

LIST OF APPENDICES

- A Letter to provincial Head of Department
- B Letter to principal of School A
- C Letter to principal of School B
- D Summary of critical research questions and methods
- E Summary of value of research methods
- F Questionnaire 1
- G Free writing schedule
- H Interview schedule 1
- I Analysis of the new official assessment policy
- J Questionnaire 2
- K Interview schedule 2
- L Classroom observation protocol
- M Analysis of teacher and student documents and records
- N Contact summary form
- O Document summary form
- P Contextual Information on the School

Appendix A

Ms S D Bhikha
P O Box 2345
Brooklyn Square
Pretoria
0075

Fax: (012) 323 4751
E-mail: Bhikha.s@doe.gov.za

15 July 2002

Mr Petje
Superintendent-General: Education
Gauteng Province
P O Box 7710
Johannesburg
2000

By fax: (011) 333 5546/8

Dear Mr Petje

Permission to conduct research in schools for PhD studies

I am studying towards a PhD. in Policy Studies at the University of Pretoria. The focus of my study is implementing policy in a reforming, developing country context such as ours. As part of the research I need to collect data from schools. The data collection in two schools will involve questionnaires for Grade 8 science teachers, interviews with these teachers, observing their classrooms and document analysis. The results of the research will inform both policy and practice.

I have discussed this with some school principals who have given in-principle support. I therefore seek your permission to collect data from two schools as part of my doctoral studies. I promise to abide by the principles of anonymity and confidentiality.

The Department of Education employs me as a Chief Education Specialist in the office of Mr Duncan Hindle, the Deputy Director-General for General Education and Training.

Thank you,

Yours sincerely

S D Bhikha

Appendix B

Ms S D Bhikha
P O Box 2345
Brooklyn Square
Pretoria
0075

Fax: (012) 323 4751
E-mail: Bhikha.s@doe.gov.za

18 July 2002

Mr Smit¹
Principal: Delamani High School²
Gauteng Province

Dear Mr Smith

Permission to conduct research in schools for PhD studies

I am studying towards a PhD. in Policy Studies at the University of Pretoria. The focus of my study is implementing policy in a reforming, developing country context such as ours. The specific policy that is the focus of my study is the new assessment policy. As part of the research I need to collect data from schools. The data collection in your school will involve a Grade 8 science teacher answering structured questionnaires, my observing the said teacher's classroom and interviewing the said teacher. I will also need to look at records/documents of the teacher and learners with regard to assessment. The results of the research will inform both policy and practice.

I therefore seek your permission to collect data from your school as part of my doctoral studies. I promise to abide by the principles of anonymity and confidentiality.

Thank you,

Yours sincerely

S D Bhikha

¹ Pseudonym for sake of anonymity and confidentiality

² Pseudonym for sake of anonymity and confidentiality

Appendix C

Ms S D Bhikha
P O Box 2345
Brooklyn Square
Pretoria
0075

Fax: (012) 323 4751
E-mail: Bhikha.s@doe.gov.za

18 July 2002

Ms Zuma¹
Principal: Higgins High School²
Gauteng Province

Dear Ms Zuma

Permission to conduct research in schools for PhD studies

I am studying towards a PhD. in Policy Studies at the University of Pretoria. The focus of my study is implementing policy in a reforming, developing country context such as ours. The specific policy that is the focus of my study is the new assessment policy. As part of the research I need to collect data from schools. The data collection in your school will involve a Grade 8 science teacher answering structured questionnaires, my observing the said teacher's classroom and interviewing the said teacher. I will also need to look at records/documents of the teacher and learners with regard to assessment. The results of the research will inform both policy and practice.

I therefore seek your permission to collect data from your school as part of my doctoral studies. I promise to abide by the principles of anonymity and confidentiality.

Thank you,

Yours sincerely

S D Bhikha

¹ Pseudonym for sake of anonymity and confidentiality

² Pseudonym for sake of anonymity and confidentiality

Appendix D

Summary of Critical Research Questions and Methods

CRITICAL RESEARCH QUESTIONS	METHODS
<p>Critical question 1: What are teacher understandings and beliefs with regard to the assessment policy?</p>	<ul style="list-style-type: none"> • Questionnaire containing both open and closed ended questions to elicit teachers understanding of the assessment policy (Appendix E) • Free writing schedule for teachers (Appendix F) • Interview 1 with classroom teachers before classroom observations (Appendix G)
<p>Sub question: How do teacher understandings of the assessment policy compare with the contents of the assessment policy?</p>	<ul style="list-style-type: none"> • Questionnaire, as above • Free writing schedule, as above • Interview 1, as above • Analysis of the assessment policy (Appendix H)
<p>Critical question 2: In the context of official policy, how do teachers practice assessment in their classrooms?</p>	<ul style="list-style-type: none"> • Questionnaire containing both open and closed ended questions to elicit teachers responses of their assessment practice (Appendix I) • Interview 2 before classroom observations (Appendix J) • Classroom observation protocol (Appendix K) • Analysis of documents and records (Appendix L)
<p>Critical question 3: How can the continuities and discontinuities between official policy on assessment and teachers' assessment practice be explained?</p>	<ul style="list-style-type: none"> • Interview with teachers after observations (unstructured, depended on responses to interviews and classroom observations) • Theoretical analysis

Appendix E

Summary of value of research methods

CRITICAL RESEARCH QUESTIONS	METHOD	VALUE
Critical question 1: What are teacher understandings and beliefs with regard to assessment policy?	Questionnaire	This questionnaire will enable me to elicit the teacher's understandings of the new assessment policy. This questionnaire contains both open and closed-ended questions and this is valuable in that the respondents are given the opportunity to select from listed alternatives as well as provision has been made for respondents to express their views freely.
	Free Writing schedule	This will enable me to gain face or unstructured responses of teachers on the meanings they assign to the new assessment policy.
	Interview schedule	This will provide me with in-depth information into teachers' understanding of the new assessment policy. It will complement the data obtained from the questionnaire and free writing schedule hence enabling me to triangulate data.
	Document Analysis schedule	This will allow me to establish the match or mismatch between teacher understandings of the policy and the policy requirements and questions
Critical question 2: In the context of official policy, how do teachers practice assessment in their classrooms?	Questionnaire	This questionnaire will enable me to elicit the teacher's responses to how they implement the new assessment policy. They contain both open and closed-ended questions and this is valuable in that the respondents are given the opportunity to select from listed alternatives as well as provision has been made for respondents to express their views freely. This information will provide the basis for developing follow-up interviews.
	Interview schedule (pre classroom observations)	I will be able to understand more about how teachers practice assessment in their classroom. I will be able to find out their experiences, the difficulties they encountered, as well as the rewards. This data together with data from the other data sources, namely questionnaire, classroom observation protocol and analysis of documents and reports, will enable me to construct a picture of teachers' assessment practice in their classrooms.
	Classroom Observation Protocols	The classroom observations will enable me to obtain behavioural data on how teachers practice assessment in their classrooms. It will also contribute to my understanding of how policy is being played out in practice. The observation data will allow me to link and triangulate data from the teacher questionnaire, interviews, and analysis of documents and records.
	Analysis of documents and records	From the documents and records of both teachers and learners I will be able to obtain more evidence on how teachers actually practice assessment in their classrooms. It will allow me to compare the data received from the other data sources named above.
	Interview schedule (post classroom observations)	I will be able to elicit from teachers why they practised assessment in the ways observed.
Critical question 3: How can the continuities and the discontinuities between official policy on assessment and teachers' assessment practice be explained?	Theoretical analysis	This analysis will enable me to make links between teacher understandings of the policy and their assessment practice. I will locate this analysis within the context of the propositions I make with regard to deep change as well as the indicators of change stipulated in the new assessment policy.

Appendix F

Questionnaire 1

PREFACE: The purpose of this questionnaire is to collect information about teachers' understanding of the Assessment Policy. The information you supply will be treated with absolute confidentiality and will be used for research purposes only.

PART A

TEACHER/EDUCATOR INFORMATION

PLEASE FILL IN OR CROSS (X) THE APPROPRIATE OPTION

1. Designation of educator

Teacher level 1	Head of Department	Deputy principal	Principal	Other (specify)

2. Main teaching subject area

Maths/ Science	Technical/ Skills	Languages	Commerce	Humanities	Other (specify)

3. Age

Under 25	25-29	30-34	35-40	40-49	50-59

4. Teaching experience in years

0-5	6-10	11-15	16-20	More than 20

5 Gender

Male	Female

6 Formal qualifications (completed)

2 year diploma only	3 year diploma only	Degree only	Degree and diploma	More than one degree	Other (specify)

7. Type of school

Primary	Secondary	Combined

8. Description of the school

Urban	Rural	Not sure

PART B

The “Assessment Policy in the General Education and Training Band, Grades R to 9 and ABET” came into effect in 1999 in grades 1 and 2, and progressively across all school grades in the General Education and Training (GET) Band.

The questions below inquire about the information available to you about the Assessment Policy.

PLEASE FILL IN OR CROSS (X) THE APPROPRIATE OPTION.

1. Are you aware of the policy document on assessment?

Yes	No

2. Was the document made available to all educators in your school?

Yes	No

3. If yes, please state how?

Workshop	Circular	Conference	Other (specify)

4. Do you have a personal copy of this policy document on assessment?

Yes	No

5. How did you first become aware of the policy on assessment?

I read the policy document	
I was told by the Head of Department	
I was told by the principal	
I was invited to a workshop	
It was discussed at a staff meeting	
Other (specify)	

PART C

PART C RELATES TO THE ASSESSMENT POLICY

	Yes	No	Not sure
1. It is easy to understand			
2. It provides clear guidelines for implementation			
3. It allows for flexible implementation			

PART D

What are your views about each of the following statements with regard to the assessment policy?

PLACE A CROSS (X) IN THE APPROPRIATE BLOCK.

	Strongly agree	agree	not sure	disagree	Strongly disagree
1. The policy must be viewed in relation to our larger agenda of reconstruction and development					
2. The policy provides the pedagogical basis for our new education and training system					
3. The policy serves as a vital instrument to shape my educational practice					
4. One of the principal aims of the policy is to enhance the provision of education for every learner					
5. The purpose of assessment should always be made clear to learners					
6. The criterion-referenced approach should be used					
7. Assessment should be an integral, ongoing part of the learning process					
8. The specific outcomes, which are grounded in the critical outcomes, will serve as the basis for assessment					
9. The various specific outcomes and their assessment criteria must be available to learners.					

	Strongly agree	agree	not sure	disagree	Strongly disagree
10. Learners who do not meet the criteria must receive clear explanations with an indication of areas that need further attention					
11. Focusing on formal tests as the sole method of assessment should be avoided					
12. Assessment should be used only to rank, grade, select and certificate learners					
13. Teachers have no problems implementing the new assessment policy					
14. The new assessment policy creates anxiety and stress amongst educators, including myself					
15. Creates opportunity for feedback to learners to improve learning					
16. Creates opportunity for parents' active involvement in their children's education					
17. Creates opportunity for teachers to improve teaching and learning					
18. Creates opportunity for feedback to the school, and other stakeholders about the schools performance					
19. Provides a clear indication about how well every outcome in the learning programmes are being taught and learned					
20. Informs and improves the assessment practices of educators					
21. Has been introduced because of poor matric results.					
22. Makes recording of assessment data cumbersome					
23. Enables assessment results to be communicated clearly, accurately, timeously and meaningfully					
24. Makes it possible for results to be reported both informally and formally					
25. Enables the reporting process to be used as a focal point of dialogue between the home and the school					
26. It allows for the assessment of knowledge, skills, values and attitudes					

PART E

**How often do you use the following methods, tools and techniques of assessment?
Please give reasons for your response.**

	Often	Seldom	Never	Reasons
1. Informal monitoring by observation				
2. Formal use of standardised tests				
3. Oral questions and answers				
4. Conferencing				
5. Interviewing				
6. Self-assessment				
7. Self-reporting				
8. Peer assessment				
9. Portfolios				
10. Observation sheets				
11. Journals				
12. Tests				
13. Project work				
14. Assignments				

PART F

IT IS CLAIMED THAT THE ASSESSMENT POLICY IS DEVELOPMENTAL RATHER THAN JUDGEMENTAL. PLACE A CROSS (X) ON THE RESPONSE YOU CONSIDER MOST APPROPRIATE.

	Strongly agree	Agree	Uncertain	Disagree	Strongly disagree
1. It will enable teachers to use assessment information to assist learners' development and improve the process of teaching and learning					
2. It makes it possible to credit learners' achievement at every level, whatever pathway they may have followed, and at whatever rate they may have acquired the necessary competence					
3. It requires the use of tools that appropriately assess learner achievement and encourages lifelong learning skills					
4. It allows the internal assessment process to be moderated externally in accordance with specific provincial guidelines					
5. It encourages me to prepare learners for the General Education and Training Certificate					

PART G

WHAT DO YOU THINK ARE THE MAIN REASONS WHY THE NEW ASSESSMENT POLICY HAS BEEN INTRODUCED IN OUR SCHOOLS?

Please write clearly.

PART H

WHAT OLD UNDERSTANDINGS AND BELIEFS DID YOU HAVE TO CHANGE WITH REGARD TO ASSESSMENT

PART I

WHAT NEW UNDERSTANDINGS AND BELIEFS DID YOU ACQUIRE WITH REGARD TO THE NEW ASSESSMENT POLICY?

PART J

WHAT ARE THE MAIN CHALLENGES BEING EXPERIENCED IN ATTEMPTING TO UNDERSTAND THE NEW ASSESSMENT POLICY IN SCHOOLS.

Please write clearly.

PART K

WHAT ARE YOUR RECOMMENDATIONS WITH REGARDS TO A BETTER UNDERSTANDING OF THE POLICY

Appendix G

Free Writing Schedule for Teachers

1. When did you first start teaching?
2. How long have you taught this subject and grade?
3. What is your understanding of the new assessment policy?
4. In your view, why was there a need for a new assessment policy?
5. What do you believe are the main goals of the assessment policy?
6. Do you believe that the assessment policy makes new demands on your role as an educator? If yes, what are they and how do you feel about it?
7. How do you expect learners to benefit from this policy?
8. How do you expect to benefit from the policy?
9. What outcomes will persuade you that the policy is a success?
10. What do you understand to be the broad purpose/s of assessment?
11. Do you think that whenever you assess learners, the purpose of the assessment should be given to learners? Why?
12. With regard to the concept of 'criterion-referenced' approach to assessment?
 - What is your understanding?
 - What is its purpose?
 - How would you describe your interests and abilities towards it?
 - What are its drawbacks?
13. How often do you think learners should be assessed? Why?
14. What do you understand by the concepts:
 - Continuous assessment?
 - Formative assessment?
 - Summative assessment?
 - Diagnostic assessment?
 - Evaluative assessment?
15. Do you believe that internal continuous assessment should be externally moderated? Why?
16. What do you understand by 'different methods of assessment' as indicated in the policy?

17. The assessment policy states that assessment must be:

- authentic
- multidimensional
- objective
- multi-dimensional
- fair
- varied
- valid
- balanced
- time efficient
- bias-free
- sensitive to gender, race, cultural background and ability.

How would you interpret each concept, in other words, what does each concept mean to you?

18. Do you think that learners should be involved in the assessment process? Why and how?

19. Should parents be involved in the assessment process? Why and how?

20. It is stated that the assessment process should involve partnerships. What are your views on this? Who do you think would be the relevant partners in the assessment process?

21. Comment on your understanding with regard to recording of assessment information, that is, where recorded, what is reflected, how often recorded, any other relevant details?

22. What do you think about the reporting of assessment results. Comment in terms of frequency, what is communicated, how communicated, and whether learners and parents are encouraged to comment?

23. Did you receive any training with regard to the new assessment policy? If yes, when, for how long, by whom, where and comment on the nature and value of the training?

24. What effect did this new assessment policy have on you?

25. How do you think this new assessment policy has affected learners and their parents?

26. Is there anything else about the assessment policy that you would like to write about? Please write it.

Appendix H

Interview Schedule 1 (Pre-classroom observations)

1. What is your understanding of the new assessment policy?
2. Why do you think there was a need for a new assessment policy?
3. What in your opinion are the main goals of this policy?
4. How does the policy position you, in other words, what do you see as your role?
5. It is stated that this policy provides the pedagogic basis for our new education and training system. What does this mean to you?
6. In the new assessment policy, assessment defined as “ the process of identifying, gathering and interpreting information about a learner’s achievement, as measured against nationally agreed outcomes for a particular phase of learning”. What are your views about this definition?
7. How does this policy serve as a vital instrument in shaping your educational practice?
8. How do you collect evidence of learner achievement?
9. What is your understanding of the ‘criterion-referenced’ approach to assessment?
10. What is your understanding of ‘continuous assessment’?
11. What is your understanding of the following with regard to assessment:
Assessment must be:
 - Authentic:
 - Multidimensional:
 - Objective:
 - fair:
 - varied:
 - valid
 - balanced
 - time efficient
 - bias-free
 - sensitive to:
 - gender
 - race
 - cultural background
 - ability

12. How do you see the relationship between the new assessment policy and the new National Curriculum Framework?
13. What old beliefs and understandings did you have to change as a result of the new policy?
14. What new beliefs and understandings did you acquire as a result of the new assessment policy?
15. What do you see as the major possibilities or opportunities for the successful implementation of this assessment policy?
16. What do you see as the major constraints or limitations for the successful implementation of this assessment policy?
17. What are your suggestions for the effective understanding of this policy?
18. What are your suggestions for the effective implementation of this policy?

Appendix I

Analysis of the Assessment Policy (Department of Education, 1998)

Foreword by Prof Bengu (p7):

- **Purposes** of new assessment policy:
 - Together with new national curriculum will provide the pedagogic basis for our new education and training system
 - Guide provincial departments of education to design their own assessment policies
 - Provide a vital instrument for shaping educational practices in learning sites of our country
- Carries wide support and legitimacy because of consultation
- Expected Levels of Performance (ELPs)
 - Determine progression between grades and phases
 - Provide vital yardstick to identify learning difficulties
 - Enable remedial actions to be taken
 - ELPs and the new reporting requirements ensure parents and learners will have accurate information on which to base their own assessment of learning progress
- **New reporting requirements** introduced in this policy, parents and learners will have accurate information on which to base their own assessment of learning progress.
- The new policy is **already being practiced** in many learning sites.
- Teachers and professionals (sic – teachers not professionals?) **are undergoing professional development**
- Over the next many years **we will promote this policy and provide the professional development**
- Transformation of established assessment practice involves a **lengthy process of learning and professional development**

P 8: WHY NEW ASSESSMENT POLICY?

- This policy has been developed in **response to a need to phase in assessment practices that are compatible with the newly introduced outcomes-based education**, and
- The **shortcomings of the current assessment policy**, *A Resumé of Instructional Programmes in Public Schools, Report 550 (97/06)*, namely,
 - Prescribes a complex set of rules and regulations for subject groupings and combinations, which formed the basis for matric certification and qualifications for entrance into higher education
 - Lack of transparency
 - Lack of accountability
 - Inadequate assessment practices
 - Inappropriate use of tests and examinations – contributed to high repetition and drop-out rates
 - Absence of meaningful feedback to learners
 - Absence of support for learners who may require learning difficulties

And **the requirements of the new curriculum for Grades R-9 and Adult Basic education and Training have made it necessary to develop a new assessment policy.**

- Both the shortcomings of the current assessment policy and the requirements of the new curriculum have made it necessary to develop a new assessment policy

DEFINITION OF ASSESSMENT:

Process of identifying, gathering and interpreting information about a learner's achievement as measured against **NATIONALLY AGREED OUTCOMES** for a particular phase of learning.

4 STEPS INVOLVED.WHAT TEACHERS EXPECTED TO DO:

1. Generate evidence of achievement
2. Collect evidence of achievement
3. Evaluate evidence against outcomes
4. Record findings
5. Use findings to assist learners develop and improve teaching and learning

ASSESSMENT IN OBE (Philosophy?): (p9)

- Learner centred
- Result-oriented
- All learners can and need to achieve their full potential bur in different ways and different times

IMPLIES/TEACHERS SHOULD: (p9)

- Define what learners are to learn
- Base learners progress on demonstrated achievement
- Use multiple assessment tools to accommodate each learners needs
- Provide each learner time and assistance to realise her/his potential

ASSESSMET IN OBE FOCUSES ON THE ACHIEVEMENT OF CLEARLY DEFINED OUTCOMES – that makes it possible to credit learner achievement at:

- Every level
- Whatever pathway
- Whatever rate

TEACHERS expected to:

- Use **TOOLS** that:
 - Appropriately assess learner achievement
 - Encourage lifelong learning
- Use **COUNTINOUS ASSESSMENT MODEL**
WHY? because:
 - ❖ It is the best model to assess outcomes of learning throughout the system
 - ❖ Enable improvements to be made in the learning and teaching process

HOW to be used:

- ❖ Support learners develop
- ❖ Feed back into teaching and learning
- ❖ Not to be used as a series of traditional test results

WHO (p11): Internal CA administered and marked by educators

MODERATED: Internal assessment process should be moderated externally, for example, professional support services within the guidelines set by the provincial department of education

AIMS of policy:

- Enhance the provision of education which is continuous, coherent and progressive, for each learner
- Key element in the quality assurance system
- Introduces a shift from a system that is dominated by public examinations which are high stakes, and whose main function has been to rank, grade, select and certificate learners, TO A NEW SYSTEM THAT INFORMS AND IMPROVES THE CURRICULUM AND ASSESSMENT PRACTICES OF EDUCATORS, ... (p9-10)

TEACHERS expected to: (p10)

- Use diverse modes of assessment
- Improve their expertise in:
 - Designing appropriate assessment instruments
 - Developing appropriate assessment instruments
 - Using appropriate assessment instruments

MODERATION:

- WHY? To ensure that appropriate standards are being maintained in the assessment system
- HOW On a sample basis at different levels of the system
Moderation mechanisms at school, provincial & national levels
- WHO ETQA responsible

PRINCIPLES/TEACHERS EXPECTED TO:

- Make the purpose of assessment clear - transparent
- Use criterion-referenced approach
- Use assessment that is:
 - Authentic
 - Continuous
 - Multidimensional
 - Varied
 - Balanced
- Make assessment an on-going integral part of the learning process
- Ensure assessment is:
 - Accurate
 - Objective
 - Valid

- Fair
- Manageable
- Time efficient
- Match the FORM, CONTEXT and METHOD of assessment to:
 - What is being assessed
 - Needs of learners
- Match the METHOD and TECHNIQUE of assessment to:
 - Knowledge, skills, attitudes to be assessed
 - Age of learners
 - Developmental level of learner
- Ensure assessment is:
 - Bias free
 - Sensitive to:
 - gender
 - race
 - cultural background
 - ability
- Communicate assessment results:
 - Clearly
 - Accurately
 - Timeously
 - Meaningfully
- Link progression to the achievement of specific outcomes
- Ensure progression is not rigidly time-bound
- Use evidence of progress in achieving outcomes to identify areas where learners need support and remedial intervention

PURPOSE OF ASSESSMENT (p10-11)

1. Determine whether learning required for the achievement of the specific outcomes is taking place
2. Determine whether any difficulties are being encountered
3. Report to parents, other role players and stakeholders on the levels of achievement during learning process
4. Build a profile of the learner's achievement across the curriculum
5. Provide information for the evaluation and review of the learning programmes used in the classroom
6. Maximise learners' access to the knowledge, skills, attitudes and values defined in the national curriculum policy

TYPES OF ASSESSMENT:

1. Formative: so that positive achievements of the learner may be recognised and discussed and the appropriate next steps may be planned
2. Summative: for recording of overall achievement of a learner in a systemic way
3. Diagnostic: through which learning difficulties may be scrutinised and classified so that appropriate remedial help and guidance may be provided
4. Evaluative: to compare and aggregate information about learner achievements to assist in curriculum development and evaluation of teaching and learning

WHAT IS ASSESSED (p11):

- The specific outcomes grounded in the critical outcomes will serve as basis for assessment
- Focus of assessment shall be on the progress learners make towards the achievement of the outcomes
- The specific outcomes and their assessment criteria must be made available to learners to inform them what is to be assessed. **This transparency of the outcomes makes explicit which was formerly only implied or assumed.**
- Learners who do not meet the criteria must receive clear explanations with clear explanations with indications of areas that need further work and must be assisted to reach the required criteria.

WHO ASSESSES (p12)

- Educators have overall responsibility to assess achievement of specific outcomes
- Partnership between – educators
 - learners
 - parents and
 - education support services

METHODS, TOOLS AND TECHNIQUES OF ASSESSMENT (p12)
(to measure performance against or achievement of specific outcomes)

- Use variety of METHODS:
 - Informal monitoring by observation
 - Formal use of appropriate and approved:
 - ❖ Standardised tests
 - ❖ Oral questions and answers
 - ❖ Conferencing
 - ❖ Interviewing
 - ❖ Self-assessment
 - ❖ Self-reporting
 - ❖ Peer-assessment
- Use a variety of TECHNOQUES (ALL EDUCATORS should have a sound knowledge of what each technique offers, and use it in a balanced, fair and transparent way)
 - ❖ Portfolio assessment
 - ❖ Observation sheets
 - ❖ Journals
 - ❖ Tests
 - ❖ Project
 - ❖ assignments

RECORDING (P12)

- Cumulative records:
 - Cumulative evidence of learner achievement must be recorded which should accompany learners throughout their learning paths
 - These record should include information on the holistic development of the learner such as:
 - values
 - attitudes
 - social development
- Portfolios:
 - Should be built over a period of time and retained as visible proof of the development and improvement of learner achievement
 - Include samples of learners' work that show they are able to integrate knowledge, concepts, and skills, and not been assessed only on memorisation of information

REPORTING (p12-13)

- Effective communication about learner achievement is a prerequisite for the provision of quality education
- A report must convey through the educator's comment:
 - A clear impression of personal knowledge of the learner
 - Summarise achievement and progress
 - Useful feedback to evaluate and improve teaching and learning
- Comments from parents and where practicable, from learners should be encouraged
- Reports should be signed by the head of the institution or other appropriate person with an overview comment when this is necessary
- The reporting process shall:
 - ❖ Serve as opportunity to provide regular feedback to learners as part of everyday teaching and learning process
 - ❖ Provide an accurate description of progress and achievement
 - ❖ Allow for comment on the personal, and social development and the attendance of the learner
 - ❖ Give an indication of the strengths and developmental needs and identify follow-up steps for learning and teaching
 - ❖ Encourage learning through a constructive approach
 - ❖ Become a focal pint for dialogue between home, learning site
 - ❖ Enhance accountability
 - ❖ Must be sensitive to the needs and responsibilities of parents
- Reporting must be seen as an integral part of teaching and learning
- Formal reporting on learner assessment will be done at regular intervals as determined by provincial policy, or at the request of a learner, parent or prospective employer
- Reporting may include:
 - ❖ Formal meetings
 - ❖ Written reports
- Less formal reporting include dialogue either individually or in groups

ASSESSMENT IN GRADE R – 9 (p13-14)

- The curriculum for each of 3 phases is organised within learning programmes
- In Senior Phase 8 learning programmes, one of which is Natural Science
- These learning programmes will serve as a basis for assessment in each phase
- Assessment must provide a clear indication about how well each and every outcome is being taught and learned
- Learners must show evidence of progressing towards achieving all the outcomes, to ensure that the essential skills, knowledge, understanding, attitudes and values are demonstrated
- Learners will progress with their age cohort
- Where it is felt that a learner needs more or less time to demonstrate achievement, decisions shall be made based on the advice of the relevant role players, e.g.:
 - educators
 - learners
 - parents
 - education support services
- If a learner needs more time to achieve particular outcomes s/he may not be retained in a grade for a whole year
- No learner should be stay in the same phase for longer than 4 years, unless the provincial Head of Department has given approval based on specific circumstances and professional advice.

Appendix J

Questionnaire 2

PREFACE: The purpose of this questionnaire is to collect information about how teachers practice assessment in their classrooms.

PART A

PLEASE READ EACH OF THE STATEMENTS BELOW WITH REGARD TO YOUR CURRENT ASSESSMENT PRACTICE AND PLACE A CROSS ON THE NUMBER OF THE RESPONSE YOU CONSIDER MOST APPROPRIATE.

How does your current assessment practice match each of the following statements?

	Mirrors the statement	Room for improve ment	Does not mirror the statement/ requires re-thinking
1. Assessment involves generating and collecting evidence of achievement, evaluating this evidence against the outcomes, recording the findings of the evaluation and using the information to assist learners' development and improve the process of teaching and learning			
2. Assessment informs and improves the curriculum and assessment practices			
3. Assessment offers all learners an opportunity to show what they know, understand and can do			
4. Assessment helps learners understand what they can do and where they need to develop further			
5. Assessment practices are sensitive to gender			
6. Assessment practices are sensitive to abilities of learners.			
7. The key learning outcomes have been identified so that assessments made against these can be used to help develop learning			
8. Assessment is continuous			
9. Achievement data linked to curriculum outcomes			
10. Assessment decisions are based on pragmatic, trial-and-error grounds			
11. Assessment decisions are based on thinking through the purpose and principles of assessment			

	Mirrors the statement	Room for improve ment	Does not mirror the statement/ requires re-thinking
12. Assessment scores are used to promote learners to the next grade			
13. Sharing of assessment intentions with learners is routine practice, which enables learners to understand their role in assessment process			
14. Facts, applications and higher order thinking skills are assessed			
15. The criterion-referenced approach to assessment is undertaken			
16. Assessments are not restricted to tests only			
17. Assessment is always undertaken for a specific purpose			
18. The current requirements and guidance for statutory assessment are understood and followed			
19. A holistic and best-fit approach is used			
20. A range of assessment information is used in making judgements against expected levels of performance			
21. Learners are involved in assessing their own work			
22. Learners are involved in assessing the work of their peers			
23. Learners are provided with opportunities to reflect and talk about their learning and achievement			
24. A wide range of assessment methods are used confidently and appropriately			
25. Assessment informs daily and weekly planning			
26. Assessment allow learning to be matched to the needs of the learners			
27. Strategies are in place which reveals when pupils have difficulties or are not making progress			
28. Assessment information is used to decide what to do next with individuals, groups or the class.			
29. Portfolios are consistently used to confirm assessment judgements.			
30. Portfolios are built over a period of time and retained as visible proof of the development and improvement of learner achievement			
31. Prompt and regular marking occurs			
32. The marking process includes both verbal and written feedback			
33. Marking focuses on the learning intentions as the criteria for success			

	Mirrors the statement	Room for improve ment	Does not mirror the statement/ requires re-thinking
34. Marking strategies help the learners understand what they have achieved and what they need to do next			
35. The outcomes of marking, along with other information, are used to adjust future teaching plans			
36. Assessment achievement data communicated to learners clearly, accurately, timeously and meaningfully			
37. Reporting of results is both informal, namely dialogues in class and formal, namely written reports			
38. Assessment of learners' learning is reported to parents/guardians in a way which identifies achievements and what the learner needs to improve.			
39. The outcomes of assessment of learning activities provide feedback and feed forward for learners			
40. Assessment of learning information is used to evaluate teaching and for monitoring progress			
41. There is a whole-school agreed set of achievement information, which is recorded			
42. Beyond whole school records, teachers decide what to record			
43. Teachers use a range of recording strategies for additional records			
44. Progress against key learning outcomes is observed, noted and recorded			
45. Progress against key learning outcomes feed forward into future planning			
46. Learners are involved in recording comments on their work			
47. Parents are involved in recording comments on their children's work			
48. Records are useful, clear and easy to interpret			
49. Records enable reports to be written easily			
50. Reports outline strengths in all aspects of school life			
51. Reports indicate areas that need to be developed			

	Mirrors the statement	Room for improve ment	Does not mirror the statement/ requires re-thinking
52. Timing of reports allow appropriate discussion and action to take place			
53. Statutory requirements for reporting are met			
54. Core assessment data on each learner is updated each year and passed to the receiving teacher or school to aid future planning			
55. Moderation mechanisms are in place at School level Provincial level National level			

PART B

WITH REGARD TO THE FOLLOWING STATEMENT, PLEASE PLACE A CROSS IN THE RELEVANT BLOCK YOU CONSIDER MOST APPROPRIATE AND EXPLAIN WHY (REASON) YOU INDICATED YES OR NO.

I use the following methods, approaches and techniques to assess learners:

	Yes	No	Reason
1. Informal monitoring by observation			
2. Oral questions and answers			
3. Tests that I set alone			
4. Tests set by subject teachers			
5. Standardised external tests			
6. Interviews			
7. Learner self assessment			
8. Peer assessment			
9. Self-reporting			
10. Conferencing			

	Yes	No	Reason
11. Examinations			
12. Portfolios			
13. Journals			
14. Project work			
15. Assignments			
16 Observation sheets			

PART C

IT IS STATED IN THE NEW ASSESSMENT POLICY THAT ASSESSMENT SHOULD BE **ACCURATE, FAIR, MULTIDIMENSIONAL, VARIED, BALANCED, VALID, MANAGEABLE, TIME-EFFICIENT, BIAS-FREE, AND SENSITIVE TO GENDER, CULTURAL BACKGROUND, EHTNICITY AND ABILITY.** PLEASE COMPLETE THE FOLLOWING TABLE BY EXPLAINING HOW YOU ENSURE EACH IN YOUR ASSESSMENT PRACTICE.

	EXPLANATION
Accurate	_____ _____
Fair	_____ _____
Multidimensional	_____ _____
Varied	_____ _____
Balanced	_____ _____
Valid	_____ _____

	EXPLANATION
Manageable	<hr/> <hr/>
Time-efficient	<hr/> <hr/> <hr/>
Bias-free	<hr/> <hr/>
Sensitive to: <ul style="list-style-type: none"> • Gender • Cultural background • Ethnicity • Ability 	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/> <hr/>

Any comments that you would like to add with regard to Part C?

PART D

PLEASE ANSWER THE FOLLOWING THREE QUESTIONS WITH REGARD TO IMPLEMENTING THE NEW ASSESSMENT POLICY?

1. Do you think that you have the necessary knowledge and skills to implement the new policy? Please give reasons.

2. Are resources in terms of time, human capacity and materials sufficient to implement the new policy? Please explain.

3. How compatible is the school organisation for the implementation of the new policy?

PART E

WHAT NEW APPROACHES OR CHANGES DID YOU MAKE IN IMPLEMENTING THE NEW ASSESSMENT POLICY?

Appendix K

Interview Schedule 2 (pre-classroom observation)

1. What do you want to accomplish when you assess learners?
2. How do you assess learners?
3. How do you:
 - Generate evidence of achievement?
 - Collect evidence of achievement?
 - Evaluate this evidence?
 - Record the findings of the evaluation?
 - Use the findings?
 - Make assessment an on-going integral part of the learning process?
4. What assessment methods, new to you do you use?
5. From what you have learnt with regard to the new assessment policy, what are ways in which you changed your assessment practice?
6. What assessment tools do you think are successful in getting real time, authentic feedback about learners' achievement?
7. Name the type of assessment strategies that you used and worked?
8. Name the type of assessment strategies that you used but did not work?
9. Name the different types of assessment strategies that you would like to try in the future?
10. How do you ensure continuous assessment of learners?
11. Do you think that the policy's emphasis on continuous assessment is changing learning? How?
12. How do you feel assessment should be used?
13. How do you use assessment?
14. What are the main assessment methods you are using and why?
15. How often do you assess learners?
16. The policy advocates assessment that is criterion-referenced. Have you employed the "criterion-referenced" approach to assessment? Why and how? Do you find it useful? Explain further.
17. What do you see as the major obstacles to the "criterion-referenced" approach of assessment?

18. In your view, what is the most effective way to assess learners?
19. Do you assess learners in this way? If no, why not?
20. Do you think that the new way of assessing is making a difference in the way learners are taught? Explain further
21. What do you think that learners have learned as a result of the assessment exercise? How do you know/What demonstrates that they have learnt? How well have they learnt/What is the level of competence?
22. How do you come to a cumulative/summative judgement about learners' achievement?
23. How do you use learners' achievement information to assist the learner's development?
24. How do you use learners' achievement information to improve teaching and learning?
25. How do parents respond to the new ways of assessment?
26. What did you find rewarding in implementing the new assessment policy?
27. What were your frustrations in implementing the new assessment policy?
28. In what circumstances do you feel that the implementation of this policy is most likely to succeed?
29. The Review Committee on Curriculum 2005 reported that teachers struggled with issues on assessment. Will you please elaborate on this finding?
30. Are moderation mechanisms in place at school, provincial and national levels? Explain.
31. Is there anything else you would like to tell me about on the implementation of the new assessment policy that I haven't asked you about?

Appendix L

Classroom Observation Protocol

Teacher:

School:

Date:

	Lesson 1		Lesson 2		Lesson 3		Lesson 4		Nature of use
	Yes	No	Yes	No	Yes	No	Yes	No	
Purpose of assessment made clear to learners									
Learners involved in the assessment									
Clearly defined outcomes assessed									
Who assesses? Teacher, self, peer,									
What is assessed? Facts									
Application of knowledge									
Higher order thinking skills									
Attitudes									
Values									
Criterion-referenced approach used									
Informal monitoring by observation									
Oral questions and answers									
Formal use of tests set by teacher									
Formal use of tests set by subject teachers									
Formal use of standardised external test									
Examination									
Interviewing									
Self assessment									
Peer assessment									
Self-reporting									
Conferencing									

	Lesson 1		Lesson 2		Lesson 3		Lesson 4		Nature of use
	Yes	No	Yes	No	Yes	No	Yes	No	
Portfolios									
Journals									
Project work									
Assignments									
Observation sheets									
Assessment data recorded orally									
Assessment data recorded in writing									
Achievement data communicated to pupils verbally and in writing									
Achievement data communicated to pupils clearly									
Achievement data communicated to pupils accurately									
Achievement data communicated to pupils timeously									
Achievement data communicated to pupils meaningfully									
Achievement data used to praise learners									
Achievement data used to identify strengths and weaknesses									
Achievement data used to support those learners requiring help									
Achievement data used to plan/ improve teaching									

COMMENTS:

Appendix M

Analysis of Teacher and Student Documents and Records

Criteria	Test Books of learners	Reports of learners	Other written records of learners e.g.	Portfolios	Mark book of teachers	Other assessment records kept by teachers	Comments
Facts/memorisation of information assessed							
Clearly defined outcomes							
Application questions							
Higher order thinking skills							
Criterion-referenced							
Norm-referenced							
Achievement data linked to curriculum outcomes							
Integration of knowledge, concepts and skills							
Marking is prompt and accurate							
Results recorded in writing							

Criteria	Test Books of learners	Reports of learners	Other written records of learners e.g.	Portfolios	Mark book of teachers	Other assessment records kept by teachers	Comments
Comments included by Teacher Learner Principal/HOD Parent							
Cumulative evidence recorded							
Records include information on the development of values, attitudes and social development							
Results communicated clearly							
Results communicated timeously							
Results communicated meaningfully							
Results used: To assist learners development, Improve learning, Improve teaching							

COMMENTS

Appendix N

Contact Summary Form

Contact type:

Visit: _____

Site: _____

Phone: _____ (with whom)

Contact date: _____

Written by: _____

Today's date: _____

1. With whom did you meet?
2. What were the main issues or themes that struck you in this contact?
3. Summarize the information that you got (or failed to get) on each of the target questions you had for this contact?
4. Anything else that struck you as salient, interesting, illuminating or important in this contact?
5. What new (or remaining) target questions do you have in considering the next contact with this site?

CONCERNS OF THE RESEARCHER AND EDUCATOR

Appendix O

Document Summary Form

Site: _____

Document number: _____

Date received or picked up: _____

NAME OR DESCRIPTION OF DOCUMENT:

EVENT OR CONTACT, IF ANY, WITH WHICH DOCUMENT IS ASSOCIATED:

Date:

SIGNIFICANCE OR IMPORTANCE OF DOCUMENT:

BRIEF SUMMARY OF CONTENTS:

Note: If document is central or crucial to a particular contact (e.g., a meeting agenda discussed in an interview, etc) make a copy and include with write-up. Otherwise put in document file.

Appendix P

Contextual Information on the School

The observation checklist will be used in order to collect contextual information on the school for the purpose of compiling the school profile and providing the reader with a thick rich description of the case study school.

To be completed by the researcher/teachers in the school

PLEASE FILL IN OR PLACE A TICK IN THE APPROPRIATE COLUMN

1. Type of building

1. Building designed as school	
2. Prefab	
3. Teacher training college	
4. Other (specify)	

2. School building

1. Number of blocks	
2. Number of storeys	

3. Condition of school and furniture

	Type of structure: Specify (e.g., brick wall, tile roof, etc)	No maintenance needed	Need maintenance	Need maintenance & structural repair	Beyond repair
1. Roof					
2. Windows					
3. Doors					
4. Walls					
5. Furniture					
6. Floors					
7. Toilets					
8. Ceilings	Fitted	Not fitted			
9. Other (specify)					

4. Number of toilets for teaching/administrative staff

1. Male staff	
2. Female staff	
3. Out of order	

5. Number of toilets for learners

1. Males	
2. Females	
3. Out of order	

6. Power and energy supply

1. Wired & supplied with electricity	
2. Wired but not supplied with electricity	
3. Not wired and/or & no electricity available	
4. Generators	
5. Other (specify)	

7. Overall condition of building

Very weak (not suitable for occupation)	Weak (structure needs attention)	Needs paint & minor repairs	Good condition	Excellent, no foreseeable repairs

8. Safety

1. Building is completely fenced with security at the entrance	
2. Building is completely fenced without security at the entrance	
3. Building has been fenced but fence is damaged	
4. No fence	
5. Other (specify)	

9. Office space

	Adequate	Inadequate	None	Estimated shortfall number
1. Offices for management				
2. Offices for admin staff				

