members are not on time in their classrooms then the learners will adopt to such behaviour. If teachers are not prepared and don't exactly know what they want to do – the learners will act accordingly.

It is very important that teachers plan their day and make sure that the learners know exactly what is expected from them. The principal should stress this point if he experiences disciplinary problems in his or her school. The principal and teachers should be “visible” during the changing of classes to maintain discipline.

Under the new legislation, corporal punishment can no longer be implemented. Therefore each school should have a disciplinary system in place that will address the positive, as well as the negative behaviours of the learners.

A long-range goal of education is that learning will eventually lead to intrinsic rewards.

According to Diaz, Neal & Amaya-Williams (1990:71), sound classroom management should empower learners to accept responsibility for their own behaviour and learning. Classroom discipline, on the other hand, is a strategy implemented by teachers to control or to develop a learner's inner self-regulation, which Kohn (1996:83) maintains, helps learners in choosing desirable behaviours and turns them into “ethical and compassionate” people. In addition to self-regulation, Diaz, et al. (1990:73) advocate the development of self-control in learners which enables them to regulate their behaviour according to the teacher's expectations even in the teacher's absence. The practical significance of teacher-perceived self-efficacy and the importance of classroom management and discipline in helping learners to become responsible for their own learning and behaviour, are that both can lead to improved teacher performance and increased learner achievement. This would ultimately lead to effective discipline in schools.

5.2.2.7 Financial management

70% of the respondent principals evaluated their financial management as excellent and good. There are, however, 20% of the respondents who evaluated themselves as average and 10% who evaluated their financial management as poor which is a matter that needs to be addressed. In Table 4.40 the respondent principals also indicated that they would need training in financial management to further their own training and development and to manage their schools effectively financially

The South African Schools Act of 1996 (Government Gazette No. 17579, 1996) makes provision for two types of schools in our education system, namely, public schools and independent schools.

With reference to the funding of public schools, Section 34(1) of the South African School's Act 84 of 1996 (Government Gazette No. 17579, 1996:24) states that "the State must fund public schools from public revenue on an equitable basis in order to ensure the proper exercise of the rights of learners to education and the redress of past inequalities in education provision."

The greater portion of the education budget is spent on educators' salaries, thereby allowing only a small percentage for resources, materials and other supplies to schools. The State thus may not be able to meet all the financial-related requirements of schools.

The prior-mentioned realities of funding public schools in South Africa, has given rise to the idea of community assistance in the financing of schools. Section 36 of the South African Schools Act 84 of 1996 (Government Gazette No. 17579, 1996:24) states that "a governing body of a public school must take all reasonable measures within its means to supplement the resources supplied by the State in order to improve the quality of education provided by the school to all learners at the school". This section of the Act clearly allows for community financing of schools. Bray (1996:495) contends that community financing is a vital source of

supplementary funds for education, particularly where governments are unable to meet all the needs of their people. This aspect of financing public schools highlights the principal's role in managing the finances of the school in an effective and efficient manner.

The South African Schools Act has therefore, in essence, changed the role of the principal with regard to school financial management as an important aspect of the overall management of the school.

One of the biggest changes that have taken place in education over the years is the local management of schools. Communities have a greater role in running the school than they had in the past. This has given schools much more freedom in managing their affairs, and opened the door to better ways of managing the available money. At the same time it has posed considerable challenges for principals and members of governing bodies for many of whom much of the work of managing finances on this scale is new.

When considering the importance of financial school management in the general management of the school, it would be pertinent to echo Paisey (1992:81) when he stresses that of all kinds of information in the school system, none is more important than financial information since all the activities of the school and its ultimate performance rely on soundly managed finances.

With regard to the budget, it can be stated that the essence of the budget is that it represents "the school's financial plan and its preparation and control is an integral part of the process of management" (Nathan, 1991:89).

Knight (1993:46) states that published studies of financial devolution worldwide are in general in agreement that the role of the principal is enhanced. He or she is seen as more important, more of a manager and as the key figure in the school.

With regard to the changing role of the principal in collaborative decision-making, chapter four of the South African Schools Act 84 of 1996

(Government Gazette No. 17579, 1996:2 –28) places the responsibility for the financial management of the school in the hands of the governing body of the school. Thus the principal as member of the governing body cannot make decisions on his own. The principal has to consult with all stakeholders on the governing body in relation to financial management of the school. The very nature of the Act encourages collaborative and participative decisions. Therefore, if a principal is not accustomed to such a form of decision-making, he or she will now have to change their style of management to suit the changing circumstances. Extension of financial management makes it more difficult for principals to be autocratic. They will need to work more closely with their governing body and to win support from their staff. They will be forced to delegate more and communicate more with their staff, learners and parents.

Levacic (1991:120) stressed that the prime responsibility for financial management will, in most cases, rest with the principal and be shared in varying degrees by a senior management team, with local circumstances determining the degree of involvement of particular governors. These are the key people in schools on whom the emerging task of financial management will rest. The participation and involvement of staff, the enhanced role of governing bodies and increased accountability have provided some limitations.

Since financial management of schools is a relatively new concept in the majority of South African schools, it may be vital that training programs are implemented and advice is given to principals and prospective principals. With reference to this, Hill (1989:107) remarks that, as we advance from a system where principals were **not** required to manage considerable amounts of finances and budgets, to systems of managing considerable amounts of finances and budgets, it is clear that principals are in need of training and advice. Banchard, Lovell & Ville (1989:99) echo this view when they mention that with the rapidly changing role of the principal it goes without saying that training is essential and vital.

Without the necessary training any new system is threatened with failure. Therefore, even in conditions and circumstances in which change is welcomed, "initial enthusiasm can quickly turn to frustration and anger if not supported by well-thought-out programs".

With regard to the budget as a tool in financial school management, the views of Jackson (1994:53) are very relevant where it is contended that whether we approve of it or not, the delegation of budgets to schools has meant that words like accountability, clients, efficiency, effectiveness and managers are with us and are not going away.

As South Africa moves towards the year 2002, principals are going to have to accept the extension of their chief executive role, and probably the subsequent displacement from the core act of teaching. They will need to be the people with the vision of where the school is going and with the managerial expertise to plan and budget that journey.

5.2.3 Minor needs

- Conflict management (South Africa)
- Time management (Norway)

5.2.4 Guidelines for minor needs

5.2.4.1 Conflict management

Some of the respondent principals indicated in Table 4.40 that they, as managers, would need further training and development in conflict management. The respondent principals evaluated their competency towards conflict management in Table 4.22 as follows: 10% excellent, 70% evaluated themselves as good and 20% as average.

Conflict has been defined as any situation in which two or more persons or groups perceive that their goals are incompatible, according to Achoka (1990:43). Conflict has pervaded society since the time of Genesis. According to Achoka (1990:43) even Max Weber realized this in 1904. To him, conflict could not be excluded from social life, and peace was simply a temporal exchange of conflict.

Causes of conflict can be attributed to many factors:

First: human factors:

- When teachers are dissatisfied or cannot realize their status aspirations, they can compensate for it by fostering conflict within the school.
- People who are authoritarians, but have low self-esteem, tend to misinterpret the behaviours of others and initiate conflict.
- Interest groups with different goals will apparently run into conflict.
- At times a conflict situation is complicated by several perspectives that combine in order to arouse it.

Second: structural factors:

- Structural factors related to the school, cause conflict.
- Achoka (1990:44) indicated that, the larger the school, the greater the number of conflicts and the higher the rate of conflict intensity.
- Schools' bureaucratic characteristics, like high degrees of specialization, correlate with conflict.
- Overloading, which is the presence of an overwhelming amount of information requiring the consideration of the decision-maker, could

result in intentional or unintentional ignorance of the needs and rights of others and may result in conflict.

Third: conflict can be caused by conflict-promoting interactions:

- These could take place on both interpersonal or inter group levels.
- Such interaction could lead to domination, competition, and provocation.
- In domination interaction, one party attempts to control the behaviour of the other party.
- In competitive interaction, each side tries to gain something that the other side wants.
- When interaction involves provocation, intentional or unintentional harm is inflicted on the opposite person.

Fourth: communication problems may cause conflict.

- The problems involved include noise, semantic differences and insufficient exchange of information.
- Any distortion of information for either the sender or the recipient is noise.
- Semantic problems, on the other hand, occur when some words mean different things to different people. This impedes communication.
- Insufficient exchange of information could mean lack of clear and unambiguous information about the other's point of view, which is necessary for clarification of the situation.

Conflict can either destroy or construct. Positive conflict could perform an indispensable function in keeping the organization dynamic. Robbins (1971:65) underscored the same point by stating that " without conflict,

there would be few new think through ideas; organizations would only be apathetic and stagnant". Nonetheless, all conflicts in the organization must be dealt with effectively.

Approaches to manage conflict could be categorized under avoidance, use of force, use of third party, and rational techniques according to Achoka (1990:45).

Avoidance includes withdrawal and isolation techniques. The assumption here is that silence is golden. Avoidance is the most natural and instinctive human response in a conflict situation, but it is important to keep the nature of conflict in mind. In certain circumstances, this could be the worst response by a principal. The principal adopts a "let's wait and see" attitude. At times, a deadlock is initiated, leaving the situation static. Nobody wins, but then no one loses either. Avoidance techniques are useful in dealing with structural factors. At times it could be effective, but only temporarily.

Use of force assumes that one party is in a super-ordinate position to the other. It involves the use of coercion and suppression. In coercion, one party tries to make the other one yield from feared, or actual injury by use of implied or explicit threats. The use of force technique may be most useful in cases where there are special interest groups with differing goals or values and interpersonal provocation. According to Achoka (1990:46), this is the quickest and neatest method of conflict management. But it may serve only to mark the end of one conflict and the beginning of another precisely.

The third party technique is used mostly when the conflict involves super-ordinates and subordinates. This could be an issue involving the reward system. The mediator serves to clarify the position of both parties and suggests compromises. This technique allows hostility to

be directed toward the arbitrator and not toward any of the differing parties. It is most convincing if either party in the end feels it has won something.

The rational approach technique includes compromise, persuasion and confrontation. To compromise would mean splitting the differences between the two groups. There are no winner and no loser. Confrontation assumes that the parties in conflict have the potential to resolve the problem without accommodating different points of views. This process of confrontation requires eight stages namely; definition, review of the problem, development, debate of alternatives, search for, and evaluation of, solution, weighing and selecting the appropriate solution. Achoka (1990:46) claimed that this is the best method of resolving interpersonal or group conflict. For apparent reasons, facing an opponent to discuss an issue, gives an opportunity to either party to try and objectively understand the other. Perhaps misunderstanding, caused by communication barriers, could then be resolved.

The researcher's conclusion is that the principal must accept the fact that conflict is part and parcel of all social organizations. The school depends on the principal's ability to resolve conflict. The principal must also be aware of the type of conflict. Each type of conflict brings lessons to be learned, but they must each be resolved. The school is a place where different people with unique values and attitudes meet. Not all the conflict resolution mechanisms that are used by the principal may be appreciated by all the staff members. Nonetheless, the possibilities for resolving conflict must be sought. A noteworthy point is that each conflict might warrant a different resolution technique.

5.7.4. An unmanaged or mismanaged conflict has the tendency to escalate and become independent of its initial cause. It could also continue after the initial cause has been forgotten.

No conflict resolution is reached through “pure luck”. Successful conflict management involves artistic sensitivity. This statement, the researcher argued, grows out of both theoretical knowledge and the experience of the principal.

5.2.4.2 Time management

Causes of Time wasting include among other things

Teachers and principals usually say that a lack of time is one of the biggest obstacles that prevent them to attend to their obligations and responsibilities. A principal once said, “I work hard to apply myself to my job and I keep trying to reallocate my time, but no matter how hard I work at it, I can’t escape that nagging feeling that I’ve got more work to do and I’ve got more people to see than I can handle” (Fox, 1965:59).

Principals believe

Another principal added to this statement by saying, “On the average I put in more time on my job than anyone in the system. I’m at school by seven or seven-thirty and don’t get away until six or six-thirty. If I don’t have to come back for some activity, I generally take some work home. I’m at the office Saturday mornings and some Sunday afternoons. My wife has resigned herself to being a schoolman’s widow. It’s not that I don’t want to spend more time with my family but I can’t do my job without some time to be alone” (Fox, 1965:60).

Procrastination (The thief of time)

Most people’s problem is not the fact that they work hard and long hours, but that they don’t work efficiently. Successful people get more done in less time. They use their time effectively.

5.2.4.2.1 Time wasting.

According to Schreuder, et al. (1994:34), time wasting is when the principal keeps himself/herself busy with tasks that is important, but

not urgent; urgent but not important; only partly worthwhile or not important or urgent at all.

To use time meaningful is to keep oneself busy with tasks that are both important and urgent.

Causes of time wasting include among other things:

- Lack of clear goal-settings, preferential tasks and planning
- Inefficient delegating
- Try to do too much at one time
- To be personally unorganized
- Unnecessary and/or too long meetings
- Chance visitors
- Crisis management
- Telephonic interruptions
- Inability to say "no"
- Insufficient self-discipline
- Too few and/or poorly trained support staff
- Incomplete and/or delayed information
- Administrative red tape
- Not to complete tasks
- Procrastination (the thief of time)
- The reading of waste mail

5.2.4.2.1 A daily “do-list”

Categorize all preferential tasks in an A, B and C category and then define the preferential tasks in each category, example, A1, A2, A3.

- A = very important and urgent
- B = less important and less urgent
- C = unimportant; can be postponed.

Complete tasks in order of importance: first A tasks, then B tasks and lastly C tasks.

It is very important to have realistic target dates and to try and keep to it. These realistic return or target dates can also serve as an extra motivational factor to complete tasks.

Complete one task at a time. Fox (1965:70) said, “ If you cut down on the number of balls you are trying to juggle in the air, you will stand less change of dropping a ball.”

The **Pareto-principle**, according to Bird (1986:15) states, “ If all items are arranged in order off value, 80% of the value would come from only 20% of the items, while the remaining 20% of the value would come from 80% of the items.”

According to this principle, two items (20%) out of a “ do-list” of ten items need to be identified as important/urgent to be completed immediately (80% of value). The other eight items (80%) can be postponed because they represent only 20% of the total value. This ensure that you don’t get bogged down by less important activities.

Time is everyone's most important asset. It's not to be gathered or stored but to be utilized. The way time is used is directly linked to a person's quality of life and his/her effectiveness in his/her occupation.

5.3 Conclusion

The guidelines, as set in this chapter, are aimed at equipping the principal with information necessary for capacity building, as well as addressing problems that may occur at his/her specific school.

Major needs determined during the empirical survey were:

- Staff development
- Listening skills
- Managing change
- Financial management
- Motivational theories
- Maintaining discipline
- Staff appraisal and commendation

Addressing the above-mentioned needs that were determined at selective schools will lead to Capacity Building and School Management Development.

In chapter six, the researcher will briefly give an overview of the study, address the research problems, indicate the shortcomings of the research, as well as motivate recommendations with regard to Capacity Building.

CHAPTER 6

OVERVIEW, CONCLUSION AND RECOMMENDATIONS

6.1 An overview of research

As we move into the twenty-first century, there is a need for principals to be competent and effective in managing their schools. If South African schools want to break decisively with its past and implement its vision for a new education system, which has the improvement of teaching and learning at its heart, it will be necessary to draw on aspects of the following three resources:

- first, to develop structures and systems appropriate to develop decision-making within the content of new policy legislation
- second, to develop the leadership skills needed to manage people, lead change and support the process of transformation
- third, to develop individual and team competencies – the understanding, knowledge, skills and attitudes – appropriate to the day-to-day management of education

By making use of a literature review, the important aspects of education leadership and components of capacity building are stressed. The empirical study determines in which areas of capacity building there exist a need for further development at different primary schools. This research tries not only to determine how principals and school management, through capacity building, motivate themselves and their staff members and encourage them to produce work standards of excellence, but also to encourage them to personal higher education aspirations.

A study between some selected primary schools in South Africa and Norway will be conducted to determine if there are any similarities and differences between the management of schools.

Chapter one dealt with the following aspects:

- Orientation
- Problem statement
- Aims and objectives
- Research methods
- Clarification of concepts
- Research program

Educational leadership is described in **chapter two**. Too many schools are overmanaged and underled. Therefore, in chapter two, a high priority is placed on the meaning of effective leadership, managerial roles, leadership for improvement in schools, new leadership values and successful communication for school leadership.

Chapter three addresses suitable components for capacity building and in the first section of the chapter the researcher refers to the report of the Task Team on Education Management Development (1994).

An important element in the capacity building process is joint decision-making which steers empowerment. Capacity Building Programs, as well as capacity building quality contributors, are also addressed in this chapter.

Other components are school performance, change and Educational Management Development. These are concerned with the search for quality schools.

Chapter four focusses on an empirical research that involves asking questions to some selected principals, as well as other school managers. Questions about a particular issue or component of capacity building were asked.

This chapter includes:

- The most important findings from the empirical survey
- a study of Norwegian schools
- a picture of schools in Bergen
- similarities and differences between selected schools in South Africa and Norway with regard to Capacity Building and School Management Development

Chapter five attempts to point out the necessity of competence and to determine the major and minor needs for Capacity Building in selected South African and Norwegian schools. This chapter provides guidelines on how to go about building capacity in schools.

6.2 Addressing the research problem

In **section 1.3** of **Chapter one** the problem that guided this research were formulated as follows:

- **What are the most important leadership skills and capacity building components needed for effective leadership in the school management team that would lead to an overall improvement in the school system?**

- Which management areas will be identified through an empirical study as problem areas in the current primary school system of South Africa and Norway?
- Are there any similarities and differences between primary schools in Norway and South Africa?

Evidence from the literature study points out that important leadership skills can be learned mostly from experience, reflection, observation and dialogue, as well as from exemplary practices (Chapter two, 2.4). There are three facilitator styles recommended for leadership and school improvement namely: responders, managers and initiators (Chapter two, 2.5). Successful communication is also an important aspect for school leadership.

Effective communication includes written, verbal and nonverbal communication, listening skills and methods of evaluating whether the communication is effective (Chapter two, 2.8).

Suitable components for Capacity Building is addressed through referring to the report of the Task Team on Education Management Development (Chapter three, 3.3.1-3.3.5). Managing change is also an important component in Capacity Building that can eventually lead to school improvement (Chapter three, 3.4.1).

Another important component of Capacity Building is the joint decision-making process which steers empowerment. The more power that is given away, the more powerful leaders become. If principles themselves are not empowered in school management functions, it follows that they cannot share what they do not possess (Chapter three, 3.5).

According to the empirical survey the respondent principals in South Africa have a need for training and capacity building in the following management areas:

- Staff development
- Motivational theories
- Listening skills
- Managing change
- Financial management
- Maintaining discipline
- Staff appraisal
- Conflict management

Management areas in selected primary schools in Norway that needs to be addressed are:

- time management
- staff appraisal
- conflict management

Comparisons between some selected primary schools in South Africa and Norway were drawn. See **chapter four 4.9** for similarities and differences between schools in Norway and in South Africa.

6.3 Attainment of aims and objectives

Referring back to **chapter one section 1.4**, the aims and objectives for this research is stated.

The aims and objectives of this research project have been achieved:

- The importance of Capacity Building has been addressed in **chapter three**.
- The meaning of effective leadership has been discussed in depth in **chapter two**.
- The nature of changes that are effecting schools have been discussed, as well as how these changes should be managed by empowered principals.
- Finally, **chapter five** contains guidelines for School Management and School Management Development as well as Capacity Building for principals of schools that would lead to school improvement and ultimately to more effective schools.
- The resemblances and differences between some selected schools in South Africa and Norway have been identified in **chapter four**.

6.4 Shortcomings of the research project.

Like any other study in the human sciences, this project does not claim to be an authority in this field, but gives probabilities in Educational Leadership and Capacity Building as School Management Development in education. Nevertheless, there are limitations that stem from the course of the research.

For instance, this study was limited to principals and deputy principals, whereas other stakeholders, such as the school governing bodies, are also important in the recognition of competence, empowerment and capacity building.

As previously mentioned in **chapter four**, the researcher acknowledges with regard to the statistical issues of this research that a low number of schools, both in South Africa and Norway, have been included in the empirical survey.

This, however, does not mean that this research project is not valid and reliable.

6.5 Motivated recommendations with regard to Capacity Building and School Management Development.

The following aspects can be included under this heading:

- Leadership in schools calls primarily on intangible human qualities

Leadership styles and leadership skills, as well as personal characteristics, are very important and are linked to important and desired outcomes. Leadership qualities such as ethical commitment, risk taking, self-knowledge, character, courage and a long-term vision are important for school leadership in a current changing school system in South Africa. Leaders, in order to be effective, must have integrity. No matter how well a person communicates, nor how inspirational that person is, over a period of time, lack of integrity will ultimately bring his/her downfall. School leaders should have passion. They should know how to present things in a compelling way. The opposite of fear is courage and thus leadership in schools should take heart and deal with change in schools.

- **Leadership by empowerment**

Highly successful leaders have a capital view of power and authority. They spend it to increase it. They have learned the great leadership secret of power invested: the more you distribute power among others, the more you will get back in return. Teachers need to be empowered to act, to be given the necessary responsibilities that release their potential and make their actions and decisions count.

- **Staff development**

Courses in teacher leadership, human relations and group processes become crucial in educating teachers for empowerment. Principals should know their staff members well because not all staff members are interested in empowerment. Some teachers avoid leadership and dislike power.

Increased participation of staff is a powerful means of improving the quality of staff performance due to enhanced ownership. Democratizing schools and empowering teachers imply that the schools' structures need to change to allow for greater participation. Structures need to be designed to promote empowerment through participation. The school organization should be structured in such a way that hierarchical differences are deminished and that teachers are given professional autonomy and collegial involvement in decision-making.

Delegation is another powerful tool for staff development. Principals, who cannot delegate, cannot get the best input from their staff members. It is often difficult for principals to "let go" and delegate responsibilities to teachers. Skilled principals, however, have saved themselves much time and create a tremendous sense of ownership by practicing delegation.

If principals pay careful attention to the teacher's talents and interests when matching the teacher to the task, teachers are empowered. Principals should convince staff members that they are valued and their contributions are appreciated.

Principals have to remember that the more power they transfer, the more powerful leaders they will become.

In-service-training is seen as an indispensable contribution of principals towards the development of teachers. In-service-training creates the opportunities to break down the isolation among staff members, build new networks, develop self confidence, expand subject knowledge and educational knowledge and to involve teachers in projects to give them opportunities to take part in organizational matters and to have access to the decision-making process.

The major challenge facing principals in teacher empowerment, is the shift from being the sole authority figure to sharing authority with others in the school.

- **The importance of listening**

Management Training

The ability to listen and understand is one of the most important skills of an effective school manager. There has been a significant move away from a task-oriented approach to a people-oriented approach in modern management. In many ways listening is the most crucial of all communication skills, yet it is probably the most neglected. Listening should not be confused with hearing. Hearing is merely a physical process of perception, whereas listening is a complicated process of absorbing, judging and acting upon what is heard. If principals only hear others, they may ignore valuable suggestions, new ideas, opportunities to avoid mistakes and particularly the problems and frustrations experienced by their staff members. When principals really listen to their staff members, they will be able to extend their knowledge, improve

interpersonal efficiency and strengthen their powers of understanding and persuasion.

- **Financial management**

The aspect of financing public schools highlights the principal's role in managing the finances of the school in an effective and efficient manner. The South African Schools Act has therefore in essence changed the role of the principal with regard to school financial management as an important aspect of overall management of the school. Since financial management in schools is a relatively new concept in the majority of South African schools, it may be vital that training programs are implemented and advice is given to principals and prospective principals. Blanchard, Lovell & Ville (1989:99) echo this view when they mention that the rapidly changing role of the principal goes without saying that training is essential and vital. Without the necessary training any new system is threatened with failure.

- **Management Training**

Organizational problems are indeed complex and principals often lack the necessary management skills to lead effectively and to foster organizational commitment. Management training with the emphasis on acquiring leadership expertise and skills should become available to school principals.

At present principals are expected to manage their schools effectively, although little has been offered to them in terms of appropriate high-level management training or even basic management training. This deficiency needs to be addressed without delay.

6.6 Further research

7. Bibliography

This research project is not an end in itself, but opens up room for further research. Further research projects can be carried out in the following aspects of Education Management:

1. *Journal of Management Education*, Vol 30 (7), p 42 - 45

2. - How the changing education system in South Africa affects the role of the principal. *Journal of Management Education*, Vol 7 (5), p18 - 24

3. - By means of an empirical survey one of the main problems that was identified as being very serious is the maintaining of discipline within the current education system where corporal punishment has been banned.

4. *Journal of Management Education*

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6.7 Conclusion

Recognition of competence and the importance of Capacity Building and School Management Development are of prime importance in a fast changing educational system.

The principal occupies a unique leadership position and exercises influence in structural, operational and instructional matters in the school. What is achieved in the school in terms of the quality of education, will invariably depend on the crucial leadership role of the principal and his ability to foster organizational commitment among the staff, learners and parents.

Therefore School Management Development and Capacity Building is important for school leaders in order to attain work standards of excellence.

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Biographical information

Questionnaire

School:

Gender:

- (male)
- (female)

Age in years:

- (20-30)
- (31-40)
- (41-50)

Capacity Building and School Management Development: A study of principles and practices of selected Norwegian and

Present position:

South African schools.

- (vice-principal)
- (head)

Experience in position:

- (0 years)
- (1-10)
- (11-15)
- (16-20)
- (21-25)
- (26+)

Qualifications:

- (Diploma)
- (Degree)
- (Hon. Degree)
- (Masters)
- (PhD)

Size of school:

- (100-200)
- (201-400)
- (401-600)
- (600-700)
- (701+)

Biographical information

School

Gender:

(male)

(female)

Age in years:

(20-30)

(31-40)

(41-50)

(51-60)

(60+)

Present position:

(principal)

(vice-principal)

(Hod)

Experience in position:

(0-5years)

(6-10)

(11-15)

(16-20)

(21-25)

(26+)

Qualifications:

(diploma)

(degree)

(Hon. Degree)

(Masters)

(Phd)

Size of school:

(100-300)

(301-400)

(401-500)

(600-700)

(701+)

Number of staff:

Permanent: (1-10)
(11-20)
(21-30)
(31-40)

Admin staff: (1) (2) (3) (4) (5) (6+)

Governing body staff: (1-3)
(4-6)
(7-9)
(10-12)
(13+)

Governing body of school consist of the following members:

Staff: (1-3)
(4-6)
(6+)

Parents: (1-3)
(4-6)
(6+)

Non-teaching staff: (1-3)
(4-6)
(6+)

Pupils: (1-3)
(4-6)
(6+)

Rate your current attitude:

Positive		Negative	
4	3	2	1

- My feeling is that my staff would currently rate my attitude as:

—	—	—	—
---	---	---	---

- My management team would currently rate my attitude as:

—	—	—	—
---	---	---	---

- Give the same choice my family would rate my attitude as:

—	—	—	—
---	---	---	---

- My effectiveness level:

—	—	—	—
---	---	---	---

- My creativity level:

—	—	—	—
---	---	---	---

- My enthusiasm toward my job:

—	—	—	—
---	---	---	---

- My recent disposition – the patience and sensitivity I show to others, deserves a rating of:

—	—	—	—
---	---	---	---

Competencies:

Excellent	Good	Average	Poor
4	3	2	1

- How would you evaluate your own competencies towards:

Staff management:

—	—	—	—
---	---	---	---

Staff development:

—	—	—	—
---	---	---	---

Conflict management:

—	—	—	—
---	---	---	---

Managing change:

—	—	—	—
---	---	---	---

Financial management:

—	—	—	—
---	---	---	---

Facility management:

—	—	—	—
---	---	---	---

Capacity building

- How do you determine the needs of your staff?

(Questionnaire)	<input type="checkbox"/>
(Observation)	<input type="checkbox"/>
(Hear say)	<input type="checkbox"/>
(information from school management).	<input type="checkbox"/>

- Staff development is done through:

(workshops)	<input type="checkbox"/>
(in service training)	<input type="checkbox"/>
(seminars)	<input type="checkbox"/>
(lectures)	<input type="checkbox"/>
(formal programs)	<input type="checkbox"/>
(mentors)	<input type="checkbox"/>

- How do you communicate these programs to your staff:

(in writing/ circular)	<input type="checkbox"/>
(e-mail)	<input type="checkbox"/>
(staff meetings).	<input type="checkbox"/>

- What problems do you experience with capacity building programs:

(commitment)	<input type="checkbox"/>
(time)	<input type="checkbox"/>
(resistance from staff)	<input type="checkbox"/>
(others): _____	

- Which of the following aspects do you feel needs to be addressed, to build capacity with your staff:

(planning)	<input type="checkbox"/>
(classroom management)	<input type="checkbox"/>
(time management)	<input type="checkbox"/>
(organizing)	<input type="checkbox"/>
(managing conflict)	<input type="checkbox"/>
(team building)	<input type="checkbox"/>
(others): _____	

• If yes- who do you consult?

(management team)

(all the staff)

(senior teachers)

(governing body)

(others)

Decision making:

4 3 2 1
Always Sometimes Rarely Never

Which of the following decisions do you use most:

- Programmed decisions (routine decisions)
- Creative decisions (information not always available)
- Participation decision making

—	—	—	—
—	—	—	—
—	—	—	—

On what base do you usually make a decision?

- Afraid of punishment
- Personal compensation
- To keep others happy
- Because that is what you are suppose to do
- That is the rule and regulation
- The principal always make the decisions
- Is decision making always subjective?

—	—	—	—
—	—	—	—
—	—	—	—
—	—	—	—
—	—	—	—
—	—	—	—

Factors that influence decisions:

- Values and beliefs
- The fact that the school is unique
- School environment

—	—	—	—
—	—	—	—
—	—	—	—

Organizing:

4 3 2 1
Always Sometimes Rarely Never

- Is a organizing structure necessary for all activities at your school?
- Do you think it is important to divide the work- by keeping in mind what the staff's capabilities, interest as well as training is?
- Do you as leader keep the above mentioned in mind?
- Do you make use of a line organizing structure?
- One person has the authority and one person give the assignments.

—	—	—	—
—	—	—	—
—	—	—	—
—	—	—	—
—	—	—	—

Delegating:

O'Donnelle (1964:56) said that delegating is the cement of any organization.

	4	3	2	1
	<u>Always Sometimes Rarely Never</u>			
• As school leader do you delegate tasks easily?	—	—	—	—
• Sometimes it is not easy to delegate because I feel that:				
* Only I can do the work good, fast and correctly.	—	—	—	—
* I feel the risk is too high to delegate work to others.	—	—	—	—
* If I delegate work people will think I can't do the work.	—	—	—	—
* If I delegate it feel that I am no longer in charge.	—	—	—	—
* I see delegating as an important aspect of staff development.	—	—	—	—

Direction:

	4	3	2	1
	<u>Always Sometimes Rarely Never</u>			
• There is a positive relationship between me and the staff.	—	—	—	—
• I am always self motivated.	—	—	—	—
• I try to reconcile the staff members personal aims with school's objectives.	—	—	—	—
• I give appraisal for work well done.	—	—	—	—
• I have good communicational skills.	—	—	—	—
• My staff's opinions, feelings are always kept in mind.	—	—	—	—
• As a manager I have empathy with my staff.	—	—	—	—
• Do you think that this is how your staff experience you? (above mentioned question)	—	—	—	—
• Do you have an open door policy?	—	—	—	—
• If any of your staff have a problem do you think they will discuss it with you?	—	—	—	—

• Who at the end of the day is accountable for events that go wrong at the school?

(Organizer)

(HOD)

(Vice-Principal)

(Principal)

(Governing body)

Annexure 2

4 Overpark
151 First Avenue
Wentworth

0184

11 September 2000

• How often do you hold staff meetings:

(once a year)

(twice a year)

(every term)

(every month)

(when ever you feel there's a need)

Thank you for your time, I appreciate your contribution towards my study.

In order to complete my thesis I need your permission to visit the principals of the following primary schools:

- Overpark
- Silverton
- Norwichepark
- Joubertia
- Hartbeespoort
- Healderspark
- Senekong
- Grafemein
- Elderspark

If any problems arise contact me on 0624672912

Regards

Richard van der Merwe
C.C. van der Merwe

Annexure 2

4 Overpark
151 Pitts Avenue
Weavindpark
0184

11 September 2000

Dear Audrey Mamabulo

Re: Application for permission to interview school principals at selected primary schools.

I am currently a student at the University of Pretoria and busy with my P.H.D. studies in School Management.

The title of my thesis: **Capacity building and School Management Development: A comparative study of principles and practices of selected Norwegian and South African schools.**

In order to complete my thesis I need your permission to interview the principals at the following primary schools:

- Skuilkrans
- Meyerspark
- Silverton
- Norridgepark
- Jakaranda
- Bajabulule
- Hennopspark
- Bakenkop
- Garsfontein
- Elarduspark

If any problems please contact me on 0824675912.

Regards


C.C. van Heerden

GAUTENG DEPARTMENT OF EDUCATION
NORTH REGION DISTRICT II
(Mamelodi/Eersterust/Pretoria Ocs-Moot)

Annexure 3

ENQUIRIES: Audrey Mamabolo
REFERENCE: Research
TELEPHONE: (012) 303-3494
FAX NO.: (012) 323-0976/78



Private Bag X925
PRETORIA
0001
GPA Building
C/o Pretorius & Bosman Street
PRETORIA
0002

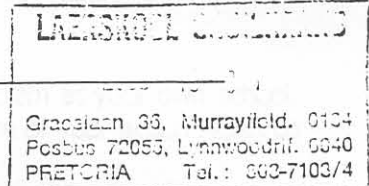
27 October 2000

DISTRICT MEMORANDUM NO 471 OF 2000

TO: ALL PRINCIPALS, SMT's
OF: PRIMARY, SECONDARY, PUBLIC, ORDINARY, INDEPENDENT AND SPECIALIZED SCHOOLS
ADULT CENTRES

For attention: School Research Co-ordinators and their team members
1. _____ 2. _____

RE: RESEARCH MATTERS



1. Your school should be engaging in research projects and related activities.
2. A School Research Team will take care of the above activities.
3. Activities done within the district on ACTION RESEARCH
Research on
 - 3.1 Quality Management and Transformation (by H. van der Linde C5 District 0826857767) (1999 October).
 - 3.2 Capacity Building and School Management Development: A Comparative study of principles and practices of selected Norwegian and SA schools (by Carolien van Heerden 0824675912) (Research for 2000)
 - 3.3 'n Ondersoek na die toepassing van enkele belangrikste beginsels in die studie gewoontes by graad 12 leerders (deur GH Partick vir MEd-graad. Navorsing: Eersterust Hoërskool) (2000)
 - 3.4 Parent-teacher-student Communication at Traditionally Disadvantaged schools: Bridging the Educational gap. (by Viola Milton) (Lecturer at the Pretoria University) Tel. 420 8111 Fax 420 2698. (Research for year 2000)
 - 3.5 School Development Planning (by Rebecca Nkhensani Mnisi, Masters level (for Y2000) Cell: 0828181970, Tel. 302 2005 (Research for year 2000) (HSRC).
 - 3.6 Outsourcing school-based career psychology to industrial consultants (by Dimitra Bailanis (Ms) for the Med in Educational Psychology at University of Pretoria. Her fax (011) 302 0749 for attention Natasha. (Research is for year 2000)

3.7 OTHER RESEARCH Projects to be done include
Teacher's opinions of classroom assessment and its influence on the culture of learning and teaching. (by Lesson N. Vilakazi, for PhD.) Cell: 0829547860, Tel (017) 819 1808/3302.

4. OUTSOURCED RESEARCH PROJECTS (by providers)

The following research projects are nearing completion and were presented at the Duneden Hotel (Kempton Park) on 20 September 2000.

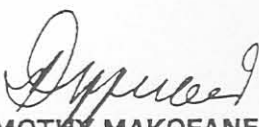
- 4.1 The teacher morale (by A. Moshikaro of Mosh Dynamics Association).
- 4.2 Crime and Violence at (our) Schools (by Dr Magau of the HSRC).
- 4.3 Language Policy Practices in education (by Sarah Slabbert for the Paul Musker Associates for Research) (Topic Language in Education Policy).
- 4.4 The Promotion of Equity in Recruitment and Appointment of staff in GDE by Prodigy represented by Ms Letape (HSRC).

The fifth presenters were absent. They were to present Policy Issues with regard to Admissions in accordance to SA Schools Act and School Governance Act.

NB You are kindly reminded to observe, plan and write out a research problem at your own school. Please refer to District Memorandum 168 of 2000. It provides a structure of your action research input (School Research Team to submit).

NB Please find enclosed the following documents/handouts at the Writing Skills Workshop on 21, 22, 23 September 2000. SHARE THE INFORMATION, PLEASE.

Thank you


TIMOTHY MAKOFANE
DISTRICT DIRECTOR

BALANCED SCORECARD

Re-empowering Educators to do research at schools.