Professional development of primary school educators through the developmental appraisal system

by

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ALL THE SOURCES USED OR QUOTED HAVE BEEN FULLY ACKNOWLEDGED.

I ALSO DECLARE THAT IT HAS NEVER BEEN SUBMITTED TO ANY INSTITUTION OR UNIVERSITY.

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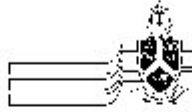
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ABSTRACT

This thesis deals with the developmental appraisal system which was introduced in 1998 to address the professional development of educators in the Republic of South Africa. Development Appraisal System (DAS) is one of the processes of transformation which was introduced after the democratic elections of 1994. This process was necessitated inter-alia by the following challenges, which seem to be faced by educators in the classroom:

- ❖ Redeployment of educators;
- ❖ Upgrading of educator's qualifications;
- ❖ Curriculum change. National Curriculum Statement (NCS);
- ❖ Outcomes Based Assessment (OBA); and
- ❖ Inclusivity–the policy that addresses learner's barriers in the classroom, used to be called Education for Learners with Special Education Needs (ELSEN).

The following three questions therefore provide the focus of the study:

- ❖ What is the nature and scope of DAS and how does it relate to the professional development of educators?;
- ❖ Which appraisal models can be used to understand and contextualise the DAS in the professional development of intermediate phase educators; and
- ❖ To what extent has DAS contributed to the professional development of the intermediate phase educators?

Data was collected through the use of a questionnaire and semi-structured interviews. The target group of this study is the primary school educators in the intermediate phase because they were exposed to all the curriculum changes, for example, NATED 550, Curriculum 2005 and finally, National Curriculum Statement. There were 4 participants in the study from each of the sampled schools. The participants from each school comprised of the principal, the HOD and two educators. The two educators, the Heads of Departments and some principals

of very small schools, completed the questionnaires, and semi-structured interviews were conducted with the principals who did not complete the questionnaires.

The study was conducted in both rural and urban schools, to determine how educators from different settings perceived educator appraisal.

The following are the most important findings applicable to the third research question, namely, the contribution of the developmental appraisal on the professional development of the primary school educators.

❖ The study revealed that appraisal was implemented in the Republic of South Africa but there are still some factors that may still limit the potential of appraisal and they are as follows:
  • Lack of capacity of the appraisers, appraisees and the workshop facilitators;
  • Lack of time; money and the necessary resources for the purposes of developing educators on the needs identified during the appraisal process.
  • Lack of support from the Area Project Office; school development teams and School Management Teams (SMTs) due to overloading caused by the Post Provisioning Model (PPM). As a result of this model, the school structures failed to address the needs which were identified during the appraisal process;
  • Inadequate training in appraisal; and
  • Lack of monitoring of the appraisal process.

The study clearly indicated that if appraisal can be effectively implemented by addressing the educators' identified needs, it may definitely benefit all in the education fraternity, and the implementation of the new curriculum and other departmental initiatives may not be riddled with problems.

The current study serves as an advice to managers at all levels that, if time and resources are not prioritised for educator development, this could make the educator negative about the whole appraisal process.

The study recommended the following:

❖ That appraisers and appraisees be re-trained in appraisal as well as self assessment;

❖ That the training needs identified during the appraisal process be met;

❖ That the appraisal process be monitored; and

❖ Newly appointed educators should be mentored.

Appraisal

Evaluation

Professional Development

Developmental Appraisal

Judgemental Appraisal

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LIST OF ACRONYMS

RSA	Republic of South Africa
SADTU	South African Democratic Educators Union
DAS	Developmental Appraisal System
ELRC	Education Labour Relations Council
NAPTOSA	National Professional Educators Organisation
DoE	Department of Education
WSE	Whole School Evaluation
IQMS	Integrated Quality Management Systems
DA	Developmental Appraisal
PM	Performance Measurement
PGP	Personal Growth Plan
GETC	General Education and Training Certificate
LoLT	Language of Learning and Teaching
RNCS	Revised National Curriculum Statement
OBE	Outcomes Based Education
ELSEN	Education for Learners with Special Education Needs
INSET	In-Service Education and Training
APO	Area Project Office
HOD'S	Head of Departments
ISC	Institutional Support Coordinator
STAPS	School Educators Appraisal Study
STA	School Educators Appraisal
LEA	Local Education Authority
GTCE	General Teaching Council for England
NBPTS	National Board for Professional Teaching Standard
ITASC	Interstate Educator Assessment and Support Consortium
PSPE	Professional Support Personnel Evaluation

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CHAPTER I

A JOURNEY IN SEARCH OF EDUCATOR DEVELOPMENT

1.1   INTRODUCTION

The disjuncture between employees' appraisal and development is a major issue in educational policy discourse especially in developed countries. Such a discrepancy, which appears to have contributed to poor quality education has occupied the attention of both policy makers and analysts world wide. In this regard, developed countries have preoccupied themselves with the business of developing educators through the Developmental Appraisal System (DAS), in order to enhance school effectiveness. However, the same thing cannot be said about the developing countries where little attention is paid to educator development.

In the light of the above painted scenario, DAS was used as a mechanism for the professional development of primary school educators in the Republic of South Africa.

In the Republic of South Africa (RSA), the Developmental Appraisal System (DAS)[1], has been viewed as a key to education transformation and educator development, in particular, by both educators and the National Ministry of Education, hence a collective agreement no.4 of 1998. Parties to the policy demonstrated both commitment and desire to realise the intentions of the policy by signing the agreement. However, nine years since the policy was implemented, there seems to be no evidence to suggest the success of the policy. In this regard, Sayed and Jansen (2001:189) have alluded to the fact that, although *a number of important policies have been introduced since 1994, the final outcomes of these various departmental initiatives cannot yet be predicted.*

Within the context of this research, a statement of the problem is provided to facilitate an understanding of the problem under investigation and the aims of research and research designs have been given, terms relevant to the study have also been defined.

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[1] DAS: Although DAS constitutes part of the Integrated Quality Management System programme (DoE, 2003 (a):34), in the context of this research it is looked at as an individual programme since its objective, that is, educator appraisal, still remains relevant. By implication, the implementation of DAS still continues Countrywide in the Republic of South Africa. See page 6.

1.2   STATEMENT OF THE PROBLEM

1.2.1   THE POLICY CONTEXT FOR THE DEVELOPMENTAL APPRAISAL SYSTEMS (DAS)

A revolution is taking place in education! Embedded in that revolution is evolution. The education society is finally realising that change in education is a given and education is one way to initiate and manage change (Bradley, Kallic & Regan, 1991:3).

Given that the transition from apartheid to democracy in South Africa is one that affects all spheres of the South African society, it follows that educational changes are motivated primarily by these processes of change. It must be noted that the democratisation of educational processes and practises in general, and the evaluation system in particular, are necessitated by the democratisation of South Africa itself, as enshrined in the constitution of the country.

The initial reading of literature has indicated that prior to the evolution of a democratic South Africa; the history of the Republic of South Africa (RSA) was beset by problems that have left their legacy in the current system of education (Danida, 1998:45). The disrespect for school inspectors as well as the defiance campaigns during this period, created a vacuum where neither schools nor individuals were monitored nor evaluated and developed. It became almost impossible for subject advisors and "inspectors" to go into township schools. The reason for being denied entry into the schools was that previously educators would just see managers walk into their classrooms without prior arrangement and this really disturbed most educators. Another reason advanced by Danida for this resistance was the fact that educators resented innovations which were engineered from outside without their participation as these were viewed as a threat and not as something that can benefit them (Danida, 1998; Chetty & Chisholm, 1993).

The evaluation and monitoring mechanisms were rejected because they were top-down in approach and they did not benefit educators in any way. Legotlo (1994:38) supports this idea when he points out that:

educational bureaucracy may be lethargic, with highly routinized tasks,
and any attempts to evaluate performance are unwelcome if not openly
resisted.

Educators prefer a system which adopts either the bottom up approach or a mixture of bottom-up and top-down approaches, where the appraisee actively participates in developing and implementing programmes. This rejection of monitoring and evaluation mechanisms ultimately affected the levels of responsibility and accountability that schools and individuals should display in the pursuit of effectiveness and efficiency (Danida, 1998; Oldroyd & Hall, 1991). Implicit in this reaction is the fact that the rejection of the evaluation or inspection, happened within the broader struggle to achieve freedom. This simply shows that the political struggle was launched from many fronts including education.

As a result of the above, the policy-makers deemed it necessary to develop evaluation mechanisms, which would be acceptable to all the stakeholders and would enhance the development of the competency of educators and the quality of public education in the Republic of South Africa (RSA) (DoE, 1999:3). It follows that if the whole of the South African society is moving towards democracy, the educational sector cannot be left unaffected. Thus the South African reform initiatives have emphasized the need for democratic evaluation processes and decentralized management of DAS in education. The department of education has realised that the professional development of educators, through educator appraisal, however, requires a necessary shift from a rigid hierarchical management structure to the one which is flexible and allows for substantial input (Hopkins, 1985:10) in order to avoid the rejection of evaluation mechanisms as experienced in the past.

The importance of democratisation of the education system is further supported by the statement made by the South African Democratic Educators Union (SADTU) President, Willy Madisha, in the City Press dated 19 May 2002, when he maintained that educators were against one judge one jury evaluation from the management hence they rejected the evaluation system in the past (Mboyane, 2002:5).

DAS as a quality assurance strategy implied several changes in the way in which the education system operated, and most importantly, a certain degree of freedom of decision making at school level.

On the 28th of July 1998, a final agreement was reached with the Education Labour Relations Council (ELRC) [2] on the implementation of the DAS and the agreement was enshrined in Resolution no. 4 of 1999 (DoE, 1999:2).

According to the resolution, educator appraisal is seen as an inevitable imperative in improving the classroom performance of educators and it was to be implemented in 1999. The appraisal process is different from top-down, authoritarian and undemocratic evaluation of educators in the past (DoE, 1999:7), as it is not done to educators but is done with them, and it is more developmental in nature. It is developmental in the sense that it aimed at identifying the areas for development that might have existed in the educator's performance, and tried to find ways in which such areas for development might have been responded to within the development programmes that may enable educators to improve their performance in various areas or in a particular area (DoE, 1999:3). Therefore, DAS was to embrace processes of democratisation such as consultation, transparency, fairness and accountability, which were the cornerstones of this policy (Tolo, 2003 (a)). All stakeholders need to be included and all their views need to be taken into account before a decision is made. For appraisal to be useful, it should be a two-way process and it should also offer support and innovation.

According to the report of the National Professional Educator's Organizations of the RSA (NAPTOSA, 2002:2), the situation around DAS and other quality management initiatives in RSA, was quite complex and created a great deal of uncertainty about different roles played by various stakeholders in terms of decision making.

The criticism from NAPTOSA was quite relevant given the fact that although DAS is considered to be a product of a collective agreement between the department of education and

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2 ELRC: Education Labour Relations Council is a statutory council established by the Education Labour Relations Act of 1993. It draws authority from the Labour Relations Act (LRC) of 1995 (Mokoena, 2004:3)

the employee organizations, it was SADTU's initiative, and not NAPTOSA's, although they also signed the agreement.

On the 5th of December 2002, the Task Team was appointed by the then Minister of education in the North West Province Mr Z.P Tolo, to pursue the following terms of reference:

- ❖ *Establish, strengthen and sustain the DAS structures.*
- ❖ *Whole School Evaluation was to be redirected to assist in the resuscitation of DAS; and*
- ❖ *Locate DAS in the Chief Directorate Quality Assurance (Tolo, 2003 (a) & Tolo, 2003(b).*

In the paper presented by Mohube (2003:2) at the Quality Assurance colloquium on the 26 September, she expressed the view that educator formations (unions) challenged the Department of Education (DoE) on the "hurried" implementation of the Whole School Evaluation (WSE) Policy and the perceived 'Slack approach' to DAS. She further stated that DAS in the North West has been resuscitated. The resuscitation of DAS is effected within the Integrated Quality Management System (IQMS) which aims to bring all systems dealing with development, training and evaluation under one roof. This IQMS[3] which is resolution number 8 of 2003 includes the Developmental Appraisal (DA), Performance Measurement (PM) and Whole School Evaluation (WSE) (DoE, 2003 (a):3).

According to the Department of Education (DoE, 2003 (b); Bradley, 1991), the purpose of DAS is to evaluate individual educators in a transparent manner with a view to determine areas of strength and weaknesses, and to draw up programmes for individual development, which will be included in the Personal Growth Plan (PGP)[4]. The purpose of Performance Measurement (PM) will be to evaluate individual educators for salary progression, grade

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[3] Integrate Quality Management System (IQMS). An agreement was reached in the ELRC (Resolution 8 of 2003) (DoE, 2003) to integrate the existing programmes on quality management in education. These programmes are: Developmental Appraisal, Performance Measurement (PM) and Whole school Evaluation (WSE).

[4] Personal Growth Plan is the appraisee's development plan. The educators formulate their own objectives according to the criteria that have been prioritised.

progression, affirmation of appointments, rewards and incentives. The purpose of the Whole School Evaluation is to evaluate the overall effectiveness of the school, including the support provided by the Area Project Office, school management, infrastructure and learning resources, as well as, the quality of learning and teaching.

The concept resuscitation then compels one to empirically establish the extent to which DAS has contributed in the professional development of the intermediate phase educators in the Lichtenburg Area Project Office[5]. The intermediate phase, which is from grade 4 up to 6, links up the learners of the foundation phase (grade R-3)) with the senior phase (grade 7-9) that serves as the learner's exit point where a learner is required to sit for an external assessment and be expected to qualify for the General Education and Training Certificate (GETC). Furthermore, the majority of learners are introduced to the Language Of Learning and Teaching (LOLT), used to be called the medium of instruction, which is not their mother tongue (English) in the intermediate phase. Further challenges, which seem to be faced by educators in the classrooms, are the implementation of the following policies:

- ❖ National Curriculum Statement (NCS);
- ❖ Outcomes Based Assessment (OBA); and
- ❖ Inclusivity-the policy that addresses learner's barriers in the classroom, formerly known as the Education for Learners with Special Education Needs (ELSEN)

Every educator, manager and administrator, must have the knowledge, skills and support they need to implement NCS. Appropriate support can only be given if educators have been evaluated so that training needs are identified. This then requires that the educator be highly developed in terms of understanding the above-mentioned policies.

The above challenges require time, money and human resources in order to be adequately addressed. The following factors inhibit educators' professional growth:

- ❖ Educators are not allowed to attend developmental workshops during school hours;

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[5] North West Province has 5 regions namely: Central, Southern, Bojanala East, Bojanala West and Bophirima. Each region has a number of Area Project Offices. Lichtenburg is one of the five Area Project Offices in the Central region. This APO comprises of four clusters, namely, Coligny; Lichtenburg; Bodibe and Itsoseng.

- ❖ No educators to substitute educators who serve as panel members;

- ❖ Educators are not trained in the new Learning Areas;

- ❖ No follow-up is made to cater for the educators' developmental needs;

- ❖ Educators are not empowered to diagnose their problems or areas of development; and

- ❖ In the farm schools, educators are faced with the problem of multi-grade teaching, that is, different grades combined in one class.

In view of the problems listed above, the focus of this study is to gain insight into the professional development of the primary school educators in the intermediate phase. The resuscitation of DAS is, therefore, critical for the primary school educator's professional development in order to address all these challenges in the classroom.

1.3   THE AIMS AND OBJECTIVES OF THE STUDY

The aim of this study is, therefore, to investigate the contribution of DAS in the professional development of the primary school educators in the intermediate phase. The question that is central to my study is whether educator appraisal led to educator development. Furthermore, how did educators and principals perceive educator appraisal? Did they see it as something worthwhile?

What further triggered this study is the fact that, although extensive research has been done in the appraisal system, very little has been written about the progress made by DAS in developing educators professionally in the RSA.

Finally, the study has the following objectives:

- ❖ To examine the nature and scope of DAS and related appraisal systems and its relation to educator professional development through a review of literature;

- ❖ To identify and describe the appraisal models/ methods from the literature, which can be used to understand, and contextualise the DAS in the professional development of the intermediate phase educators; and

❖ To examine empirically the extent to which the envisaged goals were realised by determining the impact of DAS on the professional development of the intermediate phase educators in the Lichtenburg Area Project Office.

From the three objectives, it could be maintained that the following three questions provide the focus of the study:

❖ What is the nature and scope of DAS and how does it relate to the professional development of educators?;

❖ Which appraisal models can be used to understand and contextualise the DAS in the professional development of intermediate phase educators?; and

❖ To what extent has DAS contributed to the professional development of the intermediate phase educators?

1.4   RESEARCH DESIGN THAT APPLIED TO THE INVESTIGATION

1.4.1   LITERATURE REVIEW

A thorough study of the secondary sources based on the developmental appraisal system was conducted in order to help the researcher to develop a thorough understanding and insight into the previous works as well as recent developments in the area of study. Some background literature (books, journal articles, dissertations and papers delivered at conferences) based on DAS were studied and these helped the researcher to link her study to the existing knowledge on the subject (Legotlo, 1996:22).

An Internet search was also conducted by using the following key concepts: evaluation, educator evaluation and educator appraisal. In brief, a detailed review was done with the main purpose of grounding the research on a sound theoretical and empirical basis.

1.4.2   EMPIRICAL INVESTIGATION

A mixture of qualitative and quantitative research strategies to investigate the extent to which DAS has been effective in the professional development of the intermediate phase educators, were used. This section is discussed in greater detail in chapter 4.

1.4.3   DATA COLLECTION PLAN AND TECHNIQUES USED

The following instruments were used in the collection of empirical data: the questionnaires which were completed by the educators, the Heads of Departments and principals of very small schools (two to three teacher' schools) and the semi-structured interviews which were conducted with the principals of the sampled schools (principals who did not complete the questionnaires). The data was collected only at school level, and this was done once with each of the participants. The details are fully discussed in chapter 4.

1.5   LIMITATIONS OF THE STUDY

The following may be the inhibiting factors in carrying out this research project:

❖   In the case of some farm schools sampled, the researcher could not get two educators and the head of the department because some of these institutions have only one educator and the principal. However, such schools are very important for the investigator's research, as she would like to find out whether DAS has contributed to their professional development under such difficult conditions;

❖   The questionnaires are not standardized as they are not tailored according to an individual's circumstances. Furthermore, they confine the respondents to answer in a particular way and would not have allowed me to follow up people's responses and to explore the contradictions and inconsistencies that are part of everyday life of teaching; and

❖   Developmental Appraisal System in the Republic of South Africa has undergone changes since its inception in 1998 until today. The recent change is that DAS is no longer seen as a stand alone as it is located in the Integrated Quality Management

System (IQMS). However, this is not going to derail my research as the main aim is to establish whether DAS has contributed in the professional development of educators.

1.6   DEFINITIONS OF KEY TERMS

1.6.1   INTRODUCTION

The aim of the sub-section is to clarify key terms as used in the study in order to have common understanding with readers. The other reason is to avoid misunderstandings which may prevail.

Appraisal, performance appraisal, appraisee, appraiser, Evaluation, assessment, accountability, development, **professional development** and **professional growth plan** are the major concepts used frequently in this paper. It is, therefore, important to give definitions of these concepts before embarking on this research project.

The exercise of defining the concept development, appraisal, as well as, evaluation approaches seems to have produced more heat than light. This suggests the complexity of conceptualising these terms in one way or the other. To this end, Poster and Poster (1991:24) contend that there was, in the early years, a disturbing confusion in terminology between development, evaluation, as well as, appraisal. The confusion appeared to be due to the perceived, judgemental and summative approaches of evaluation, and developmental, as well as, a formative nature of the appraisal system (DAS).

1.6.2   APPRAISAL

Appraisal according to the Public Administrative Measure (PAM) document (DoE, 1999:7) means **"making Judgement and decisions on the quality or effectiveness of a programme, project, thing or set of actions"** The Department of Education (DoE, 1999:44) is swaying between making a clear distinction amongst the afore-mentioned terms as they say that assessment and evaluation have one thing in common. They rest on the same assumption that educators' performances need to be judged. Seemingly the Department of Education and educator unions prefer the word appraisal to assessment and evaluation as it is argued that the latter are both judgemental in nature (DoE, 1998:55).

Appraisal as defined by Brech (1968:6) is: **"the assessment of performance or progress in the exercise of a given responsibility or in the development of personal and technical competence,"** whereas Bunnel (1987:29) put value on his definition as he defines appraisal **as** *the determination of the cost, quality or value of an item*. Here appraisal is equated with evaluation as most authors attach value to its definition.

Appraisal, according to Moon (1997:6), is **"a formal documented system for the periodic review of an individual's performance"**. Here the author stresses formality and documentation in order to show that appraisal is more than the day-to-day feedback an individual may receive from his or her boss on an informal and oral basis.

The Cambridge Learners' Dictionary (1980:39) contends that appraisal is *'when* **you examine someone or something and judge how good or successful they are'.** This definition is supported by Trumble (2001:39) when he asserts that appraisal is when you assess the quality or nature of something. Webster's Third International Dictionary (1996:105) views appraisal as '**an act of estimating or evaluating** '. From these definitions, it is clear that one cannot speak of appraisal without mentioning judgement which is one of the elements of evaluation. The researcher aligns herself with all the above definitions as each has got its unique own component or characteristic not mentioned by others. Thus my definition is based on the uniqueness of all these definitions. Appraisal, according to the researcher, is the assessment of someone's performance in order to judge how good or successful one is, and identify the needs for development. For the purposes of this study, the researcher opts for the conceptualisation that views all these terms as being the same as they all have an element of Judgement and subjectivity. Literature review has provided considerable evidence to suggest that one cannot speak of appraisal and disregard assessment and evaluation therefore, these terms will be employed as my working definitions.

1.6.3   APPRAISEE

An appraisee is" an educator who will be appraised for professional development "whereas"the appraiser, is an educator who is responsible for conducting the appraisal process of an appraisee" (DoE, 1999:7). Here it seems the Department of Education did not want to bind themselves with the use of other words other than "appraise" as they defined the term with the same term. To the researcher, an appraisee is someone who will be evaluated in

order to identify his training needs for the purpose of professional development, whereas an appraiser is someone who is evaluating someone, it can be a subject advisor, educator, Heads of Departments or the principal, in order, to identify the training needs of that particular individual for professional development.

1.6.4   PERFORMANCE APPRAISAL

Different authors (Coerns and Jenkins, 2000; Riches & Morgan, 1989), see performance appraisal as being more than a management tool. They concur with Duke when he says that:

> *It has grown into a cultural, almost anthropological symbol of the parental, supervisor subordinate relationship that is characteristic of patriarchal organizations.*

Coerns and Jenkins (2000:123) explained it further by saying performance appraisal is when the supervisor takes responsibility for the development of the subordinate and exercises that responsibility through a discussion of strengths and weaknesses of the subordinate. It is regarded as an exercise of sovereignty, regardless of how lovingly it is done. The situation as discussed by these authors is the one that has caused the rift between the Department of Education and educator organisations in the RSA.

Duke (1995:24) took a different perspective when he noted that performance appraisal has all the symptoms of the past, namely:

- ❖ Disenchanted supervisors;
- ❖ The procrastination; and
- ❖ The employee complaints and appeals.

Duke (1995:7) contends that for educators to be accountable, they need to be evaluated. He maintains that *it is fallacious to think that an objective appraisal system removes the need for human Judgement*. He says an evaluation system, by its very nature, contains an element of subjectivity. While one agrees with Duke's views, it is important to note that evaluation does not necessarily or directly translate into accountability. A lot of energy has to be used to achieve this.

Performance appraisal, according to Brech (1968:100), "is a systematic appraisal of an individual employee to assess past performance, future potential and salary. The object is to improve current performance, isolate training needs and locate potential talent for management succession". (Jarvis, 1990; Mabale, 2004; Mondy, Noe & Premeaux, 2002; Jackson, Hellriegel & Slocum, 2005) support Brech's definition as they regard performance appraisal as a formally structured system for evaluating an employees' job performance. These authors focus on how productive the employees are and which areas of performance could be improved.

Jackson et al (2005:234) and Brech (1968:43) link appraisal with salary, dismissal, transference, demotion and promotion which, according to Chetty and Chisholm (1993:18), led to resistance from the educators in the USA and the UK. This mode of appraisal, particularly, pay rises and promotions, aroused the accusations of nepotism, favouritism, disloyalty and incompetence (Chetty & Chisholm, 1993; Middlewood & Lumby, 1998).

Authors such as (Simeral, 1997; Fidler & Cooper, 1991; & Hornby, 1979) contextualise performance appraisal when they maintain that appraisal is the process in which the employer decides how well the employee is doing in relation to the employers' expectations and the employees' expectations, whether there is a formal process or not, and whether the employee is informed as to how he or she is doing. According to them, the employer should formalize the process and use it as a means of improving the performance of the employee. At least here, there is balance between the needs of the individual and those of the organisation.

Coerns and Jenkins (2000:5 & 12) expressed their concern when they argued that rather than helping the staff, the human resource staff found itself 'policing', refereeing and collecting a lot of paper work that did not mean much to most people. The concern expressed by both Coerns and Jenkins (2000:12) need to be appreciated because failure to recognise such dynamics may lead to too much paper work and rigid relationships.

The literature review (Hornby, 1979; Middlewood & Lumby, 1998) moved a step further by developing the working definition of performance appraisal. They defined performance as the way in which someone or something functions. "Appraise "comes from the Latin word preciare, meaning to value. Hence they explained appraisal as: "a process in which a person

educates, judges or evaluates". They then combined the two terms and explained them as follows: "Performance appraisal is the process of evaluating or judging the way in which someone is functioning".

The researcher, therefore, aligns herself with all the good components of performance appraisal definitions, namely, improvement of current performance, isolation of training needs, evaluation of someone and development. Therefore, the researcher defines performance appraisal as the evaluation of someone in order to identify his or her training needs for improvement of current performance or for the purposes of development.

Moon (1997:6), unlike the other authors, believe that many organisations avoid the word "appraisal" and choose different terminologies for carefully considered reasons. Even though he uses the word "appraisal" in his book, he still maintains that it may sometimes have negative connotations. He, therefore, suggests alternative words like "staff development review" or "performance review" or "developmental needs assessment" which he thinks can be appropriate words to be used. The researcher supports the latter view as expressed by Moon (1997:6) because one cannot speak about assessment, evaluation and appraisal without mentioning these concepts.

1.6.5   EVALUATION

Brech (1968:45) simply defines evaluation as "to appraise". This author equates evaluation with appraisal. Whereas Tuijnman and Postlethwaite (1994:223), defines evaluation as:

> *the systematic collection and interpretation of evidence leading, as part*
> *of the process, to a Judgement of value.*

Evaluation, thus, involves the making of Judgement on the basis of evidence obtained through the measurement of attributes, characteristics and phenomena. In support of this view is (Blaine, Worthen & Sanders, 1987; Hail, 2005) as they maintain that *"evaluation is the determination of a thing's value".* To these authors, evaluation in education is the formal determinant of a programme, product, project, process, objective or curriculum".

Authors such as (Millman & Darling-Hammond, 1990; Websters' Third International Dictionary, 1996) are also in support of the above definitions as they maintain that evaluation involves collecting and using information to judge the worth of something. They believe that the educators' performance cannot be observed and evaluated without someone making Judgements. Given such broad focus for the term, it can be argued that evaluation has been with us always and that; everyone is, in his or her own way, an evaluator. The inclusion of this point points to the other aspect of evaluation namely, subjectivity.

According to Protheroe and Paik (2002:6), evaluation is a continuous, cyclical process which, at all stages, acknowledges the individual's desires and personal goals for improved job outcomes. He went further to say that effective evaluation and assessment should be based on trust between the evaluator and the evaluatee. Here the wants of the employees are placed before those of the organisation.

Hopkins (1989:1) defines evaluation as *"the process of determining the extent to which the educational objectives are being realized"*. He approaches it from a different perspective as he maintains that evaluation should be linked to development and has utility only if it allows educators to improve the substance of their educational programmes and the quality of the teaching-learning process in their classrooms. Hopkins (1989:1) is supported in this by Singh (2004:272) when he asserts that evaluation is the appraisal of the educators' performance in order to assist in professional growth. Here evaluation is equated with appraisal as it concentrates on educator development. Hopkins' definition of evaluation is more useful to my study since it links evaluation to educator development. Most importantly, it also links it to the organisation in which these practitioners operate and get evaluated (Hopkins, 1985, 1989, 2002).

Trumble (2001:118) contents that evaluation is the process of assessing the merit of a lesson, course or curriculum. This is equated with assessment.

The researcher's definition of evaluation will, therefore, be the collection of information in order to judge the performance of the educator with the object of improving his or her professional development.

1.6.6   ASSESSMENT

Statt (1991:8) defines assessment as follows:

> *a procedure to identify the ability carried out on individuals as part of the processes of recruitment and selection.*

DoE (1998:9) defines assessment as follows:

> *a way of measuring what is understood or known and can be demonstrated in a variety of ways.*

Both definitions confine themselves to what the individual can do and ignore his or her developmental potential.

Other researchers, (Singh, 2004; Bacal, 1999; Coerns & Jenkins, 2000; Duke, 1995; Bunnel, 1987; Goldstein, 1994; Millman & Darling–Hammond, 1990; Bartlett, 1998; Poster & Poster, 1991; Hornby, 1979) assert that appraisal, assessment and evaluation roughly mean the same thing. They all mean to determine or calculate the value of something. These definitions have one thing in common, that is, they are all viewed as necessarily involving qualitative and quantitative aspects when applied in complex situations.

For the purposes of this study, the conceptualisation that views all these terms as being the same as they all have an element of Judgement and subjectivity, will be taken. The decision to adopt this conceptualisation is informed by the following factors:

- ❖ Firstly, the process of appraisal presupposes the application of ones mind in the course of appraising or evaluating;
- ❖ Secondly, an appraisal process has to be reduced to a quantifiable entity, in this case is a number; and
- ❖ Finally, the conceptualisation is attractive to me since it is user friendly.

Literature review (Webster's Third International Dictionary, 1996; Cambridge Learners' Dictionary, 1980; Millman and Darling-Hammond, 1990) has provided considerable

evidence to suggest that one cannot speak of appraisal and disregard assessment and evaluation, hence the terms will be employed as my working definitions.

1.6.7 DEVELOPMENT

Development, according to the Cambridge Learners' Dictionary (1980:182), is when someone or something grows or changes and becomes more advanced. In support of this definition are Hargreaves, Lieberman, Fullan and Hopkins (2000:4), as they take the change idea further when they maintain that one of the most fundamental problems in education today is that people do not have a clear, coherent sense of meaning about what educational change is for, what it is and how it proceeds.

The question of change and development are, therefore, very essential to the transformation of an organisation. This idea of change is further supported by Mondy, et al. (2002:215) who contend that development involves learning that goes beyond today's job, as it has a long-term focus. This means that development prepares employees to keep pace with the organisation as it changes or grows. By implication, practitioners are evaluated for the purpose of development and effectiveness. This definition is quite relevant to my study as it acknowledges growth and change, which is fundamental in appraising educators.

Tight (1996:29) contends that development is the all-important primary process through which individual and organizational growth can, through time, achieve its fullest potential. *Professional development* refers to the process by which "**we monitor and try to improve upon the various things we do in our work, such as teaching"** (Webb, 1994:22). This idea is supported further by Sweeney (2003:109) when he asserts that professional development implies that the educator is open to learning about new teaching, learning and assessment activities for classroom use. The researcher aligns herself with Webb's definition as it has all the important components that can be considered important in the process of appraisal.

The following authors (Van Dyk, Nel, Van Loedoff, & Haasbroek, 2001; Jarvis, 1990) are in agreement with Webb's definition as they maintain that development refers to development possibilities within a job or position for a specific employee, with reference to the employee's personal growth and personal goals. They further maintain that it is the process of changing stakeholders outside the organisation and people employed by it, through planned learning, so

that they possess the knowledge and skills needed in future. These authors do not confine development to the people working in an organisation, but extend it to all stakeholders who are part of the organization. This view is very broad and useful since it has a holistic approach to appraisal and development.

1.6.8   PROFESSIONAL DEVELOPMENT

Professional development refers to the process by which people monitor and try to improve upon the various things they do in their work, such as teaching. Authors such as (Webb, 1994; Van Dyk et al., 2001; Jarvis, 1990) are in agreement with Webb's definition as they maintain that development refers to development possibilities within a job or position for a specific employee, with reference to the employee's personal growth and personal goals. They further maintain that it is the process of changing stakeholders outside it, groups inside it and people employed by it, through planned learning so that they possess the knowledge and skills needed in the future. These authors do not confine development to the people working in an organisation, but extend it to all stakeholders who are part of the organization.

Bruce and Showers (1995:20) go further to explain that professional growth or development involve those activities which, fulfil three needs which, in-spite of apparent diversity, have much in common. These are as follows:

> *the social need for an efficient and humane educational system capable of adaptation to evolving social needs; the need to find ways of helping educational staff to improve the wider personal, social and academic potential of the young people in the neighbourhood; and the need to develop and encourage the educator's desire to live a satisfying and stimulating personal life, which, by example as well as by precept, will help his students to develop the desire to and confidence to fulfil each of his own potential'.*

1.6.9   ACCOUNTABILITY

According to Statt (1991:2), accountability is explained as being able to account for one's conduct or being responsible. It is perceived as being, answerable to others for completing a

task, or having authority and responsibility for seeing that something is carried out as expected. The following authors (Brech, 1968; Singh, 2004) explain accountability as the extent to which one is responsible to a higher authority, be it legal or organisational- for one's action in society at large or within one's particular organisational position. Accountability is to be answerable for how authority has been exercised and responsibilities discharged (Singh, 2004; Jarvis, 1990). All the above explanations, point to one explanation, that an individual must justify his actions or decisions. Accountability, according to the researcher, is to be responsive, responsible and productive.

Accountability applies to my study as different authors such as Duke (1995:223) and others equate it with evaluation.

1.6.10   PROFESSIONAL GROWTH PLAN (PGP)

Professional Growth Plan (PGP) according to DoE (1998:1) is the appraisee's development plan. According to the researcher's definition, the PGP is the programme drawn up for individual development, which is informed by the appraisal results.

Having done an in-depth study of various definitions presented by different authors, the researcher feels obliged to select the conceptualisation that says all these terms are similar as they all have an element of Judgement and subjectivity.

1.7   CHAPTER DIVISION

This section lucidly outlines the summary of each chapter.

Chapter One: Overview For The Study

Chapter one gives an overview of the study as it deals with the following aspects: the statement of the problem, a synopsis of the methods which were employed in collecting data, the rationale for the choice of techniques and limitations of the study.

Chapter Two: Literature study: A Comparative Study of England, USA and Australia.

Chapter two identifies and describes the nature and scope of educator appraisal and how it relates to educator development. There will also be a comparative study of the strategies used by developed countries in the implementation of appraisal, as well as, the findings of research conducted with regard to the contribution of appraisal in these countries.

Chapter Three: Literature study: Developmental Appraisal as it was implemented in the Republic of South Africa

In chapter 3, a narrow but detailed investigation is done to the legislation intentions of the DAS policy as it stands and its implementation in the North West Province.

Chapter Four: Research Design

The chapter describes the research designs, methodologies and instruments which were utilised to answer the third research question which is to what extent has DAS contributed to the professional development of the primary school educators in the intermediate phase.

Chapter Five: Data Analysis

The chapter deals with the analysis and the presentation of the findings. The data that was collected during fieldwork was collated and analysed:

Both qualitative and quantitative data analysis were used in an attempt to answer the third research question.

Chapter Six: Research Findings, Recommendations and Conclusion.

This chapter concludes the researcher's findings of the study. The extent to which appraisal has contributed to the professional development of the educators in the Lichtenburg Area Project Office is discussed. Recommendations are made based on the outcomes of the research.

1.8   RESEARCH SCHEDULE

The following schedule guided this study:

STEP ONE: Presentation of the proposal which encompasses the statement of the problem, the aims and objectives of the study.

STEP TWO: The step involved an extensive review of literature to establish what other authors said about the effectiveness of appraisal on the professional development of the educators, in order to develop a theoretical framework for the development of the questionnaire and the interview schedule. This is in chapter two and three.

STEP THREE: This involved an intensive literature review on research methods and research paradigms with special focus on interviews and the questionnaire. This is covered in chapter four.

STEP FOUR: The fourth step covered the analysis of data obtained from the questionnaires and from interviewing principals. The findings are presented based on evidence.

STEP FIVE: The fifth step dealt with the interpretation of data, recommendations and the conclusion.

1.9   SUMMARY OF THE CHAPTER

In this chapter the statement of the problem and the reasons why the topic interested the researcher were dealt with. The researcher further dealt with the research designs, whereby a brief data collection plan was given.

The next chapter is intended to give an in-depth literature review, whereby the nature and scope of educator appraisal will be explored and how appraisal relates to educator development. A comparative study of the following three countries England, Australia and the United States of America will be looked at, with regard to how educator appraisal have been implemented in these countries.

CHAPTER 2

THE COMPLEXITY EDUCATOR DEVELOPMENT THROUGH THE DEVELOPMENTAL APPRAISAL SYSTEM (DAS)

2.1 INTRODUCTION

The purpose of this literature review is to establish the status of knowledge based on educator development in general with special reference to the implementation of the appraisal system in order to enhance the professional development of the educators.

The knowledge gathered on educator development, it is hoped, will provide motivation for the carrying out of this study. In addition to this, the literature review would throw more light on both the research questions and methodology guiding the inquiry. The information collected through the analysis of the literature will also contribute to the content validation of the instruments (the questionnaire and the interview schedule).

This chapter is divided into the following three sections.

SECTION A: THE NATURE AND SCOPE OF EDUCATOR APPRAISAL

This section sketches the nature and scope of appraisal and how educator appraisal relates to educator development. The link between staff development and educator development is comprehensively discussed. Finally, the purposes of appraisal and the conflict that exists between the purposes of appraisal will be examined.

SECTION B: A COMPARATIVE STUDY OF THE APPRAISAL SYSTEMS OF THE THREE COUNTRIES: ENGLAND, THE UNITED STATES OF AMERICA AND AUSTRALIA

This is a comparative study of the strategies employed by developed countries in the implementation of educator-oriented programmes with specific reference to appraisal as a way of contributing towards educator development.

SECTION C: HOW TO MAKE APPRAISAL SUCCESSFUL

Finally, section C captures the suggestions from various scholars on how to make the appraisal system successful. Such information will help the researcher to make informed decisions.

2.2 SECTION A: THE NATURE AND SCOPE OF EDUCATOR APPRAISAL

Although appraisal systems differ in different countries in terms of their nature and their mode of operation, they have one thing in common as, according to (Coerns & Jenkins, 2000; Riches & Morgan, 1989; Daley, 2001), they are all introduced as a decision-making tool, used in the evaluation of work performance.

Millman and Darling-Hammond (1990:17) indicate that in the past, educator evaluation was not a high-stakes activity, because improving the quality of educators was not seen as being critical for improving the quality of education. Instead, school improvement efforts over the past years, focused on improving the curriculum, altering school management methods and developing new programmes.

Thus, educator evaluation wherever it was practiced, was often an exercise to which few resources and little organizational attention were devoted.

However, Moon (1997:10) insists that today people are aware that educator evaluation is a key to school improvement as it gives an individual the opportunity to receive feedback. It is a fact that educators need to know how well they are doing. It may be argued that a good supervisor provides informal feedback on a daily basis. However, it also needs to be recognised that where there is no appraisal system, it does not mean that individuals are not being appraised. It merely means that appraisal takes place in an unstructured and ad-hoc manner. But the problem with such appraisal is that the educator would not know how he or she would be assessed and might not have the opportunity to participate actively in the process.

Literature review (Jones & Mathias, 1995; Ferrari, 2007) contend that the objective of assessment and appraisal is to improve performance, and just as assessment of the pupil is

inseparable from the learning process, so is appraisal of the educator inseparable from the teaching process. It is, therefore, clear to the researcher that if educators are serious about wishing to improve their professional performance, then they should become willing participants in the process of appraisal.

The demand for a formal system of educator appraisal is clearly a deliberate thrust for increased accountability. This view is reinforced by Bangwadeen and Louw (1993:38) in their contention that:

> *"the school or staff which does not change or grow is destined to atrophy, to become obsolete, and to be a burden rather than a bulwark to us and the communities we serve".*

Obviously, if the goal of education is to improve student learning, and if educator performance is the most important factor in this, then there is an urgent need to seriously and effectively evaluate the work of educators for the twin purposes of public accountability and improvement. This assertion is supported by Aseltine, Faryniarz and Rigazio-Digilio (2006:220) when they maintain that the educators' capacity need to be build in order to address student learning needs.

For many years as Bagwandeen and Louw (1993:1) point out, it was widely accepted that *the initial training equipped the educator for a lifetime career in education service.* This myth has been effectively explored. As long as knowledge about education continues to evolve and new techniques and devices are established, there will be something new for the educator to learn, regardless of his qualification or years of experience. This is the state of affairs and the situation in the RSA as educators are required to change their teaching practises in line with the curriculum that many perceive as being too complex and verbose.

According to Lacey (1995:22), appraisal for accountability enables the employer to ensure that teaching standards of individual educators are, at least, satisfactory. Educators' competence, flexibility and the ability to innovate depend largely on their level of education and training.

The educator is, therefore, regarded as the ultimate key to educational change and school improvement. As a result, the restructuring of schools, the composition of national and provincial curricula and the development of benchmarks for assessment, are of little value if they do not take the educator into account (Hargreaves, & Fullan, 1992: ix). This really proves that training educators in new classroom management skills, in active learning, co-operative learning and one to one counseling, is a priority in the RSA. .

Appraisal is a complex process as it is a series of activities and actions that are interrelated and have a specific purpose (Sawa, 1995; Hammond, 1990; Swartz, 1994 & Hewton, 1988). Swartz (1994) supports Sawa (1995) in his assertion that appraisal is a well-structured, continuous and formative process, which needs to be monitored regularly. The most important aspect here is that assessment should be positively structured, that is, it should not be done haphazardly.

The above assertion is supported by the following authors (Mondy et al., 2002; Stronge & Helm, 1991) who, in their performance appraisal process models vividly outline the procedure to be followed when appraising educators. The models are illustrated in figure 2.1 on the next page.

FIGURE 2.1: THE PERFORMANCE APPRAISAL PROCESS (PAP) MODEL

```
┌─────────────────────────────────────────────────┐
│     Identify specific performance appraisal goals │
└─────────────────────────────────────────────────┘
                         │
                         ▼
┌─────────────────────────────────────────────────┐
│        Establish job expectations (job analysis) │
└─────────────────────────────────────────────────┘
                         │
                         ▼
            ┌──────────────────────────┐
            │   Examine job performed   │
            └──────────────────────────┘
                         │
                         ▼
            ┌──────────────────────────┐
            │    Appraise performance   │
            └──────────────────────────┘
                         │
                         ▼
┌─────────────────────────────────────────────────┐
│       Discuss performance with employee          │
└─────────────────────────────────────────────────┘
```
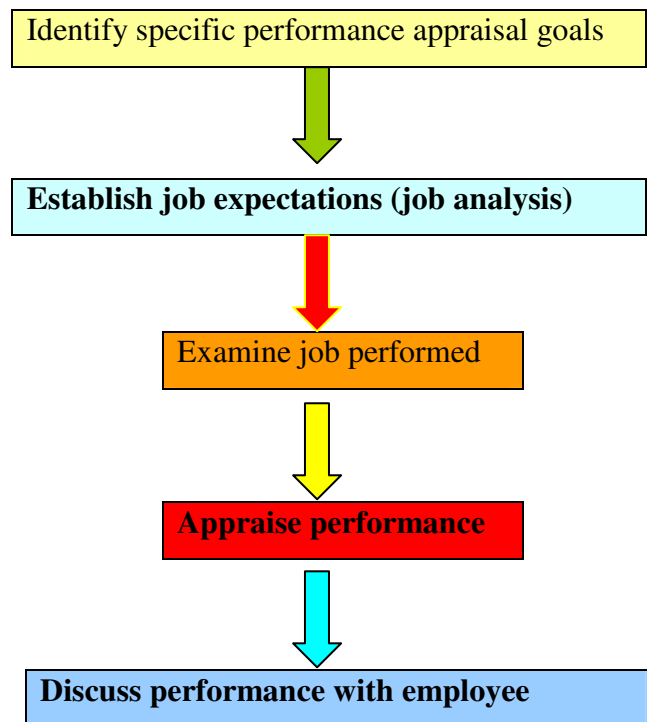
Source: Mondy et al (2002:279).

Literature review (Schwab, 1990; Mondy et al., 2002; Ribbins, 1994) suggests that, for appraisal to be effective and comprehensive, programmes for professional development of staff must start from the identification of needs of educators and of the education service at school or, regional and national levels.

The identification of needs is, therefore, according to (Hartley, 1991; Swartz, 1994; Woodrow, 1992) the pre-condition for professional development. Regan (1992: 1) maintain *that*:

> *When educators examine, question and reflect on their ideas and develop new practices, students benefit.*

Identification of the goal is considered by Mondy et al. (2002:286) to be the starting point for performance appraisal process. Authors such as (Poster & Poster, 1995; Mondy et al., 2002; Ribbins, 1994) hold that the appraisal system cannot effectively serve every desired purpose.

Therefore, management should select those specific appraisal goals which are considered important and achievable. Most steps of the Performance Appraisal Process (PAP) are not explained due to the fact that they are the same as the Professional Support Personnel Evaluation (PSPE) illustrated in figure 2.2 on the next page.

FIGURE 2.2: CONCEPTUAL FRAMEWORK FOR EVALUATION OF PROFESSIONAL SUPPORT PERSONNEL: PROFESSIONAL SUPPORT PERSONNEL EVALUATION (PSPE) MODEL
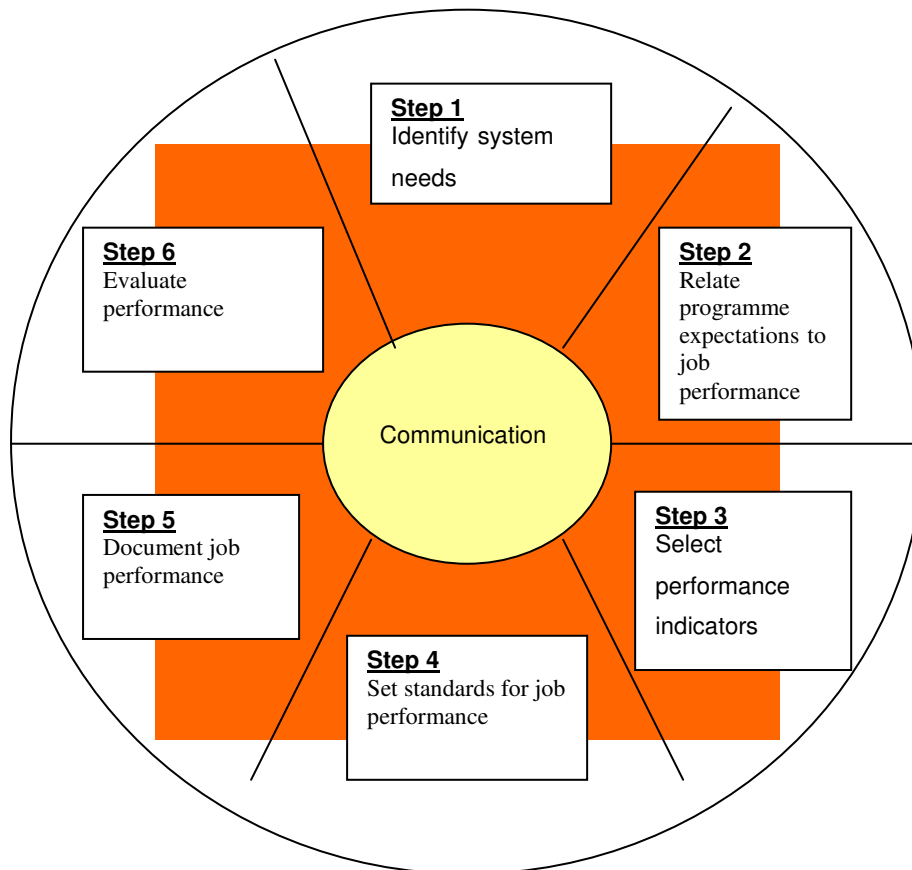
Source: Stronge and Helm (1991:38)

The model is made up of six steps as seen in the diagram above. In the middle of these steps is communication. A short explanation of the diagram follows below:

(A)   COMMUNICATION

A successful system should establish a regular dialogue and lead to an improvement in manager-staff relationships (Mullins, 1999:699). Appraisal offers the supervisor and the subordinate "time-out" for one- to-one discussion of important work issues that might not otherwise be addressed. It also gives the opportunity to focus on work activities and goals, to

identify and correct existing problems, and encourage better future performance; as a result, the performance of the whole organisation will be enhanced

It is upon the appraiser and the appraisee to see to it that they both help to develop the appraisal system so that they can endorse it (Goodale, 1993; Millman & Darling-Hammond, 1990; Robert, 2004). This idea is supported by (Mullins, 1999; Trethowan, 1991) who also maintain that appraisal is a power-sharing exercise. They express the view that success must be a cooperative and constructive endeavour with input by both the staff and manager. Mullins (1999:700) assets that:

> *The system should concentrate on the strengths and accomplishments of*
> *staff rather than their faults and failures.*

In order to establish and maintain a positive attitude towards appraisal, it is necessary that educators should be fully informed about both policy and procedures (Stronge & Helm, 1991; Poster & Poster, 1995; Goodale, 1993).

(B)   STEP 1: IDENTIFY SYSTEM NEEDS

Unlike Mondy et al. (2002:279) who start their model with the identification of the individual's needs, (Stronge & Helm, 1991; Hopkins, 1985; 1989) start their models with the identification of the needs of the system or the organisation. Identifying the needs of the organisation is, according to (Stronge & Helm, 1991; Bagwandeen & Louw, 1993; Mondy et al., 2002; Hargreaves et al., 2000), a pre-condition for all other steps. The staff should always be provided with essential information if they are to achieve the objectives of the organisation. This implies that educator evaluation and development should take place within the framework of the school as an organisation. It seems that Mondy et al. (2000:278) dissociate the whole appraisal process from the organisation.

(C)   STEP 2: RELATE PROGRAMME EXPECTATIONS TO JOB
RESPONSIBILITIES

Both the evaluator and the evaluatee must jointly develop job responsibilities for the evaluatee (Stronge & Helm, 1991; Mullins, 1999; Trethowan, 1991). There should always be

consultation in the whole evaluation process. This then brings us back to communication as the heart of evaluation and development.

(D) STEP 3: SELECT PERFORMANCE INDICATORS

Performance indicators or behaviours must be developed which will reflect identified job responsibilities. This refers to the behaviour that needs to be displayed by educators in order to show that they have achieved programme expectations or certain job responsibilities (Stronge & Helm, 1991; Mullins, 1999; Mondy et a., 2002). For an example, an educator who manages to keep the assessment records and assesses learners constructively for different purposes, such an educator would have achieved one of his responsibilities.

(E) STEP 4: SET STANDARDS FOR JOB PERFORMANCE.

Standards are to be set for job performance. This involves determining a level of acceptable performance (Stronge & Helm, 1991; Mullins, 1999). An example of the standards is that the educator must be able to use the assessment of learners creatively so that it serves many purposes.

(F) STEP 5: DOCUMENT JOB PERFORMANCE

Stronge and Helm (1991:39) maintain that job performance encompasses the recording of information about job performance to support an on-going evaluation of the staff member and to justify any personnel decisions based on the evaluation process.

(G) STEP 6: EVALUATE PERFORMANCE

Here comparison is drawn between the individual's documented job performance and the previously established standards of performance. This PSP model, according to Stronge and Helm (1991:39), includes both summative and formative evaluations. Stronge and Helm (1991:40) do not distinguish formative (developmental) evaluation from summative (Judgemental) evaluations.

When examining the two models, it would appear that the PSPE model is more comprehensive than the PAP model as communication is the cornerstone of the implementation process.

2.2.1   ESSENTIAL ELEMENTS OF EDUCATOR APPRAISAL

Factors that follow are essential elements of educator appraisal, as one cannot deliberate on the nature of appraisal without mentioning them.

2.2.1.1   SELF APPRAISAL AS AN ELEMENT OF EDUCATOR APPRAISAL

An equally important factor of appraisal is self appraisal. Literature review (Hartley, 1991; Bruce & Showers, 1995; Schwab, 1990) suggests that, any scheme of appraisal should be preceded and informed by self-appraisal.

Self appraisal gives the educator an opportunity to reflect on his or her own performance. Educators should be given the opportunity to identify their own strengths and weaknesses. Mondy et al. (2002) maintain that if educators understand the objectives they are expected to achieve and standards against which they are to be evaluated, they will be in a good position to appraise themselves. For this to be possible, educators should be trained in self-assessment due to the fact that it was something infrequently encouraged or used in the past (Anderson, 1993:74).

Bruce and Showers (1995:56) suggest a check-list which, can be used by educators when they do self-evaluation. The checklist is indicated in Table 2.1 on the next page.

TABLE 2.1: A SHORT CHECKLIST OF CRITERIA FOR SELF EVALUATION

How successfully did i	Very successful	Moderately successful
Prepare myself and my materials for the session		
Introduce the session and make the aims clear		
Organise the content		
Vary the process (e.g. by using visuals and aids, providing for discussion, et cetera.		
Win and maintain student interests		
Convey an encouraging, positive and helpful attitudes towards students		
Show my own enthusiasm for the subject		

Source: Bruce and Showers (1995:56)

The self evaluation model by Bruce and Showers (1995:56) is a good model as it, at least, guides educators on how to do self appraisal. The only problem with this model is that it would be difficult for one to distinguish between "very successful" and "moderately successful". The researcher would, therefore, recommend some minor changes to this model to suite educator appraisal as practised in the RSA.

The changes the researcher would effect on this model are as follows: She would replace the phrase "moderately successful" with "satisfactory" in the third column. Furthermore, she would remove the word "very" and remain with successful in the second column. The

adapted model would, therefore, be of huge benefit to the South African appraisal system as it would help to standardise self appraisal.

2.2.1.2 CLASSROOM OBSERVATION AS AN ELEMENT OF EDUCATOR APPRAISAL

The evaluation process, according to Sawa (1995:4), involves preparations, classroom observation, data collection, reporting and follow-up. Classroom observation is an important component of educator evaluation or appraisal. Educators should be appraised on their work by being observed in practice, in order to plan proper professional development for them (Sawa, 1995; Hartley, 1991; Paine & Sedlak, 1995; Bagwandeen & Louw, 1993).

However, the appraisers should know the subject matter, pedagogy and classroom characteristics of the educator being appraised (Sawa, 1995, Grice & Honke, 1990). Woodrow (1992:25) holds that if appraisal is to be a truly developmental process and enhance the quality of teaching and learning, it is essential that it takes place within a framework of mutual trust. The process must be fair so that educators can have the confidence in it. Training, according to Bruce and Showers (1995:33), is essential to ensure that appraisers become skilled observers. They also maintain that educators and appraisers need to perceive observation in a constructive way. There should always be mutual agreement about the criteria on which observations are based.

2.2.1.3 PEER APPRAISAL AS AN ELEMENT OF EDUCATOR APPRAISAL

Peer learning is identified by Sorensen (2004:18) as a potentially important consideration for education programmes development. Educators are allowed to identify a peer mentor[6] who will assist and give guidance throughout the year (Swartz, 1994:61). This is based upon the idea that feedback from another trusted person is an important part of self-analysis and development. Mentoring raises the self-esteem of the mentor and provides invaluable support for new educators (Horne & Pierce, 1996:98). As Hewton (1988:53) puts it:

---

[6] Mentor: A mentor is someone, usually a colleague at the same or higher level than the individual, for whom he or she is responsible, to whom the individual can go to discuss work related issues (Jones & Mathias, 1995:72).

A person cannot, however, develop in a vacuum. We need each other. We need to augment our personal introspection with feedback about our behaviour from others.

Educators must be allowed to enter into educative dialogue with one another about their work (Sawa, 1995:20).

2.2.1.4   PERFORMANCE REVIEW AS AN ELEMENT OF EDUCATOR APPRAISAL

Earlier on it was mentioned that, for appraisal to be successful, dialogue should occur between the appraiser and the appraisee. This fact is supported by Martin and Bartol (1998:225) in their statement that, after the appraisal process, both the appraiser and the appraisee should discuss the appraisee's performance. Focus should be on how the appraisee has met the organisational expectations and what can be done to improve performance. In addition to this, the appraisee's long and short-term career development considerations should be discussed.

Finally, the decision will be taken on how the results will be used, that is, whether it will be for developmental purposes or for accountability (Judgemental) purposes. The researcher disagrees with this statement as it is really unfair for the appraisee to know about the purpose of appraisal at the end of the process.

2.2.1.5   ORGANISATIONAL CONTEXT AS AN ELEMENT OF EDUCATOR APPRAISAL

Evaluation systems, according to Seldin (1988:70), do not operate in a vacuum as they interact with every part of the school. Anderson (1993:16) asserts that the culture of the organisation is very important in how appraisal is viewed by educators. For appraisal to be successful, there should be mutual trust and openness in the school.

It is therefore important that performance appraisal should be consistent with the philosophy of the school. Appraisal, according to Duke (1995:80), can be effectively implemented if the

cultural setting of the school is not bureaucratic and hierarchical in nature, where educators and principals are treated like professionals who can think for themselves.

Vakalisa and Mashile (1999:73) support the afore-mentioned views as they maintain that: "*when educators and learners find themselves operating in an environment devoid of adequate resources, they lose faith and confidence in the education system*".

The importance of context in educator appraisal is made clearer by the following scenario given by Bacal (1999:95):

> *Our culture and companies require that we evaluate employee performance on an individual basis. If we focus on individual performance and don't look at the context, the conditions that limit performance, then our efforts will fail.*

He says that there will be no improvement, as real causes will not be detected; hence he suggests that, when individual performance is assessed, the context should be considered in order to do a proper diagnosis of why problems occurred. Swartz (1994: 43) holds that the educator's effectiveness must be measured against the conditions under which they work and not **against** *the ideal conditions of what every educator is supposed to produce.*

It is therefore important that educators be helped to improve the conditions under which they work. This can be done by reducing their teaching load, giving them more time for planning, giving them fewer students to teach and providing them with more aids (Hargreaves & Fullan, 1992:77).

2.2.3   PURPOSES OF EDUCATOR APPRAISAL

The appraisal process is a combination of reviewing the past year's work (evaluative) and planning training for the coming year (developmental). When designing the appraisal system, it is important to be clear about the extent to which it is intended to be evaluative and the extent to which it should lead to individual development (Riches & Morgan, 1989:123). Management must always try to strike a balance between evaluative and developmental concerns.

Evaluation, according to Riches and Morgan (1989:193), is mainly concerned about the pay review whereas the developmental concern is associated with the development of the educator. It is, therefore, crucial to categorise appraisal into two, namely, developmental and Judgemental appraisal.

What follows is a synopsis of what developmental and Judgemental appraisals are, according to different authors.

2.2.3.1   DEVELOPMENTAL APPRAISAL

Developmental appraisal is humanistic in nature and operates at an intrinsic motivational level. It has a professional principle as it views educators as subjects (Moore & Reid, 1993:243) because they form part of the appraisal process. Formative evaluation, according to Hammond (1990:216), must take place in close collaboration with the person being evaluated. The evaluatee must agree to be evaluated and the evaluator must have the interest of the evaluatee at heart.

According to Trethowan (1991:3), formal appraisal, which is positive and developmental, can provide considerable benefits to schools and the education service as a whole. Formative educator evaluation, according to Hammond (1990:216), can help an ineffective educator to become a better educator or an effective educator becomes an excellent educator. Formal evaluation is a caring and helpful process, which provides data to educators for making decisions about how they can best improve their own teaching and career planning. By formally focusing attention on the objectives, job-related criteria for assessing performance, the manager is provided with the means of making appropriate decisions that rationally contribute to the organisation and individual's effectiveness and well being.

The process is intended to help individual educators with their professional development. Literature review (Jones & Mathias, 1995; Horne & Pierce, 1996; Dean, 1991) suggests that, for appraisal to be effective, it should be embraced within a staff development policy. The data generated should assist in setting targets for improvement and development over the next year (Leung & Lonsdale, 1996; Seaton, 2003; Hewton & Jolley, 1991). This data will also be used for the purpose of making personnel decisions on matters such as increments, contract

renewal and the management of diminished or unsatisfactory performance (Leung & Lonsdale, 1996; Millman & Darling-Hammond, 1990; Darling-Hammond, 1990, 2000).

Developmental appraisal is more concerned with the development of the individual's potential. These individuals also hope to receive feedback for improving their performance from the appraisal process. Performance appraisal serves as a device or instrument which triggers employee training (Daley, 2001:1).

2.2.3.2   JUDGEMENTAL APPRAISAL

Judgemental appraisal is equated to evaluative and summative appraisal. All these terms are associated with negative connotations, as according to a number of authors, (Leung & Lonsdale, 1996; Duke, 1996; Daley, 2001; Seaton, 2003), judgemental appraisal views educators as objects as appraisal is done to them and not with them. This implies that educators are not actively involved in the whole appraisal process. It leads to personnel decisions not being taken in the interest of the individual. As a result, the staff tends to be cautious and conservative in their written statements and, ultimately, in their goal setting in order to play safe (Leung & Lonsdale, 1996; Simon & Elliot, 1989 & Furtwengler, 1995).

While most authors acknowledge the good purposes of appraisal, they hasten to say that it also causes conflict between educators and their supervisors. The discussion that follows is about this conflict and, to a limited extent, it gives hints as to how this conflict can be avoided.

2.2.4   THE CONFLICT THAT EXISTS IN THE PURPOSES OF APPRAISAL

Although often understated or even denied, evaluation is a legitimate and major objective of performance appraisal. However, the need to evaluate or judge is also an ongoing source of tension, as evaluative and developmental priorities appear to clash frequently. According to (Riches & Morgan, 1989; Goodale, 1993; Poster & Poster, 1995; Piggot-Irvine, 2000, 2001), some organisations still recoil from the idea, to them the explicit process of judgement can be dehumanising and demoralising and a source of anxiety and distress to employees.

A number of authors (Riches & Morgan, 1989; Goodale, 1993; Poster & Poster, 1995; Guthrie & Schwoever, 1996), have indicated that appraisal cannot serve the needs of evaluation and development at the same time; it must be one or the other. Nevertheless, the same authors express the view that there may be an acceptable middle ground, where the need to evaluate employees objectively and the need to encourage and develop them, can be balanced.

It is therefore critical to strive for fine balance between accountability (evaluative) and development as the products of appraisal, as too much emphasis on accountability can affect the development negatively. Obviously, must be a pivotal concern as educators enter the profession, but once this has been proven, there is a need to move towards performance appraisal that focuses on professional learning and growth (Hunnay, Telford & Seller, 2003; Stuffelbean & Shinkfield, 1995; Piggot-Irvine, 2000) state that.

> *One of the dilemmas facing educators then, and now, is the belief that, on the one hand, the evaluation function should lead to professional growth while, on the other hand, it provides a ready weapon for manipulation by administrators.*

Poster and Poster (1995:7) reinforce this point below in their assertion that, no single system can achieve all the potential benefits of appraisal because the climate and circumstances of each organisation differ. In one organisation the climate may favour individual support and encouragement, and at another high achievement and goal orientation.

> *Any single system which tries to combine all the possible benefits of appraisal would probably create such a confused multi-targeted approach with conflicting objectives and resource demands, that it would fail (Poster & Poster, 1995:7).*

Riches and Morgan (1989:194) take this conflict further in their argument that the conflict that exists between the purposes of appraisal is actually between the organization and the individual. These authors give an example of such a conflict:

The individual desires to confirm a positive self- image and to obtain organizational rewards of promotion or pay on one side and the organization wants individuals to be open to negative information about them so that they can improve their performance on the other side (Riches & Morgan, 1989:94). They maintain that as long as the individuals consider the appraisal process to have an important influence on their rewards (pay, recognition) their career (promotion and reputation), and their self-image, they may be reluctant to engage in the kind of open dialogue required for valid evaluation and personal development. This point is emphasized by (Wilson, 1988; Guthrie & Schwoever, 1996; Jones, 1992; Keller, 2007) who maintain that the process of winning acceptance of appraisal is the most difficult problem as the dispute over contract, conditions of service and salary make educators to regard appraisal with suspicion.

Another important factor which may influence educators' attitudes is the principles on which it is based. It has been proposed that schemes should be beneficial, fair, comprehensive, valid, open, practicable and effective in producing change. These are the principles on which the South African DAS is based. So they think that these purposes should always be separated. So what the researcher has observed from the literature review is that purposes of appraisal need to be separated at all times.

> *Any concern with pay or promotion should be removed from the main developmental appraisal process (Riches & Morgan, 1989:188).*

Authors such as (Kleinhenz & Ingvarson, 2002; Furtwengler, 1995) share this view with Stuffelbean and Shinkfield (1995:18) in their assertion that historically, educator evaluation systems have failed to solve this dilemma. They have also failed to provide genuine guarantees of quality. While I agree with this view, it is critical also to note that some schools operate within a market system, hence the importance of rewards.

Based on the illustration presented on the next model by Poster and Poster (1991:8), the researcher seems to suggest that there is conflict in the purposes of appraisal which makes the entire appraisal process difficult to implement. This model is important to the researcher as it explicitly reveals the conflict that exists between the two purposes of appraisal, namely, developmental and professional development. With this model, in figure 2.3 below, the researcher attempts to summarise the above discussion.

FIGURE 2.3: THE FOUR IDEAL TYPES OF APPRAISAL INTERVIEWS MODEL

Active

DEVELOPMENTAL   MANAGERIAL

Individual goals ——————————|—————————— Organisational goals

LAISSEZ-FAIRE   JUDGEMENTAL

Passive
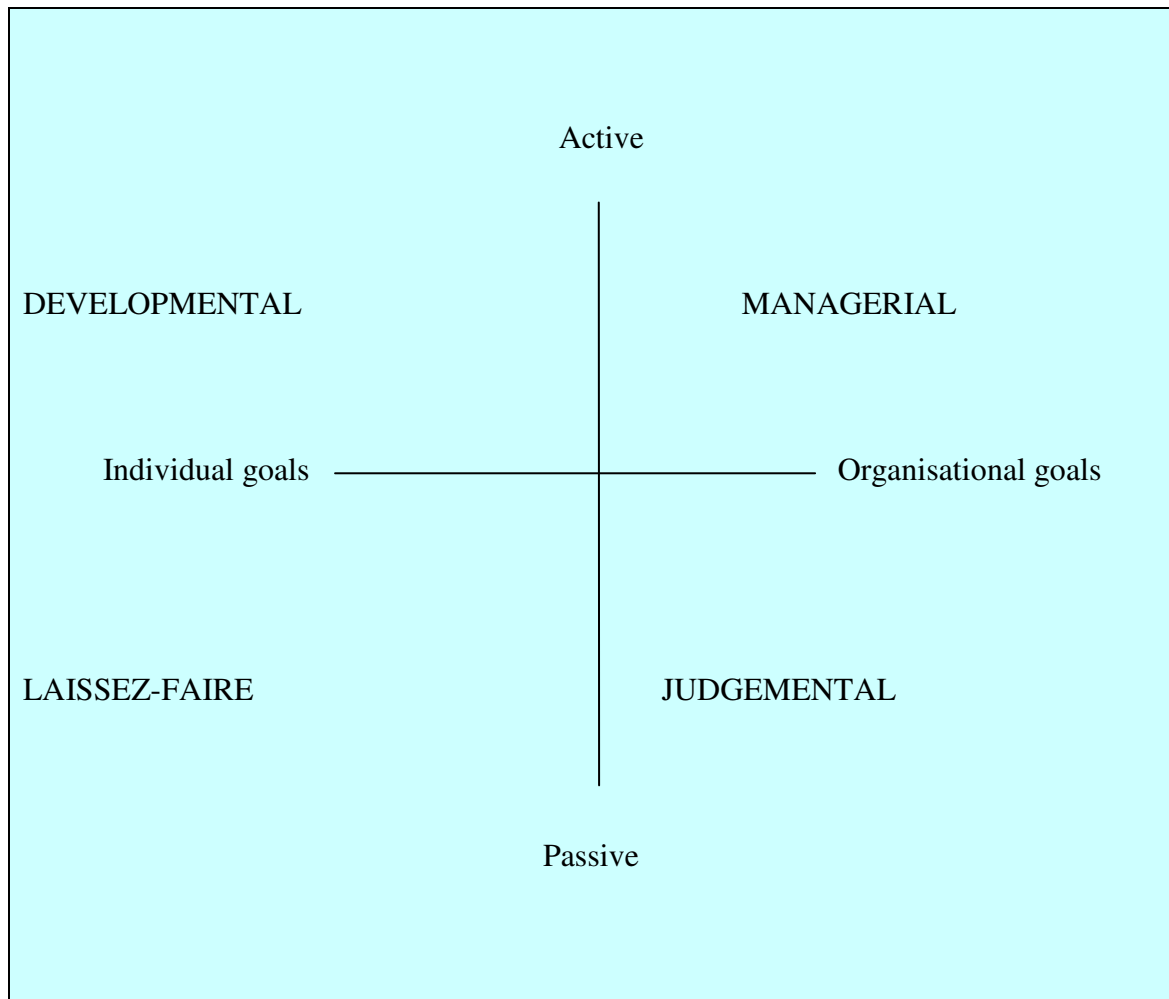
Source: Poster and Poster (1991:8)

Poster and Poster (1991:7) identify what they call the four 'ideal' types of appraisal interviews and they are as follows: developmental, laissez-fair, managerial and the Judgemental interviews. The key features of the four basic types are shown in the model illustrated above.

The authors argue that the horizontal axis denotes whether the emphasis is on an individual or organisational goals: that is, whether the main concern is for the growth of the individual as a means to organisational development or whether the interests of the organisation are paramount. The vertical axis indicates the extent to which management sees itself as playing a proactive role: that is, whether its concern is the setting of objectives or performance targets and the identification of training needs.

What the researcher may deduce from this model is the fact that the developmental interview seeks to produce agreed programmes for long term professional development. There is laissez-faire leadership style which encourages the educator to develop by himself or herself.

Another important interview depicted by this model is the Judgemental one. With this interview, the manager is the one responsible for motivating the educator and it is done for merit rating and performance related pay. This is the aspect which always brings controversy in appraisal as educators rate themselves high so that they can get merit awards.

Although there is individual autonomy, there are some flaws because not all the educators are wholly capable of judging their capabilities, strengths and weaknesses.

Nevertheless, this model has strengths and these are as follows:

❖ It emphasises individual responsibility although it may place excessive reliance on the ability of the individuals to make Judgement; and
❖ The right polarity may be highly effective in setting institutional goals.

2.2.5   THE ASSOCIATION BETWEEN EDUCATOR APPRAISAL AND STAFF DEVELOPMENT

Appraisal is considered by Holly and Mcloughlin (1989:293) as a vehicle for the professional development of the educators. Appraisal contributes to professional development as it enables the educators to look deeper into their work and it enables them to learn from others. Professional appraisal needs to be connected with educator development if the process is to be authentic and focused on professional growth (Hannay et al., 2003:2).

In the same breath, some authors like (Duke, 1995; Stuffelbean & Shinkfield, 1995; Kleinhenz & Ingvarson, 2002; Stiggins & Duke, 1998) concur with one another that the overarching purpose of educator evaluation is to ensure that learners are well taught. This purpose embodies two categories: to improve educator's work by helping them to keep abreast of the latest developments in their subjects and to guarantee teaching quality (Duke, 1995; Barker, 1988; Jones, 1992; Hoyle, 1980).

Numerous authors have postulated different models to show the importance of linking appraisal to staff development. These two terms co-exist, as one cannot happen without the other. Educators need to be appraised so that their developmental needs can be identified and be catered for during staff development. Authors like (Coerns & Jenkins, 2000; Cooper, 1992) believe that, to improve the whole, one must improve the parts. It is therefore indicative of the fact that if the individual performance is improved, then the performance of the entire staff will improve. The following are examples of such models:

2.2.5.1   THE HEWTON MODEL

The researcher has included the Hewton model below in figure 2.4 as it has all the essential components for staff development, despite the fact that they seem not to complement one another, based on the structure. All the relevant stakeholders and the aspects which are relevant for development are included.

FIGURE 2.4: STAFF DEVELOPMENT WITHIN THE CONTEXT OF THE SCHOOL

WHOLE SCHOOL

STAFF   STAFF DEVELOPMENT COMMITTEE   PUPILS

INDIVIDUAL   GROUP

CURRICULUM
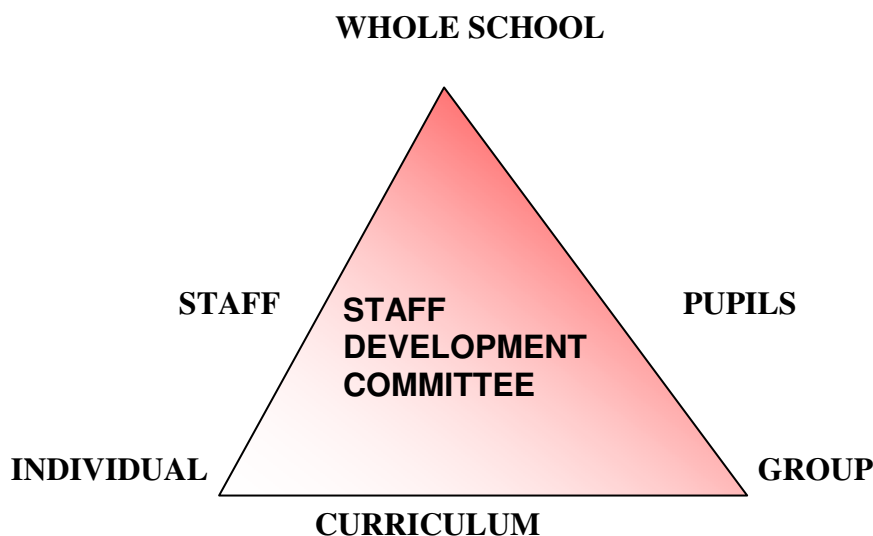
Source: Hewton (1988:119)

Hewton (1988:9) argues that staff development deals with staff, and this according to him, encompasses both the individual and the educators as a collective that form the main workforce of the school. According to Hewton, the primary aims of staff development are two fold, namely, to benefit the learners as well as educators. These two aims are intertwined because, if the educator's environment is conducive to learning, then learners will benefit.

The triangle by Hewton (1988:120) signifies the main parties in staff development, namely, individuals, groups and corporate rights (whole school). The three sides of the triangle signify the main elements involved in the process of learning, namely, the staff, pupils and the curriculum. The aim of the model is basically to increase the quality of pupil learning by developing the potential of the staff.

There are two distinct purposes of this model and they are: *"to make the professional development a right and a responsibility of all staff and a responsibility of management".* The second purpose of this model is to *"co-ordinate individual and whole school in-service education and training in order to respond to the needs of the school in the search for best practice and to meet the challenge" (Hewton , 1988:120).*

The link between appraisal and staff development is further supported by (Bollington & West, 1990; Coerns & Jenkins, 2000; Hannay et al., 2003) in their contention that appraisal should not be seen as a separate activity, but should rather be seen as a *"vehicle which can help the school and the educator to plan, prepare for and implement other major initiatives".* The implication of this assertion is that, appraisal should not be an isolated activity but rather a collaborative activity (Hannay et al., 2003:123).

Bagwandeen and Louw (1993:27) maintain that professional growth or development is interchangeably used with In-service Training (INSET) and staff development. According to these authors, professional development and INSET always overlap as it is very difficult to separate the two. Hoyle (1980:42) believes that professional growth or development is a complex human task, requiring a climate that is conducive to learning and change and, like INSET, should be based upon clear goals and objectives.

Authors like (Paine and Sedlak, 1995; Hartley, 1991; Mondy et al., 2002) contend that staff development starts from the clarification of the individual's needs. The process of identifying the needs of individual educators is concerned with helping educators who are basically competent to develop that competency further. The analysis of these needs can be done by self evaluation, peer evaluation or by the supervisor or a combination of both. The process of needs identification as argued by Hartley (1991:107), should be objective and can be done through the system of appraisal. Furthermore, the responsibility for the professional growth

or development of educators should be a shared responsibility for all concerned with education. This suggests a holistic view to educator development as a strategy.

The researcher opts for the conceptualisation of the integrated approach model postulated by Millman and Darling-Hammond (1990:167), illustrated in figure 2.5 on the next page as the word integration features prominently in the various spheres of the South African education system. This model signifies a multi-dimensional process in which all the components of an effective school are integrated.

2.2.5.2   MILLMAN AND DARLING-HAMMOND MODEL

FIGURE 2.5: THE TEACHER EVALUATION CYCLE: AN INTEGRATED APPROACH
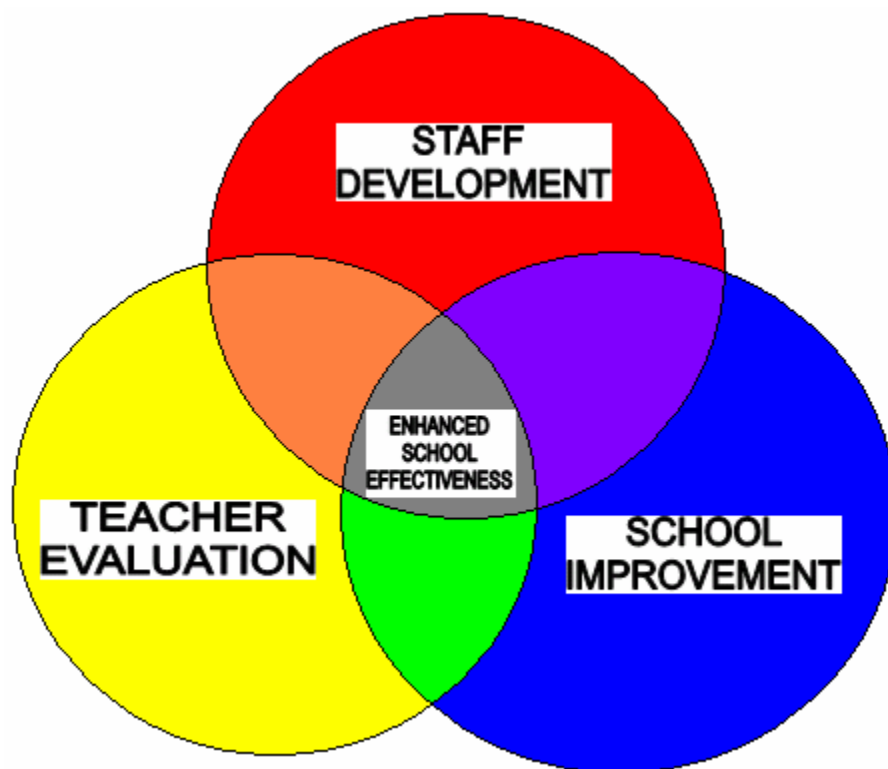
Source: Millman and Darling-Hammond (1990:167)

The diagram by Millman and Darling-Hammond (1990:167) is important to the researcher as it illustrates the integration of teacher evaluation, school improvement and staff development in educator development. This simply shows that all these aspects are indispensable to one another.

Literature review (Millman & Darling-Hammond, 1990; Jones & Mathias, 1995; Horne & Pierce, 1996; Jackson, 1971; Wragg, Wikeley; Wragg & Hayne, 1996) suggests that staff appraisal should always be integrated with staff development. Staff appraisal (educator evaluation) staff development and school improvement are integrated so that one cannot happen without the other. School improvement depends on a staff development policy and programme that balances the needs of individual educators with those of the school as an organisation. Staff appraisal should always be embraced within a coherent staff development policy in order for it to be effective.

Authors like (Lacey, 1995; Millman & Darling-Hammond, 1990) hold the view that appraisal for school improvement enables educators and schools to identify specific aspects of performance for development and to improve teaching. Lacey (1995: 11) goes further to say that appraisal for improvement encourages educators to identify specific areas of their teaching practice for focussed improvement.

The school's objectives should always be linked with appraisal so that **"*the professional development targets arising from appraisal may be related to agreed tasks and targets in the developmental plan"*.** It is therefore important that appraisal should always support the developmental planning and vice-versa.

Elam, Cramer and Brodinsky (1986:5) extend the above argument by mentioning that staff development is any school activity that is intended, primarily, to prepare staff members for improved performance. This encompasses "the activities carried out by an individual with the intention of advancing the individual's professional stature and performance on the job".

Finally, since the quality of learning depends, to a large extent, on the quality of teaching, it is evident that educator evaluation or appraisal is essential for the basic functionality of the school.

2.2.6   GENERAL AREAS FOR THE PROFESSIONAL DEVELOPMENT OF THE EDUCATOR

The following authors (Duke, 1995; Stuffelbean & Shinkfield, 1995; Kleinhenz & Ingvarson, 2002; Dean, 1991; Milliman & Darling Hammond, 1990, 2000), have identified the following

five general areas in which the professional development of the educator occurs:

- ❖ Instructional development emphasises the development of skills involving instructional technology, micro- teaching, media courses and curriculum;

- ❖ Organisational development emphasises the needs, priorities and organisation of the institution;

- ❖ Career development emphasises the preparation for career advancement;

- ❖ Personal development emphasises interpersonal skills and the individual growth; and

- ❖ Professional development emphasises growth of individuals in their professional roles.

2.2.6.1 ORGANISATIONAL DEVELOPMENT AS AN AREA FOR THE PROFESSIONAL DEVELOPMENT OF THE EDUCATOR

With regard to organisational development, appraisal provides an opportunity to have personal training needs examined so that appraisers can develop their skills, perform more efficiently and gain the benefits of doing a good job. It provides individuals with the opportunity to have their training needs formally assessed (Moon, 1997; Albert, Wayne & Cascio, 1982; James, 1991; Protheroe & Paik, 2002). Appraisal should always support development planning and vice-versa. The school's objectives in a particular year should be linked with appraisal so that, for example, professional development targets arising from appraisal may be related to agreed targets and tasks in the development plan (Horne & Pierce, 1996:96).

2.2.6.2 CAREER DEVELOPMENT AND INSTRUCTIONAL DEVELOPMENT AS AREAS FOR THE PROFESSIONAL DEVELOPMENT OF THE EDUCATOR

Career development; instructional development and professional development aspects will be handled simultaneously due to the fact that it is very difficult to separate them as they are always intertwined.

On the issues of career development, professional development and instructional development appraisal can make the need for training more pressing and relevant by linking it clearly to performance outcomes and future career aspirations. The following authors (Bagwandeen & Louw, 1993; Henderson, 1981; Webb, 1994; Vakalisa & Mashile, 1999; James, 1991) hold the view that there is a need to know where educators are in their career development in order to plan appropriate professional development activities. This implies that the state of development to which his or her past experience has brought him or her is the base for his or her future development. Appraisal is one aspect that can make this needs identification possible.

According to their research findings, (Bagwandeen & Louw, 1993; Bagwandeen, 1999) needs are different during various career stages and, thus, various support systems and organisational policies should be carefully examined to assist educators with personal needs and problems at different phases of their career cycle. This means that the career cycle concept provides the context in which professional development can occur.

It is therefore important that in-service education (INSET) should be done in such a way that it provides for the needs of educators at various stages in their careers. In an ideal situation, educators should be responsible for their own in-service education and through this, for their personal and career development. The following authors (Bagwandeen & Louw, 1993; Bradley, 1991) refer to the 'seven stages of teaching' as stretching the educator's professional life from college entry until retirement. Bradley (1991:9) expresses the view that primary school educators have different needs as compared to their secondary school colleagues. However, for this purpose, the educator's needs as postulated by Morant (1981:6-12) will be explored. Table 2.2 on the next page as suggested by (Bagwandeen & Louw, 1993; Morant, 1981) may be used as reference to analyse various stages of the educators' professional needs.

The model which follows is important to the researcher as it reveals the educator's professional needs which are often disregarded when appraising and developing educators, particularly in the RSA.

TABLE 2.2: EDUCATORS' PROFESSIONAL NEEDS

1	*Period of probation at the start of a career.*	*INDUCTION NEEDS*
2	*Adjustment period immediately following the appointment to a new post.*	
3	*Early career period; serving as a subject or class educator*	*EXTENSION NEEDS*
4	*Middle career period; serving as the head of a department, etc.*	
5	*Later career period; serving as a deputy head or head.*	
6	*Period towards the end of a gap in a career.*	*REFRESHMENT NEEDS*
7	*Period prior to the teaching of a subject or age-range not taught for a long time, (e.g. since teaching practice)*	
8	*Period of excessively repetitive professional experience (e.g. the same post, the same school, similar type of children)*	
9	*Period prior to internal redeployment*	*CONVERSION NEEDS*
10	*Period prior to external redeployment*	
11	*Period of anticipated promotion*	
12	*Period of ante-retirement*	

Source: Morant (1981:7)

2.2.6.3   EDUCATORS' PROFESSIONAL NEEDS

The educators' professional needs model by Morant (1981:7), examines educator's professional needs at various stages mentioned in the figure above. The nature of professional

development, according to (Holly & Mcloughlin, 1989; Bradley, 1991; Jarvis & Parker, 2000; Plant & Turner, 2005), vary, depending upon where one is in one's career.

Career development opportunities and programmes, according to Bush and West-Burnham (1995:21), are affected, to a large extent, by technological, organisational and individual changes. There is tendency in management to treat educators as identical rather than individuals who are in different stages of adult growth. The reason for this statement is that educators receive similar in-service workshops and are subjected to the same observations methods and assessment strategies (Glickman, 1990; Bush & West-Burnham, 1995; Murray, 2005; Snook, 2003).

2.2.6.3.1   INDUCTION NEEDS

According to the following authors (Horne & Pierce, 1996; Boyd, Grossman, Lankford, Loeb & Wyckoff, 2005), a carefully planned and extended period of staff development, is important for newly qualified educators. They maintain that newly qualified educators must be provided with the following:

❖ Educators' support and guidance;
❖ Professional coaching on the job; and
❖ Time to discuss issues of importance or concern or time to reflect.

The newly qualified educator has particular needs in progressing from initial training to a fully professional status (Bagwandeen & Louw, 1993; Boyd et al., 2005; Murray, 2005). Early job experience, according to Hall (1987:35), are important to later success or future career, as early job environment motivates the employee and gives the employee the opportunities that lead to better opportunities.. The mentor or educator allocated the responsibility for their staff development is an active partner in this development and shares the responsibility for planning and evaluating the quality of dialogue and learning. The mentor can be seen as a surrogate appraiser for the initial induction of any qualified educator (Achinstein & Athanases, 2006; Ingersol & Kralik, 2004; Paine, 2003).

Morant (1981:7) contends that:

New educators rarely begin their teaching service at the peak of efficiency.

Therefore, one of the cornerstones of career-long educator education is a well-developed programme of induction into the profession. (Hall, 1987; Bagwandeen & Louw, 1993; Glickman, 1990, 2002). Glickman (1990) defines induction as follows:

The time it takes for a beginning educator to make the transition from student of educator training to educator.

2.2.6.3.2   EXTENSION NEEDS

Authors like (Morant, 1981; Bagwandeen, 1991) point out that an educator, who has occupied a position in a school for several years, may have overcome most of the difficulties he may have encountered in his earlier period of teaching. Consequently, such a person will be in a position to extend his professional and academic horizons by relating his existing situation and acquired experiences to the general interests of the school and education service. For example, an educator who has been teaching for years, and, therefore, being conversant about all the school's programmes, may want to learn more about management and administration in order to extend one's skills.

On the other hand, this is not often the case in real practice. Understandably, the individual educators' INSET needs will be varied and substantial. If an educator is at an early stage of his career, his needs might be the reinforcement of academic knowledge and subject didactics. Should he be in the middle of his career, his INSET propensity might be towards a better grasp of curriculum theory or a better understanding of the principles of school management. If the educator is in a senior management position, INSET activities might be associated with school management, evaluation or the knowledge of administration.

2.2.6.3.3   REFRESHMENT NEEDS

According to Murray and Male (2005:128), staff development and appraisal scheme applies to all staff and not simply, to those seeking promotion and advancement. Professional up-dating and training is necessary to maintain and improve performance within the current job as well as to help with career development. Educators, who are confronted with change and

uncertainty, need to be adaptive (Hall, 1987:21). According to Morant (1981:84), educators' refreshment needs are varied, as there are some who may be returning to the classroom after a period of absence from teaching. These educators may need some updating in terms of methodology and subject matter. In other cases, educators may have occupied the same post for a considerable length of time. It is, therefore, important that such educators be developed in order to make their movement smooth.

2.2.6.3.4   CONVERSION NEEDS

The organisational and technological changes may force educators to convert their needs, as they will need new competencies (Morant, 1981; Hall, 1987). According to (Morant, 1981; Hartley, 1991) educators who have been promoted in schools, may experience conversion needs if they have not received previous preparation for the new work. Such adjustments may involve 'external redeployment' within the education service, for instance, when an educator who was initially educated for primary work is moved to a secondary school. This is the case in South Africa whereby educators were redeployed from either a high school to a primary school and vice versa.

Other important aspects that need to be looked at are the demands of the new curriculum. Due to the changes in terms of new Learning Areas, subject content and new skills that need to be gained, educators need help in order to help them to cope with and manage these. Outcomes Based Education as the new methodology implies that educators need to adapt to learner centred methods of teaching and this can be achieved through retraining because:

> *The offerings have changed, are changing and will continue to change*
> *(Elam et al, 1986:6).*

Elam et al (1986:6).summarize it as follows:

> *Old facts are dying, new facts are being discovered. Old concepts are*
> *becoming obsolete, new concepts are coming to the fore. What educators*
> *learned 15, 10 or 5 years ago may no longer hold true.*

According to (Elam et al., 1986:9) the educational processes are affected by major changes

which take place in education, for example:

- ❖ Student changing;
- ❖ Changing society; and
- ❖ Demands of new skills from learners as they leave school.

All these changes warrant in-service training for educators. Educators should be trained in effective classroom management, teaching and assessment methods in order that they have a greater impact on their learners.

2.2.7 PROGRAMMES WHICH CONTRIBUTES TO THE PROFESSIONAL DEVELOPMENT OF EDUCATORS

Woodrow (1992:25) contends that the professional development should always be related to the educator's work place, that is, his own classroom. The above point is emphasized by (Kleinhenz & Ingvarson, 2002; Winter, 1989, Smith, 1995) who assert that educators learn best when their learning is focussed on the elements of the technical core of teaching and learning. The technical core, according to them, comprises of the central features of teaching and learning, such as knowledge of subjects, knowledge of students and knowledge of how to facilitate student learning. These are features that are articulated in good sets of standards for educators, which also form part of the standards in South Africa.

It is, therefore, important to look at some of the factors that can contribute to educator development. It is also important to note that educators can be developed on and off the school. There are number of programmes that can be conducted in order to develop the educators and they are summarised in the following model in figure 2.6 by Oldroyd and Hall (1991:4).

FIGURE 2.6: APPROACHES TO STAFF DEVELOPMENT MODEL

TYPE A	I	TYPE B
Professional Training	**I**	**Professional Support**

Development of Performance

Peer Support

Structured Learning Activities

Self Development

Cooperative sharing

Collaborative Action and Reflection

Coaching and Consultancy

Expert Support

Development of Performance
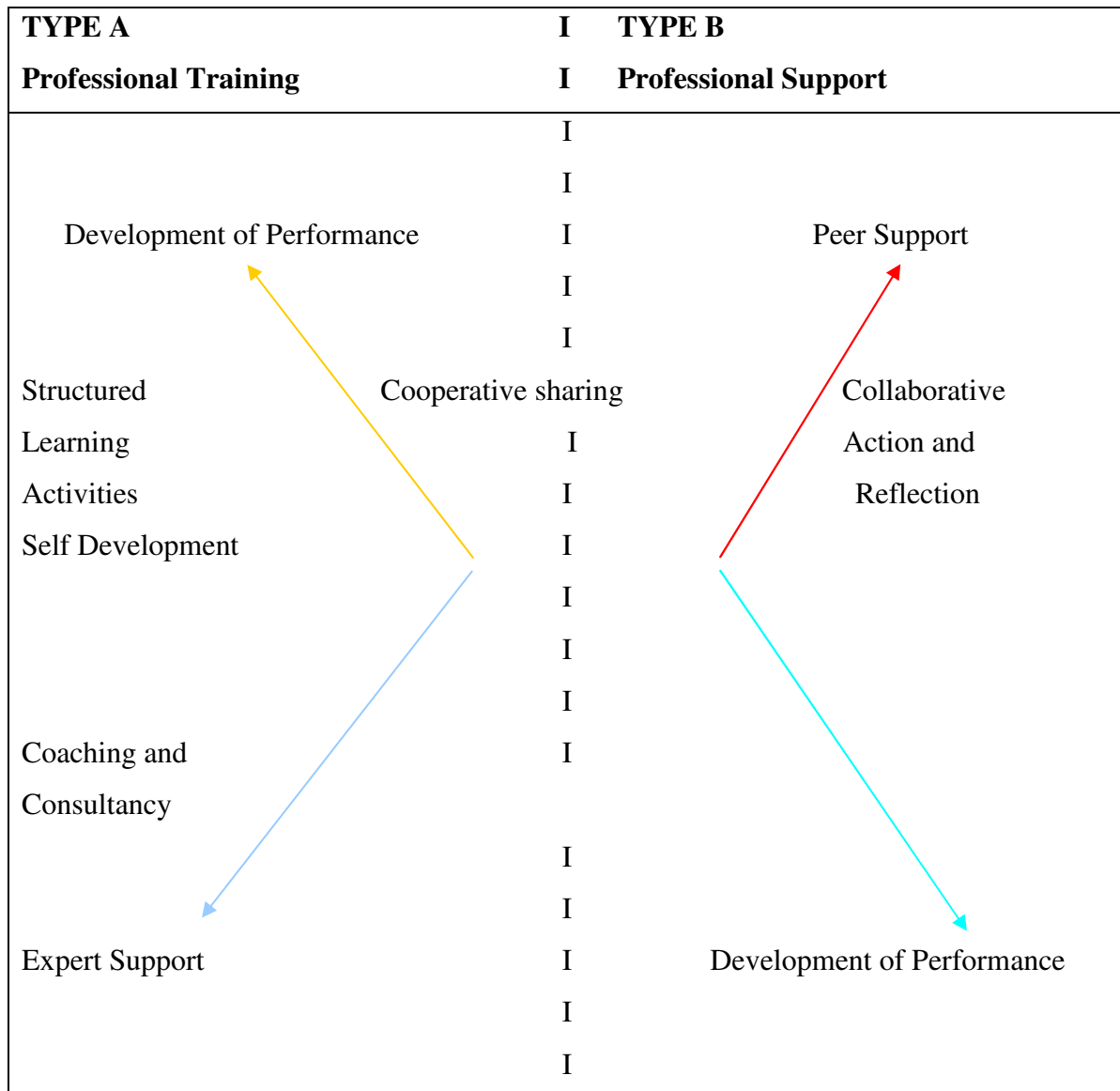
Source: Oldroyd and Hall (1991:4)

(i)   Type A Approach

Type A involves professional training which includes formal learning activities. These can be on or off the job programmes.

❖ **Off the School Programmes**

An example of off the job or off the school programmes can be courses offered at tertiary institutions for educators who want to register for advanced diploma, degree, honours, masters and doctorates. In such institutions, educators are given expert support by their tutors.

However, Oldroyd and Hall (1991:5) have alluded to the fact that these courses taken at institutions, fail to provide the crucial coaching support needed for transfer of training into daily work in schools. The implication of this statement might be that educators may chase papers by doing courses which are irrelevant to what they do in their classrooms.

There are also on the job activities, which fall under Type A approach. Examples of such activities are workshops and seminars, where educators can be trained in the following topics: management, planning, finance, communication, subject content, new methodologies and others. These programmes can either be short or long-term courses which are non-accredited or accredited (Oldroyd & Hall, 1991; Bagwandeen, 1999; Worthen, 1987).

❖ **On the School Programmes**

There are professional support activities, within the school, aimed at developing on the job experience and performance. These may include the following: job rotation, peer coaching, collaborative action research, departmental review, lesson observation and individual appraisal (Oldroyd & Hall, 1991, American Federation of Teachers, 2007).

Bagwandeen (1999:75) contents that staff conference, weekly sessions, simulation, role playing activities and case studies are part of the school focused INSET. These activities focus on improving performance through reflection and experimentation. Examples of on-the school programmes are as follows:

Cooperative sharing and support: This has to do with educators who work together. This involves peer-supported development of performance. Educators sit together to share and discuss matters of common interest so that they can have common understanding of matters of policy imperatives as Oldroyd and Hall (1991:5) state. This model is based on the premise that through collaborative work, worthwhile learning will occur (Tallerico, 2005:40).

Cooperative sharing and support can take the following form: curriculum development committees and study groups wherein educators learn together about a topic of mutual interest.

With regard to **Coaching and Consultancy,** subject specialists may observe educators in practice so that they can be coached on how to teach effectively. There may also be management consultants for the development or empowerment of senior management teams. Educators may participate in workshops whereby experts train them on how to implement new reforms, subject updating, as well as, to learn how to use computers in the classrooms, that is e-education also known as white paper 7 [7]. Tallerico (2005:45) assert that when educators are well trained, new skills and strategies will be learned.

(ii) Type B Approach

The type B approach is the **self-development programme**, which encompasses structured reflection in practice, on the job investigation and action research. According to this model, educators define and direct their own learning (Tallerico, 2005:38). Oldroyd and Hall (1991:29) assert that the self development programmes have the potential of changing individual performance. This model is grounded on the premise that educators should be left alone as they can be trusted. Examples of such programmes are as follows: reading self selected materials on a teaching strategy; videotaping and analysing one's own classroom instruction; attending a professional conference, etc. (Tallerico, 2005; Richard, 1990).

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[7] White Paper 7 is a policy on e-education. This policy deals with the introduction of Information and Communication Technology (ICT) in schools. It is aimed at creating new ways for teachers and learners to engage in information selection, gathering, sorting and analysis.

SECTION B

The following is an in-depth study of the appraisal systems as implemented in the developed countries such as England, the United States of America and Australia.

2.3 STRATEGIES USED BY DEVELOPED COUNTRIES TO IMPLEMENT EDUCATOR APPRAISAL: LESSONS LEARNT

In developed countries, educator appraisal appears to be taken more seriously by different departments of education. For example, Chetty and Chisholm (1993:22) consider the quality of staff in England to be the country's asset. Thus, the department has devoted considerable resources and efforts to staff development, to ensure the competence of personnel. Management determines that the staff appraisal system and staff development programme are successfully implemented.

2.3.1 THE RATIONALE FOR THE CHOICE OF THESE THREE COUNTRIES: ENGLAND, THE UNITED STATES OF AMERICA AND AUSTRALIA

Although these countries are clearly distinct in terms of size and demography, their democratic beliefs are the same and they are all faced with the same challenges of implementing educator appraisal successfully. Other than that, these countries are multicultural.

Besides sharing the democratic beliefs, Australia and the RSA have similar historical backgrounds: Both countries have recently abandoned racism against the Aborigines and Blacks, Indians and Coloureds respectively.

The Australian educational system, just like that of RSA, is systematically organised into three broad levels, namely, primary, secondary and tertiary. The National curriculum Statement is the curriculum followed in both countries. Eight learning areas are done in Australia just like in the RSA (Shannon, 1993; Darvis, Issitt, Merry, Driessen, Prichard & Simola, 2005; Banks & Banks, 2004).

England and United States of America were selected because they are both developed countries and have made a tremendous progress in the implementation of educator appraisal. They are important to the researcher's study as they provide considerable evidence for the researcher's project. On the basis of the evidence presented, it will be possible for the researcher to make an informed comparison and the necessary recommendations which may benefit the South African appraisal system. It is, therefore, important that our country be compared with the best countries that have made considerable progress in the implementation of educator appraisal, for the purposes of identifying the merits and demerits of their approach.

2.3.2   APPRAISAL IN ENGLAND

The following key elements appear in all the appraisal models studied in England, the United States of America and Australia:

- ❖ Purposes of appraisal;
- ❖ Context of educator appraisal and standards used;
- ❖ The functionaries;
- ❖ The appraisal cycle; and
- ❖ Research findings of studies conducted in the afore-mentioned countries.

In England, a new performance management system for educators was introduced in September 2000. Educators, as well as, head educators are subject to an annual appraisal of performance in accordance with the Education Regulations of 2001 (Education Regulations, 2001:4).

2.3.2.1   PURPOSES OF APPRAISAL

The general purpose of appraisal in England is to encourage and achieve good practice in schools. There is a desire to bring a greater degree of accountability into the public service and the improvement of the professional development of the educators. (Education Regulations, 1991; ATPE news, 2002; Ryalander, 2002).

According to Education Regulations (1991:4), the appraising bodies shall aim at improving the quality of education for pupils, by assisting school educators to realise their potential and to carry out their duties more effectively. In order for this to be realised, appraisal should be able to achieve the following:

- ❖ Recognise the achievement of school educators and help them to identify ways of improving their skills and performance;
- ❖ Identify the potential of educators for career development, with the aim of helping them, where possible, through appropriate in-service training;
- ❖ Help school educators who have difficulties with their performance through appropriate counselling, guidance and training; and
- ❖ To improve schools management.

2.3.2.2   CONTEXT OF EDUCATOR APPRAISAL AND STANDARDS USED

In England, a line has been drawn between the newly qualified educators and experienced educators. There are standards used for the newly qualified educators and those for the experienced educators. There are new induction standards which were introduced in September 2003. These standards are organised into inter-related sections which describe the criteria for the award and they are discussed below.

2.3.2.2.1   PROFESSIONAL VALUES AND PRACTICE

The professional values and practice outline the attitudes and the commitment to be expected of anyone who qualifies as an educator. The standards have been derived from the professional code of the General Teaching Council for England (GTCE) (EDIPED, 2002:12). An example of such standards is that educators in the England must understand the central concepts, tools of inquiry and structures of the discipline. The implication is that the educator must be conversant with the subject/s he or she teaches. The standards are attached as Appendix C (Organisation for Economic Co-operation and Development, 2005; American Federation of Teachers, 2007).

2.3.2.2.2 TEACHING, KNOWLEDGE AND UNDERSTANDING

These concepts are considered important by the education authorities in England. Educators in this country are expected to have the necessary planning, monitoring, assessment, teaching and classroom management skills (EDIPED, 2002:12) in order that learning and teaching can be effective.

Newly qualified educators are expected to be confident and authoritative in the subjects they teach, and to have a clear understanding of how all pupils should progress and what educators should expect them to achieve (American Federation of Teachers, 2007; EDIPED, 2002:12). In a nutshell, educators in England, just like in most countries, are required to have the necessary knowledge, skills and understanding.

2.3.2.3 THE FUNCTIONARIES

According to the Education Regulations (2001:12) or School Educator Appraisal, the governing body of a school must ensure that the performance of educators in discharging their duties in the community, community special, foundation, foundation special and voluntary school, is regularly appraised.

Local Education Authority (LEA) is the appraising body in a nursery school. This body appraises qualified educators in such schools. The same body must ensure that the performance of educators in those schools is reviewed, in accordance with the Education Regulations of 2001.

With regard to the appointment of appraisers for the head educator, the governing body of a school is the one responsible for appointing two or three governors to be appraisers. In addition to this, the governing body of a school shall appoint an external advisor in relation to the appraisal of the head educator (American Federation of Teachers, 2007; Education Regulations, 2001:6).

Head educators are responsible for the appointment of appraisers for other educators.

2.3.2.4 THE APPRAISAL CYCLE

According to the Education Regulations of 2001, the governing body is the one which determines the timing of the appraisal cycle, for the head educator and the head educator, in turn, determine the timing of the appraisal cycle for each educator at a school.

The length of the appraisal process in England is one year. Once begun, the appraisal cycle for every educator shall be continuous. If an educator moves to a post at another school or to a higher post in the same school, the head educator may determine that the appraisal cycle resumes. If an educator becomes an acting head educator, the governing body may determine how the appraisal cycle shall begin again, and the educator is appraised as a head educator. This is to give the appraisee the chance to be appraised, according to the regulations of the new post (Education Regulations, 2001:8).

2.3.2.5   APPRAISAL PROCEDURES IN ENGLAND

The following are the appraisal procedures followed in England:

- ❖ The planning phase during which the objectives are set to determine how the appraisal process is to get off the ground. It also sets the scene for classroom observation;
- ❖ The appraisal phase which entails classroom observation; and
- ❖ Post appraisal phase during which the appraisal results are extensively discussed.

2.3.2.5.1   PLANNING APPRAISAL AND SETTING OF OBJECTIVES

In the case of the appraisal of the head educator, his external advisers and appraisers meet at the beginning of the cycle to plan and prepare for the appraisal and to agree on the objectives which will include objectives related to the following: -

- ❖ School leadership and management; and
- ❖ Pupil progress.

If there is no mutual agreement about the objectives, the appraisers shall set the objectives for the head educator. The objectives will, then, be recorded in a written statement of objectives. However, the head educator may add or comment on the objectives.

The same will happen with the appraisal of the educator in which he or she should meet with his or her appraisers in order to plan and prepare for appraisal and to seek to agree on objectives which will relate to the following: -

❖ Developing and improving the educator' s professional practice; and
❖ Pupils' progress

In the case where there is no agreement, the head educator records such objectives as he or she considers them appropriate in writing, and the educator may also add comments in writing (Education Regulations, 2001: 8).

2.3.2.5.2   APPRAISAL

The appraisal phase involves classroom observation to establish the effectiveness of teaching and learning. Classroom observation is considered the most important stage of appraisal in England. When appraising an educator who is not a head educator, the appraiser shall observe the educator teaching on at least one occasion.

2.3.2.5.3   POST APPRAISAL

At the end of the appraisal cycle, the appraiser (s) shall prepare a written appraisal statement, record the main points made by the appraiser (s) and the educator at the interviews and the conclusions reached, and this should be done within ten days of the appraisal observation of the educator in practice. The appraisees and the appraisers will hold an appraisal interview with the object of the following:

❖ Reviewing the educator's performance and identifying his achievements and aspects in which further development has been recommended;

❖ Assessing the extent to which the educator has met the objectives agreed to by the appraisers; and

❖ Identifying training and developmental needs and ways of meeting those (Education Regulations, 1991:10).

After the interviews, the head educator must submit the written report to the governing body about the operation of the educators' appraisal at the school, the effectiveness of the school's appraisal procedures, the training process and the developmental needs of the educators. If an educator is not satisfied about his or appraisal statement, he or she is entitled to complain not later than the end of the period of ten school days beginning with the day on which he first had access to it (Education Regulations, 2001:10).

In the case of a complaint by the head educator as the appraisee, the review officer shall be the chairperson of the governing body, on conditions that the chairperson has not participated in the appraisal process under dispute. If the chairperson was the part of the appraising process, the governing body shall appoint one or more governors who have not participated in the said appraisal process as review officers in relation to such a complaint.

In the case of the complaint by the educator, the head educator shall be the review officer. In cases where the head educator was the appraiser, the chairperson of the governing body will be the review officer.

2.3.2.6   RESEARCH FINDINGS OF THE STUDY CONDUCTED IN ENGLAND

A number of authors have conducted research on educator appraisal in England. Among those researchers are Wragg, Wikeley, Wragg and Hayne; Bartlett; Bollington and West; Millman and Darling-Hammond. These research findings are important as they provide the basis for conducting research in the RSA. Their findings are discussed as follows:

❖ **SCHOOL ORGANIZATION AND THE USE OF TIME**
Wragg et al (1996:124) maintain that school organisation in England proves to be a vital factor in how educators experienced appraisal. According to them, some schools had no appraisal management structures whereas others had. According to their findings, not all schools have appraisal policy or structures in place. The absence of a systemic approach to the appraisal process points to the complexity of implementing appraisal.

They note that in some schools, the appraisal process did not work well at all and the staff was left feeling that they had very little to do to influence the events. Wragg et al. (1996:124), further reveal that in one of the case study schools, namely, Bigchester College, an appraisal co-ordinating team was set up, but its senior management, in particular, the two deputy heads controlled the timetable of each process. Appraisal meeting times were imposed, as a result; appraisers and appraisees felt that they were given no choice as to when these meetings should take place and which of their own lessons they would miss. They cite one of the examples of the responses they got from one educator below:

> *Students losing teaching time-personally I see that as the most worrying of all. It should not be at the cost of the students. I have found on several occasions that I have been timetabled for some or other part of appraisal, when I had one of my last few extremely valuable lessons with Year 11- for their oral* **(Wragg et al., 1996: 124).**

These findings further indicate that the appraiser and the appraisee have lost confidence in the process as appraisal was 'done' to them rather than in terms of being full participants in the process. In order to avoid this scenario, the national department of education developed the guiding principles which may serve as a point of departure for the implementation of the developmental appraisal system in RSA. These principles are democracy, transparency and inclusivity.

❖ **MATCHING APPRAISERS AND APPRAISEES**

Wragg et al. (1996:125) also identified the appraiser-appraisee relationship as being pivotal to the success of the appraisal process as indicated by educators who were sampled in their study. According to the findings of the study, some educators prefer to choose their own appraisers to avoid to be appraised by someone they perhaps have a personality clash with, or they do not have mutual respect. Most interviewees regarded professional respect as being a key criterion when choosing an appraiser. For example, some saw excellence in classroom practice as being imperative. One educator while being interviewed responded as follows:

' you got to admire the person who' s going to appraise you, because if you reckon he is a rotten educator it means you would not listen to a word he said'.

Wragg et al. (1996:125) assert that appraisers should have a good level of knowledge and understanding of the context, especially of the subject and age group within which the appraisee worked. This is very important for the enhancement of the appraisal process.

Another researcher was Bartlett (2000:24) who supports Wragg et al. (1996:124) in his statement that the initial attempts by management to rationalise and control the work of educators might not always have been totally successful. When appraisal was introduced in England and Wales, its primary aims were to assist in the following:

❖ Schools educators in their professional and career planning; and
❖ Those responsible for taking decisions about the management of the school.

In evaluating the introduction of appraisal in England, Bartlett (2000:30) further indicates that some benefits were made in terms of improved management of schools and the professional staff development. However, these benefits were limited to the minority of schools. There was general concern regarding the quality of appraisal and their effectiveness. Bartlett (2000:30) states that appraisal in the vast majority of schools, was not integrated into the whole school planning process.

Another study was the School Educator Appraisal Study (STAPS) conducted by Bollington and West (1990:1-3) in England. The findings of this study indicated that educators had mixed feelings about the purposes of appraisal both what these might be and whether they could be practically achieved. It is, therefore, important to consider the purposes which can be served by staff appraisal to reassure educators from the outset, and to establish the real benefits which appraisal can offer to educators and to schools, and, therefore, ultimately to pupils.

❖ HOW EDUCATORS PERCEIVED THE PURPOSES OF APPRAISAL

A critical scholarly review indicates that, in England, a clear distinction is made between the purposes of appraisal, namely, for professional development and for accountability (Duke, 1995, Poster & Poster, 1991; Ary, Jacobs, Razavien, 2002).

Research has indicated that even though educator appraisal appears to enjoy the financial support from different departments, this is still viewed with suspicion by some educators as they feel that they have little control over events. This is the view of the School Educator Appraisal Study (STAPS) conducted by Bollington and West (1990:1-3) in England.

According to Millman and Darling-Hammond's (1990:128) research findings, educators complained about the fact that evaluation activities consume so much time that there is little opportunity to attend to the professional development or growth. They highlight this point further by indicating that the evaluation systems that mix accountability for minimum standards and professional growth, may present too much risk for the competent educator. Firstly, it is risky to tackle a challenging professional goal. They assert that there is always the risk of failure, and the greater the challenge, the greater the chance of failure. These risks may lead competent educators to play safe, subjecting themselves only to forms of evaluation based on standards they easily exceed and avoiding the potential pitfalls of growth-oriented evaluation. They further mention that, unless these issues of time and risk are addressed in a systematic manner, they will remain sceptical about the possibility that one evaluation system can serve both growth and accountability purposes.

Horne and Pierce (1996:126) endorse the afore-mentioned idea by stating that the appraisers are deemed to have the ability, experience and credibility to carry out the function. According to them, when educator appraisal began, there were schools where only the head educator and deputy were seen as being in a position to appraise. Ironically, the head- educator and deputy in those schools were often seen by everyone else as being unfit to appraise.

2.3.3   APRAISAL IN THE UNITED STATES OF AMERICA

This section entails the research findings of the study conducted on educator appraisal in the United States of America.

2.3.3.1   PURPOSES OF APPRAISAL

The aims of educator appraisal in the USA are to empower educators professionally and to make them accountable. Educators are appraised in order to raise salaries of accomplished educators. Those educators who do not perform well will then be legible for dismissal or demotion.

2.3.3.2   CONTEXT OF EDUCATOR APPRAISAL AND STANDARDS USED

Duke (1995:181) indicates that new educator evaluation policy in the U.S.A has differentiated between beginning and experienced educators. He considers this aspect to be a fundamental weakness in many traditional policies as they failed to separate their approaches in evaluating novices and veterans. This is what the South African education system failed to do, as there is presently a set of criteria, which, is common to all the educators, irrespective of their experience.

The standards in the USA are different in terms of where the educator is in his career. This simply means that standards differ in terms of educator development. For instance, there are standards for the National Board for Professional Teaching Standards (NBPTS), which are standards for highly accomplished educators.

The interstate new Educator Assessment and Support Consortium (INTASC) provides educators with standards for beginners. Both the NBPTS and the INTASC are subjects specific.

Praxis III, which is for beginning educators, uses classroom observations.

2.3.3.3   THE FUNCTIONARIES

Kleinhenz and Ingvarson (2002:11) indicate that the most effective models of educator evaluation uses peer appraisal in the USA and these are discussed as follows:

2.3.3.3.1   THE NATIONAL BOARD FOR PROFESSIONAL TEACHING STANDARD (NBPTS)

In the NBPTS, the educators of accomplished practice apply to be assessed by the Board. Assessment is therefore carried out by specially trained peer assessors who are themselves Board Certified educators of accomplished practice. The NBPTS according to the following researchers (Lustick & Sykes, 2005; Humphrey, Koppich & Hough, 2005; Cavalluzzo, 2004), is an effective standard based on the professional learning opportunity as it has helped science educators with the required subject knowledge.

However, the research conducted by Allison et al (1996:8) on the effectiveness of the NBPTS on student learning yielded different results, as it indicated that such an organization failed to raise student academic progress.

2.3.3.3.2   THE INTERSTATE NEW EDUCATOR ASSESSMENT AND SUPPORT CONSORTIUM (ITASC)

The National Board for Professional Teaching Standards (INTASC) is regarded as a major national programme that facilitates collaboration among states in the development of standards for licensing new educators. It articulates ten common core principles that set out to define the knowledge, dispositions and performances necessary for a learner-centered approach to teaching. There are sub-committees consisting of highly experienced and knowledgeable educators of different subjects and researchers from across the country who translate the ten core principles into 'Standards for Beginning Educators' of a particular subject. Assessors receive similar training as the one offered to the NBPTS assessors (Kleinhenz & Ingvarson, 2002; Loeb, Elfers, Plecki, Ford and Knappp, 2006).

2.3.3.3.3 PRAXIS III

Praxis III is a framework of standards for guiding educator learning during induction and assessing the performance of beginning educators. This is used for licensing new educator. The Praxis III uses trained assessors as well.

However, the Praxis III is generic and not subject specific like the INTASC and NBPTS. The first two models use portfolios and assessment centre exercises while the Praxis III peer assessors use classroom observations (Kleinhenz & Ingvarson 2002:12).

2.3.3.4 APPRAISAL PROCEDURES IN THE USA

The process includes classroom observation where an educator is observed teaching. In the case of an educator appraised through the use of portfolios, the educator portfolios will be assessed.

2.3.3.5 RESEARCH FINDINGS OF THE STUDY CONDUCTED IN THE USA

❖ **HOW EDUCATORS PERCEIVED THE PURPOSES OF APPRAISAL**

According to the findings of the study conducted in the United State of America by Duke (1995:175), most educators were in favour of the professional development purposes. Among the specific purposes associated with professional development and the percentage of educators who opted for these were the following:

❖ *To guide improvement of teaching skills (81%);*
❖ *To recognise and reinforce teaching excellence (70%);*
❖ *To help educators focus on student outcomes (62%) and to plan in-service education activities (51%.); and*
❖ He has pointed out that much smaller percentages of educators supported the accountability purpose (Duke, 1995:175).

Duke (1995: 175) says that the reasons put forward by educators for being against the accountability purpose are that, if relatively few educators are incompetent, focus will be on

accountability and getting rid of poor educators and this can have a negative impact on the educators and destroy the morale and siphoning off scarce resources that could be used more productively to promote growth**.**

Angrist and Guryan (2005:18) argue that, too much emphasis on the evaluation of individuals for accountability purposes, fosters an unproductive climate of fear and detracts from the establishment of collective responsibility. Authors like (Angrist & Guryan; 2005; Duke, 1995) acknowledge that although accountability is a legitimate and legally required purpose of educator evaluation, researchers have been unable to offer much evidence to suggest that the accountability purpose has been well served by educator evaluation practices.

❖ RESOURCES FOR EDUCATOR EVALUATION

The other concern involves money. Schooling is run like a business and tax payers complain that costs keep rising without commensurate gains in student achievement. They expect to see tangible improvements for their increased contributions and when these are not forthcoming, they question the process by which educators are evaluated (Duke, 1995; Keller, 2007; Clinton, 1998).

According to Duke (1995:178), the North Carolina's experience with merit pay illustrates how resource issues impact the formulation of educator evaluation policy. In Washington and Great Britain, studies conducted by Duke (1995:178) indicate that lack of resources impacted negatively on the implementation of educator evaluation. In Great Britain, educator evaluation slowed when politicians judged the cost of evaluation training and professional development for educators to be too great. Duke (1995:179) asserts that politicians were most willing to invest in educator evaluation when the focus was accountability as they support the idea of rewarding excellent educators and training administrators to get rid of poor educators.

Scribbins and Walton (1988:12) maintain that the main problem is the funding of classroom observation. *"**How are schools with all their staff engaged in full time teaching supposed to find someone to teach the appraiser's class while he is observing an appraisee?**"* They say that some secondary schools may solve the current problem if colleagues cover for each other but this goodwill may not last forever.

Fiddler and Cooper (1991:136) assert that the introduction of any change into an organisation has resource implications, and these really need to be fully taken into account. In appraisal it is necessary to calculate, not only the possible financial costs of initial training and follow-up support, but also the time involved in the process of change. Seemingly the Department of Education in the RSA has not done enough to support appraisal with the necessary human and financial resources. To exacerbate the matter, educators are not allowed to attend developmental workshops during school hours and this is really disturbing.

In supporting the money issue, Horne and Pierce (1996:10) maintain that a further aspect of cost is the funding of the outcomes of appraisal. It could be argued that appraisal outcomes should lead to clearer identification of development and training needs. If this is the case, it should also lead to more targeted expenditure.

2.3.4 APPRAISAL IN AUSTRALIA

2.3.4.1 PURPOSES OF APPRAISAL

The purpose of educator appraisal, according to Kleinhenz and Ingvarson (2002:24), is to empower educators, by evaluating their teaching practice and providing guarantees of quality. Evaluation is done with a primary focus on student achievement and safety.

Evaluation is also done with the intent of recognizing truly exceptional classroom educators by supplementing their salaries. According to the Education Accountability and Quality Enhancement Act of 1999 (EAQEA, 1999:298), passed by the Virginia General Assembly, supportive strategies are to be offered to educators to become more productive and educationally accountable.

In a nutshell, the purpose of appraisal in Australia encompasses development, career development, accountability, mentoring and it is for the school improvement (EAQEA, 1999: 295).

2.3.4.2 CONTEXT OF EDUCATOR APPRAISAL AND STANDARDS USED

The approach to standards in Australia, as (Cumming & Jasman, 2003; Harris & Fidler,

2004) argued, appraisal in Australia is fragmented as there are different standards developed for different states. For instance, there are standards for educators in Victoria, Queensland, South Australia, Western Australia, just to mention a few.

Standards, according to Cumming and Jasman (2003:8), have been developed at a number of levels in order to reflect the degree of expertise and reference acquired by educators throughout their careers. As a result, there are beginning and advanced standards, for both beginning and experienced educators. These standards are in Appendix D and E respectively.

The following is the basic framework as set out by Education Accountability and Quality Enhancement Act of 1999 for the educator evaluation component. This framework is organized by five major categories that reflect primary responsibilities of educational personnel and these are as follows:

The first category involves **planning and assessment,** whereby educators evaluate and provide student with feedback that encourages the former to progress, as well as, to measure student's achievement (EAQEA, 1999:296). For administrators, this category includes responsibilities for assessing instructional programmes and personnel and for planning responsive improvement plans to promote student learning.

The second category deals with **instruction** which encompasses the critical skills that determine the quality of classroom instruction. This includes amongst others, the instructional methodology, classroom management and subject knowledge. For administrators, this category is termed instructional leadership (EAQEA, 1999:295).

The third category is about **instructional leadership** and this gives the principal the idea on how to evaluate educators on the following aspects: student academic progress and the skills and knowledge of instructional personnel which includes instructional methodology, classroom management and subject knowledge (EAQEA, 1999:295).

The fourth category ensures school **safety** and maintenance of discipline by the educators and administrative staff.

The last category is the **learning environment** where educators are to be evaluated on the

classroom atmosphere they create (EAQEA, 1999: 95).

2.3.4.3   THE FUNCTIONARIES

In Australia, educator evaluation is the responsibility of the principal. The entire evaluation process is hierarchical: the principal's performance is appraised by a system level manager, the principal appraises the performance of the assistant principal and senior educators and senior educators and assistant principals, appraise the performance of other educators (ATPE news, 2002; Kleinhenz & Ingvarson, 2002; Harris & Fidler, 2004; Deming, 2004).

Peer evaluation is also practiced in some schools. According to Kleinhenz & Ingvarson (2002:4), most schools in Australia use school-based peer appraisal. In some states like in Western Australia, non-school based peers are used for the appraisal of the level 3 classroom educator.

 Peer evaluation is done in order to give promotion and pay rise for educators who are able to demonstrate outstanding teaching performance. This type of evaluation is based on the portfolio of evidence and a review in which educators make a presentation to other educators who are being assessed. The assessors, in this case, are two trained peer reviewers who are themselves classroom educators.

2.3.4.4   APPRAISAL CYCLE

Educators must complete a twelve months performance cycle during which they are required to demonstrate their competence against the professional standards for their level.

Those involved must attend three meetings with the reviewer: that is, at the beginning of the appraisal cycle, middle and the end of the cycle (Kleinhenz & Ingvarson, 2002:13).

2.3.4.5   RESEARCH FINDINGS AND CONCERNS RAISED DURING THE STUDY CONDUCTED IN AUSTRALIA

The section covers the research findings and concerns raised in the study conducted by Kleinhenz and Ingvarson (2002:13) in Australia on educator appraisal. According to this

research, there is generally disrespect for educator evaluation conducted by principals. The reason is that principals are regarded as inaccurate raters as they do not have the necessary skills and knowledge of subjects.

❖ **HOW EDUCATORS PERCEIVED THE PURPOSES OF APPRAISAL**

The findings of research have also shown that educators are skeptical about whether educator evaluation is effective with regard to educator development. Educators interviewed saw the purpose of appraisal as being more about meeting accountability purpose than the developmental purpose.

The findings of research with regard to the purposes of educator appraisal, tally with the ones done in England and the U.S.A. as educators interviewed saw the purpose of appraisal as being more about meeting accountability purpose than of educator development. Educators felt that appraisal was not effective for improvement as nothing had been done to develop those with weaknesses (Bartlett, 2000).

Another burning issue was the question of standards. They indicated that standards were hierarchical as they were developed by authorities and were, therefore, imposed on them. Literature shows that improvement in educator performance does not occur when systems of educator appraisal are hierarchically managed and implemented (Bartlett, 2000; Scribbins & Walton, 1988).

2.4   A COMPARATIVE STUDY OF THE APPRAISAL SYSTEMS OF THE THREE COUNTRIES: ENGLAND; THE UNITED STATES OF AMERICA AND AUSTRALIA

For comparative purposes one needs to consider the aspects of educator appraisal such as the purposes of appraisal; the functionaries; the context of educator appraisal and standards used; appraisal cycle and the appraisal procedures:

2.4.1   PURPOSES OF APPRAISAL

It appears that the purposes of educator appraisal in the three countries are the same as they

provide quality education to students by developing the staff and are also used for promotion, pay rise and dismissal. Basically, appraisal serves the developmental and the accountability purpose. For example, in England appraisal serves to encourage and achieve good practice in schools as well as to help educators who have difficulties. In the USA, it is used for pay rise and educator empowerment. In Australia the focus of appraisal is on student achievement and safety. It is also used for mentoring and supplementing the salaries of good educators.

2.4.2 THE FUNCTIONARIES

In England the body responsible for appraisal is determined by the type of school. There are two controlling bodies, namely; the Local Education Authority (LEA) and the governing body of the school. LEA is the controlling body of all maintained nursery schools.

Appraisal in the following schools, community, community special, foundation, foundation special and voluntary school is the responsibility of the governing body of each school.

In all the schools, the appraisal controlling bodies appoint the appraisers for the head educators and the head educators appoint appraisers for other educators.

It is important to note that in the United States of America (U.S.A.), the appraising bodies differ in terms of the level of development of the educators to be appraised. Different standards are used for educators at different career stages. For instance, The National Board for Professional Teaching Standards is used to appraise educators of accomplished practice. These educators apply to be assessed by the Board. Assessment is therefore carried out by specially trained peer assessors who are themselves Board Certified educators of accomplished practice. This clearly suggests that appraisal for these educators is not compulsory.

Another body is the Interstate new Educator Assessment and Support Consortium (INTASC) which is responsible for licensing new educators and is subject specific in approach.

The last body is the Praxis which is for the appraisal of new educators, however, the standards are subject specific.

2.4.3 CONTEXT OF EDUCATOR APPRAISAL AND STANDARDS USED

The three countries have drawn a line between the newly qualified educators and experienced educators. There are different standards for these two groups of educators.

It is important to note that in all these countries, classroom observation is the source of information. However, in the USA classroom observation is only used for new educators who use the Praxis III standards. The Interstate New Educator Assessment and Support Consortium (INTASC) is responsible for licensing new educators, and the National Board for Professional Teaching Standards is used to appraise educators of accomplished practice by using portfolios instead of observations. It is important to note that in the U.S.A. appraisal is not mandatory for experienced educators as it is said that educators of accomplished practice can apply to be appraised.

2.4.4 APPRAISAL CYCLE

A twelve-month cycle is being followed in all the three countries.

2.4.5 APPRAISAL PROCEDURES

The procedures are the same in all the three countries as there are three meetings: The initial meeting is between the appraiser and the appraisee where they both set the objectives for appraisal. The second one takes place after the educator has been observed in practice. At this stage, the panel members, together with the appraisee, talk about the outcomes of the observation and the collection of data from other sources, like, work and progress of pupils. In the case where an educator's portfolio was used instead of being observed in practice, such a portfolio becomes the point for discussion. The final meeting is where panel members and the appraisee discuss the developmental needs of the appraisee.

SECTION C

2.5 HOW TO MAKE APPRAISAL ACCEPTABLE

A number of authors have suggested some strategies which they think may help to make educator appraisal successful. Goodale (1993:77) believes that if the appraisal system is well designed, it can strengthen relationships between the appraiser and the appraisees. He then developed the seven guidelines discussed below which he thinks can help to make the appraisal system to be effective.

2.5.1 A COLLABORATIVE APPROACH

There should always be discussions between the appraiser and the appraisee. When the whole appraisal process starts, they should both sit down and discuss the whole appraisal procedure, the standards, as well as, small things which may have an effect on educator performance. At the end of the process, they should also discuss but now the focus will be on how the appraisee has met or not met the organisational expectations and what can be done in order to improve performance. The principal must interact frequently with educators, by being involved in the appraisal process (Guthrie & Schwoever, 1996; Goodale, 1993; Hannay et al., 2003; Piggot-Irvine, 2000).

2.5.2 THERE SHOULD BE CLEAR OBJECTIVES

The central question here is, how are results going to be used? Will it be for accountability purpose or for developmental purpose? According to Martin and Bartol (1998:226), the linkages between the performance appraisal results and their use should be clear to all involved. Goodale (1993:79) asserts that if one wants to have an effective appraisal, one must focus on only one of these objectives. Goodale (1993:234) is in support of Martin and Bartol (1998) in his assertion that individuals must be clear about the targets and standard of performance required.

2.5.3   THE FOCUS SHOULD BE ON OBSERVABLE BEHAVIOUR

Feedback should always be behavioural and not personal. Feedback should not be based on personal attributes of the employee but should be against standards set. The appraiser should give feedback about the behaviour which can be changed rather than about the person. It should be specific, directly observable and job-related. This assertion is emphasized by Piggot-Irvine (2000:4) when he maintains that appraisal discussions should be based on factual, objectively collected, "data base" information.

It clearly suggests that the feedback given to the appraisee should be against the criteria set. It is, therefore, important that standards or criteria be clearly spelled out to the educators before they are appraised so that they know exactly what they will be assessed on.

2.5.4   BE POSITIVE FIRST, NEGATIVE LATER

Providing a person with feedback can be highly motivating if it is done in a meaningful and constructive manner. The appraiser should find something positive to say before being critical. According to Goodale (1993:80), top-down feedback should always be avoided. Employees should be encouraged to talk about their performance before given feedback. This can be done by using the self-evaluation model propounded by Bruce and Showers (1995:56), with the alterations suggested by the researcher in paragraph 2.2.1.1. When the appraiser gives feedback, he or she should start with the appraisee's strengths and the negative aspects will be addressed later (Goodale, 1993; Harris & Fidler, 2004).

2.5.5   ENSURE THE SYSTEM IS MONITORED

The appraisal system should always be monitored and coordinated in order to make sure that things are done accordingly. Coordination is also important for monitoring of the overall programme of INSET undertaken by the school. It is, therefore, important that each school should have a staff development facilitator who will ensure that the professional development needs of staff are met. The coordinator should also identify areas in the school which require support in curriculum development (Oldroyd & Hall, 1991:33).

2.5.6   TRAINING OF STAKEHOLDERS IN APPRAISAL

In order to establish and maintain positive attitudes towards appraisal, it is necessary to ensure that all educators are fully informed about both policy and procedures. Appraisers must have credibility, the trust and confidence of the staff they appraise and, to this end, ensure that there is a need to be trained in the skills and techniques of appraisal before the system is implemented. Time must be made available to achieve this. The implication is that, school principals must re-think their approach to training for appraisal so that it goes beyond the quick-fix, one day approach (Scribbins & Walton, 1988; Hewton & Jolley, 1991; Piggot-Irvine, 2001; Protheroe & Paik, 2002).

Moon (1997:24) considers the following ingredients to be necessary for an effective appraisal:

- ❖ *Committed appraisers who believe that appraisal is a worthwhile process and who are willing to invest appropriate time and maximum efforts;*
- ❖ *Committed appraisees who believe that there is something of real value in it for the;*
- ❖ *Skilled appraisers who understand how the system operates and have the requisite skills both to analyse performance and to lead to a constructive discussion;*
- ❖ *Enlightened appraisees who know how the system operates, what is expected from them and who participate actively in their own performance review; and*
- ❖ *An appropriate system which has clear objectives and operates effectively to achieve those objectives without becoming bureaucratic, and which ensures that documentation is user-friendly and performance measures are realistic.*

Literature review (Piggot-Irvine, 2000; Murray & Male, 2005) suggests that the training principles and content be directed at the following aspects:

- ❖ Personal level, with a focus on personalised actionable knowledge where individuals are helped to examine their own actions;

❖ Helping appraisers to expose the gaps in their practice, that is, the gap between their espousals and what they actually do; and

❖ Must be followed up intensive, on-going practice.

2.5.7   COUNSELLING

Counselling is considered by (Scribbins & Walton, 1988; Snook, 2003) to be an important element in the performance appraisal, and when it is wisely used, it can avoid the risk of making performance appraisal appear as an annual and rather meaningless ritual which has to be endured to please some higher authority. It is, therefore, suggested that a formal presentation on counselling on the techniques and skills of those involved, should form part of the performance appraisal-training programme and be backed up with a role-playing exercise.

Researchers like (Herriot, 1998; Coerns & Jenkins, 2000) maintain that there is no single best style of appraisal but rather that different approaches seem to work well with different people and for different purposes. They urge the education authorities to assess situations and to adopt the style that is most appropriate to the situation. Coerns and Jenkins (2000:20) hold the view that most systems fail because they are based on the assumption that it is a "one size fits all" approach. Research has indicated that if DAS is to be credible, it will have to take into account the contextual factors in which educators work (Mokoena, 2004:6). This simply means that one cannot expect educators from different contexts to experience appraisal in the same way due to the conditions under which they work. One must appreciate the fact that there are some farm schools served by two educators only who also have multi-grade classes.

Poster and Poster (1991:61) believe that, for performance appraisal to be successful, the timing should be correct. So, for the department to make certain that the timing is right, appraisal should be planned in a way that poses no threat to those involved. It is the researcher's considered view that in the RSA educator appraisal, as a whole, was introduced at the wrong time when there was redeployment of educators. The researcher's view is based on the paper presented by Kader Asmal (1999:4) the former Minister of Education in which he says that many educators have been demoralised by the uncertainty and distress of rationalisation and redeployment. It is important to acknowledge that DAS, redeployment and rationalisation policies were part of the package meant to transform the education system,

albeit from different angles. Even if the two policies have different objectives, educators seem to have viewed them in the same light, that is, loss of jobs, which could, inter-alia, be attributed to poor communication.

2.6   SUMMARY OF THE CHAPTER

This chapter dealt with three sections. Section A dealt with the theoretical framework of educator appraisal and the following topics were covered: the nature and the scope of educator appraisal, the purposes and the conflict that exist in these purposes.

Section B is a comparative study of how the following countries: England, Australia and the United Sates of America have implemented educator appraisal. This section also covered educators' concerns about educator appraisal which emanated from research conducted in the above mentioned countries. The researcher hopes that this section has made the challenges faced by educator appraisals quite vivid.

Section C recommended strategies on how to make appraisal successful as suggested by a number of authors.

The next chapter focuses on how appraisal was implemented in the RSA. This chapter deals with the policy intentions of educator appraisal. A comparative study done in chapter 2 will be used to evaluate the overall educator appraisal as implemented in the RSA.

CHAPTER 3

EDUCATOR APPRAISAL AS IT WAS IMPLEMENTED IN THE REPUBLIC OF SOUTH AFRICA: A CRITICAL APPROACH

3.1   INTRODUCTION

Chapter three is about DAS as it was implemented in the RSA. This is only an explanatory chapter and it is, therefore, not in accordance with the requirements as it is very short. The aim of this chapter is to develop a theoretical framework for appraisal in RSA. The information collected from the literature review was then used in the development of the questionnaires and the interview schedule.

The chapter attempts to give a synopsis of the history of educator appraisal when it was first implemented in the RSA. The information is important as it makes one to understand how the South African DAS compares with DAS in developed countries. Against this background, it would be easier for policy makers to know where our system lacks or needs to be revamped. The outcomes of the study would eventually be assessed against the theoretical framework.

3.2   THE FOUNDING OF DEVELOPMENTAL APPRAISAL SYSTEM (DAS)

In 1993, all educator formations and ex-departments of education[8] saw a need to restore an appraisal system for educators. All the stakeholders took part in the negotiations, which sought to address the principles, processes and procedures for the appraisal system. After a series of workshops, the guiding principles and the appraisal instrument which were to inform appraisal, were developed. The general agreement about the principles and the appraisal instrument were reached in 1994.

The University of the Witwatersrand piloted the appraisal system between 1995 and 1996 in 93 schools throughout the country. Kwa-Zulu Natal was the only province which did not participate in the pilot study as it was claimed that it had some difficulties, which were not

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[8] Ex-Departments of education include the following: House of Assembly which was for whites; the House of Delegates which was for Indians; the House of representatives which was for the Coloureds and the Department of Education and Training which was   mainly for Blacks.

mentioned during the pilot period. The findings of the pilot study were released in July 1997 and revealed the following:

❖ That there was unanimous support for the nature and processes of educator appraisal;

❖ It showed that DAS could be applied in all schools no matter what their contextual conditions were; and

❖ It also pointed to the centrality of training in the process so that school-based educators are equipped with the necessary knowledge to implement the appraisal system.

In terms of the Education Labour Relations (ELRC), the developmental appraisal system was to be implemented by 1999, after putting in place the necessary arrangements and establishing all the structures in 1998.

According to Swartz (1994:5), the provinces were given the rights to develop their own policies and strategies in line with the national policy. However, the North West Province did not do that as they followed the National policy to the latter.

3.3   THE NATURE AND SCOPE OF DAS: ASSUMPTIONS THAT UNDERPIN THE NOTION OF APPRAISAL IN THE REPUBLIC OF SOUTH AFRICA

In this section, the researcher attempts to give a synopsis of how appraisal in the RSA was implemented. The summary covers the features of appraisal, its purposes, the context of appraisal and barriers which might have impeded the implementation of appraisal.

3.3.1   FEATURES OF THE DEVELOPMENTAL APPRAISAL SYSTEM (DAS)

In the RSA, just like in other countries, DAS policy was based on the following principles: democracy, transparency and development. Principle one emphasizes transparency and openness. This was mainly to ensure that there were no secrets and corruption during implementation. Decisions to be made need to be explicit and openly stated. It also ensured that educators became confident during the appraisal process and ultimately, that the decisions made about their performances, were fair and just (DoE, 1999: 60).

In order to achieve all the above, the following guiding principles were developed which aimed at informing the implementation of DAS. They are listed in figure 3.1 below (DoE, 1999:60).

FIGURE 3.1: GUIDING PRINCIPLES OF THE DEVELOPMENTAL APPRAISAL SYSTEM (DAS)

The process of appraisal should be open, transparent and developmental.

- ❖ *The appraisal of educators is, in essence, a developmental process which depends upon continuous support. It is designed and intended to entrench strengths, develop potential and overcome weaknesses.*

- ❖ *The process of appraisal should always involve relevant academic and management staff.*

- ❖ *The appraisal process should be all inclusive of stakeholders, and its members should be trained to conduct the process of appraisal.*

- ❖ *Prompt feedback, by way of discussions and written communication to those who are being appraised, should be one of the indispensable elements of appraisal.*

- ❖ *The appraisee has the right to have access to and respond to the appraisal report. The **audi alteram partem** rule should apply.*

- ❖ *The instruments for appraisal should have appropriate criteria to appraise the nature and level of the work performed.*

- ❖ *Educators should be informed of all aspects of the appraisal process, so that they can take the initiative to conduct the process of appraisal.*

Source: (DoE, 1999:60).

The implementation of policies has been identified as the most important in ensuring the effectiveness of the departmental initiatives. However, Molale (2004:1) maintains that "**in S.A much attention has been focused on policy formulation without indicating how to translate such policies into measurable outcomes".** Further than that, policy makers and politicians focus on the desired outcomes of educational change but neglect the contextual factors that influence implementation (Mokwena, 2004; Molale, 2004).

3.3.2 PURPOSES OF APPRAISAL IN THE REPUBLIC OF SOUTH AFRICA

The departmental policy on the appraisal system (DoE, 1999:55) acknowledges that there are two approaches to appraisal, namely, the developmental and the judgemental approach. In the former approach there is an overall tendency to find faults, to be negative in reports that are written and not to acknowledge the positive things that educators do.

However, a number of authors have shown that one cannot divorce appraisal from being evaluative and judgemental as all these terms are inseparable. It simply means that, all the purposes of appraisal have Judgement in them, be it for developmental or accountability purpose.

The developmental approach aims to facilitate the personal and professional development of educators, in order to improve the quality of teaching practice and education management. Educators were to be appraised in a transparent manner, with an aim of determining areas of strength and weakness, and to draw up programmes for individual development (DoE, 2003 (a); Horne & Pierce, 1996; Hendricks, 2002).

3.3.3 PROCEDURES FOR CONDUCTING APPRAISAL

When conducting appraisal, there are five stages that need to be observed and these are discussed as follows:

Stage 1: Setting of appraisal panels

The appraisal panels are set up and the appraisee fills in the personal details, which included his qualifications and experience.

Stage 2: Classroom Observation

The most important source for appraisal of experienced and beginning educators is classroom observation as it is the case in other countries Australia. The educator is observed in practice by one of the panel members against the criteria captured on the prioritisation form. The observation includes the following:

- ❖ Looking at the learner's portfolios;
- ❖ Educators' lesson plans; and
- ❖ Other documents used by the appraisee.

Stage 3: Post Appraisal

After the appraisal process, the observer reports on his findings to the appraisal panel, in the presence of the appraisee. The results of the appraisal are openly and honestly discussed. At this stage, the educators' performance is discussed and their needs in terms of their future professional development are decided upon. The appraisee is given the right to have access to and to respond to appraisal reports, this basically means that the "audi alterum partem"[9] principle is to be observed (Oosthuizen, Botha, Bray, Marais, Mentz, Oosthuizen, Van der Westhuizen, Van Schalkwyl, 1994: 18; DoE, 1999:60).

Stage 4: The implementation of the Personal Growth Plan

After the setting up of objectives, the PGP is then implemented, that is, whatever developmental activities are decided upon the PGP should be an essential component of the

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[9] The audi alteram partem: Literally translated it means " Let the other side also be heard"(Oosthuizen; Botha; Bray; Marais; Mentz; Oosthuizen; Van der Westhuizen & Van Schalkwyk, 1994:18).

implementation process. This was to be in the form of developmental workshops or studying by the appraisee.

Stage 5: Completion of the discussion paper

After the implementation of the PGP, the discussion paper is completed, whereby the achievement and problems encountered during appraisal are to be indicated and recommendations for the next cycle are made.

Seemingly these principles are difficult to achieve, given the history of the RSA. where the top-down, authoritarian and undemocratic principles were observed for quite a long time during the apartheid era. Democratising schools implies that school structures need to change to allow for greater participation. It means the decision-making system should be democratic, transparent and developmental in nature. These are the philosophical understanding which guides DAS in the RSA. This is a real challenge for most schools.

The following appraisal model shown in figure 3.2 on the next page summarises educator evaluation process in the RSA:

FIGURE 3.2: DEVELOPMENTAL APPRAISAL MODEL

Stage 1

Achieving clarity about the process, core criteria and job description

Stage 2

- ❖ Needs assessment:
- ❖ Self-assessment
- ❖ Panel assessment after analysis of portfolios and observation of teaching

Stage 3

Formulating a Professional Growth Plan (PGP):

- ❖ Setting objectives
- ❖ Time frames
- ❖ Development activities
- ❖ Resources
- ❖ Performance indicators

Stage 4

Implementation of PGP:

- ❖ Reflective practice
- ❖ Collaboration
- ❖ Reading and study
- ❖ Workshop

Stage 5

- ❖ Performance review:
- ❖ Discussion paper
- ❖ Appraisal report

Source: Education Labour Relations Council (ELRC) Poster

3.3.4 THE CONTEXT OF EDUCATOR APPRAISAL AND STANDARDS USED IN THE REPUBLIC OF SOUTH AFRICA

In the RSA, criteria or standards are divided into three, namely, the core[10] which are given already and they are common to all educators irrespective of their experience. It also allows educators to add their optional[11] and additional[12] criteria. These criteria are included as Appendix G.

Contrary to what developed countries do, the RSA does not draw a line between the experienced and beginning educators. The purpose of appraisal and the standards or criteria used are the same.

3.4 ISSUES AND BARRIERS THAT MAY HAVE COMPROMISED THE IMPLEMENTATION OF APPRAISAL IN THE REPUBLIC OF SOUTH AFRICA

There are a number of issues and barriers that may have compromised the implementation of appraisal in the RSA. and they are discussed as follows:

3.4.1 LACK OF UNDERSTANDING OF THE DEMOCRATIC PRINCIPLES

There is a need to be mindful of the importance of appraisal in the educational change process and the fact that it is integral to the lives of educators. In the post-apartheid era, change is inevitable and a reality for our sustainable development. Improving the quality of education requires massive changes. It means change in management, the ways staff members are hired, trained and nurtured (Bollington & West, 1990:105). The challenges that face educators and all education officials are how to meet the changes, and to develop

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[10] Core Criteria are the primary elements of the responsibility of the person's job (job description) on which the person has no choice but to be appraised.

[11] Optional Criteria are criteria listed as core criteria, some of which may be made optional to the appraisal panel because of the contextual factors at schools. However, a motivation for reclassification should be provided.

[12] Additional Criteria are criteria that may be added depending on the needs of the school or an individual educator (DoE, 1998:24).

strategies by which individuals and organisation will be able to cope. (Bagwandeen, 1991; Hargreaves et al, 2000) takes this idea of change further as he states that one of the fundamental problems in education today is that people do not have a clear, coherent sense of meaning about what educational change is for, what it is and how it proceeds.

For effective change to take place, according to Hargreaves and Fullan (1992:4), it is necessary to understand the nature of the change process. Whatever strategies are used to initiate change, there is a need to ensure that the mechanisms introduced, fit into the established culture of the organisation. For instance, the DAS policy is based on the following philosophical understanding: democracy, transparency and development. Here transparency, openness, and fairness are emphasized. This will mainly be to ensure that there are no secrets and corruption when the appraisal process is implemented.

Principle number four states that the appraisal process should be conducted by a panel which is inclusive of all the stakeholders, to ensure that the appraisal process is not top-down, authoritative and undemocratic, which according to (DoE, 1999; Martin & Bartol, 1998; Guthrie & Schwoever, 1996; Herriot, 1998), was dominated by inspection in the past.

Another important element, which needs to be mentioned, is the issue of the composition of the appraisal panels. The three countries, namely, England, USA and Australia, did not explicitly explain this aspect. According to DoE (1999:60) the arrangements of the appraisal panel are too inclusive. The appraisee determines who should be in his panel. The panel should be constituted as follows:

- ❖ The appraisee;
- ❖ A nominated peer;
- ❖ A senior management person; and
- ❖ A union representative.

3.4.2   LACK OF CAPACITY

Molale (2004:1) has alluded to the fact that the possibilities of South Africa achieving true democracy in education, seems remote due to the incapacity of the implementers. If implementers lack the professional qualities, aptitudes, techniques and skills that facilitators

ought to have, then this becomes a serious shortcoming. If facilitators are not capacitated to cascade the programme to the relevant personnel, then the whole programme will collapse. Perhaps this may be caused by the fact that the facilitators themselves were never exposed to DAS and, if they were, they had little practical knowledge of the contemporary school situation. In that case, their inadequate training may reduce their credibility in the eyes of educators.

3.4.3   LACK OF IMPLEMENTATION STRUCTURES

According to DoE (2003 (b):3), the department has the responsibility of providing the necessary facilities in order to make the implementation of DAS effective. DAS in the RSA is ill financed despite the lip- service paid to the programme. Financial resources constitute a serious problem for DAS as it involves money in terms of time, money for staff development, as well as, for other material needed for training. It seems that this problem is compounded by the fact that there are no monitoring and moderation procedures available. There are no people appointed who can monitor the implementation process. The importance of monitoring cannot be disputed and, this idea is reinforced by Moon, (1997:24) in his assertion that we can get the best out of a policy, only if it is monitored. He maintains that the purpose of monitoring is to answer the two following questions:

❖ Is the policy implemented as planned?; and
❖ Is it making the expected contribution to achieving its objectives?

Another important bone of contention is the credibility and sustainability of the appraisal system. Many writers have drawn attention to the fact that the credibility and sustainability of a performance appraisal system, depends to a large extent, on actions agreed upon at appraisal interviews being implemented. Anderson (1993:141) contends that:

> *educators would be disappointed by the system which merely identifies problems but does not correct weaknesses, which promises but does not supply training, or which has insufficient resources to monitor and encourage.*

On the contrary, the NAPTOSA Report (2002:2), states that educators in South Africa are not

allowed to attend developmental workshops during school hours. It is, therefore, difficult to accept that, for developmental appraisal to be effectively implemented, large numbers of learners will be adversely affected for a significant number of days as staff members will be appraising one another, irrespective of how much individual educators stand to gain. Implicit in the NAPTOSA argument is the complexity of the DAS guidelines in practice. Anderson (1993:180) advocates for the double ten principle. According to this principle, every educator should be guaranteed 10% of his or her time, to continue with his autonomous training, and 10% of the total expenditure on educational salaries, should be reserved to finance this training process. In the South African context, appraisal identifies skills gaps of educators with the ultimate aim of developing Professional Growth Plan (PGP) (Tolo, 2003 (a):1). According to the collective agreement reached between the educator unions and the employer (DoE, 2003 (b):14), the Professional Growth Plan[13] is considered an important record of the needs and progress of individual educators (DoE, 2003 (b):13). The key question is whether the identified needs were responded to?

3.4.4   LACK OF OWNERSHIP

The policy, like in developed countries, has good intentions, which among others, are to facilitate the personal and professional development of educators, in order to improve the quality of teaching practice and education management The purpose of DAS is to appraise individual educators in a transparent manner with a purpose to determine areas of strength and weakness, and to draw up programmes for individual development (DoE, 2003 (a):1).

Educator appraisal has the potential to help almost all the educators. All the mentioned stakeholders were involved in negotiations, which spelled out the principles and procedure for the new appraisal system. Although this was the brainchild of the collaborative efforts between the department of education and educator unions, it was still challenged by educator organisation. This implies that, developing a policy is one thing, but adhering to the spirit of the policy, may not be possible.

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[13] Professional Growth Plan is a form in which the appraisee's developmental plan is recorded.

3.5   SUMMARY OF THE CHAPTER

The chapter has covered how DAS was implemented in the RSA. The intentions of the policy were outlined. A number of issues and barriers that may have compromised the implementation of educator appraisal were dealt with.

The next chapter will focus on the research methodologies, which will be used to investigate the research question of this study. Reasons for the choice of these methods will be explored.

CHAPTER 4

RESEARCH METHODOLOGY AND STRATEGIES APPLIED DURING THE INVESTIGATION

4.1   INTRODUCTION

The purpose of this chapter is to outline the methods of research for this study, the rationale behind the methods used, together with their limitations. It further outlines how the research was conducted and explains the strategies which were adopted in order to ensure a high reliability and validity of the study.

The study employed a mixed method approach as it uses both the qualitative and quantitative methods of inquiry, even though the researcher mainly used the qualitative design to come to a better understanding of the individual's perceptions, regarding the effectiveness of DAS on the professional development of the primary school educators (Bell, 1993; Bell & Opie, 2002). By using a qualitative method (with specific reference to semi-structured interviews), an attempt was made to capture the richness of the themes emerging from the respondents' talk, and this augmented the responses the researcher got from the questionnaires (Smith, 1995:9).

Qualitative studies should have informative and knowledgeable subjects, since the purpose of qualitative research is to understand a phenomenon in depth. It was, therefore, important to use principals of the sampled schools who provided the researcher with the richest information, based on the effectiveness of appraisal on educator development (McMillan, 2000:116).

Unlike the qualitative researcher who seeks to understand the social phenomenon from the participants' perspectives, the quantitative researcher seeks to establish relationships and explains causes of changes in facts (McMillan & Schumacher, 2001:15). Golafshani (2003:598) asserts that the results in quantitative research are presented in the form of numbers which can be quantified and that the results are expressed statistically.

The researcher's plan is, therefore, based on the two strategies of data collection namely: the semi-structured interviews (qualitative) and the question (quantitative) to establish the effectiveness or the contribution of DAS in the professional development of the primary school educators in the Intermediate Phase.

4.2   DATA COLLECTION PLAN AND TECHNIQUES USED

4.2.1   DATA COLLECTION AT SCHOOL LEVEL

In the initial stages of the research, educator questionnaires were developed and administered as a pilot study to educators and Heads of Departments of the six schools selected. This was done in order to check whether the questions were appropriate with regard to phrasing and the level of understanding.

The final questionnaire was administered to the 33 sampled schools. This was done to establish whether the Developmental Appraisal System (DAS) has contributed to the professional development of the primary school educators or not.

The third stage was the application of the semi-structured interviews which was conducted with the principals of all the sampled schools (except those from very small schools who completed the questionnaires), in order to establish how the DAS has contributed to the professional development of the intermediate phase educators, what challenges they faced and how they dealt with them.

The other reason for interviewing principals was to determine the support they gave to educators and the Heads of the Departments, in terms of the developmental needs, which emanated from the appraisal process. They were also questioned about their own professional development as, according to Robbins (1999:29), Heads of Departments and principals alike, should be continually undergoing training to keep abreast of the latest developments in their subjects and in management.

4.3 POPULATION SAMPLING

4.3.1 POPULATION

The population is the larger collection of all the subjects, from which a sample is drawn (Allison, O'Sullivan, Rice, Rothwell & Saunders, 1996; Morgan, 1997).

The research was conducted in the intermediate phase schools situated in the Lichtenburg Area Project Office (APO). This APO comprises of four clusters, namely, Lichtenburg, Coligny, Itsoseng and Bodibe. Each cluster is under a cluster manager or an Institutional Support Co-ordinator (ISC). The Area Project Office comprises 82 intermediate phase schools. The population was stratified by settlement type, namely, rural and urban schools in order to increase precision in the results. The names of the schools, which are not their real names for anonymity purposes, are given in Table 4.1 on the next page to help in sampling.

TABLE 4.1: DISTRIBUTION OF THE LICHTENBURG POPULATION PER SETTLEMENT AREA

NAMES OF SCHOOLS			
RURAL	**RURAL**	**RURAL**	**URBAN**
1. Maine	23. Itekeng	45. Fotlhosi	1. Dipuo
2. Ngoepe	24. Mapule	46 Masego	2. Dilodilo
3. Malodi	25. Kaston	47. Kakaletse	3. Tsogo
4. Lesedi	26. Sesoko	48. Mokobo	4. Lindani
5. Isago	27. MMelegi	49. Mampho	5. Madikwe
6. Ipatleng	28. Vankie	50. Obang	6. Sedupe
7. Bakang	29. Kganare	51. Segametsi	7 Vickey
8. Mankete	30. Letang	52. Wesley	8. Boshoff
9. Sananapo	31. Baaskop	53. Tlamelo	9. Phiri
10. Shuping	32. Sabata	54. Kobi	10. Wanda
11. Asbestos	33. Tshose	55. Thuto	11. Tumi
12. Dooifontein	34. Tsholofelo	56. Badirile	12. Tshotlego
13. Duiwelaagte	35. Susana		13. Vusimusi
14. Doornlaagte	36. Masebobe		14. Bathofela
15. Mpho	37.Shashametsa		15. Fortune
16. Dudu	38. Mogapi		16. Venter
17. Shwashwa	39. Sethaiso		17. Sedupe
18. Fafi	40. Modiri		18. Myburg
19. Salang	41. Dielo		19. Ikopeleng
20. Soetpan	42. Salang		20. Aganang
21. Dimakatso	43. Dabula		21. Bophelo
22. Katlego	44.Serialo		22.Bonwaphiri
			23. Iketleng
			24. Batlang
			25. Dagala
			26.Fenana

4.3.2   SAMPLING

A sample is a subgroup of a population selected according to a particular criteria and taken to represent the whole group. The sample is a small part of the study population (Allison et al., 1996; Morgan, 1997).

Probability sampling was used as it draws randomly from the population. This method was used due to the fact that the researcher wanted to make generalizations as the population was well represented, namely, rural and urban schools. Stratified random sampling, which falls under probability sampling, was used. This method involves dividing the population into homogenous groups, each group containing subjects with similar characteristics.

As the researcher wanted to obtain a sample representative of the whole population in terms of the settlement area, a random selection of numbers was taken. The researcher needed the exact proportion of rural to urban schools in the whole population, in order to have a clear understanding of how educators from different settlements perceive DAS and its contribution to their professional development.

Based on the above reasons, schools were sampled by means of stratified random sampling. Thirty three intermediate phase schools were sampled from the eighty two schools listed on Table 4.1. Out of the thirty three schools sampled (which is 40.2% of the population) twenty are rural (which is 60.6%) and thirteen urban (which is 39.3%) of the sampled schools. Rural schools include village and farm schools.

A uniform sampling fraction 1/2 from each strata was used in order to ensure that the sample size from each stratum is proportional to the population. This simply means that every second school was sampled from both groups.

The second step was to sample the educators and the Heads of Departments. Purposive sampling was used in this regard as the aim of research is to study how DAS has contributed to the professional development of the intermediate phase educators. Therefore, only educators teaching grade four to six, were chosen. The Head of the Departments chosen was the one in charge of the intermediate phase.

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The sample comprises of all principals of the selected schools, three educators per school, one being the Head of the Department (where applicable), and two educators, which makes it (n=132). From the sample (n=132), (n=33) are principals which makes up 25% of the sampled population, and (n=99) are educators and Heads of the Departments, which is 75% of the sample. In the absence of Heads of Departments, senior educators were used. The number of schools per cluster per strata is given in Table 4.2 below.

TABLE 4.2:   DISTRIBUTION OF THE SAMPLE POPULATION PER CLUSTER

Clusters	Total number of intermediate phase schools	Rural schools	Urban Schools	Number of educators per cluster	Sample Population		Percentage of the Sampled Population
					Rural	Urban	
Lichtenburg	27	18	10	232	5	5	37%
Bodibe	13	11	_	142	5	_	38%
Itsoseng	18	6	12	143	5	5	56%
Coligny	25	21	4	129	5	3	32%
TOTALS	83	56	26	646	20	13	40.2%

The reasons for the choice of this APO are as follows:

❖ The intermediate phase primary schools in this APO are highly representative of the South African community as they have the mixture of urban [14] and rural [15] schools.

❖ The second reason why the intermediate phase primary schools are chosen is the fact that this is the phase in which the researcher works, therefore, schools will be easily accessible.

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[14] The term urban refers to all the areas defined as township, towns and cities.
[15] Rural refers to all areas which are not in towns or townships.

❖ The third reason is that both the foundation and the intermediate phases were targeted in particular by almost all the educational changes, for example, redeployment and rationalisation, the implementation of curriculum 2005 and the Revised National Curriculum Statement.

Therefore, the researcher wanted to establish whether DAS has contributed in the professional development of educators in spite of all the education initiatives as tabled in the statement of the problem.

4.4 CONSTRUCTION OF THE DATA COLLECTION INSTRUMENTS

Tuckman (1978:14) asserts that many studies in education rely on questionnaires and interviews as their main source of data collection.

Both the questionnaires and the interviews were used to determine what the respondents knew about DAS (knowledge) as well as their attitudes, feelings and beliefs about DAS and its contribution to the professional development of the primary school educators.

4.4.1 THE QUESTIONNAIRE AS A RESEARCH TOOL

A questionnaire (which is Appendix A) is an instrument in which the subject responds to written questions to elicit reactions, beliefs and attitudes. The researcher designed and constructed a set of appropriate questions and asked the subject to answer them. A detailed questionnaire was used to produce data about DAS and its contribution in the professional development of the intermediate phase educators (McMillian & Schumacher, 2001:40).

Even though questionnaires are commonly used as a tool for data collection, there are some criticisms levelled against their use, and these are as follows:

❖ Poorly constructed items as some questions may be lengthy and require lengthy responses. Such a questionnaire may discourage the respondents to answer;
❖ Questionnaires limit the depth of research, as the researcher is not able to probe behind the replies in the same way as during face-to-face interviews;
❖ They are not tailored to individual's circumstances;

❖ They lack the sensitivity to be able to explore differences, inconsistencies, meanings and arguments that are part of the everyday life; and

❖ The construction of a good questionnaire is difficult and also a time consuming exercise (Lerumo, 2004; Berg, 2000; Mouton, 2001).

However, caution was taken to ensure that the impact would be confined.

A questionnaire has strengths though and they are listed as follows:

❖ They permit the views and experiences of more people to be examined and analysed than would be possible with interviews;

❖ The confidentiality of the information given is maintained since the questionnaire is completed anonymously; and

❖ Less time consuming than the interview or the observation.

4.4.1.1   CONSTRUCTION OF THE QUESTIONNAIRE

According to Moate (1996:129), a well-constructed questionnaire is more likely to elicit a good response than a poorly constructed one. Questions should be clear on the part of the researcher and the respondent. The researcher used 'warm-up' items (simple questions) at the beginning of the questionnaire in order to facilitate the respondents' thinking. Sensitive and difficult items were left to the end of the questionnaire so as to avoid arousing hostility in the respondent early in the questionnaire (Moate, 1996:130).

Authors like (Guy, Edgley and Arafat, 1987; Adam & Schvaneveld, 1985; Mouton, 2001; Legotlo, 1996) identified the following steps as important for the construction of a good questionnaire:

❖ The questions were clearly and carefully worded for clarity;

❖ The first draft of the questionnaire was reviewed for pre-test;

❖ Document the procedures for using the questionnaire;

❖ The questionnaire was pre-tested in the pilot study;

❖ After the pilot study, the final draft was drawn;

❖ Questions were refined;

❖ Short items were used;

- ❖ Double-barrelled items, which require the subject to respond to two separate ideas with a single answer, were avoided. That is, a question that requires more than one response; and
- ❖ There was clarity as items meant the same to all respondents.

4.4.1.2   FORMAT AND THE CONTENT OF THE QUESTIONNAIRE

After piloting the questionnaire, problems identified were corrected and the final questionnaire was drawn and administered to the sampled subjects.

The researcher used the following format propounded by Allison et al. (1996:75):

- ❖ Title;
- ❖ A case number, which uniquely identifies each completed questionnaire;
- ❖ Introductory remarks on the covering letter (see Appendix A);
- ❖ Instructions for completing items (see Appendix A);
- ❖ Focal data- these items gathered data on the attitudes or opinions of educators with regard to the contribution of DAS in their professional development; and
- ❖ Closing remarks, where the researcher thanked the respondent for answering the questions and which also indicated how to get the completed questionnaire back to the researcher (see Appendix A).

The questionnaire (which is Appendix A) comprises of six sections, which were labelled A, B, C. D, E and F. Section A has twenty two biographical questions, which are all close-ended questions. The questions encompass items such as age, gender, teaching experience, rank, nature of appointment and others. Age and sex are not so basic to the researchers' data, however, according to Allison et al. (1996:75) these items are important as they permit the focal data (e.g. opinions or attitudes and views) to be analysed in terms of the kind of people who hold these views. These details will be integral as they affect the special circumstances of educators such as the following:

- ❖ Age-is important as the scope of the professional needs of young and old educators may differ;

❖ With regard to sex, males and females may experience the whole developmental process differently; and

❖ Rank is important in order to determine what the perspectives of the post level ones and twos are in terms of appraisal.

Questions one to five of the twenty two questions cover items based on the demographic data of the school. The questions are all close-ended questions. They include areas like settlement type, physical resources and the number of educators in the school. These are the contextual factors, which cannot be ignored when dealing with the professional development of the educators. Basically, the purpose of section A is to gather the data that will give the researcher the background information of the respondents. In the interpretation of the data, the researcher will detect whether the biographical information has any influence in the professional development of the educator or not.

Section B is based on the educator's understanding of DAS. This section is important as educators are required to understand the policy for successful implementation.

Section C, deals with the appraisal process. Questions range from 30 up to 46. Literature survey has played a very important role in the development of the sampled items in order to ensure their representativeness (Cohen, Manion & Morrison, 2002:110). This really shows that the instrument measures what it purports to cover. (Refer to Table 4.3 where validation is further justified)

Section D is based on the outcomes and the impact of DAS on the professional development of the educators. In this section, the respondents were asked to choose from the options given, as well, as to comment about the contributions of DAS in the professional development of the educators. Questions range from 47 up to 51.

In section E, the questions (ranging from 52 up to 63) are based on the educators' attitudes, views or perception with regard to DAS. This section is comprised of closed-ended questions and these are valuable questions as they attempt to answer the main research question which is: to what extent has DAS contributed to the professional development of the primary school educators. The bulk of the questions in this section came from the book by Horne and Pierce

(1996) and this is an indication that the study was supported by literature review and previous research done in relation to the topic under study.

Section F covers open-ended questions only. With regard to open-ended questions, space has been provided in order to allow the respondents to write their views. Open-ended questions give the subject the opportunity to reveal their motives or attitudes and specify the background conditions upon which their answers are based. However, Van Dalen (1979:153) hastens to point out that, if respondents are capable of providing a wealth of pertinent information, the task of categorising, tabulating and summarising their many detailed and complex answers may be extremely difficult and time consuming.

These questions in section F range from 64 up to 71. The aim of this section is to give educators the opportunity to raise their concerns with regard to DAS and its contribution towards their development.

4.4.1.3   PILOTING THE QUESTIONNAIRE

Before the final questionnaire was distributed to the sampled educators and Heads of Departments, it was first piloted in order to detect the flaws, which existed. According to Johnson (2002:39), the experience of the pilot respondents should be used to improve and amend the questionnaire before sending it out to the main research sample. The pilot study is essentially a pre-test of the survey instrument on the small population conducted, to test the instrument for ambiguous or misleading questions and offer the researcher the opportunity to evaluate the effectiveness of the survey instrument prior to its general distribution. The pilot study often indicates that a question in the survey do not elicit the desired information.

The questionnaire was piloted in the two nearby schools. However, educators who took part in piloting this instrument were similar to the ones who participated in the population of the main study, that is, they were all the intermediate phase educators.

A sample of (n=6) educators including the Heads of Departments was selected from these schools through convenience sampling. The researcher selected the pilot subjects on the basis of their availability. Schools used for the pilot study did not participate in the main study.

After the completion of the pilot questionnaire, the researcher's pilot respondents were requested to give their views in terms of the following:

- ❖ How long did it take to complete the questionnaire? ;
- ❖ Were instructions and questions clear? ;
- ❖ Did you object to answering any of the questions? ;
- ❖ In your opinion has any major topic been omitted? ;
- ❖ Was the layout of the questionnaire clear or attractive? ; and
- ❖ Any comments (Bell, 1993:85).

4.4.1.3.1 COMMENTS ON THE PILOT QUESTIONNAIRE

The flaws detected in the pilot questionnaire are explained as follows:

The researcher had 22 open-ended questions. Most questions that were classified as close-ended were repeated as open-ended questions. Therefore, each of these questions was analysed once due to the fact that the close-ended questions did not provide the required information. The other reason for having analysed it once was the fact that it was difficult for the researcher to get accurate information as the participants gave two different answers to the same question.

The final questionnaire has 77 questions of which only 19 are open-ended. In order to make it short for the participants, the researcher requested one or two statements for the open-ended questions.

Unlike the pilot questionnaire, all questions were to be answered by all participants. That is, questions were the same for all the participants.

4.4.1.4 ADMINISTRATION OF THE QUESTIONNAIRE

A special permission was sought from the Kogan Page publishers to use the questionnaire compiled by Horne and Pierce (1996:49-53) and permission was granted on condition that they are acknowledged (a letter of request together with the approval is attached as Appendix K). The constructs contained in the questionnaire is aligned with the content validation of this

study as it deals with the contribution of appraisal in educator development which addresses the researcher's main research question. The questionnaire was used with some adaptations.

Permission was requested from the Lichtenburg Area Project Office to conduct the research in schools and it was granted. Permission letter is attached as Appendix I.

4.4.1.4.1   THE COVERING LETTER ACCOMPANYING THE QUESTIONNAIRE

A covering letter (which is attached to the questionnaire labelled Appendix A), is a tool used to introduce the questionnaire to the respondents. It gives the respondents reasons to co-operate as it explains the purpose of the research (Allison et al., 1996:91).

A covering letter was written to accompany the questionnaire. This letter outlines clearly the purpose of the study to the respondents. It is also vital as it makes the questionnaire legitimate to the respondents. It also reassures the respondents of confidentiality and anonymity. Anonymity here means that the respondent's names and names of their schools will not be mentioned. The covering letter, together with the questionnaire, is attached as appendix A.

4.4.1.4.2   DISTRIBUTION OF THE QUESTIONNAIRE

The questionnaires were distributed personally to enable the researcher to explain the purpose of study. The researcher left the questionnaire with the respondents to complete. Addressed envelopes to be used for returning completed questionnaires were given to all the participants. The completed questionnaires were to be returned before or on 31st August 2006.

4.4.2   SEMI-STRUCTURED INTERVIEWS

Interviews according to (Allison et al., 1996; Legotlo, 1996), is a method used to obtain information from face-to-face situation. The researcher used the semi-structured interviews in order to gather data from knowledgeable, experienced and informative subjects. Principals of sampled schools were interviewed about how DAS has contributed to their professional

development. Principals provided the researcher with the richest information with regard to DAS (McMillan, 2000:116).

The semi-structured interviews were used to close the information gaps and shortcomings of the questionnaire, which are as follows:

- ❖ A questionnaire did not probe behind the replies of the respondent;
- ❖ The questionnaire has got fixed answer questions; and
- ❖ Other shortcomings have been mentioned under the questionnaire as a research tool.
- ❖ The researcher used the semi-structured interviews for the following reasons:
- To gain a clear picture of the respondents' beliefs or perceptions about the effectiveness of DAS;
- It gave the respondent much more flexibility than the survey. With this method, the researcher was able to follow-up, particularly, interesting avenues that emerge in the interview and the respondent was able to give a fuller picture (Smith, 1995:9);
- The semi-structured interviews were guided by a schedule;
- With the semi-structured interviews, an attempt was made to establish rapport with the respondents;
- Misunderstandings on the part of the interviewee were addressed immediately; and
- Interviewing provided a wealth of rich data.

The semi-structured interview has disadvantages though, and they are discussed as follows:

- ❖ It took longer to carry out;
- ❖ It is harder to analyse due to the fact that meaning is central and the aim is to try to understand the content and complexity of that meaning rather than take some measures of frequency; and
- ❖ There may be bias and distorted during the interview, due to the face- to face contact between the interviewer and the interviewee. For example, in the context of questions, which covered sensitive matters, interviewee's answers may not have been reliable or trustworthy.

4.4.2.1 PLANNING THE INTERVIEWS

4.4.2.1.1 INTERVIEW SCHEDULE

The interview schedule of the principal (which is attached as Appendix B), starts with highly structured questions regarding settlement type of the school, description of the physical resources, number of educators and Heads of Departments and others, and later probes more deeply by using open-ended questions. The researcher used the semi-structured interviews to elicit the views and opinions of principals on the effectiveness of DAS, as well as, to find out about the support they gave their educators.

4.4.2.1.2 INTERVIEWING

Interviews took place in the first week of October.

The researcher established` rapport with the respondents. The interviewer briefed the interviewee with regard to the nature or the purpose of the interview. The researcher notified the respondent about his or her intention of tape-recording the interview session, and the respondents agreed to it. The hand written notes were also kept.

After the interviews, a letter (which is attached as Appendix J), was sent to all the respondents to thank them for their cooperation.

4.5 ENSURING VALIDITY AND RELIABILITY OF THE INSTRUMENT IN QUANTITATIVE PARADIGM

Validity is the extent to which the instrument measures what it was set out to assess (Cohen et al, 2002; Hatch, 2002). Validity in research, according to Legotlo (1996:38), is concerned with the soundness and the effectiveness of the measuring instrument. Cohen et al. (2002:105) believe that if a piece of research is invalid, then it is worthless.

Authors like (Cohen et al., 2002; Gibbs, 1997) assert that validity and reliability are multi-faceted as there are different types of validity and reliability. The former encompasses the following: content validity, external validity and internal validity.

4.5.1 THE CONTENT VALIDATION OF THE INSTRUMENT (QUESTIONNAIRE)

Content validation means that the questions you ask the interviewees should deal with the broad research question (Chetty & Chisholm, 1993; Darling-Hammond, 2000). It applies to procedures, instruments and appropriate statistical treatments of the data (Cohen et al., 2002:105).

The following content validation procedures were done:

❖ The promoter assigned a University of Pretoria statistician who really helped in the development of the questionnaire. The statistician, together with the promoter, examined the questionnaire in order to ensure that the items in the questionnaire are valid in the light of the purpose of the study. The researcher used the questionnaire only after it was approved by the promoter and the statistician;

❖ The pilot study that was conducted was for the purpose of validating the findings as the instrument piloted was revised, following the respondent's comments; and

❖ Content validation was also established through intensive review of literature. Table 4.3 on the next page demonstrates the extent to which the sample of items or questions in the questionnaire represents some appropriate domain of content. This table provides evidence to suggest that my study has been supported by literature review.

TABLE 4.3: ASPECTS TO BE ASSESSED

What follows are the aspects that the researcher wants to evaluate.

Question numbers	ITEMS								Literature
	Background information	Location and size of the school	Work-load	Resources	Teaching Experience	Appraisal Process	DAS Knowledge	Outcomes of DAS	
1	✗	✗							Kleinhenz & Ingvarson (2002)
2				✗			✗	✗	Sawa (1995)
3		✗							Anderson (1993)
4	✗								Tolo, Z.P. (2003 (b)
5	✗								Stuffelbeam & Shinkfield (1995)
6	✗				✗				Schwab (1990)
7	✗				✗				Bagwandeen (1991)
8	✗				✗				Stronge & Helm (1991)
9	✗				✗				Seldin (1988)
10	✗		✗		✗				DoE (1999)
11	✗				✗				Wragg (1996)
12	✗				✗				Duke (1995)
13						✗			Malope (1992)
14						✗			Webb (1994)
15						✗			NAPTOSA (2002)
16						✗			Wragg,et al (1996)
17						✗			DoE (2003)
18						✗			Wragg,et al (1996)
19						✗			Horne & Pierce (1996)
20						✗		✗	Wragg,et al (1996)
21-71								✗	Horne & Pierce (1996)
39-43								✗	Wragg et al (1996)

Table 4.3 deals with content validation of the instruments as it attempts to indicate to the reader that the contents of the instruments were supported by literature review. The columns represent the following:

❖ The first column indicates question numbers as they appear in the questionnaire;

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- The middle columns are for items to be assessed; and
- The last column lists sources used to construct the instruments (the questionnaire and the interview schedule).

4.5.2 ENSURING RELIABILITY OF THE INSTRUMENT (QUESTIONNAIRE)

Reliability is concerned with the question of stability and consistency. It refers to the stability over time, and the consistency through repetition. It also refers to the clarity in which the items were written, as well as, the interpretation and understanding of the items (Golafshani, 2003; Winter, 2000; McMillan & Schumacher, 2001, Cohen et al., 2002).

Reliability is a necessary pre-condition for validity. This means that for scores to be valid, they should be reliable (McMillan & Schumacher, 2001:250).

McMillan and Schumacher (2002:251) assert that for reliability to be enhanced, standard conditions of data collection need to be established, and this can be done by doing the following:

- Ensuring that the instrument has little or no error. The statistician, together with the researcher's promoter, helped in this regard. Consultative sessions were held with the afore-mentioned people in order to ensure that the instrument is free of errors or errors are minimised;

- Checking the appropriateness of the language level and the reading level of the instrument. This was checked during these consultative sessions, in order to avoid ambiguities;

- Subjects should be properly motivated to answer the questions. The respondents were motivated by being promised that, as soon as the research results are available, they will be made known to them; and

- The researcher employed the **thick description** throughout the process of data collection. This will be done by providing enough spaces on the questionnaire for the respondent's comments, in order to give the respondents the freedom to express their

feelings about the DAS process. The interviews contributed to this thick description, as the researcher will be able to probe behind the replies in order to get more information from the respondents.

4.6 STEPS TAKEN TO ESTABLISH THE TRUSTWORTHINESS OF THE STUDY IN THE QUALITATIVE PARADIGM

Whilst the terms validity and reliability are essential criteria for quality in quantitative research paradigm, credibility, confirmability, dependability and transferability are essential concepts in the qualitative paradigm (Golafshani, 2003; Winter, 2000; Ary, Jacobs & Razavien, 2002).

For the study to be credible, it should be trustworthy. Credibility in qualitative study concerns the truthfulness of the findings. The following methods enhance credibility: structural corroboration; consensus; referential adequacy; control of bias; peer review and member check.

In this study, the trustworthiness was established through the use of the following techniques, in order to enhance the credibility of the findings:

Firstly, this was achieved through summarising what has been said by the interviewees to check the correctness of the researchers' understanding with the participants (Hatch, 2002);

Secondly, the researcher personally conducted the interviews in order to eliminate different interpretations of the interviews, thus make the data collected reliable. This was to ensure that there is no bias in the findings of research; and

Thirdly, interpretive adequacy was used to enhance the credibility of the findings. The researcher used a tape-recorder to enhance the validity as it provided an accurate and relatively complete record.

Another equally important concept in qualitative study is the issue of **confirmability**. This concept is the same as the quantitative researcher's concept of objectivity. Confirmability refers to the extent to which the research is free of bias in the procedures and interpretations

of the results. Confirmability is enhanced through the following strategies: audit trail, triangulation, peer review and reflexibility (Ary et al., 2002:456).

In this study, member checking as a validity procedure was employed in order to make the whole process open to critical comments. The instruments were given to the Quality Assurance Director of the North West, who helped the researcher to critique the instruments, and helped the researcher with the coding and categorization of the data collected.

Member checking also involves the researcher's immediate colleague. My immediate colleague was employed to attend the interviews sessions in order to check as to whether the researcher was asking questions uniformly to all the respondents. Note well: This is not the Quality Assurance Director, but my immediate colleague who validated the interviews process.

Another validity verification procedure, which was used by the researcher, was triangulation which entailed the following:

❖ The use of different data sources by the researcher, for example, the interviews and the questionnaires; and

❖ The use of investigator triangulation. The researcher provided the peer with the data, together with the researchers' interpretations, in order to check whether the interpretation is reasonable, given the evidence (Ary et al., 2002:452).

Transferability refers to the generalizability of the findings to other groups (Ary et al., 2002:455). Transferability was ensured by sampling schools from different political background, as well as, different settlements (rural and urban schools).

4.7   DATA ANALYSIS AND CODING

Data analysis, according to Vithal and Jansen (1997:27), is to make sense of the accumulated data.

A combination of qualitative and quantitative data analysis techniques were employed as these methods complement one another. Qualitative data are rich in meaning but difficult to

capture in a short and unstructured manner, whereas quantitative data are usually well-structured and easy to capture but not as rich in meaning as textual data (Bell, 1993:129).

4.7.1   ANALYSIS OF THE DATA COLLECTED BY MEANS OF THE QUESTIONNAIRE (QUANTITATIVE SURVEY)

The raw data taken from questionnaires were recorded, analysed and interpreted. All completed questionnaires were checked by the University of Pretoria statistician for incomplete, inaccurate or irrelevant information (Vithal & Jansen, 1997:27).

Descriptive statistics and inferential statistics discussed here under, were used in the analysis of data.

4.7.1.1   DESCRIPTIVE STATISTICS

Ary et al (2002:118) maintain that descriptive statistics is the method of handling quantitative data in such a way as to make sure that information is meaningful. It gives a snap-shot picture of all the scores in a set of data. The data were represented through frequency analysis, discussed below.

4.7.1.2   FREQUENCY ANALYSIS

Frequency analysis is the technique whereby scores are listed from the highest to the lowest, to create rank order distribution which is transferred to frequency distribution. McMillan and Schumacher (2001:210) contend that frequency distribution indicates the most and the least frequency occurring scores. The frequency of scores was displayed pictorially, for example, by means of column; cone and cylinder graphs and frequency tables.

4.7.1.3   INFERENTIAL STATISTICS

After the descriptive analysis, inferential statistics was used. The purpose of inferential statistics is to draw conclusions about the populations from the information obtained from samples. The process, according to (Sax, 1979; Fraenkel & Wallen, 2000), assumed that the

sample has been randomly drawn, to give every element of the population equal opportunity of being included in the sample.

The researcher used the Chi-Square (X^2) discussed below, as an inferential technique for data analysis:

4.7.1.4   THE CHI-SQUARE (X^2) ESTIMATIONS

Charles (1988:56) asserts that the chi-square (X^2) is the procedure that determines whether or not a real difference exists between two groups. This test is a way of answering questions about associations or relationships based on frequencies of observations in categories. The criterion used here is that, when the probability value (p=value) of the chi-square (X^2) is greater than 0, 05%, it means that there is no significant difference between the two items being compared. The procedure was used to determine whether there is significant difference between the male and female educators; rural and urban educators, principals, Heads of Departments and post level one educators with regard to how they see DAS in relation to the professional development of the primary school educators.

In the context of open-ended questions, the researcher looked at the recurrence of patterns in the data recorded. The relationship or pattern helped the researcher to understand whether appraisal was beneficial to the educators or not, as the pattern according to Allison et al (1996:115), has got a particular significance in the interpretation of data. Here a highly sophisticated software programme called statistical package and interpretive analysis was used. Frequency tables were used for more visual representation.

The summary sheet for responses was developed for all the questions so that returns can be entered as they come in. Questions were recorded per category or cluster (Bell, 1993:128).

4.7.2   ANALYSIS OF THE DATA COLLECTED BY MEANS OF THE INTERVIEW SCHEDULE (QUALITATIVE SURVEY)

The primary data of qualitative interviews are verbatim accounts of what transpires in the interview session. In terms of the qualitative data, the data is continuously analysed while the interviews are still underway as, this preliminary analysis will help the researcher to redesign

questions where necessary.

A tape-recorder was used for data collection in order to ensure the completeness of the verbal interaction. Hand written notes were also used to record information on non-verbal communication data, as this facilitates data analysis (McMillan & Schumacher, 2001:450).

After the interview, the researcher typed the hand written notes and transcribed the tape. The information from these two sources was reconciled in order to avoid bias. This simply means that the hand written data and the recorded data were compared in order to guard against the discrepancy between the data collected. The final record was accurate verbatim data from interviewees (McMillan & Schumacher, 2001:450).

Once the audio interview recordings were transcribed into text, the reduction and analysis began. A more detailed or formal analysis was done where the data was categorised in terms of topics or concepts. The data collected from the semi-structured interviews was organised in order to make it more manageable. This was done by means of coding which is the process of dividing data into parts by a classification system (McMillan & Schumacher, 2001:467).

The classification of data is an important step in the analysis, for without classifying data there is no way of knowing what is actually analysed and no meaningful comparisons can be made.

The following coding system shown in Table 4.4 with major and minor themes was used:

TABLE 4.4:   CODING SYSTEM

INFORMATION ABOUT THE SCHOOL

EXPLANATIONS	CODES
I.SCH-Settlement of the school	IS-1
I.SCH-Physical Resources of the school	IS-2
ISCH-The support the Heads of Departments give to educators	IS-3

IMPLEMENTATION PROCESS

EXPLANATIONS	CODES
I.P. Do schools have School Development Teams (SDTs)?	IP-4
I.P. How supportive are the School Development Teams?	IP-5
I.P. Have educators completed the self evaluation forms	IP-6
I.P. How many educators have undergone the process of baseline assessment	IP-7
I.P. Classroom Observation	IP-8

OUTCOMES OF APPRAISAL / EFFECTIVENESS OF APPRAISAL

EXPLANATIONS	CODES
O.A. Identify training needs	EA-9
O.A. Improvement of skills	EA-10
O.A Improved school development planning	EA-11
O.A How did appraisal help in your professional development?	EA-12
O.A. Changed classroom practice	EA-13
O.A Were the in-service needs met?	EA-14
O.A. Improving the quality of Learning	EA-15

CONCERNS AND APPREHENSIONS

EXPLANTIONS	CODES
CA- Time consuming	CA-16
CA- No development	CA-17

4.8   ETHICAL CONSIDERATIONS

The ethical principles were considered in all the phases of the study and this was done as follows**:**

- ❖ The ethics clearance certificate was obtained through the ethics committee of the Faculty of Education. The researcher defended her topic in front of the faculty staff who finally approved it;
- ❖ The researcher secured informed consent from the subjects before their participation in this research. All the aspects of the research e.g., its purpose were made known to them so that they participate willingly;
- ❖ The relationship of trust was established between the researcher and the participants; and
- ❖ Anonymity and confidentiality were assured to the participants and the promise was kept as false names were used for schools.

4.9   SUMMARY OF THE CHAPTER

The purpose of this chapter was to discuss the design of the study. It dealt with the procedure followed in sampling. It also outlined how the qualitative and quantitative instruments were developed and used. The advantages and disadvantages of these instruments were given. The steps taken to establish the reliability and the validity of the quantitative study were explained. Steps taken to establish the trustworthiness of the study in the qualitative paradigm was also looked at. It also outlined the procedure for data analysis. The ethical principles adhered to by the researcher were also dealt with.

The next chapter focuses on the findings of the empirical research. It also covers the brief findings of the pilot study.

CHAPTER 5

RESULTS AND DISCUSSION OF THE FINDINGS OF THE EMPIRICAL INVESTIGATION

5.1   INTRODUCTION

The main purpose of this chapter is to provide a short overview of the outcomes of the pilot study and a detailed discussion of the empirical data, generated on the topic of Professional development of the primary school educators through the Developmental Appraisal System (DAS).

The data was generated using the following data collection techniques:

- ❖ Questionnaires are for Heads of Departments; the intermediate phase educators and principals of very small schools (where there are two to three educators); and
- ❖ The semi-structured interviews were used with the principals of the sampled schools in order to establish what their views are, in terms of the contribution of DAS on their professional development and on their educators.

In presenting the qualitative data, verbatim quotations are captured without alterations. This means that, the participants' language construction is not corrected, it is captured as it is. This approach is primarily informed by the necessity to protect the richness and originality of the ideas of the participants' perceptions.

Finally, the conclusions and recommendations based on the findings are presented.

5.2   PILOT STUDY RESULTS

The pilot study was done in order to refine the questionnaire for the purposes of enhancing its reliability and validity. The findings of the pilot study are included, in order to compare and report on the main outcomes of the study for reliability and validity purposes.

A summary of the results of the pilot study based on quantitative and qualitative data are included and discussed as follows.

5.2.1 DISCUSSION OF THE DESCRIPTIVE STATISTICS (FREQUENCY ANALYSIS)

The results of the quantitative data are classified into four headings which encompasses whether educators were appraised or not, the effectiveness of DAS in the professional development of the primary school educators, how educators felt about DAS and how the appraisal results were used.

5.2.1.1 APPRAISED OR NEVER APPRAISED

Educators and Heads of Departments were asked as to whether they were appraised or not. Their responses showed that most educators were appraised. This was because 5 educators and all the Heads of Departments responded positively. Since it is a pilot study, it cannot be concluded that DAS was effectively implemented due to the size of the sample used.

5.2.1.2 EFFECTIVENESS OF DAS IN THE IMPROVEMENT OF SKILLS

In items 23 up to 29, the respondents were required to comment on a four-point scale about how DAS has helped them to improve their skills. All the educators and Heads of Departments said that DAS was effective in the enhancement of skills as it had also improved their classroom practices. But such responses were not triangulated or compared with the source.

Even though they claimed that DAS had changed their classroom practice, they indicated that they were in favour of other appraisal process like self appraisal, drawing the Personal Growth Plan (PGP) and feedback session, as compared to classroom observation. Only one educator was in favour of classroom observation. This implied that educators were not comfortable about their work being assessed or evaluated by another person. Perhaps that could be attributed to lack of competency or skills on the part of the educators.

Contrary to above are the Heads of Departments, who preferred classroom observation as compared to other appraisal processes.

5.2.1.3   HOW EDUCATORS FELT ABOUT DAS

The respondents were asked about how they felt about DAS. Some educators indicated that DAS was a replacement of the old inspectorate visits to schools, as they considered it to be fault-finding and not developmental as nothing was done to empower them. They were also frustrated by curriculum 2005 which changed to National Curriculum Statement which had a lot of paper work, that made the preparations for DAS quite tiring.

Their seniors did not share the same sentiments with them as they were content with the whole appraisal process. However, one of them suggested that the beginning educators should always be inducted in the teaching profession as that was considered to be an essential step in the continuing process of professional growth and development. The implication is that the professional development should be viewed as the most critical aspect of capacity building programme.

5.2.1.4   HOW WERE THE OUTCOMES OF APPRAISAL USED

On the question of how the outcomes of appraisal were used, all the educators and Heads of Departments indicated that they were used for professional development. The assumption here is that DAS was only for the professional development of educator and nothing else.

5.2.2   DISCUSSION OF THE QUALITATIVE DATA

The aims of items 12 to 16 were to establish the extent of knowledge possessed by educators and Heads of Departments about DAS. It was important for educators to have a clear understanding of how DAS worked in order to ensure effective implementation. This was an open-ended question. According to the educators' transcripts, the majority of educators understood DAS. This is based on the pilot sample the researcher used.

Perhaps the results will be different in the main study, as a bigger sample will be involved.

5.2.2.1   CONCERNS AND APPREHENSIONS

Educators and Heads of Departments were asked to comment on the challenges or concerns they have experienced during the appraisal process. Their concerns were as follows:

- Educators felt that the appraisal should gradually be introduced in different phases, to give schools, especially farm schools, more time to improve their physical and human resources;
- Educators should be well informed about the process of DAS, in order to alleviate the uncertainties and fears expressed by educators;
- To encourage educators to attend workshops, seminars, etc.; and
- There are no formal structures to support schools. Educators do not receive any support where needed.

5.2.2.2   CHANGES BROUGHT BY DAS

Educators and Heads of Departments were required to comment on the changes brought by DAS. They responded by stipulating the following changes:

- *"Teaching methods and techniques have changed drastically in the classroom";*
- *"Record keeping for learner's progress has improved due to the support given by the School Development Teams (SDTs)";*
- *"Sitting arrangements in the classroom has changed as educators concentrate more on group work activities"; and*
- "One of the educators said*: "My work is checked every week and this really motivates me"*

It remains to be seen as to whether all these positive changes were brought about by DAS or by the introduction of Outcomes Based Education (OBE).

5.2.2.3   SUPPORT GIVEN BY THE HEADS OF DEPARTMENTS

Heads of Departments were required to comment on how they supported the educators who were under their departments. They responded as follows:
- *"By mentoring educators at all levels";*
- *"Discussed poor performance under certain performance standards";*
- *"Drew up the Developmental Plan for discussion"; and*
- *"Built trust and confidence of their staff members".*

5.2.2.4 WHAT ADVICE DID HEADS OF DEPARTMENTS GIVE TO THEIR EDUCATORS

In terms of this question, the educators responded as follows:

- ❖ *"They advised us to work hard in order to achieve the set objectives"* and
- ❖ *"They appealed to us to see DAS as a developmental tool and not as a fault- finding mechanism".*

5.3 THE RESULTS AND INTEPRETATION OF THE MAIN STUDY (QUANTITATIVE INVESTIGATION)

The objective of this section is to report on the results of the empirical investigation conducted by means of the questionnaire, as well as, the interviews, to determine the contribution of appraisal on the professional development of the primary school educators. The researcher dealt with the questionnaires data and the interviews separately. However, the information was later collated and analysed according to the research questions.

The frequency analysis of the biographical data and the chi square application were given. With the chi-square (X^2), an attempt has been made to test the association between different variables and, this is represented by tables. The aim of using tables is to represent the data in a concise and easy to view fashion. The findings from other studies were used in order to substantiate the empirical data.

What follows is the frequency analysis of the main study as captured from the questionnaires and chi-square application of the different variable.

5.3.1 DISCUSSION OF THE DESCRIPTIVE STATISTICS (FREQUENCY ANALYSIS) AND THE CHI-SQUARE (X^2) APPLICATION OF THE MAIN STUDY (QUANTITATIVE INVESTIGATION)

In order to make the information collected meaningful, the descriptive statistics and frequency analysis were, according to Van Dalen (1979:56), used to give a snapshot picture of all the scores in a set of data. The chi-square was administered in order to detect, whether or not, the differences that exist between different groups are statistically significant.

5.3.1.1 THE RESULTS OF THE BIOGRAPHICAL DATA OF THE QUESTIONNAIRE-SECTION A

Questions 1-22 on the questionnaire are the biographical data and they encompass the characteristics of the school and the personal details of the respondents. Such information assists us to know the characters of people and the types of schools the researcher works with.

The biographical data has been presented by means of frequency tables, to reflect the responses of the educators to different questions, in order to summarise and make the data meaningful.

5.3.1.1.1 CHARACTERISTICS OF SCHOOLS SAMPLED

Table 5.1 below illustrates the location of schools which were sampled.

TABLE 5.1:   LOCATION OF SCHOOLS

Responses	Number	Percentage
Rural	49	53, 85
Urban	42	46, 15
Total	91	100

Four options were provided in the questionnaire for the respondents to choose from. These options were the village, farm, urban and township schools. However, when the analysis was done, these options were then combined into two, namely, rural and urban schools. Village and farm schools were clustered to form rural schools and urban and township schools formed urban schools. The reason why the responses were clustered together was to increase the size of each component.

The respondents were required to indicate whether their schools were located in rural or urban areas. Table 5.1 shows that there was a fair representation of both the rural and the urban schools. The researcher has sampled 49 educators from the rural schools, which makes up 53.85 % of the population and 42 from the urban schools, which is 46.15% of the population. The table shows that rural schools are in the majority (56) in the Lichtenburg Area Project Office as compared to the 26 urban schools.

5.3.1.1.2 THE PHYSICAL TEACHING AND LEARNING RESOURCES AT SCHOOLS

According to this statement, the respondents were requested to describe the teaching and learning resources of their schools. The respondents were given five options to choose from and these were as follows: excellent, very good, good, satisfactory and unsatisfactory. Options excellent and very good were merged with good. Satisfactory and unsatisfactory were left separated.

The reason for them to be combined was the fact that the results could have been widely spread as the sample size is small. Furthermore, it would have been difficult for the respondents to choose from good, very good and excellent. Table 5.2 below show how educators responded to this question. The reason why the responses were clustered together was to increase the size of each component.

TABLE 5.2:   THE AVAILABILITY OF THE TEACHING AND LEARNING RESOURCES AT SCHOOL AS PERCEIVED BY EDUCATORS

Responses	Number	Percentage
Good	36	39, 56
Satisfactory	34	37, 36
Unsatisfactory	21	23, 08
Total	91	100

Of the 91 participants, 36 of them who constitute 39.56 % of the population responded by saying that the physical teaching and learning resources at their schools were good and 34 participants, who make 37.36 % of the population indicated that they were satisfactory. Only 21 (23, 08 %) respondents were not happy about their resources. One therefore wonders whether this is a true reflection of the resources at schools or maybe the terms "good,

satisfactory and unsatisfactory" are in the eyes of the beholder. But the employment of the interviews could clear the confusion.

The percentage for both satisfactory and good when added up displays a good distribution of resources. What the researcher has observed is that most rural schools are poorly resourced in terms of buildings, equipment, books and access to sanitation.

Table 5.3 below shows how the rural and urban educators perceived the teaching and the learning resources at their respective schools

TABLE 5.3:   **HOW EDUCATORS FROM DIFFERENT LOCATIONS DESCRIBED THE TEACHING AND LEARNING RESOURCES OF THEIR SCHOOLS**

Settlement	Responses			p-value
	Good	Satisfactory	Unsatisfactory	
Rural	13	19	17	0, 0045
Urban	23	15	4	
Total	36	34	21	

Thirteen rural respondents (14, 29%) described the teaching and learning resources at their schools as good, 19 (20, 88%) said they were satisfactory and 17, who constitute 18, 68% of the sample said they were unsatisfactory.

Twenty three (25, 27%) of the urban respondents described the resources as good, 15 (16, 48%) responded by saying that they were satisfactory and it was only 4 respondents (4, 46%) who were not satisfied with the availability of the teaching and learning resources at their schools. The researcher may therefore conclude that it would perhaps be difficult to support educators in their professional development where there are no facilities.

Generally, as the table shows, urban schools were better resourced than rural schools as there were only four respondents out of the 38 who responded negatively to this statement.

The researcher has applied the chi-square (X^2) in order to establish whether there is a significant difference between the way the rural and urban respondents described the availability of the resources at their schools. What the researcher has observed from Table 5.3 above is that there is statistically significant difference (p = 0, 0045) between the perceptions

the rural and urban educators have of the physical teaching and learning resources at their schools. The statistics show that urban schools are better resourced than rural schools within the $p \leq 0,05$ level of significance even though the researcher still maintains that the availability of the teaching and learning resources in rural schools might be worse than the figures given.

5.3.1.1.3 PERSONAL DETAILS OF THE RESPONDENTS (STATEMENTS 6-11)

The participants in this study are primary school educators, Heads of Departments and principals of farm schools with two to three educators. Tables 5.4 to be discussed on the next page shows the spread of the respondents with regard to gender, age, teaching experience, the position held by the respondents at their individual schools, the experience they have in those positions, as well as, the nature of appointments to be discussed on the next page. The literature review has indicated that such information is important in research as they permit opinions and attitudes to be analysed in terms of the kind of people who hold these views (Allison et al, 1996:75).

TABLE 5 4:   THE SUMMARY OF THE RESPONDENTS' DETAILS

Respondents	Number	Percentage
Gender		
Males	41	51, 25
Females	39	48, 75
Total	80	100
Ages		
Less than forty years	29	36, 71
40-50 years	38	48, 10
51 years and above	12	15, 19
Total	79	100
Teaching experience		
1-10 years	13	16, 46
11-20 years	35	44, 30
21 years-and above	31	39, 24
Total	79	100
Position at school		
Principal/ Deputy	7	8, 75
HOD	24	30, 00
Educator	49	61, 25
Total	80	100
Nature of appointment		
Temporary	1	1, 25
Permanent	78	97, 50
Volunteer	1	1, 25
Total	80	100

A. GENDER OF THE RESPONDENTS

Question 6 requested the respondents to indicate their gender. Table 5.4 illustrates a reasonable balance in the number of the males and females who participated in the study as the percentages are 51.25 and 48.75 respectively.

B. AGES OF THE RESPONDENTS

The second part of Table 5.4 shows the range of the ages of the respondents. The respondents were asked to give their ages. These ages were later categorized into three, namely, those who are below the age of forty, forty to fifty and those who are above fifty. The table indicates that twelve educators are above the age of fifty which makes it 15, 19%. The 29 educators out of 91 educators, constituting 36, 71% are less than forty and 38 fall in the category of forty to fifty years. This simply shows that most of the respondents are far from the retiring age. The first two groups, that is, ages ranging from fifty downwards, need to be developed as they still have a long way to go in the education fraternity.

C. THE RESPONDENTS' TEACHING EXPERIENCE

The respondents were also requested to indicate their teaching experience in years. The responses given were so vast that the researcher, together with the statistician, decided to categorize them into three, namely, one to ten years, eleven to twenty and twenty one and above.

Table 5.4 indicates that most educators were experienced as 13 respondents (16, 46%) indicated that they had teaching experience ranging between one and ten years while 35 educators (44, 30%) mentioned the fact that their teaching experience ranged between eleven and twenty years. Thirty one educators (39, 24%) taught for twenty one years and more. This really shows that most educators had long been in the system as there was a large number of educators who fall under the last two categories. The implication is that experienced educators may serve as mentors for inexperienced educators. However, with the new curriculum which has just been implemented, one wonders who will be the mentor because those who have been in the system for more than twenty years, seem to be negative about the developmental appraisal as they do not want to learn anything new. Another reason for the shortages of the mentors may be that all educators are struggling to adapt to this new curriculum.

D.   TEACHING AND MANAGERIAL POSITIONS OF THE RESPONDENTS

What follows is the information on the positions the respondents held at their individual schools.

The questionnaires were supposed to have been completed by the educators and Heads of Departments only. However, the principals were included due to the fact that, in some schools, especially farm schools, an educator on post level one or two serves as the principal due to the size of the school.

Table 5.4 proves this point as the figures show that 7 (8, 75%) of the respondents were principals. Twenty four (30%) of the respondents were the Heads of the Departments and 49 (61, 25 %) were educators on post level one. The implication is that in very small schools (where there are two to three educators) educators may be forced to appraise one another despite the subject knowledge or seniority. This implies that seniority and the educators' knowledge will not be considered, and there will therefore be no development.

It is also worth noting that, even though the statistics show that only a small percentage of educators were temporarily employed, the researcher knows for sure that this number may be worse than this as the majority of the educators had been declared in excess. The implication of this is that, they should look elsewhere for schools where they can be placed. Such educators may not welcome appraisal as they might think that it could be used against them. This finding is in line with what Poster and Poster (1991:61) said when he indicated that for appraisal to be successful, the timing should be correct.

E.   NATURE OF APPOINTMENT

Educators were requested to indicate their nature of appointment. Of the 79 educators, only 1, 25% were temporarily employed, 97, 50% were on the permanent staff and 1, 25% are volunteers (see table 5.4 above). With such a high number of educators being permanent, the researcher foresees a situation where educators would be positive about DAS. There is, therefore, no reason for educators to be demoralized by the appraisal process.

5.3.1.2   HOW IS DEVELOPMENTAL APPRAISAL UNDERSTOOD BY THE EDUCATORS

Table 5.5 below presents the data on how the respondents from different geographical locations defined or understood the developmental appraisal.

TABLE 5.5: RURAL AND URBAN EDUCATORS' DEFINITION OF DEVELOPMENTAL APPRAISAL

Settlement	Development	Accountability or evaluation	Development and accountability
Rural	34	8	3
Urban	29	8	3
Total	63	16	6

Sixty three respondents (73 %) associated appraisal with development whilst 16 (19%) associated it with evaluation or accountability. It was only 6 of the respondents (7%) who combined accountability with development in their definitions.

The researcher compared the responses of the rural and urban respondents, and the data shows that 34 (75 %) of the rural respondents viewed appraisal more as a developmental tool, 8 (18%) perceived it as an accountability or evaluation tool and it was only 3 (7%) who viewed it as a tool used for both developmental and evaluation or accountability purposes. The researcher may conclude that the confinement of the concept either to development or evaluation (accountability), might be attributed to the fact that educators were inadequately trained. It is also worth noting that, the majority of the respondents confined the concept to development probably because of the misinterpretation of the word as used in the South African context. To them the word development literally means educator empowerment and overlooks the evaluation aspect.

The urban educators responded in the same way as the rural educators 29 (72%) said that it was for development, eight respondents constituting 20% said that it was for accountability and 3 (8%) said it was for both development and accountability purposes. From these definitions, it is clear to the researcher that educators are not clear in terms of the purposes of appraisal as they confined it either to development or accountability and disregarded the other purposes. It was only 6 (7%) who knew that it was for both accountability and developmental purposes. This is

confirmed by the literature study (see paragraph 2.2.3) where it is indicated that appraisal is a combination of reviewing the past year's work (evaluation) and planning training for the coming year (development).

Dividing the two definitions might have been done on purpose due to the fact that, educators were not in favour of the accountability and developmental purposes being linked as literature and the findings of other studies have shown that there is always conflict in these two purposes (see paragraph 2.2.4).

The chi square application shows that there is no significant difference ($p= 0, 9081$) in the way the rural and the urban educators defined developmental appraisal. The reason for this might be that the way the concept is used in the RSA, might be confusing to the respondents because it is normally referred to as developmental appraisal rather than just as appraisal or performance appraisal. The assumption here is that appraisal is only for development as other purposes like, accountability or evaluation and the confirmation of probationers had been neglected. The implication of this finding is that educators seems not to have the knowledge of how the appraisal related concepts are used and this may influence their appraisal practices negatively.

Table 5.6 below shows the responses of educators with regard to how the training sessions helped them in terms of how they understood Developmental Appraisal System (DAS).

TABLE 5.6: **HOW THE TRAINING SESSIONS HELPED IN TERMS OF THE EDUCATORS' UNDERSTANDING OF DEVELOPMENTAL APPRAISAL**

Responses	Frequency	Percentage
Inadequate training	31	34
Understood appraisal	48	53
Not trained	12	13
Total	91	100

Educators were asked as to how the training sessions helped them during appraisal. This was an open-ended question which was finally coded into three categories in order to make the analysis simple and manageable for the researcher.

Table 5.6 above shows that roughly half of the participants said that they understood appraisal, a quarter said the appraisal training sessions were inadequate and about one fifth stated that they were not trained. Those who indicated that the training sessions were inadequate gave the following reasons:

> *"Training was done for few days"*
> *"We were only given feedback from the workshop"*
> *"Facilitators could not answer our questions"*

This is appalling when you add up the percentages of those who were never trained which is 13% and those who said the training was inadequate i.e. 25%. The percentage becomes so high to an extent that it forces the researcher to conclude that, the confinement of the explanation of developmental appraisal to either development or evaluation without combining the two terms might be caused by this factor.

The table below represents the educators who indicated that they were appraised and those who did not undergo the appraisal process.

5.3.1.3   IMPLEMENTATION OF DAS (APPRAISAL PROCESS)

TABLE 5.7:   NUMBER OF EDUCATORS WHO WERE APPRAISED

Responses	Frequency	Percentage
Yes	82	92
No	7	8
Total	89	100

Frequency Missing = 2

According to the responses given by the participants, 82 (which constitute 92%) of the respondents indicated that they were appraised. Of the total population 7 (8%) respondents indicated that they were never appraised. However, this was quite a small number and a good indication that appraisal was implemented in most schools. It is possible that this 8% comprises of new educators.

Table 5.8 below illustrates the participants' responses with regard to the duration of the classroom observation.

TABLE 5.8:   THE DURATION OF THE CLASSROOM OBSERVATIONS

Responses	Frequency	Percentage
15 minutes or less	2	2
16-30 minutes	42	46
31-40 minutes	40	44
Never appraised	7	8
Total	91	100

On the question of the duration the educator was observed in practice, the respondents were given four categories to choose from, and they responded in the following ways:

❖ Fifteen minutes and less - 2 respondents (2%);
❖ Sixteen up to thirty minutes – 42 respondents (46%); and
❖ Thirty one up to 40 minutes – 40 respondents (44%).

Coming to the length of time educators were observed in practice, the researcher may conclude that most of the appraisees were observed for the entire period as options 2 and 3 are most frequently our normal school periods. The situation depicted on Table 5.8 above is promising as the majority of the respondents indicated that they were observed in practise for the full period. This seems to suggest that, classroom observation was taken with absolute gravity in developmental appraisal based on the educators' responses as depicted on Table 5.8. The literature study has revealed that classroom observation is an important component of educator appraisal or evaluation (see paragraph 2.2.1.2).

Table 5.9 below indicates how the participants responded to the question of who chose the appraiser for them.

TABLE 5.9   SELECTION OF THE APPRAISER

Responses	Frequency	Percentage
No choice the appraiser imposed	1	1
Teachers' own choice	17	19
Negotiated	73	80
Total	91	100

On the question of who chose the appraiser for the appraisee, 73 respondents (80%) who participated in the investigation indicated that the appraiser was negotiated. This implies that the school management team and the appraisee agreed on who they thought would be relevant to appraise the appraisee. May be the respondents misunderstood the word "negotiated" for "teachers' choice" as according to developmental appraisal, educators are to choose their own appraisers. It is also possible that the management and the appraisee negotiated for the choice of the outside appraiser or the appraiser from the nearby schools.

One per cent of the respondents indicated that the appraiser was imposed. This may have happened in farm schools where there are two or few educators, and, therefore, there were no educators to choose from. Some educators might have chosen their seniors or appraisers as they were their obvious choices. If this was the case, appraisal was a futile exercise as some seniors might not have had the necessary skills and knowledge of subjects taught by the appraisee. This is supported by the literature review (see paragraph 2.3.4).

Educators were requested to indicate the criteria they used in the selection of the appraisers. Table 5.10 below indicates their responses.

TABLE 5.10:   CRITERIA USED IN THE SELECTION OF THE APPRAISER

Responses	Frequency	Percentage
Teaching experience	70	77
Used the educator available	16	18
Subject knowledge and seniority	5	5
Total	91	100

Educators were asked about the criteria which they used in the selection of the appraiser. They were given five categories to choose from. The fifth option was "others" where they were to specify anything not mentioned in the categories given. The educators' responses were then coded into three categories as the answers were too many.

Teaching experience featured prominently as 70 respondents who constituted 77% chose this option. Subject knowledge and seniority, which ought to have been chosen by the majority of the respondents, were only chosen by 5 (5%) respondents. Teaching experience does not guarantee the educators' knowledge of the subject matter. Sixteen respondents (who make 18%), indicated that they used the appraiser available. The researcher maintains that this situation is prominent in small schools with few educators. The problem with this option is that the educators may be compelled to choose appraisers who are not knowledgeable about the subject and, therefore, cannot help the appraisee in his or her professional development. According to (Sawa, 1995; Grice & Honke, 1990), appraisers should know the subject matter so that appraisees could benefit from the appraisal process.

Table 5.11 below gives the responses of educators based on how they responded to the question of how they felt while they were observed in practice.

TABLE 5.11:   EDUCATORS' RESPONSES TO TEACHING IN THE PRESENCE OF THE OBSERVER (S)

Responses	Frequency	Percentage
Uncomfortable	13	16
Comfortable	70	84
Total	83	100

Educators were requested to rate themselves on a four-point scale as to how they felt whilst they were observed in practice. The four options were later combined as there was a thin line dividing them. Options one and two were combined to form "uncomfortable" and options three and four were combined to form "comfortable". The researcher realised that it would be difficult for the respondents to distinguish between very comfortable and comfortable. From the Table 5.11 above, it is obvious that a significant majority of the respondents (84%), were comfortable being observed in practice. This implies that educators had nothing to hide as they benefited a lot from classroom observation. Only 13 respondents, who constitute 16% indicated that they were uncomfortable to teach in the presence of the observer. The possible reason for the negative responses could be that these were new educators who still needed to be mentored or those who taught Learning Areas they were never trained in as the new curriculum has new Learning Areas like Life Orientation, Arts and Culture, etc. This finding is in keeping with Morant's (1981:8) view that indicated that educators who are confronted with change and uncertainties need to be adaptive and be supported in order to make their movements smooth.

On the next item, the respondents were asked to provide reasons for being affected by the presence of the observer. This question was open-ended. The participants' responses were later coded into three categories which appear on the Table 5.12 below.

TABLE 5.12:   EDUCATORS' REASONS FOR THE RESPONSES IN 5.12

Responses	Frequency	Percentage
Necessary experience	26	28
Appraiser provided assistance	28	31
Appraisers' presence disturbs learners	37	41
Total	91	100

Educators who indicated that they were comfortable, said that the reason for feeling comfortable was that they had the necessary experience. Others said that appraisers were there to help.

Fifty nine per cent of the responses (which is made up by categories one and two) responded positively. It was only 41% of the respondents who indicated that learners were disturbed by the presence of the observer. This might be true, considering the fact that most learners become restless if they see someone new in their classroom. In the researchers' view it appears that

educators felt restless during classroom observation as one of them said: **"One is like at the critics".** However, there is nothing that can be done with the uneasiness of the educators during classroom observation as it is indispensable in appraisal (refer to paragraph 2.2.1.2).

Tables 5.11 and 5.12 above illustrate the contradictory nature of the participants' responses as the first one show that 84% of the educators were comfortable about being observed in the classroom and when coming to the reasons for their feelings which are captured in Table 5.12, those who said the appraisers' presence disturbed learners constitute 41%. This was the group which felt uncomfortable when observed in the classroom. The possible reason for this contradiction could be that, even though they were comfortable in being observed in the classroom, they still felt that learners were disturbed by the observer.

Table 5.13 illustrates the responses of educators with regard to how they viewed the appraiser-appraisee relationships at their respective schools.

TABLE 5.13:   RELATIONSHIP OF TRUST BETWEEN THE APPRAISER AND THE APPRAISEE

Responses	Frequency	Percentage
Excellent	19	21
Very Good	33	36
Satisfactory	30	33
Negative	9	10
Total	91	100

The respondents were requested to rate their relationship with their appraisers on a four-point scale. Nineteen respondents who made 21% said that the relationship was excellent whilst 33 respondents who constituted 36% indicated that the relationship was very good. Thirty three (33%) respondents said the relationship was satisfactory and only 9 (10%) were not happy about the relationship that existed between the appraiser and appraisee.

This was a good indication as a significant number of the respondents (90%) rated the relationship they had with their appraisers high after combining the first three categories. The situation was definitely not bad, one, therefore, expects the appraisal process to be effective in the development of the educators as there is a relationship of trust between the appraisers and

the appraisees. The study conducted by Wragg et al. (1996:125) has indicated that the appraiser-appraisee relationship is pivotal to the success of the appraisal process. It is, however, worth noting that it is not only the relationship of trust which is required to make the appraisal process a success, but also the appraisers' knowledge of the subject matter is equally important. It is therefore, clear that the relationship of trust should always be coupled with the knowledge of the subject matter for developmental purposes.

The educators were asked as to whether they were ever trained in self appraisal. Their responses are mapped out in Table 5.14 below.

TABLE 5.14:   THE TRAINING OF EDUCATORS IN SELF APPRAISAL

Responses	Frequency	Percentage
Yes	39	49
No	40	51
Total	79	100

The percentages of respondents who indicated that they were trained and those who were not trained are almost the same as they are 49% and 51% respectively. This is a worrying factor when considering the fact that the literature review has indicated the importance of training educators in self appraisal as it is something new to the educators (see paragraph 2.2.1.1). The frequency missing is 11 which might have produced different results. Based on this, the researcher may conclude that enough was not done in training educators in self assessment or evaluation. Training in self assessment need to be speeded up as self assessment supersedes any appraisal scheme (Schwab, 1990:75). The responses received in this section show the necessity of an intense support system needed for educators.

The table below reflects the responses of the participants on how they prepared themselves for self appraisal.

TABLE 5.15:   EDUCATORS' PREPARATIONS FOR SELF APPRAISAL

Responses	Frequency	Percentage
Evaluated myself	34	48
Self appraisal is not necessary	5	7
I was confused	32	45
Total	71	100

The respondents were asked as to how they prepared for self appraisal. This question was open-ended and was generally poorly answered. Poor responses could be attributed to the participants' lack of understanding of the question, or maybe they understood the question but did not know what to say. Just like other open-ended questions, answers were coded into three categories. Educators' responses were as follows:

❖ Forty eight per cent said they evaluated themselves;

❖ Seven per cent indicated that self appraisal was not necessary, possibly that was the group which gave themselves high scores and could not tell the truth about their performance;

❖ Forty five per cent said they were confused, a possible reason could be that educators did not know what to do during self appraisal because they were not well trained in this; and

❖ Twenty two percent which is relatively high, did not respond to this question, probably because they did not know what to say.

The researcher can, therefore, conclude that the self evaluation model propounded by Bruce and Showers (1995:56), may be used in order to give guidance to educators for effective self assessment. Educators need to be trained in self appraisal as it provides them with the time to sit and reflect.

The statistics of the educators' responses with regard to how the criteria were communicated to them are outlined in Table 5.16 below.

TABLE 5.16:   RESPONSES OF EDUCATORS WITH REGARD TO THE WAY THE CRITERIA WERE COMMUNICATED TO THEM

Responses	Frequency	Percentage
Yes	70	82
No	15	18
Total	85	100

When asked about whether they were satisfied with the way criteria were communicated to them, 82% of the respondents stated that they were satisfied with the way the criteria were communicated to them, whilst 18% which was quite a small number, said they were not happy about this aspect. Those who said criteria were poorly communicated to them might be the group which earlier on said that they had never been trained in appraisal. It seems that the RSA has nothing to fear with regard to appraisal implementation because the understanding of criteria is the most important aspect of appraisal as evaluation would be done against them rather than against others' performance. For educators to be able to evaluate themselves, standards are to be clear to them so that they could be able to assess themselves well (see paragraph 2.2.1.1).

The researcher was curious to know whether there was any difference in how the respondents from different geographical locations, responded to the question of whether they were satisfied with the way criteria were communicated to them. Table 5.17 below shows these responses.

TABLE 5.17:   RESPONSES OF THE RURAL AND URBAN EDUCATORS WITH REGARD TO THE WAY THE CRITERIA WERE COMMUNICATED TO THEM

Settlement	Yes	No
Rural	38	8
Urban	32	7
Total	70	15

Statistics show that there is no significant difference (p =0, 9464) in the way the criteria were communicated to the rural and the urban educators. They were both satisfied with the way they were communicated to them. It means that both groups understood the criteria against which they were to be assessed and this according to appraisal is fair and transparent.

5.3.1.4   EFFECTIVENESS OF DEVELOPMENTAL APPRAISAL

Section 5.3.2.3 is very important as it attempts to answer the main research question: to what extent has appraisal contributed to the professional development of the primary school educator? Table 5.18 below illustrates the responses of the rural and urban participants with regard to how they described the quality of the DAS training sessions they received.

TABLE 5.18   COMPARISONS BETWEEN HOW THE RURAL AND URBAN RESPONDENTS DESCRIBED THE QUALITY OF THE DAS TRAINING SESSIONS THEY RECEIVED

Settlement	Inadequate	Adequate	Not trained	P-value
Rural	10	24	6	
Urban	8	18	6	0, 0039
Total	18	42	12	

The respondents were requested to rate the quality of the training sessions they received. Sixty of the respondents (constituting 83 %) indicated they were trained in appraisal. Out of the 60 who said they were trained, 42 (58%) said that the training sessions were adequate and 18 (25%) felt that they were not satisfied with the quality of the training received. When the researcher compares the responses of the educators from different geographical locations, one may have an impression that there is a difference in how they viewed the appraisal training sessions as 24 (33%) rural educators felt that the quality of the appraisal training was good whilst 10 (14%) said it was inadequate. Eighteen (25%) urban educators were happy with the training they received and 8 (11%) respondents were not happy about the training. Twelve (17%) of the respondents said were not trained.

The chi-square statistics has indicated that there is a significant difference (p= 0, 0039) in the way the rural and the urban educators viewed the quality of the appraisal training sessions. On comparative basis, the rural educators were happier about the training sessions than their urban counterparts. The possible reason might be that, even though rural educators were not happy about the training, they would still be happy because they were always submissive.

In variable 26, the respondents were requested to give reasons for rating the appraisal training the way they have. Educators who considered the training to be good or adequate advanced the following reasons:

- ❖ *"Because I learned a lot in my career"; and*
- ❖ *"Training was adequate".*

Those who considered training to be inadequate advanced some of these reasons:

- ❖ *"Less time for training"*. This aspect was stressed over and over again;
- ❖ *"We need regular training";*
- ❖ *"Training was not adequate as it was given as feedback from the workshops";* and

Those who responded in this way may be correct because, even when educators were to be trained in the implementation of the new curriculum, only representatives of Learning Areas were released to attend workshops and the rest of the staff received information as feedback. This is a common practice in the RSA, and this needs to be reviewed, if all the departmental initiatives are to be a success. The possible reason for this is cost containment on the part of the Department of Education which does not benefit educators in any way as good things are worth spending for. Clearly money and the resources are problems facing educator appraisal and other initiatives. This finding concurs with the results of the studies conducted by the researchers like (Fiddler & Cooper, 1991; Scribbins & Walton, 1987; Duke, 1995; Horne & Pierce, 1996).

- ❖ *"Lack of communication with the appraisal team from the Area Project Office"*

Some respondents claimed that they were never appraised because *"it was only for people or educators who were permanently employed by the government and not for educators who are temporarily employed"*.

Table 5.19 below shows the responses of the rural and urban participants with regard to how they perceived the DAS implementation.

TABLE 5.19:   COMPARISONS BETWEEN THE RESPONSES OF THE RURAL AND URBAN EDUCATORS WITH REGARD TO HOW THEY PERCEIVED DAS IMPLEMENTATION

Settlement	Effective	Percentage	Ineffective	Percentage	P Value
Rural	18	21, 43	27	32, 14	
Urban	17	20, 24	22	26, 19	0, 7393
Total	35	41, 67	49	58, 33	

The respondents were requested to rate the implementation of appraisal at their respective schools on a four-point scale. The scale ranged from "very effective, effective, very ineffective and ineffective" which were later combined into two categories, namely, effective and ineffective.

On the overall, 41, 67% were satisfied with the implementation of developmental appraisal and 58, 33% were not. The statistical test has shown that there is no significant difference in the perceptions rural and urban educators have about the effectiveness of developmental appraisal as the probability value is 0, 7393, which is bigger than 0,05. Even though the probability value shows that there is no significant difference in what rural and urban educators said, the researcher can say, with certainty, that the number of those who said the implementation was effective was less than those who said it was ineffective.

The researcher can, therefore, conclude that there is high failure rate in the implementation of DAS as 58 % of the respondents, which is more than half, said they were not satisfied.

Table 5.20 depicts the responses of the educators in different post levels with regard to how they perceive DAS implementation.

TABLE 5.20   COMPARISONS BETWEEN RESPONSES OF EDUCATORS IN DIFFERENT POST LEVELS WITH REGARD TO HOW THEY PERCEIVED DAS IMPLEMENTATION

Position	Effective	Percentage	Ineffective	Percentage	p-value
Principals	4	4, 76	3	3, 57	
HOD's	8	9, 52	17	20, 23	0, 4083
Educators	23	27, 4	29	34, 52	
Total	35	41, 68	49	58, 32	

The chi square application shows that there is no significant difference in the way the educators, the principals and Heads of Departments view effectiveness of appraisal as the probability value is 0, 4083 which is larger than 0, 05.

Comparatively speaking, 4, 76% of the principals of very small schools felt that appraisal was well implemented whilst 3, 57% indicated otherwise. This shows that principals as managers, want to see appraisal being successful, that is, they want to see a half glass as half full rather than as half empty. The former are supported by the 26 principals who were interviewed as they all viewed appraisal as being effectively implemented. The majority of the Heads of Departments constituting 20, 23% indicated that appraisal was not well implemented whilst 9, 52% indicated otherwise. One can conclude that Heads of Departments, unlike principals, generally consider appraisal to be poorly implemented. This might be caused by the fact that they are appraisers in most cases, who must teach, control learners' work and, at the same time, appraise the educators. About 35% of the educators said that it was well implemented and 27, 4% said it was not well implemented. Generally, educators and Heads of Departments were not happy about the way appraisal was implemented at schools as 58, 32% of the respondents indicated that appraisal was poorly implemented.

These criticisms are mind boggling to the researcher as they clearly show that appraisal, which is supposed to be popular because of its' potential in developing educators, is not welcomed by them. However, their responses contradict what principals, as managers of schools, have said. The possible reason for this state of affairs could be that principals want to be seen working, or apart from that, educators and Heads of Departments may not want their work to be monitored. The researcher, therefore, gives principals the benefit of the doubt by agreeing with what they said during the interviews.

What follows are the responses of male and female educators with regard to how they perceived DAS implementation.

TABLE 5.21: **COMPARISONS BETWEEN RESPONSES OF MALE AND FEMALE EDUCATORS WITH REGARD TO HOW THEY PERCEIVED DAS IMPLEMENTATION**

Gender	Effective	Ineffective	P value
Males	14	28	
Females	21	21	0, 1213
Total	35	49	

With regard to how educators perceived the DAS training, they were given four possible answers to choose from and were required to say whether the developmental appraisal system was effectively implemented or not.

Here, the researcher was curious to know whether there was any significant difference in the way the male and female educators viewed the effectiveness of appraisal implementation. Although the probability value is 0, 1213 which is far greater than 0, 05 which indicates that there is no significance difference in the perceptions male and female educators had about the appraisal implementation, the percentages indicate a different story. The percentages of males who perceived appraisal as ineffectively implemented were 28 and those who said it was effectively implemented were 14. This is different from the 21/21 split between female educators who responded to this statement. So the researcher can conclude that male educators were more negative about appraisal as compared to their female counterparts. The reason why the researcher holds this view is that the majority of males possibly occupy high positions in the trade unions as compared to their female counterparts, and as a result, are more informed about policies. However, they sometimes abuse this knowledge. The researcher's experience has taught her that the majority of male educators are not good in paper work which is part of the appraisal process.

Table 5.22 below shows how the educators responded to the question of how the outcomes of appraisal were used.

TABLE 5.22: HOW WERE THE OUTCOMES OF APPRAISAL USED

Responses	Frequency	Percentage
Professional development	54	64
Salary progression	20	24
Nothing done	10	12
Total	84	100

The educators were asked as to how the appraisal results were used. This is an important question which can really show the researcher whether appraisal was effective or not.

Fifty four respondents, who constituted 64%, believed that the appraisal outcomes were used for the professional development and 24% said that it was used for salary progression. It was only 12% who indicated that the outcomes were never used. This shows that, in some instances, appraisal was only done as a formality, that is, for the department. This implies that educators believed that appraisal was either for the professional development or for salary progression (accountability) as no one ticked other purposes like the confirmation of probationers, personal development and salary progression. Perhaps the absence of mentioning confirmation of probationers can be attributed to the practice of confirming educators without subjecting them to probation.

Maybe this was done deliberately as the literature review has indicated that there is always conflict between the purposes of appraisal (see paragraph 2.2.4). The possible reasons for educators separating the two purposes might be the following:

❖ they are not well trained in appraisal;
❖ Or, they were trained and the results were used for salary progression but never developed;
❖ They deliberately separated the two purposes because they are either in favour of development or salary progression; and
❖ May be they do not want the two purposes to be combined.

According to the researcher's experience, the two appraisal processes were always combined although they were supposed to be separated. At the beginning of the year, educators were to be appraised so that their grey areas are identified and addressed. At a later stage, they were to

be appraised again for salary progression. However, what happens in schools, according to the information from the principals, was that educators were appraised and their developmental needs were identified but never addressed. So educators were then appraised for salary progression without being developed, as a result, they rated themselves high even though they did not deserve the scores just because they want to get the one per cent increment. This has potential of causing tension between the appraiser and the appraisees.

The educators' responses on whether the identified training needs were addressed or not are mapped out in Table 5.23 below.

TABLE 5.23: WERE THE IDENTIFIED TRAINING NEEDS ADDRESSED

Responses	Frequency	Percentage
Yes	38	42
No	53	58
Total	91	100

From the Table 5.23, it is clear that the majority of the respondents, who constitute 58%, felt that the appraisal process did not help them to address the identified training needs whilst 42% said their training needs were addressed. The percentages of those who agreed and those who disagreed are almost the same. This led the researcher to say that appraisal process worked to a certain extent in some functional schools as it had helped others to address the training needs of the educators. However, the percentages of those who said "no" is a worrying factor to the researcher because it is useless for the training needs to be identified without addressing them.

Educators were asked to indicate the types of training programmes which were conducted for their development which emanated from the appraisal process. Table 5.24 below shows their responses.

TABLE 5.24:   THE TRAINING PROGRAMMES WHICH WERE CONDUCTED FOR EDUCATOR DEVELOPMENT WHICH EMANATED FROM THE APPRAISAL PROCESS

Responses	Frequency	Percentage
In-School training	53	58
Training by subject specialists	19	21
Nothing	18	20
Irrelevant response	1	1
Total	91	100

The majority of the respondents who constitute 58% indicated that in-school training programmes were conducted in order to address their training needs whilst 21% said they were trained by subject specialists. What the researcher is not sure of is whether the in-school training, which they claimed to have received, is not part of the feedback sessions from the training conducted for educators based on the new curriculum. However, the researcher may agree with those who said they had received in-school training but doubt those who said they were trained by subject specialists. The reason for this is that the researcher herself is the subject specialist who knows that schools were requested to develop School Development Plans which will indicate the training needs of each educator within the school. All the Schools' Developmental Plans would then be consolidated to form Area Project Office Developmental Plan, which will be availed to all the specialists concerned so that educators with the same subject problem will be trained together at the APO level. However, this was never done.

Twenty per cent of the respondents said that nothing was done to address their training needs while 1% of the respondent gave irrelevant answers.

If what the majority of the respondents said was a true reflection of what is happening at schools, then the appraisal process is successful to a certain extent.

Educators were asked as to what they exactly learnt from the appraisal process, their responses are captured in Table 5.25 below.

TABLE 5.25: WHAT THE RESPONDENTS LEARNT FROM THE APPRAISAL PROCESS

Responses	Frequency	Percentages
Nothing	22	28
To be a life long learner	32	42
Never appraised	1	1
Irrelevant	22	29
Total	77	100

Frequency missing=14

On the question of what the respondents learnt from the appraisal process, they indicated that nothing specific came out of this process. The question was not well answered because 29% of the responses were irrelevant, 42% said they learnt to be life long learners whilst 28% said they learnt nothing. It was only 1% who said they were never appraised. The 14 frequencies missing show that educators did not want to commit themselves with this question. The possible reason might be that there was nothing they learnt. This is a worrying factor if an educator undergoes an appraisal process but is unable to tell what he learnt.

The participants were asked as to whether DAS was effective in the improvement of skills. Table 5.26 below shows how male and female participants responded to the question.

TABLE 5.26:   EFFECTIVENES OF DAS IN THE IMPROVEMENT OF SKILLS AS PERCEIVED BY MALE AND FEMALE RESPONDENTS

Gender	Agree	Percentages	Disagree	Percentages	p-value
Males	35	42, 17	6	7, 23	
Female	36	43, 37	6	7, 23	0, 9640
Total	71	85, 54	12	14, 46	

Only 14, 46% considered appraisal to be ineffective in improving skills whilst 85, 54 which was quite a good number, considered it good. When the chi square test was administered, the results shows that there is no significant difference between the perceptions the male and female educators have about the effectiveness of appraisal in the improvement of skills as the probability value is 0, 9640. Both male and female educators gave similar responses.

Table 5.27 below compares the responses of the rural and urban educators with regard to how they perceived the effectiveness of DAS in the improvement of skills.

TABLE 5.27: EFFECTIVENESS OF DAS IN THE IMPROVEMENT OF SKILLS AS PERCEIVED BY EDUCATORS IN DIFFERENT GEOGRAPHICAL LOCATIONS

Settlement	Agree	Percentages	Disagree	Percentages	p-value
Rural	39	46, 99	5	6, 02	
Urban	32	38, 55	7	8, 43	0, 3945
Total	71	85, 54	12	14, 46	

A significant majority of the respondents (85, 54%) felt that appraisal had been successful in the improvement of skills whilst 14, 46% said it did not help in any way. When comparing the perceptions of the rural and urban educators, the researcher may conclude that there is no significant difference in their perceptions as the probability value is 0, 394 which is more than 0, 05. Males and females viewed appraisal as important in the improvement of skills.

Educators were asked as to how they perceived the effectiveness of DAS in the identification of training needs and their responses are mapped out in Table 5.28 below.

TABLE 5.28: EFFECTIVENESS OF DAS IN THE IDENTIFICATION OF TRAINING NEEDS

Gender	Agree	Percentage	Disagree	Percentage	p-value
Females	35	42, 17	7	8, 43	
Males	36	43, 37	5	6, 02	0, 5625
Total	71	85, 54	12	14, 46	

A considerable number of the respondents (85, 54%) indicated that appraisal played a role in the identification of the training needs while 14, 46% indicated otherwise. It is clear that appraisal really helped in what it was supposed to have done as the table above shows that overall, 85, 54% of the respondents considered it important to identify training needs.

When comparing the responses of the male and female respondents, based on the effectiveness of appraisal in identifying training needs, the researcher has observed that there is no

significant difference (p= 0, 5625) in how they perceive this aspect. Both groups viewed appraisal as effective in identifying training needs as the female and male percentages are 42, 17 and 43, 37 respectively. This was a good sign.

Table 5.29 below depicts the responses of the rural and urban educators with regard to how they perceived the effectiveness of DAS in the identification of training needs.

TABLE 5.29   EFFECTIVENESS OF DAS IN THE IDENTIFICATION OF TRAINING NEEDS AS PERCEIVED BY RURAL AND URBAN RESPONDENTS

Settlement type	Agree	Percentages	Disagree	Percentages	p-value
Rural	41	49, 40	3	3, 61	
Urban	30	36, 14	9	10, 84	0, 0355
Total	71	85, 54	12	14, 46	

The majority of the educators (85, 54%), believed that appraisal was good in identifying training needs and it was only 14, 46% who said appraisal failed to identify training needs. This implies that appraisal was good as it benefited all in the identification of the training needs which are, of course, a precondition for development.

In the above table, the statistical test has shown that there is a significant difference (p= 0, 0355) between the perceptions of the rural and urban educators with regard to the importance of appraisal in the identification of training needs. Almost half of the rural educators, as compared to the urban ones, viewed appraisal in a good light.

Table 5.30 below depicts the responses of educators in different post levels with regard to the effectiveness of DAS in the identification of training needs.

TABLE 5.30:   EFFECTIVENESS OF DAS IN THE IDENTIFICATION OF TRAINING NEEDS AS PERCEIVED BY EDUCATORS IN DIFFERENT POST LEVELS

Position	Agree	Percentage	Disagree	Percentage	p-value
Principal	2	7, 23	0	0	
HODs'	22	26, 51	3	3, 61	0, 4777
Educators	43	51, 81	9	10, 84	
Total	67	85, 54	12	14, 46	

Educators of different post levels thought alike about the importance of appraisal in identifying training needs as the probability value is 0, 4777 which is far bigger than 0, 05. The majority believed that appraisal was indispensable in identifying training needs and a few disagreed with the statement.

Table 5.31 below captures the responses of educators from different geographical locations with regard to the effectiveness of DAS in the enhancement of career prospects.

TABLE 5.31:   EFFECTIVENESS OF DAS IN THE ENHANCEMENT OF CAREER PROSPECTS AS PERCEIVED BY EDUCATORS IN DIFFERENT GEOGRAPHICAL LOCATIONS

Settlement type	Agree	Percentages	Disagree	Percentage	p-value
Rural	33	40, 24	10	12, 20	
Urban	28	34, 15	11	13, 41	0, 6081
Total	61	74, 39	21	25, 61	

Of the population 74, 39% of the respondents felt that their career prospects were enhanced by the appraisal process whilst 25, 61% said appraisal did not help them in this aspect. When asked about their feelings about appraisal, the majority indicated that they did not feel good about appraisal. It is ironic for educators to see the importance of appraisal and at the same time hate the appraisal process.

When a chi square test is administered, the results show that there is no statistical significance (p=0, 6081) in the perceptions of the rural and urban educators with regard to whether developmental appraisal enhances career prospects or not. Although the probability value shows this significant difference, the percentages of the rural (40, 24) and urban (34, 15) educators who agree with the statement are not the same.

Table 5.32 below shows the responses of educators in different post levels with regard to the effectiveness of DAS in the enhancement of career prospects.

TABLE 5.32:   EFFECTIVENESS OF DAS IN THE ENHANCEMENT OF CAREER PROSPECTS AS PERCEIVED BY EDUCATORS IN DIFFERENT POST LEVELS

Position	Agree	Percentage	Disagree	Percentage	p-value
Principals	4	4, 88	1	1, 22	
HOD's	16	19, 51	9	10, 98	
Educators	41	50, 00	11	13, 41	0, 3604
Total	61	74, 39	21	25, 61	

According to Table 5.33 above, there is no significant difference (p= 0, 3604) in the way the educators of different post levels, perceived the importance of appraisal in the enhancement of career prospects. It could be concluded that all educators irrespective of their post levels perceived appraisal as something important in career enhancement as the percentages of those who agreed with the statement in all the categories involved are high and only a few said that they disagreed with the statement.

Educators were asked as to how they perceive the effectiveness of DAS in changing classroom practice. The responses of male and female educators were compared and these are captured in Table 5.33 below.

TABLE 5.33:   EFFECTIVENESS OF DAS IN CHANGING CLASSROOM PRACTICE AS PERCEIVED BY THE MALE AND FEMALE RESPONDENTS

Gender	Agree	%	Disagree	%	p value
Males	32	38	9	11	
Females	33	40	9	11	0, 9539
Total	65	78	18	22	

The respondents were requested to indicate whether appraisal was effective in changing classroom practices. A significant number of educators indicated that the appraisal process had brought changes to the classroom practices. According to the statistics provided on Table 5.33, 78% of the educators, which is in the majority, were able to identify changes brought by appraisal to the classroom. Both the males and females responded in almost the same way, that is, 32 (39%) and 33 (40%) respectively by indicating that appraisal had brought changes to their classroom practices. Some of the changes sited as examples are as follows:

❖ *Classroom arrangement; and*

❖ *Facilitation skills*

According to the researcher's knowledge, these two aspects were part of the National Curriculum workshops and these were not informed by the outcomes of appraisal.

An equal number of male and female respondents said appraisal failed to bring any changes to their classroom practices. The researcher, therefore, concludes that there is no significant difference (p= 0, 9539) in the way the male and female respondents viewed the effectiveness of appraisal in changing classroom practice.

Table 5.34 below depicts the responses of rural and urban educators with regard to how they perceived the effectiveness of DAS in changing classroom practice.

TABLE 5.34: **EFFECTIVENESS OF DAS IN CHANGING CLASSROOM PRACTICE AS PERCEIVED BY THE RESPONDENTS IN DIFFERENT GEOGRAPHICAL LOCATIONS**

Settlement	Agree	%	Disagree	%	p-value
Rural	37	44, 58	7	8, 43	
Urban	28	33, 73	11	13, 23	0, 17, 49
Total	65	78, 31	18	21, 69	

Of the total population 37 educators (who make 45%) of the rural respondents agreed that appraisal had brought change into their classroom practise while 7 educators (8, 43%) said it did not bring any change. Twenty eight educators (33, 73%) of the urban respondents said appraisal had not changed their classroom practices. There is, therefore, no significant difference (p= 0, 1749) in the way the rural and the urban educators perceived the effectiveness of appraisal in improving classroom practices. They all believed that appraisal was good in developing educators in the classroom.

Table 5.35 shows the responses of educators in different post levels with regard to how they perceived the effectiveness of DAS in changing classroom practice.

TABLE 5.35: EFFECTIVENESS OF DAS IN CHANGING CLASSROOM PRACTICE AS PERCEIVED BY EDUCATORS IN DIFFERENT POST LEVELS

Position	Agree	%	Disagree	%	p-value
Principals	5	6, 02	1	1, 20	
HOD's	21	25, 30	4	4, 82	0, 6373
Educators	39	46, 99	13	15, 66	
Total	65	78, 31	18	21, 69	

Generally, educators on different post levels agreed that appraisal was helpful in changing classroom practice. Five respondents (1, 20%) of the principals who answered, agreed that appraisal definitely helped in changing classroom practice. The principals who took part in the survey, were few due to the fact that the questionnaires were not meant to be completed by them. Those who completed the questionnaires were those from very small schools, for example, two to three educators' schools.

The researcher can say with certainty that there is no significant difference (p= 0, 6373) in how educators of different post levels viewed the effectiveness of appraisal in changing the classroom practices. A possible explanation to these results could be ascribed to the introduction of the Curriculum 2005 and National Curriculum Statement which came with new approaches to classroom practices. It is, therefore, difficult to conclude or attribute the changes in the classroom to appraisal.

Educators were asked as to whether DAS led to further training. The responses of male and female educators were compared and these are captured in Table 5.36 below.

TABLE 5.36: RESPONSES OF MALE AND FEMALE EDUCATORS WITH REGARD TO THE EFFECTIVENESS OF DAS IN LEADING TO FURTHER TRAINING

Gender	Agree	Percentage	Disagree	Percentage	p-value
Males	30	36, 14	11	13, 25	
Females	31	37, 35	11	13, 25	0, 9474
Total	61	73, 49	22	26, 51	

It is apparent from Table 5.36 that, the majority of the educators (73, 49%) saw appraisal as worthwhile as it led to further training. It was only 26, 51% which viewed it as useless as it

failed in this regard. The percentages of the male and female respondents who disagreed and those who agreed with the statement were almost the same. It can, therefore, be concluded that there was no significant difference (p= 0, 9474) as both male and female educators seemed to perceive the usefulness of appraisal in the same way.

Table 5.37 below depicts the responses of rural and urban educators with regard to to the effectiveness of DAS in leading to further training.

TABLE 5.37: RESPONSES OF RURAL AND URBAN EDUCATORS WITH REGARD TO THE EFFECTIVENESS OF DAS IN LEADING TO FURTHER TRAINING

Gender	Agree	Percentage	Disagree	Percentage	p-value
Rural	35	42, 17	9	10, 84	
Urban	26	31, 33	13	15, 66	0,1846
Total	61	73, 49	22	73, 49	

Of the total respondents 13, 49% agreed that developmental appraisal led to further training whilst only 26, 50% indicated that it failed in this regard. It can, therefore, be concluded that appraisal had been helpful in identifying training needs which ultimately led to further training.

When comparing the responses urban and rural educators gave, one can say with certainty, that there is no significant difference (p=0, 1846) in how they perceived the usefulness of appraisal in leading to further training.

Table 5.38 shows how educators in different post levels responded to the question of the effectiveness of DAS in leading to further training.

TABLE 5.38: RESPONSES OF EDUCATORS IN DIFFERENT POST LEVELS WITH REGARD TO THE EFFECTIVENESS OF DAS IN LEADING TO FURTHER TRAINING

Position	Agree	Percentage	Disagree	Percentage	p-value
Principals	4	4, 82	2	2, 41	
HOD's	17	20, 48	8	9, 64	
Educators	40	48, 19	12	14, 46	0, 6555
Total	61	73, 49	22	26, 51	

The researcher compared the perceptions of educators on different post levels with regard to whether appraisal was successful in leading to further training or not. The results were as follows:

- ❖ Five per cent of the principals indicated that it was successful and 2, 41% said it failed in this aspect;
- ❖ Twenty per cent of the Heads of Departments agreed with the statement while 9, 64% disagreed; and
- ❖ Forty eight of the educators responded by saying that appraisal was successful while 14, 46% indicated that it was unsuccessful.

All the categories of the educators agreed that appraisal helped in leading to further training. The researcher, therefore, concludes that there is no significant difference (p=0, 6555) in the perceptions educators of different categories had on the effectiveness of DAS in leading to further training.

Educators were asked as to what they exactly learnt after the appraisal process. Their responses are captured in Table 5.39 below.

TABLE 5.39:   WHAT EDUCATORS LEARNT AFTER THE APPRAISAL PROCESS

Gender	Nothing	Developed them	Never appraised	Irrelevant	p-value
Males	13	1	0	10	
Females	9	15	1	12	0,5891
Total	22	16	1	22	

The data clearly indicates that the majority of the educators were still confused about what they learnt after the appraisal process. Twenty two respondents said they learnt nothing and 22 were irrelevant. Sixteen respondents indicated that appraisal developed them but failed to answer the "on what" question. Two respondents had indicated that they were never appraised. This is an indication that educators learnt nothing from appraisal.

The researcher was curious to know how male and female educators responded to this question. The chi square results showed that there is no significant difference (p= 0, 5891) in what the male and female educators learnt after the appraisal process. However, when one uses the percentages, one will realise that the majority of the male respondents indicated that they learnt

nothing while only one said it developed him and 10 responses were irrelevant. The possible reason for these irrelevant answers might be that they did not know what to say as they were never developed. Nine female respondents said they learnt nothing while only one said they were never appraised, and the 12 responses were irrelevant.

Table 5.40 illustrates the rural and the urban educators' responses with regard to what they learnt after the appraisal process.

TABLE 5.40:   WHAT EDUCATORS LEARNT FROM PEER APPRAISAL

Settlement	Classroom practice	Personal development	Nothing	p-value
Rural	7	28	5	
Urban	7	21	8	0,4757
Total	14	49	13	

Twenty eight rural educators said that they had learnt a lot about personal development in appraisal while only 7 said they learnt a lot about classroom practice. 5 educators indicated that they learnt nothing.

The urban educators responded as follows:

❖ Twenty one respondents indicated that they learnt a lot about personal development;

❖ Seven educators, which is the same number as the rural educators, said they learnt a lot about classroom practice; and

❖ Eight educators said that there was nothing important they learnt from the whole appraisal process.

So, when comparing the responses of the rural and urban educators, one can conclude that there was no significant difference (p= 0, 4757) to indicate how appraisal helped them. What surprises the researcher is that classroom practice is supposed to be the pinnacle of appraisal, but the results indicated otherwise. The majority of the respondents indicated that they had learnt personal development rather than classroom practice. Their responses on this question contradicted what they said in Tables 5.35; 5.36 and 5.37, as they had indicated that they learnt a lot in classroom practice yet here they said they learnt a lot about personal development. The contradictory statements make the researcher to be sceptical about the outcomes of appraisal.

If appraisal was only successful in developing the educator s' personal development and neglected the classroom practice, then it is useless to the learners as it does not benefit them in anyway. Literature review has shown that classroom observation is the most important in appraisal (see paragraph 2.2.1.2).

Table 5.41 below captures the responses of educators in different post levels with regard to what they learnt from peer appraisal.

TABLE 5.41   WHAT EDUCATORS IN DIFFERENT POST LEVELS LEARNT FROM PEER APPRAISAL

Position	Classroom practice	Personal development	Nothing	p-value
Principals	0	6	0	
HOD	6	14	3	0, 2985
Educators	8	29	10	
Total	14	49	13	

When comparing how educators at different post levels responded to this question, the following results were obtained:

- ❖ Principals of very small schools said that they learnt a lot about personal development. The researcher is surprised by their responses because, taking their responses into considerations; it appeared as if there were principals of very small schools who did a lot of teaching rather than management. That showed that these principals were overburdened by the work to an extent that they disregarded the importance of classroom practice;

- ❖ Heads of Departments also preferred the personal development as compared to the other aspects as 14 said they benefited a lot in this aspect, 6 said they learnt a lot in classroom practice and it was only 3 who said they learnt nothing from appraisal; and

- ❖ The results are really shocking to find that 29 of the educators indicated that they learnt a lot in personal development while 8 said it was in classroom practice and 10 said they learnt nothing.

Basically, all the groups have learnt a lot about the personal development rather than about the classroom practice which is their main focus or something that features prominently in their job

description. It simply means that educators of all categories, are only interested in their well being (personal development) and they disregarded the learners' well being.

5.3.1.5   THE PERCEPTIONS OR ATTITUDES OF EDUCATORS ABOUT DAS.

Tables 5.42, 5.43, 5.44 and 5.45 illustrate the responses of educators with regard to their perceptions or attitudes towards DAS.

TABLE 5.42:   RESPONSES OF GENDER WITH REGARD TO THEIR PERCEPTIONS OF DAS

Gender	Bad	Percentage	Good	Percentage	p-value
Males	26	32, 50	15	18, 75	
Females	23	28, 75	16	20, 00	0, 6837
Total	49	61, 25	31	38, 75	

The researcher tried to establish as to whether there was the relationship in how males and females perceived the developmental appraisal. The data presented on the Table 5.42 shows that males and females felt the same about the developmental appraisal. Out of 80 participants who responded to this question, 26 males (which is 32, 50%) felt bad about the developmental appraisal and 23 females (which is 28, 75%) and very close to the male percentage felt the same.

Fifteen (18, 75%) males and 16 (20, 00%) females respectively were positive about the developmental appraisal. The chi-square application shows that there is no significant difference (p= 0, 6837) between how male and female educators perceived the developmental appraisal. However, when the researcher refers to the statistics generally, one can conclude that the majority of the educators (who constitute 61, 25%) were anti appraisal and only a few who make 38, 75% felt good about it.

Educators were requested to make comments about how they felt about DAS and their responses were captured in Table 5.43 below.

TABLE 5.43:   THE PERCEPTIONS OF EDUCATORS IN DIFFERENT POST LEVELS ABOUT DAS

Position	Bad	Percentage	Good	Percentage	p-value
Principal	5	6, 25	2	2, 50	
HOD	19	23, 75	5	6, 25	0, 0575
Educators	25	31, 25	24	30, 00	
Total	49	61, 25	31	38, 75	

Table 5.43 shows that 5 principals (which is 6, 25%) indicated that appraisal was bad and two of them (who constitute 2, 50%) said it was good. The researcher can conclude that principals of small schools felt bad about appraisal. The reason might be that they were over-loaded as they were supposed to teach almost the same number of the Learning Areas as their educators and manage the school at the same time. About 24% of the Heads of Departments said that appraisal was bad while only 6, 25% said it was good. This definitely shows that appraisal was a burden to most managers because as seniors, they were the ones who appraised their juniors as they served in almost all the panels, and they consequently ended up in all kinds of conflicts with their juniors.

However, these percentages are intriguing when considering the fact that in items 52-63 the respondents had indicated that appraisal was effective in the identification of skills, training needs and other aspects mentioned. With appraisal being so effective as indicated in those items, the researcher expected educators to be positive about the way they felt about appraisal.

The responses of how educators of different post levels perceived DAS.

TABLE 5.44:   HOW IS DAS PERCEIVED BY EDUCATORS OF DIFFERENT AGE GROUPS

Age in years	Bad	Percentage	Good	Percentage	p-value
Less than 40 years	16	20, 25	13	16, 46	
40-50 years	26	32, 91	12	15, 19	0, 3871
50 years and above	6	7, 59	6	7, 59	
Total	48	60, 76	31	39, 24	

In terms of this item, the respondents were required to indicate how they felt about appraisal. Generally, the statistics show that 60, 76% of the respondents indicated that they were not in

favour of appraisal. When examining as to whether there is a significant difference in the perceptions of educators of different age groups, the following results were found:

Twenty per cent of the educators who were below the age of 40 and 32, 91% of educators who were between the ages of 40 and 50 felt bad about appraisal, whereas 16, 46% and 15, 19% respectively felt good about appraisal. This implies that the majority of the educators perceived appraisal as something bad rather than good.

The chi-square indicates that there is no statistical significance (p=0, 3871) in the way educators of different age groups feel about appraisal. However, when analysing the percentages, the researcher observed that educators who are 50 years and below were more negative about appraisal than those who were 50 years and older. The researcher thought that this might have been caused by the fact that those who were older than 50 years had nothing to resist because they were just about to leave the system. Another reason might be that, that age group was not as resistant as other age groups.

5.3.1.5   CONCERNS RAISED BY EDUCATORS ABOUT APPRAISSAL

TABLE 5.45:   THE CONCERNS RAISED BY EDUCATORS WITH REGARD TO APPRAISAL

Responses	Frequency	Percentage
Time consuming	36	40
Unfair	21	23
Inadequate training	10	11
Unskilled people	24	26
Total	91	100

The respondents were asked to make any comments about the concerns they had about appraisal. This was an open-ended question where educators gave a variety of answers which were coded below in Table 5.45 and discussed thereafter.

5.3.1.6.1   APPRAISAL AS A TIME CONSUMING EXERCISE

According to the statistics, 40 per cent of the educators indicated that appraisal was *time consuming*. Their responses indicated that they were not happy about appraisal as it did not develop them. If this was the case, then they had a valid reason to feel that it took most of their

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teaching and even the learner's time as it did not benefit both groups. Some of their responses were as follows:

- ❖ *"Are educators really learning something out of this and where are the educators heading for with the learners"*. The statement proves that educators considered appraisal to be a useless activity as they did not benefit from it.

- ❖ *"Too much paper work, time consuming and time wasting"*. If educators really did not benefit from it, then it would be difficult for learners to benefit. It, therefore, becomes a useless and a time consuming exercise for both the learners and the educators. This issue is also supported by the findings of the study which was conducted by Millman and Darling-Hammond in England (1990:128) whereby educators indicated that evaluation activities consumed a lot of time and that little time was left for their professional development.

- ❖ *No support from the Area Project Office*. Some educators complained about the inability of the Area Project Office to support them. They implied that their developmental needs were not catered for by the Area Project Office. This suggests that although appraisal was implemented, the developmental needs were disregarded or were not addressed.

5.3.1.6.2   APPRAISAL AS AN UNFAIR EXERCISE

Twenty three per cent of the educators complained about the unfairness of the whole appraisal process (refer to Table 5.45). Some examples of their responses were as follows:

- ❖ *"Who are you to tell the other educator that he or she does not qualify for pay progression"*. The statement shows that the educators' concern was not on development but on salary progression. This simply shows that development failed at the expense of salary progression. This reinforces the ideas of the following authors (Riches & Morgan, 1989; Goodale, 1993) who indicated that there was conflict between the purposes of appraisal (refer to paragraph 2.2.4) as appraisal could not simultaneously serve the needs of evaluation and development.

- ❖ *"My concern is when, for example, you do not see eye to eye with your seniors "*. This response indicates that there was a problem in appraiser-appraisee relationship. It would, therefore, be difficult to implement appraisal in such conditions. The literature review has

indicated that the appraiser-appraisee relationship is pivotal for the success of the appraisal process. One educator said:

> *"Other people might use it to settle their differences"*.

This shows that appraiser-appraisee relationship is still a problem at a number of schools.

5.3.1.6.3 INADEQUATE TRAINING

Other educators complained about inadequate training. These are some of their responses:

- ❖ *"Not enough training"*. What educators said here was that training was conducted for a day or two, and that according to them was not enough. They therefore, recommended that the training period be lengthened so that they could all understand exactly what was to be done.
- ❖ *"We should all be trained"*. Others indicated that not everyone was trained as only representatives were sent to the workshops and gave feedback to them. That implied that they were not trained as they only received the DAS information at the feedback sessions. That is why most educators complained about the inadequacy of the DAS training they received.

5.3.1.6.4 DEVELOPMENT DONE BY UNSKILLED PEOPLE

Twenty six per cent of the respondents said that they were being developed by unskilled people. One educator said:

> *"Being developed by people who are not conversant with the NCS".*

The possible reason for this could be that educators knew more than their seniors. This simply shows that seniority does not guarantee being knowledgeable in the Learning Area. The researcher thought that this might be ascribed to the fact that most seniors failed to attend RNCS workshops and, as a result, they could not guide their juniors properly. This was quite a critical step in appraisal because, if it is not well done, then the whole appraisal process collapses.

5.3.1.7. APPREHENSIONS

5.3.1.7.1 UNFAIRNESS OF THE PROCESS

When asked to comment on their worst fears or anxieties, the majority of the educators feared the unfairness of the appraisal process. To prove this, one educator asked **"*is it fairly done?*"** That really showed that the appraiser-appraisee relationship in schools was still problematic. The possible reason could be that some seniors bone grudges against their juniors.

5.3.1.7.2 APPRAISAL AS A JUDGEMENTAL PROCESS

The other fear was that appraisal may be Judgemental. That was the general feeling of the educators who claimed that they were never developed. The practice of assigning novice or inexperienced officials to do capacity building programmes, appeared to be a major concern across the public sector, in the North West Province in particular. Such a practice was confirmed by Molale (2004:65) that, many a times, personnel without appropriate skills were given the task of training.

5.3.1.8 OTHER COMMENTS

Out of the 91 participants who responded to the questionnaires, 50 educators wrote comments which might serve as recommendations. These comments were then coded into two categories, they are discussed below.

5.3.1.8.1 THE SUSTAINABILITY OF APPRAISAL

Of the total population, 50% respondents believed that if educator development was **o**n–going, then that would benefit the learners. The respondents suggested that the appraisal process be constantly monitored in order to check the educators' understanding. Some educators suggested follow-ups and regular visits by Integrated Quality Management Systems specialists. The researcher thought that the respondents might also be referring to the monitoring of the appraisal process which, according to Oldroyd and Hall (1991:33), was an important aspect. One of the responses was:

> *"This must go on every year to help educators so that at the end we produce learners who will fit globally".*

Another aspect which might ensure the sustainability of the appraisal process according to the educators was that the seniors should stick to all developmental needs. For the appraisal process to be effective, schools and the department of education should develop educators on the needs emanating from the appraisal process as indicated by Moon (1997:24). The question of addressing the identified skills' gaps should never be underestimated as such gaps should be addressed as soon as possible as a process of development. Educators who are not performing adequately must receive training, mentoring and all forms of assistance as needed (Clinton, 1998:1).

5.3.1.8.2 ADEQUATE TRAINING SHOULD BE CONDUCTED FOR EDUCATORS

In items 26 and 27, educators have complained about the inadequacy of the appraisal training. 50 per cent of the educators suggested that adequate training be conducted for the educators. One of the respondents said:

"Training of appraisers be lengthened and made in depth".

In the light of the above, the practice of training educators for a period of less than three days was not only inadequate but also questionable.

5.3.2 DISCUSSION OF THE QUALITATIVE DATA (INTERVIEWS)

The results of the findings of the qualitative study are presented in the form of a summary of the principals' responses to the interview questions. These responses were analysed in line with what educators had already said in the questionnaires. Only the responses of the twenty six principals who did not complete the questionnaires shall be captured. The main reason why the interviews were conducted was to augment the information already collected from the educators and Heads of Departments.

The semi structured interviews were conducted with the help of the interview schedule. There were questions based on the school, however, the researcher did not comment on this section as the researcher was more interested in the effectiveness of DAS as perceived by the principals, and besides, these were already covered in the questionnaires. The only item

captured about the school was the availability of the teaching and learning resources as educators and Heads of Departments responses were questionable on this aspect.

The principals' responses were coded into the following themes which responded to the main research question: the contribution of DAS in developing the primary school educator:

❖ Information about the school;
❖ Implementation process;
❖ Effectiveness of appraisal at schools; and
❖ Concerns and apprehensions.

5.3.2.1 INFORMATION ABOUT THE SCHOOL

Principals were requested to rate their schools on a three point scale and a rubric for that was designed. The following rubric which is captured as Table 5.46 was used.

TABLE 5.46: AVAILABILITY OF RESOURCES AS PERCEIVED BY PRINCIPALS

Settlement	Excellent	Satisfactory	Unsatisfactory	Total
Rural	-	-	13	13
Urban	-	10	3	13

Ten urban schools indicated that the physical teaching and the learning resources of their school was satisfactory whereas only 3 said they were poor. Those who said that they were unsatisfactory indicated that buildings were not in good conditions as they were vandalized. One principal amongst the ten said; *"even though our resources are not at all bad, but we still need extra classrooms that can be supplied with science equipment as learners and educators cannot perform experiments at the moment"*.

All 13 rural principals complained about the quality of their resources. One principal indicated that the state of their buildings was appalling. He went further to say that *"classrooms have been vandalized"* and in some schools it was indicated that there was no water and electricity. The situation may frustrate the learners and the educators as, according to Vakalisa and Mashile (1999:73), *"when educators and learners find themselves operating in an environment devoid of adequate resources, they lose faith and confidence in the education system"*.

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5.3.2.2 IMPLEMENTATION PROCESS

The principals were asked about the readiness of their schools in making appraisal effective. A number of questions were asked which aimed at finding out about the readiness of schools in implementing appraisal (see attached Appendix A). The following check list captured in Table 5.47 below was used to summarize the principals' responses.

TABLE 5.47:   PRINCIPALS' RESPONSES ON THE IMPLEMENTATION PROCESS

Responses towards the following aspects	Yes	No
Baseline assessment done	100%	-
Were the self-evaluation forms completed	100%	-
Is the SDT supportive?	77%	23%-

On the question of whether schools had set the School Development Teams (SDTs), the 26 (100%) of principals unanimously agreed. This is indicative of the fact that DAS had taken off the ground.

5.3.2.2.1   Baseline assessment and the completion of the self evaluation form

Principals were asked as to how many educators had undergone the process of baseline assessment and whether they had completed the self-evaluation forms. All the principals' responses to both questions were positive, even though 2 of the principals indicated that it was only new educators who did not go through the two processes. The researcher can therefore, conclude that good background for effective implementation of appraisal has been laid.

5.3.2.2.2   The supportiveness of the School Development Teams at schools

Regarding the question of whether the School Development Teams support the educators or not, 20 (77%) of the principals responded negatively. To support the above, one principal commented as follows: *"the School Development Teams (SDTs) want to be pushed as they cannot take the initiative to support the educators"*.

An opposite view to the one above expressed by another principal was presented as follows: *"the School Development Teams (SDTs) want to support educators but because of Post*

Provisioning Model which outlines the number of educators to be employed in a particular school based on the number of learners overlooking the fact that the work load of the educators make the School Development Teams (SDTs) to be unsuccessful in supporting educators".

Another factor which emanated from the discussions was lack of time as they said *"a number of programmes are done for the sake of doing them as injustice is not done to them".*

Six principals (23%) said that the School Development Teams (SDT's) were very supportive to their educators. They cited in-school workshops as examples of the supportiveness of the School Development Teams (SDT's). What the researcher deduced from principals' responses was that School Development Teams (SDT's) were established to give the departmental officials a facade impression that the appraisal system was at work.

5.3.2.2.3 OUTCOMES OF APPRAISAL/EFFECTIVENESS OF DAS AT SCHOOLS

Principals were asked to commend on the effectiveness of appraisal at their respective schools. Table 5.48 below shows how the principals responded to all the aspects:

TABLE 5.48: PRINCIPALS' RESPONSES ON THE EFFECTIVENESS OF APPRAISAL

Responses towards the following aspects	Effective	Ineffective
Identification of training needs	16%	84%
Improvement of the educators' skills	16%	84%
Improvement of school development planning	16%	84%
Appraisal and the professional development of the principals	16%	84%
Changes in classroom practice	-	100%
Identified in-service needs met	15%	85%
Improving the quality of education for pupils	12%	88%

5.3.2.2.4 Identification of training needs

The principals were asked as to whether appraisal was effective in the identification of the educators training needs. They all responded positively to this question, and that was in line with the responses of the educators and Heads of Departments as the majority of them (84%)

responded positively to this question. The researcher can, therefore, say, with certainty, that appraisal was good in the identification of training needs of the educators.

5.3.2.2.5   Improvement of the educators' skills

On the question of whether appraisal was effective in the improvement of skills, a significant majority of the principals (84%) responded negatively. That significant majority indicated that, even though the aim of appraisal was to improve the educators' skills, it had not yet done so. One principal said: "*appraisal is good on paper but it fails when coming to implementation".* The reason advanced by that principal was that everybody at school level was overworked hence there was no time for appraisal He suggested that relief educators be organized for educators who would be involved in the appraisal process or the Administrative Assistants who taught for more than ten years and had acquired their National Professional Diploma in Education be asked to teach and leave out the filing system to the clerks "*for the school will be run like a business".*

Generally, what principals said was that appraisal was not effective in the improvement of the educators' skills. That contradicts what educators and Heads of Departments said on this aspect.

However, the literature review (Piggot-Irvine, 2000:4) indicated that appraisal worked well in an organization where it was accorded priority in the plethora of management tasks that occurred in schools. The implication was that appraisal should be provided with time and resources for it to be implemented successfully. This finding is in line with Fiddler and Cooper's (1991:136) assertion as they indicated that the introduction of any change into an organization has resource implications, as it is necessary for the Department of Education to calculate the possible financial costs of initial training; follow-ups; outcomes of appraisal; as well as the time involved in the process of change. So clearly, funding is one the problems facing educator development.

5.3.2.2.5   Improvement of School Development Planning

The principals were asked as to whether appraisal contributed to school development planning. Eighty four per cent of the principals gave a negative answer to this question and 16% were positive that appraisal was effective in the improvement of school development

plan. Those who were negative said that, as principals of schools, they always tried to conduct appraisal within the framework of the school but due to lack of support from the Area Project Office (APO) level, they failed in that regard. Some principals were positive that appraisal was effective in identifying in-service needs of the whole school but failed in meeting these needs due to lack of coordination.

Those who were positive mentioned the fact that appraisal had helped them to set targets which met the needs of the school. These principals were asked to give examples of how these were met and they all indicated that Heads of Departments in their schools in-serviced the educators in their grey areas. The researcher therefore wonders how the Heads of Departments manage as some educators are more knowledgeable than they are with regard to subject knowledge. The reason for this statement is that, even though the Heads of Departments and principals were invited to attend subject developmental workshops, the majority of them did not attend. At this juncture, most principals have never attended the National Curriculum workshops. The question is how can they assist educators if they are in the dark themselves?

5.3.2.2.6   Appraisal and how it helped in the professional development

A significant majority (84%) of the participants had indicated that appraisal had not yet developed them professionally. They explained further that they had evaluated themselves and their needs were identified but were never catered for.

The researcher can, therefore, conclude that even though educators and Heads of Departments indicated otherwise, it seems that appraisal has not been functional in the professional development of the principals, educators and Heads of Departments. The reason for that contradiction may be attributed to the fact that principals gave honest answers as they were not intimidated by anyone whereas educators might have feared victimization by their seniors.

5.3.2.2.7   Changes in classroom practice

Principals were asked as to whether their classroom practices changed due to appraisal. All the 26 (100%) principals indicated that nothing had changed in their classroom practices. The reasons put forward were that they were in most cases not involved in the classroom but in

management. Ten of the principals (38%) indicated that they allocated classes to themselves so that when they were appraised they should have a class where they could be observed in practice. Sixteen principals (62%) said that they had not allocated classes for themselves as they had a series of meetings to attend which caused learners to suffer in the classrooms.

Principals without classes were asked as to how they solved the problem of being observed in practice during their appraisal. Sixteen principals said that, during appraisal they borrowed classes so that they could be observed in practice. So generally principals did not take the classroom practice seriously. However, this was not surprising when one considered the fact that the principals were overworked.

5.3.2.2.8 Were the identified in-service needs for educators met

With regard to this item, the principals were asked as to whether the educators' in-service needs were met. Twenty two principals (85%) responded negatively to this question as they said that they developed the School Development Plans, in which all the educators' needs were identified but they had not yet been met. According to these principals, the School Development Plans (SDPs') were sent to the Lichtenburg Area Project Office (APO) so that the said APO could compile its development plan but nothing came out of it. They complained that they got no support from the APO.

When asked whether they conducted the in-school workshops for their educators, the principals indicated that that was quite difficult as they had a shortage of educators. Another reason advanced by these principals was that Heads of Departments and School Development Teams (SDTs') were not knowledgeable about the new curriculum; hence they could not support the educators. The Area Project Office should help in this regard. This finding tallies with the findings of the study conducted by Kleinhenz and Ingvarson (2002:13) in Australia as educators felt that appraisal was not effective for improvement as nothing had been done to develop those with weaknesses. Another important issue which was raised by educators in Kleinhenz and Ingvarson's study was that, there is generally disrespect for educator evaluation conducted by seniors as they were regarded as inaccurate raters due to the fact that they do not have the necessary knowledge and skills for the subject.

5.3.2.2.9   Improving the quality of education for pupils

Regarding the quality education for pupils, 23 principals (88%) indicated that thus far, nothing can be said about whether appraisal is effective in improving the quality of education for pupils. However, if educators can be developed in the needs identified this can improve the quality of education. This is supported by (Bangwandeen & Louw, 1993; Aseltine et al., 2006) they maintained that educators' capacity need to be build in order to address student learning needs.

5.3.2.3   CONCERNS AND APPREHENSIONS

Principals, just like the other participants, were given the opportunity to raise their concerns and apprehensions and these are discussed below.

5.3.2.3.1   Time consuming exercise

The principals, just like educators and Heads of Departments, complained about time. They believed that appraisal was a time consuming exercise hence they suggested that relief educators be hired in order to help educators who would be appraised together with the appraisees. The finding tallies with findings of the study conducted in England by Wragg et al. (1996:124) when they indicated that educators felt that appraisal was a time wasting exercise especially for the learners.

5.3.2.3.2   There is no development

Principals said that appraisal should be an on-going developmental process. Development suffered at the expense of pay progression. One principal said ***"after the identification of the grey areas, educators are never developed until they are appraised again for pay progression. When they are appraised for the latter, they become so militant because they are eager to get the 1% increment"***. My experience as a subject specialist is that there is a vicious cycle in appraisal as educators are appraised at the beginning of the year to identify and meet their developmental needs. However, development does not happen until they are appraised for the second time for accountability purposes (pay progression), during which relationships may be strained due to disagreements on the scores given.

The problem may be compounded by the interference of the labour movements if they are convinced that the department failed to develop educators in the first stage of the appraisal process but deny them pay progression. Based on the above statement, the labour movements may insist that salary progression be effected to all as it is not something of their own making.

5.4   SUMMARY OF THE CHAPTER

The chapter has dealt with the research findings of both the pilot and the main study. The next chapter highlights the conclusions of the study, limitations of the study, and makes recommendations and suggest areas for future research.

CHAPTER 6

SUMMARY OF THE FINDINGS, CONCLUSION AND RECOMMENDATIONS

6.1   INTRODUCTION

This chapter is the synopsis of the study conducted on the contribution of appraisal on the professional development of the intermediate phase educators. It also provides the information on the results and analysis of data which was done by means of the questionnaires which were completed by the educators, Heads of Departments and principals of very small schools (two to three teacher schools). It also provides information on the data which was collected through the semi-structured interviews with the 26 principals who did not complete the questionnaires, in order to capture the richness of the themes emerging from the respondents' talk (refer to page 96). Data collection was triangulated in order to enhance the validity of the results. The study also aims at providing answers to the three research questions. In addition to this, a summary of the chapters, limitations of the study, recommendations and areas for further study are outlined.

6.1.1   SUMMARY OF CHAPTERS

In this section a summary of each chapter is presented.

Chapter one introduced the study by outlining the problem statement, the aims and objectives of the study which are answered in this chapter, a synopsis of the research designs and definitions of key terms to be used in the study.

Chapter two reports on the literature review in which the researcher attempted to examine the nature and scope of appraisal and its relations to the professional development of the intermediate phase educators. Furthermore, it shows how comparative studies of England, USA and Australia implemented appraisal in their countries.

The focus of chapter three was on the literature review in which the researcher gave a very short outline about how appraisal was implemented in the RSA, to lay a foundation for the study.

Chapter four outlined the methods of designs, methodologies and instruments which were used in answering the main research question, that is, the contribution of appraisal on the professional development of the intermediate phase educators.

In chapter five, the educators, Heads of Departments and principals' responses were analysed and interpreted. The responses of certain groups were compared by using the chi-square (X^2)

In this final chapter, the analysis and interpretations done in chapter five are concluded, and the recommendations and areas for further research are presented.

6.2   FINDINGS OF THE STUDY

The section attempts to give the results as obtained through the quantitative and qualitative study. As stated earlier, qualitative study was only done in order to augment and to prove as to whether what educators and Heads of Departments said, was correct. This means an exercise of triangulation of data was employed. Triangulation is a way of collecting data from various sources so as to give authenticity in the data collected. The findings in terms of the research questions are discussed below.

The findings revealed the following with regard to the research questions:

6.2.1   FINDINGS APPLICABLE TO THE FIRST RESEARCH QUESTION

The study sought to establish the nature and scope of appraisal and how it relates to the professional development of educators (Compare paragraph 1.3). Literature revealed the following:

The study found that the purposes of appraisal are two folds, namely, for the professional development of the educators, as well as, to ensure that teaching standards of educators are satisfactory (accountability). This is confirmed by studies which were conducted in England, the USA and Australia by (Wragg et al., 1996; Duke, 1995; Kleinhenz & Ingvarson, 2002) respectively, which indicated that appraisal in these countries was used both for the professional development and to ensure good practice (accountability). The participants' hesitations in appraisal as indicated by these authors might be caused by this factor.

The literature has further revealed that there was always conflict between the developmental and the accountability purposes. Researchers and authors, such as (Riches & Morgan, 1989; Goodale, 1993; Poster & Poster, 1995; Guthrie & Schwoever, 1996), suggested that these purposes should always be separated. It implies that if the educator is evaluated or appraised for development, it should be solely for that reason and nothing else. According to literature, if appraisal is done for both purposes, development will suffer at the expense of accountability purpose (refer to paragraph 2.2.4). For instance, if appraisal is used for salary progression, educators may not give a true reflection of their scores as they might chase for money. This is the case in the RSA as the same appraisal results are used for both development and salary progression (accountability). When appraisal is used for the latter, it is a decision making tool as management's decisions of promotion, dismissals, probation and pay progression are greatly influenced by it (see paragraph 2.2) and Sawa (1995:22).

The findings of the current study with regard to the purposes of educator appraisal tally with the ones done in England and Australia as educators, particularly principals, felt that appraisal was not effective for improvement as nothing had been done to develop them.

With regard to how appraisal relates to the professional development of educators, it emerged from the literature review that it helped in the identification of the educators' professional needs which could be met through on-the job or off-the job training (see paragraph 2.2.7). The implication of this is that appraisal is indispensable on the professional development of the educators as it helps to identify grey areas or weaknesses in their practice and can determine as to whether an educator can teach effectively or not (Duke, 1995:175).

A comparative study has shown that there is a fine line drawn between newly appointed and experienced educators in terms of appraising educators. This is not the case in the RSA as, both experienced and inexperience educators are appraised in the same way with the same instrument. This is, according to the different researchers (Duke, 1995 & Wragg et al., 1996), a weakness as educators' professional needs differ. This is confirmed by (Bangwandeen & Louw, 1993; Morant, 1981 and Bradley, 1991) when they maintain that before the appraisal of the educator, one should first establish where one is in ones' career.

The literature review has indicated that, for appraisal to be effective and sustainable, it should be monitored, stakeholders be adequately trained, time and money be made available for appraisal activities and, there should be counselling for educators (see paragraph 2.5). The whole appraisal process, together with its development requires money, time and the resources. This means that, for the appraisal process to be effective and efficient, the department should invest in this important project. This is confirmed by (Oldroyd & Hall, 1991; Moon, 1997), as they emphasize the importance of training educators in appraisal, so that they know how the system operates and what is expected from them. There is, therefore, a need to ensure that the appraisal project is run in such a manner as to establish confidence in the appraisal system and, this can be achieved if it produces high quality educators.

6.2.2 FINDINGS APPLICABLE TO THE SECOND RESEARCH QUESTION

One of the aims of this study was to determine the appraisal models which could be used to understand and contextualise appraisal in the professional development of the educators (Compare paragraph 1.3).

The first model which need to be considered and could be used in the RSA, in order to make appraisal effective, is the model by Hewton (1988) which is entitled: Staff development within the context of the school. The model emphasizes the importance of bringing all the stakeholders on board, in order to develop both educators and the learners. The Hewton model can be coupled with the Millman and Darling-Hammond model (1990) entitled: the teacher evaluation cycle: an integrated approach, which clearly illustrates the importance of integrating all the stakeholders for the benefit of all. This is a relevant model to the South African system because of IQMS, which encompasses all the developmental programmes, such as, Whole School Evaluation (WSE), Developmental Appraisal (DA) and Performance Measurement (PM). The question of looking at development in totality is very important to the RSA just like in other countries.

It appears that South Africa is in the right direction with regard to policy development, however, policy implementation according to literature, is still a problem (see paragraph 1.1).

6.2.3 FINDINGS APPLICABLE TO THE THIRD RESEARCH QUESTION

The main purpose of this study, as mentioned in the problem statement, was to investigate the contributions of appraisal on the professional development of the primary school educators (in the intermediate phase).

The empirical investigation revealed the following, based on the main themes:

6.2.3.1 THE EDUCATORS' UNDERSTANDING OF DEVELOPMENTAL APPRAISAL

On the question of how appraisal was understood by the educators, the current study shows that educators and Heads of Departments have problems with how they define appraisal. They either confined it to development or accountability as 63% and 16% respectively, indicated. A considerably few respondents (6) were able to combine the developmental and the accountability purposes. The implication of the results is that educators require training in appraisal so that they could have a thorough understanding of how the concept is used. Lack of understanding may be caused by the inadequacy of workshops conducted, as according to the data collected from the questionnaires and interviews, educators and principals complained about the length of the workshop and, in some cases, they received feedback from their colleagues who had attended the workshops. It is worth saying that, because of lack of knowledge about appraisal, problems in schools will continue to reign supreme. This is confirmed by Piggot-Irvine (2001:258) when he maintains that it is critical for schools to ensure that staff members are adequately trained to carry out appraisal, either as appraisers or appraisees.

6.2.3.2 THE IMPLEMENTATION PROCESS

With regard to the implementation process, it was clear that schools had done their part. This was confirmed by the responses of the participants as a significant number indicated that they had been appraised and it was only 8%, which is considerably low, who indicated that they were never appraised (see Table 5.8). This was confirmed by the responses of the principals (see Table 5.49). The possible reason for the latter group could be the fact that they were still new in the system. The results of the main study tally with those which were piloted.

It is clear from the survey that appraisal was well implemented as a significant majority of the educators (84%) indicated that correct procedures were followed in the selection of appraisers as they chose their appraisers, as well as, lessons in which they were observed, and this information was confirmed by the principals' responses.

In answering the question based on the criteria which used by the respondents to select their appraisers, a significant number chose teaching experience instead of subject knowledge. The possible reason could be that the respondents associated experience with subject knowledge. Literature review (Sawa, 1995; Grice & Honke, 1990) suggests that appraisers should know the subject; pedagogy and the characteristic of the educator being appraised (refer to paragraph 2.2.1.2). It is, therefore, vital that educators be advised on this factor as it is important for them to choose someone who can play a part in their development.

From a glance, one may conclude that classroom observation was taken seriously by appraisers just like in other countries, as the respondents had indicated that they were observed for the whole period. It also emerged from the empirical data that appraisal had changed educator's classroom practices. However, when asked as to what they learnt exactly, they mentioned personal development and not classroom practice. The contradiction is an indication that they learnt nothing as they were guessing. The literature study has revealed that classroom observation is an important component of educator appraisal (refer to paragraph 2.2.1.2).

6.2.3.3   THE EFFECTIVENESS OF APPRAISAL

Regarding questions 47-63 which were based on the outcomes or the effectiveness of appraisal on the professional development of the educators, which is the main research question, the following were found:

6.2.3.3.1   The quality of the training sessions

The research results showed that many of the respondents had reservations with the quality of the training sessions conducted. The reasons put forward for this inadequacy of the training sessions were that the length of the training sessions were short, others said training was

given as feedback and the last group indicated that the facilitators were not capacitated. The latter aspect is in line with what Molale (2004:64) said (see paragraph 3.7.2). The implication is that, at this point, the concept of appraisal has not successfully been transmitted to educators. This poses serious concern as the literature review argued that people should be trained for effective implementation (Moon, 1997 & Scribbins & Walton, 1988). Both the appraiser and the appraisee should be knowledgeable about the whole appraisal process. There is therefore a need to reorganize workshops for the re-training of all the educators and the School Management Teams (SMTs).

6.2.3.3.2   Where the identified training needs met

According to the data collected from both the questionnaires and the interviews, little happened with regard to the training needs identified through the process of appraisal (see table 5.25). This is in line with the findings of the study conducted by Kleinhenz and Ingvarson (2002) which showed that educators were sceptical about appraisal as they felt that it was not effective for improvement. From the empirical data gathered, it may be concluded that the process is not monitored based on the participants' responses and the researchers' knowledge as a departmental official. The Quality Assurance Directorate only monitors the implementation process and tends to overlook the developmental process. Moon (1997) contends that monitoring is important as its purpose is to find out whether policies are implemented as planned or not and whether the expected contributions are made to achieve their objectives or not. For the appraisal scheme to be effective, it needs serious monitoring for consistency and fairness as it addresses the organizational and the individual needs (Sawa, 1995 & Duke, 1995).

It emerged from the empirical data that the School Development Teams (SDTs) were not supportive of the staff due to overloading which was as a result of the Post Provisioning Model (PPM). This is a model which is based on the educator-learners' ratio, where the number of educators in a school is determined by the number of learners. This Post Provisioning Model, poses serious problems to schools as it overlooks the number of subjects or Learning Areas that are in that particular school. This model results in a situation where educators are stretched to the limit, and can, therefore, not perform as expected.

Another factor which emerged from their responses was lack of time which is in agreement with the National Professional Educators' Organisation's report (2002:2) which indicated that educators in the Republic of South Africa were not allowed to attend developmental workshops during school hours.

6.2.3.3.3   Effectiveness of appraisal in the improvement of skills, identification of training needs, enhancement of career prospects, its effects in changing classroom practice

With regard to questions 52 up to 63 (variables 53-64), the respondents were requested to rate the effectiveness of appraisal on a number of aspects. It is interesting to note that the findings of this study, especially from educators' perspectives, had shown that appraisal was effective on the professional development of the primary school educators as responses were positive in all the aspects covered in this section.

However, the data collected from the semi structured interviews, disagreed with the information provided by the educators and the Heads of Departments as the significant majority of the principals (84%) indicated that nothing was done to develop the educators because Heads of Departments and SDTs were overworked and there was also lack of support from the Area Project Office. School managers used the appraisal outcomes to draw School Development Plans which encompassed all the developmental needs of educators. These plans were then sent to the Area Project Office so that needs, which could not be met by means of in-the-job training, should be addressed at that level. However, neither the in-service training at school level nor at the Area Project Office level was done. Failure to do in-service training at school level could be attributed to educators' workload and inadequate monitoring by principals. With lack of support from the Area Project Office, the participants could not provide the reason as they said that the School Development Plans were submitted but nothing was done.

The researcher therefore aligns herself with principals' responses as accounting officers in their respective schools, as such, they would have known if educators were really developed. The researcher may, therefore, conclude that there is an indication that appraisal does not produce the required results. The responses received in these items show that there is a need

for intense support system from the Area Project Office up to provincial level (refer to paragraph 5.4.3.3.6).

6.2.3.3.4   Comparison of responses based on the biographical data

The responses of items 52 up to 63 showed that the biographical factors like age, gender, and the geographical location of the respondents had no bearing in what they thought about the effectiveness of appraisal on the professional development of the primary school educators as the chi square (X^2) shows that there is no significant difference in how the groups responded to questions. From these responses, it may be concluded that all educators, irrespective of age, gender and settlement type, perceived developmental appraisal in the same way.

With regard to how appraisal was perceived by the respondents, the data collected showed that, generally the respondents were anti-appraisal as 61, 25% said that it was bad while 38, 75% indicated that it was good. The principals of schools shared the same sentiments as 84% indicated that appraisal had not developed educators as promised and they attributed that to overloading, lack of time and resources that were needed for the professional development of the educators. The high score received in variable 68 is an indication that something was not well done in the whole education fraternity. On the surface, this finding seems to suggest that appraisal is useless as it does not improve skills as indicated in the findings of the pilot study. The point is confirmed by (Duke, 1995; NAPTOSA, 2002 and Wragg et al., 1996) when they contend that an appraisal system which does not develop its educators on previously mentioned problem areas is useless. The current study is a warning to the education authorities to say that something needs to be done before it is too late, in order to make appraisal effective, efficient and sustainable.

6.2.3.4   Comments and apprehensions

Another way of establishing what were the respondents' concerns and apprehensions about appraisal was to request them to make comments about these issues. They raised a number of factors, which they believed, hindered the efficacy of appraisal and they are as follows:

- ❖ *"Appraisal is a time-consuming exercise as we learn nothing from it"*. Educators and principals considered appraisal to be a useless encounter which wasted learners' time. They indicated that they were appraised but never developed. Schools were not

supported from the Area Project Office level in terms of helping educators with their developmental needs. It is important to have an appraisal system which supports educators and, which can address their professional weaknesses without personally damaging them.

❖ ***"Appraisal is an unfair exercise used by the authorities to settle their scores".*** This finding is in line with the results of the study conducted by Wragg et al. (1996:247) which states that some authorities use appraisal get rid of lazy educators.

❖ ***"Training is done by unskilled people"***. This point is confirmed by Molale (2004:67) and the empirical data gathered from both the questionnaires and the interviews. Molale (2004:1) asserts that if facilitators are not capacitated to cascade the programme to the relevant personnel, then the whole programme will collapse.

6.3   LIMITATIONS OF THE STUDY

The following points are indicated as limitations of the current study:

❖ This study could have been extended to the Area Project Office level so that the researcher can get the Area Project Office manager's view as to why educators have not yet been developed.

❖ Secondly, the study was not extended to the Provincial Department of Education as policy developers.

❖ Ideally, more schools could have been covered.

❖ One of the limitations of the study is that DAS was subjected to changes since its inception. The perception that people hold is that DAS was replaced by IQMS. The truth is that DAS is one of the three components of IQMS, namely, Whole School Evaluation (WSE); Performance Measurement (PM) and the Developmental Appraisal (DA) itself. The latter component was designed for the purposes of educator development in classroom practice. It, therefore, stands to reason that DAS is no longer viewed as an entity as it has been integrated with other quality

management systems. It is worth noting that IQMS is a broad system and is therefore not researchable as it has three main fields that require to be researched individually.

6.4 RECOMMENDATIONS AND IMPLICATIONS

After analysis and interpretation of data, the following recommendations are made which are based on the literature review and the empirical investigation.

6.4.1 Recommendations based on the literature review

In order to make appraisal effective and efficient in the RSA, the following factors are of paramount importance:

- ❖ It emerged from the literature that the two purposes of appraisal, namely, for development and for accountability, should always be separated due to the fact that, if they are combined there is always conflict. Combining them makes the developmental purpose to suffer at the expense of the accountability purpose. This is confirmed by Poster and Poster (1995:7) when they contend that the appraisal system which tries to combine all the possible benefits, would fail as there will be conflicting objectives and clashes for the demand of the resources;

- ❖ All stakeholders should be trained in self-appraisal as this step gives the educator the opportunity to reflect on his own performance (compare paragraph 2.2.1.1). The department of education should train educators in self appraisal as this step supercedes other appraisal processes;

- ❖ The organisational context should always be made conducive for the appraisal process. There should be mutual trust and openness in the school (Anderson, 1993; Duke, 1995 & Seldin, 1988). This can be achieved if the principal is well informed about the policy and procedures for appraisal. Appraisal can be successful if the principal is democratic, as it is supposed to be a democratic process whereby the appraisees appoint their own appraisal panels;

❖ There should be differentiation in how the appraiser evaluates the new and the experienced educators. The standards for new and experienced educators should not be the same as they are not in the same career stage (see paragraph 2.3.3.2). This implies that policy makers should develop different standards for newly appointed educators and they should be mentored in their first year of teaching in order to develop them for this important task;

❖ Beginning educators should have mentors for the first year who will provide assistance and ensure that new educators are not subjected to appraisal in their first year of teaching as this may instil fear in them (Piggot-Irvine, 2000:2); and

❖ There should be counselling for those who will be involved, and this also involves time, money and the resources. Educators should be given counselling in order to alleviate fear, especially, the inexperienced educators.

6.4.2   Recommendations based on the empirical investigations.

The respondents made the following recommendations:

There should be adequate training for educators (appraisers and appraisees), this implies that training days should be lengthened so that they should have the necessary knowledge and understanding for effective implementation. In order to make appraisal successful, all the parties should be involved so that they are fully informed about policy and procedures (refer to paragraph 2.5.1.7) and Scribbins and Walton (1988:52).

Educators should be developed in the training needs identified during the appraisal process. Time, money and the resources should be made available for educator development. This can be done by giving educators time-off so that they attend to their professional issues. While doing this, relief educators should be organised for the educators who will be involved in the appraisal process, in order for it to succeed. According to Sawa (1995:22), an effective appraisal scheme maximises human potential. The finding of this study is in line with research results of the study which was conducted by Wragg et al. (1996:124) and Duke (1995:178). There should be a link between the shortfalls identified and the mechanisms put into place, to underpin these specific professional development practices. Managers should

ensure that the in-service training and deployment of educators matches the complementary needs of individual educators and the school (Poster & Poster, 1991:19).

The Area Project Office should develop its own developmental plan which is informed by schools' developmental plans so that schools can be assisted.

6.5   AREAS FOR FURTHER RESEARCH

Further research should be directed at the following:

Since 1994, a number of policies were developed and, amongst these, was the Developmental Appraisal System (DAS) which aimed at developing educators professionally, personally and otherwise. What is important about this type of appraisal is the fact that, in the end, learners should benefit from this. However, due to lack of research on the impact of appraisal in student learning, it is not clear how educator appraisal affects this aspect. It is, therefore, vital that a study be carried out about the readiness of the Republic of South Africa in implementing the appraisal system that is incentive oriented.

Classroom observation, which is one of the important aspects of appraisal, needs to be researched. The researcher's concern is whether what the appraiser sees during classroom observation matches what usually occurs in the classroom daily. This is an important aspect as educators may prepare thoroughly for that particular observation, "class visit" and overlook other lessons. The question is whether classroom observation is a true reflection of what happens during the course of the year or not.

Another point that needs to be investigated about policies is the fact that the Republic of South Africa, as it alluded by to (Molale, 2004; Sayed & Jansen, 2001), is good at policy development level but fails when coming to implementation. It is therefore important that the issue of failure of policy implementation be investigated.

The empirical data has shown that educators were never developed in the skills' gaps identified during the appraisal process. It is worth noting that it is part of the manager's job, to identify those educators who are not performing well and to provide them with opportunities through which their performance could be improved. It is, therefore, important

that research be conducted to determine what school managers do with the results of the appraisal practices and how principals use them to develop their staff professionally.

Finally, one of the components of Integrated Quality Management Systems (IQMS) namely, Performance Measurement (PM) needs to be investigated as well. The question is whether performance measurement has got an impact on educator development. The RSA, which is still developing and have just introduced educator appraisal with the sole purpose of developing them, has coupled developmental appraisal with performance measurement which promises educators one percent increment if they perform well. The question is: is the RSA ready to implement educator appraisal which is incentive oriented? The researcher thinks that educators should first be developed before the accountability purpose is pursued. Literature study has shown that the purposes of appraisal always conflict with one another as development suffers at the expense of the accountability purpose.

6.6   SUMMARY OF THE CHAPTER

In this chapter, important findings of the study have been summarized and conclusions have been made, based on the three research questions. Limitations of the current study were outlined, recommendations based on the literature review and the empirical investigations were given. Areas for further research were also listed.

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APPENDIX A

HEADS OF DEPARTMENTS AND EDUCATORS' QUESTIONNAIRE

Kindly find herewith a questionnaire and a letter from the Department of Education granting me permission to conduct research on the Developmental Appraisal System (DAS).

The questionnaire is aimed at collecting data about a retrospective view of the contribution of DAS in the professional development of the intermediate phase educators in the Lichtenburg Area Project Office since it's inception.

Kindly note that the respondents' name and the name of the school are not mentioned for anonymity purposes, hence the respondents are encouraged to give their accurate views as the information provided will be kept confidential.

Respondents are welcome to use any language of their choice.

PLEASE NOTE: The completed questionnaires are to be returned to B. P Lekome, Department of Education, Formo Building, Corner Dr Nelson Mandela and Bantjies Streets, Lichtenburg **before or on 31 August 2006. My contact details are as follows: Cell no. 083 463 1854**

Work no.: (018) 632- 27070

I thank you for your participation in this study.

HEADS OF DEPARTMENTS AND EDUCATORS' QUESTIONNAIRE

QUESTIONNAIRE NUMBER:

SECTION A

All respondents should answer all the Sections.

BIOGRAPHICAL QUESTIONS

Kindly complete the following school and personal particulars by drawing a circle around a number in a shaded box or by writing your answer in the shaded boxes provided.

QUESTIONS BASED ON THE SCHOOL

Encircle the answer in the shaded box.

1. Settlement type of your school

Village	1
Farm	2
Urban	3
Township	4

2. Describe the physical teaching and learning resources of your school using the table below.

Excellent	1
Very good	2
Good	3
Satisfactory	4
Unsatisfactory	5

For office use only

V1 ☐☐☐ 1-3

V2 ☐ 4

V3 ☐ 5

3. How many separate grades do the learners you teach in your class fall into?

Only one grade	1
2 to 9 grades	2

4. How many educators are employed at your School ?

5. How far is your school from the neighbouring School ?

1-5 Km	1
6-10 Km	2
11-15 Km	3
16-20 Km	4
21 and above	5

PERSONAL DETAILS

6. What is your gender?

Male	1
Female	2

7. What is your age in years?

QUESTIONS BASED ON TEACHING EXPERIENCE

8. For how long have you been a teacher?

9. What is your current position at school? (Mark <u>ONE</u> answer only).

Principal	1
Deputy Principal	2
HOD	3
Teacher	4

10. For how long have you occupied your current position?

11. What is the nature of your appointment?

Temporary	1
Permanent	2
Volunteer	3

List the Learning Areas you currently teach.

12.	Languages	1
13.	SS	2
14.	NS	3
15.	EMS	4
16.	Tech	5
17.	A & C	6
18.	LO	7
19.	Maths	8

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20. Have you majored in the Learning Area (s) you currently teach?

Yes	1
No	2

21. How many periods do you have per week?

22. Have you ever been "re-skilled" or "in-serviced" in the Learning Area(s) you are currently teaching?

Yes	1
No	2

SECTION B

OUESTIONS BASED ON THE TEACHER'S UNDERSTANDING OF DAS

23. How would you define in your own words the main purpose of DAS when it was first implemented. (Supply ONE answer only).

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

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24. How do you rate the training you have received in DAS?

I have not received training in DAS	1
Most inadequate	2
Inadequate	3
Adequate	4
Most adequate	5

25. Please supply the **ONE Most Important** comment on your answer to question 24. (Supply ONE answer only)

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26. How did the training sessions help you in your understanding of DAS? (Supply ONE answer only).

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213

27. Who completed your Personal Growth Plan (PGP)?

Yourself	1
HOD	2
Peer	3
Principal	4
Panel members	5
Other: Specify _____ _____ _____	

28. Were you satisfied with the way criteria were communicated to you during the appraisal process?

Yes	1
No	2

29. Justify your answer. (Supply ONE answer only).

_____
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SECTION C

QUESTIONS BASED ON THE APPRAISAL PROCESS.

This section deals with the manner in which appraisal was conducted

Please answer each question by drawing a circle around the number in the shaded box.

30. Were you ever appraised?

Yes	1
No	2

V31   [   ]   42

31. If you were ever appraised, for how long were you observed in the Classroom?

15 min or less	1
16-30 minutes	2
31-40 minutes	3
41-60 minutes	4
Never appraised	5

V32   [   ]   43

32 What is the SINGLE MOST IMPORTANT change you have made to your classroom practice as a result of the appraisal process? (Supply ONE answer only).

_____
_____
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V33   [|]   44-45

215

33. If you have never been appraised, what is the SINGLE MOST IMPORTANT reason for this? (Supply ONE answer only).

_____
_____
_____
_____
_____

34. How often were you appraised?

Once a year	1
Twice a year	2
Never appraised	3
Other: Specify _____ _____ _____ _____ _____ _____	

35. Who decided on the lesson to be observed?

Appraiser	1
Teacher's own choice	2
Negotiated	3

36. Who chose the appraiser for you?

No choice, appraiser imposed	1
Teacher's own choice	2
Negotiated	3

34 [ ][ ] 46-47

V35 [ ] 48

V36 [ ] 49

V37 [ ] 50

216

37. What criteria do you think were used in the selection of the appraiser?

Teaching Experience	1
Subject knowledge	2
Trust	3
Seniority	4
Others: Specify _____ _____ _____	

38. Please explain the SINGLE MOST IMPORTANT reason for your choice of the number of the previous question. (Supply ONE answer only).

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39. When was feedback given to the appraisee by the appraiser?

Immediately after the process	1
Within 24 Hours	2
Within a week	3
After a month	4
Never received feedback	5

217

40. How did you feel about teaching in the presence of the observer?

Very uncomfortable	1
Uncomfortable	2
Comfortable	3
Very comfortable	4

41. Please explain the SINGLE MOST IMPORTANT reason for your choice of the number of the previous question. (Supply ONE answer only).

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42. How was the relationship between the appraiser and the appraisee?

Excellent	1
Very Good	2
Satisfactory	3
Poor/negative	4

43. Which part of the process, if any, did you feel was beneficial to you?

Self-appraisal	1
Classroom Observation	2
Drawing the Personal Growth Plan	3
Feedback Session	4
No part	5

44 Please explain the SINGLE MOST IMPORTANT reason for your choice of the number of the previous question. (Supply ONE answer only).

_____
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45. Were you ever trained in self-appraisal?

Yes	1
No	2

46. How did you prepare for self-appraisal? (Supply ONE answer only).

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SECTION D

Outcomes of Appraisal

47. How were the outcomes of appraisal used?

Professional development	1
Promotion	2
Salary progression	3
Probation	4
Nothing done	5
Other: Specify _____ _____ _____	

48. Who determined your developmental needs?

Yourself	1
Colleague	2
Management	3
Department	4

49. Were the identified training needs addressed?

Yes	1
No	2

50. Which training programmes were conducted for teacher development which emanated from the appraisal process?

In-school training	1
Training by subject advisors	2
Others: Specify _____ _____ _____ _____ _____	

51. What is the most important thing that you learnt <u>after</u> the appraisal process? (Supply ONE answer only).

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SECTION E

QUESTIONS BASED ON THE EDUCATORS' ATTITUDES/ VIEWS/ PERCEPTIONS

PLEASE ANSWER ALL THE QUESTIONS BY DRAWING A CIRCLE AROUND A NUMBER IN THE SHADED BOX WHICH BEST REFLECTS YOUR RESPONSE TO <u>EACH </u>STATEMENT.

The appraisal system that I was subjected to has:

		Strongly agree	Agree	Disagree	Strongly disagree
52	Helped me to improve my skills in areas of focus	1	2	3	4
53	Helped me to identify my training needs	1	2	3	4
54	Enhanced my career prospects	1	2	3	4
55	Changed my classroom practice	1	2	3	4
56	Made me feel that any reference written for me would be more accurate	1	2	3	4
57	Led to further training	1	2	3	4

Source Horne & Pierce (1996:19)

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V53   [ ]   71

V54   [ ]   72

V55   [ ]   73

V56   [ ]   74

V57   [ ]   75

V58   [ ]   76

Encircle the appropriate number which best reflects your response to the **six statements** given below.

		Very effective	Effective	Fairly Effective	Ineffective
58	The implementation of DAS in my school was	1	2	3	4
59	The influence of the DAS process on development planning was	1	2	3	4
60	In achieving the stated aims of improving the management of a school, the DAS process was	1	2	3	4
61	In improving the quality of learners, the appraisal process was	1	2	3	4
62	As an appraisee, I have found the process	1	2	3	4
63	As an appraiser, I have found the process	1	2	3	4

Source Horne & Pierce (1996:19)

SECTION F

64. As a peer, how have you supported educators in terms of classroom practice? Provide ONE answer only.
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65. What sort of advice did you give your peers in terms of Outcomes-based education and Outcomes-based assessment implementation? Supply ONE answer only).

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66. What did you learn from peer appraisal? (Supply ONE answer only).

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67. How did you feel about DAS when it was first implemented? (Supply ONE answer only).

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68. How do teachers feel about appraisal currently as part of IQMS? (Supply ONE answer only).

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69 What Is the SINGLE MOST IMPORTANT CONCERN about the introduction of appraisal? (Supply ONE answer only).

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70. What is the SINGLE MOST IMPORTANT APPREHENSION about the introduction of appraisal?(Supply ONE answer only).

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71. Please use the space on this page if there are further comments you wish to make about the outcomes of the appraisal process (or the effectiveness of the appraisal process).State TWO comments only.

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THANK YOU VERY MUCH FOR YOUR TIME AND COOPERATION

Appendix B

PRINCIPAL'S INTERVIEW SCHEDULE
QUESTIONS BASED ON THE SCHOOL

1. Settlement type of your school

2. Describe the physical resources of your school.

3. Are your Heads of Departments supportive to their educators?

QUESTIONS BASED ON THE EFFECTIVENESS OF DAS AT A SCHOOL.

4. How adequately prepared is your institution for making appraisal effective? For example:

5. Has your school set up a Staff Development Team?

6. Have educators completed their self-evaluation forms?

7. Are all your educators trained in DAS as located in the IQMS?

8. How many educators have undergone the process of baseline evaluation?

9. How supportive is your Staff Development Team at school?

11. What aspects of the appraisal process did you find useful professionally?

11 .In what ways, if any, do you feel your educators' skills and achievements have received greater recognition since their involvement in the appraisal process?

12. In what ways, if any, has the appraisal process helped you in terms of your professional development?

13. What changes, if any, have you made to your classroom practice as a result of the appraisal process?

14. If the appraisal process indicated/ identified in-service needs for the educators' professional development, how are these being met/ likely to be met, for example:

-School-based support/ INSET
-Other- please describe briefly.

15. What contribution, if any, do you think the appraisal process generally has made/ will make to:

(a) School development planning

(b) Improving the quality of education for pupils

21. What are your concerns and apprehensions about the introduction of appraisal?

22. What changes or improvements would you like to see in the DAS?

23. Why do you think the DAS is (or is not) working effectively?

_____

APPENDIX C: EVALUATION STANDARDS USED IN THE USA

INTASC Standards

The USA's Interstate New Educator Assessment and Support Consortium (INTASC) standards are:

1. Content Pedagogy: The educator understands the central concept, tools of inquiry, and structures of the discipline he or she teaches and can create learning experiences that make these aspects of subject matter meaningful for students.

2. Student Development: The educator understands how children learn and develop, and can provide learning opportunities that support a child's intellectual, social, and personal development.

3. Diverse Learners: The educator understands how students differ in their approaches to learning and creates instructional opportunities that are adapted to diverse learners.

4. Multiple Instructional Strategies: The educator understands and uses a variety of instructional strategies to encourage student development of critical thinking, problem solving, and performance skills.

5. Motivation and Management: The educator uses an understanding of individual and group motivation and behaviour to create a learning environment that encourages positive social interaction, active engagement in learning, and self motivation.

6. Communication and Technology: The educator uses knowledge of effective verbal, nonverbal, and media communication techniques to foster active inquiry, collaboration, and supportive interaction in the classroom.

7. Planning: The educator plans instruction based upon knowledge of subject matter, students, the community, and curriculum goals.

8. Assessment: The educator understands and uses formal and informal assessment strategies to evaluate and ensure the continuous intellectual, social and physical development of the learner.

9. Reflective Practice: Professional Growth: The educator is the reflective practitioner who continually evaluates the effects of his or her choices and actions on others (students, parents, and other professionals in the learning community) and who actively seeks out opportunities to grow professionally.

10. School and Community Involvement: The educator fosters relationships with school colleagues, parents, and agencies in the larger community to support students' learning and well-being.

Source: http//www.appstate.edu/ssmethods/telefolios/Honetcutt/Master/intascst.html)

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APPENDIX D: PROFESSIONAL STANDARDS FOR EDUCATORS: DEPARTMENT OF EDUCATION QUEENSLAND (AUSTRALIA)

These professional teaching standards are generic in nature, defining knowledge, skills and abilities to apply to all educators in state education in Queensland (i.e. government schools):

- ❖ Structure flexible and innovative learning experiences for individuals and groups.
- ❖ Contribute to language, literacy and numeracy development.
- ❖ Construct intellectually challenging learning experiences.

- ❖ Construct relevant learning experiences that connect with the world beyond school.
- ❖ Construct inclusive and participatory learning experiences.
- ❖ Integrate information and communication technologies to enhance student learning.
- ❖ Assess and report on student learning.
- ❖ Support the social development and participation of young people.
- ❖ Create safe and supportive learning environment.
- ❖ Build relationships with the wider community.
- ❖ Contribute to professional teams.
- ❖ Commit to professional practice.

APPENDIX E: PROFESSIONAL STANDARDS FOR GRADUATES

Graduates will possess and be able to apply professional and disciplinary knowledge bases. Graduating educators will exhibit an understanding of learning and teaching within the contexts of rapidly changing environments, and they will be able to utilise this knowledge to engage with curriculum, pedagogy, assessment and reporting of student outcomes.

Graduates will posses and be able to apply to all a range of literacies relevant to their professional roles. Graduating educators will exhibit a high level of personal proficiency in oral and written language and numeracy.

Graduates will exhibit the skills to create supportive and intellectually challenging learning environments to engage all learners. Graduating educators will draw upon pedagogical, curriculum and assessment knowledge and skills to engage all learners.

Graduates will understand and participate in relationships that characterise ethical professional practice within and beyond learning communities. Graduating educators will commit to their participation in communities of learning and to the importance of relationships and partnerships within these communities.

Graduates will be committed to reflective practice and on-going professional renewal. Graduating educators will display a positive orientation to personal learning and teaching which foregrounds reflection on practice as an important part of the on-going development of educator identity.

Source: Professional Standards for Graduates and Guidelines for Pre-service Educator Education Programmes (2002) Board of Educator Registration Queensland

APPENDIX F: ACE STANDARDS OF PROFESSIONAL PRACTICE

Accomplished educators in Australia demonstrate their expertise by:

Having a broad, deep, and critically aware knowledge, understanding of and enthusiasm for the intellectual content, discourses, and values associated with disciplines from which the subjects (or curriculum areas) they teach are derived and as appropriate to the specific contexts within which they teach.

❖ Being both transmitters and critical interpreters of the knowledge, understanding, skills, and values associated with their subject areas, recognising that knowledge is often contestable, and developing

❖ programmes that fully implement the aims and objectives of the relevant curriculum.

❖ Enjoying teaching students and by holding the highest expectations of what each student is capable of achieving: being aware of the individual needs, interests, capacities of their students, and challenging their students accordingly by inspiring, motivating, correcting, and supporting their students, even in the face of temporary or apparent failure.

❖ Treating all students justly and equitably: recognising and appreciating the range of values held by individuals as well as within families, groups, cultures, and the wider school community; and abiding by all statutory, legal, and ethical obligations incumbent upon them as educators.

❖ Having a sense of humour and being able to empathise with their students.

❖ Exemplifying the qualities that they seek to inspire in their students: including intellectual curiosity and rigour, tolerance, fairness, common sense, self-confidence, respect for self and others, empathy, compassion, appreciation of diversity, and acknowledgement of cultural diversity.

❖ Being reflective practitioners who critique the impact of their teaching and professional values upon students, colleagues, and others in the wider learning community: by having

a critical awareness of the role played by the their own educational, social, cultural, religious, financial and other background experiences; and how these experiences may have helped to shape their own values, their approach to teaching, and their assumptions about education.

❖ Displaying adeptness and discernment in the creative use and critical evaluation of information technologies for assisting their own teaching and in advancing the learning of their students.

❖ Providing regular, accurate feedback to students and monitoring the growth in students 'learning: not only to assist in the assessment of students' growth as a basis for reporting each student's achievements against the required learning outcomes.

Source: National Discussion Paper : Standards of Professional Practice for Accomplished Teaching in Australian Classrooms released under the auspices of the Australian College of Educators, the Australian Association for Research in Education, and the Australian Curriculum Studies Association (2000).

_____

APPENDIX G: POST LEVEL 1 AND 2 EDUCATORS IN THE RSA:
CRITERIA USED FOR APPRAISAL

- ❖ Curriculum development
- ❖ Creation of the learning environment
- ❖ Lesson presentation and methodology
- ❖ Classroom Management
- ❖ Learner Assessment
- ❖ Recording and analysing data
- ❖ Development of learning field competency
- ❖ Professional development in field of work/ career and participation in professional bodies
- ❖ Human relations
- ❖ Leadership
- ❖ Community
- ❖ Extra Curricular
- ❖ Contribution to school development

NOTE: HODs' work is appraised against these 13 plus the following additional standards:

- ❖ Generation of departmental policy
- ❖ Professional support to colleagues

Source: DoE (1999; 16-21)

APPENDIX H

P.O Box 10089

Lichtenburg

2740

25 May 2006

Area Project Office Manager

Department of Education

Lichtenburg

2740

Dear Sir

RE: REQUEST FOR PERMISSION TO CONDUCT RESEARCH

I hereby request the Department of Education to grant me permission to conduct research in the Lichtenburg schools. The research topic is:

PROFESSIONAL DEVELOPMENT OF PRIMARY SCHOOL EDUCATORS THROUGH THE DEVELOPMENTAL APPRAISAL SYSTEM.

I hope that this study would be a useful investigation for the department of education in order to provide quality education for all the stake-holders.

I promise to make the findings and recommendations of research available to the department as soon as it is completed.

I would appreciate it if the permission could be granted.

Thanking you in advance.

Yours Sincerely

APPENDIX I

LICHTENBURG APO

Enquiries: M.S.Nkone   *Private Bag X 12005*
Phone: 018 632 7070   *Lichtenburg*
Fax: 018 632 2234   *2740*
Cell: 082 497 2054   *e-mail:*
ahendricks@nwpg.gov.za

_____

TO   :   MRS. B.P.LEKOME

FROM   :   MR. M.S. NKONE

LICHTENBURG APO MANAGER

DATE   :   08 AUGUST 2006

SUBJECT   :   PERMISSION GRANTED TO CONDUCT RESEARCH

Mrs. B.P. Lekome has been granted permission to conduct research on: **Professional Development of Primary School Educators through the Developmental Appraisal system (DAS)** in the **Lichtenburg APO.**

It would be appreciated if a copy of the research findings will be made available to the Department of Education.

_____

Mr. M.S.NKONE
APO MANAGER

APPENDIX J

INSTITUTIONAL CURRICULUM SUPPORT - LICHTENBURG APO

Enquiries: *B.P Lekome*   *Private Bag X 12005*
           Phone: *018 632 7070*   *Lichtenburg*
           Fax: *018 632 2234*   *2740*
           Cell: *083 463 1854*

To   :   The Principal, Heads of Depaertments and Educators

From   :   Mrs B.P Lekome

I would like to take this opportunity to thank you for having participated in the research project based on the: **PROFESSIONAL DEVELOPMENT OF THE PRIMARY SCHOOL EDUCATORS THROUGH THE DEVELOPMENTAL APPRAISAL SYSTEM (DAS).**

I wish you and your families a **Merry Christmas and Prosperous 2006**. May the good **Lord** richly bless you.

Yours truly,

_____

B.P Lekome

APPENDIX K: Application letter to the Kogan Page Publishers to use their questionnaire and their approval note.

On 10·6·04.
→ Tayla + Francis.

P. Box 10089
Lichtenburg
2740
21 May 2004

H Horne & A Pierce
Kogan Page Limited
120 Pentonville Road

Re: Permission to use the questionnaire for research.

I hereby request your company to grant me permission to use the appraisal questionnaires as contained in the book entitled " A Practical Guide to Staff Development and Appraisal in Schools, published by Biddles Ltd in Great Britain, 1996. This permission is sought for the purposes of conducting research on developmental appraisal in Lichtenburg, South Africa.

I am currently studying Masters in Education at the university of Pretoria in South Africa under the supervision of Professor Johan Viljoen in the Department of Curriculum Studies.

Thanking you in anticipation.

Yours faithfully
Patricia Lekome (Mrs)
Student Number: 22288547

THOMSON PUBLISHING SERVICES, CHERITON HOUSE, NORTH WAY, ANDOVER HANTS SP10 5BE, ENGLAND
PERMISSION IS GRANTED FREE OF CHARGE FOR THIS USE ONLY, SUBJECT TO ACKNOWLEDGEMENT TO AUTHOR(S), TITLE AND PUBLISHER.
SIGNED: *Rjury*   DATE: 7-7-2004
ON BEHALF OF: *Kogan Page Ltd* (PUBLISHER)
RESTRICTIONS: *For use in conducting Research on Dev appraisal*

Appendix L: Confirmation letter from the editor.
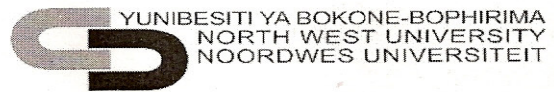
MEMO

Department of English

I, Maureen Matlakala Ledibane, hereby certify that I have edited the research paper entitled "Professional Development of Primary School Educators Through the Developmental Appraisal System " submitted by Botsang Patricia Lekome, in fulfilment of the requirements for the degree of Magister Educationis in the Department of Assessment and Quality Assurance of the Faculty of Education at the University of Pretoria.

....
English Lecturer : Department of English
North-West University, Mafikeng Campus
Date : 25/09/2007..