

**A POLICY ANALYSIS OF THE IMPLEMENTATION OF THE INTEGRATED
QUALITY MANAGEMENT SYSTEM (IQMS) IN SIX SECONDARY SCHOOLS
IN KWAZULU-NATAL.**

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DECLARATION

I, Vuma Jonathan Dumakude, hereby declare that this research project is my own original work and that all sources have been accurately reported and acknowledged, and that this document has not previously in its entirety or in part been submitted at any university in order to obtain an academic qualification.

V. J. Dumakude

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ABSTRACT

This research project examines the successes and challenges of processes involved in the implementation of the Integrated Quality Management System (IQMS) in six secondary schools. The focus of this study is limited to six secondary schools in the Umgungundlovu District in KwaZulu-Natal, South Africa.

The research seeks to critically trace the evolution of the IQMS as a policy strategy for the implementation of teacher appraisal in South African schools. The research also explores appraisal measures in place prior to the introduction of the IQMS in schools.

The analytical framework uses forward and backward mapping as analytical tools to guide the data analysis.

The methodology is a case study approach with qualitative interviews with principals, heads of departments and post-level one educators.

The findings indicate that while progressing adequately, there are a number of areas of concern with the implementation of IQMS. The report makes several recommendations regarding these.

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LIST OF ACRONYMS

DAS	Developmental Appraisal System
DIP	Development Improvement Plan
DoE	Department of Education
DSG	Development Support Group
ELRC	Education Labour Relations Council
IQMS	Integrated Quality Management System
KZN	KwaZulu-Natal
MEC	Member of Executive Council
PGP	Personal Growth Plan
PM	Performance Measurement
SASA	South African Schools Act
SDT	Staff Development Team
SEM	Superintendent of Education Management
SIP	School Improvement Plan
SMT	School Management Team
WSE	Whole School Evaluation

CHAPTER 1

INTRODUCTION AND BACKGROUND

1.1 Introduction

The purpose of this research project is to study the successes and challenges of processes involved in the implementation of the Integrated Quality Management System (IQMS) in six secondary schools in KwaZulu-Natal (KZN). The research seeks to critically trace the evolution of the IQMS as a policy strategy for the implementation of teacher appraisal in South African schools. The research will also explore appraisal measures that were in place prior to the introduction of the IQMS in schools. The focus of this study is limited to six secondary schools in the Umgungundlovu District.

1.2 Apartheid Education System

Education, in many countries, has been used to inculcate an ideology of the ruling party. Therefore, “schools in South Africa, as elsewhere, reflect society’s political philosophy and goals” (Byrnes 1996:1). To this end, the missionaries used the earliest schools to include literacy and new social and religious values. For European immigrants, schools aimed to preserve the values of previous generations (Ibid. 1996:1).

During pre-colonial and colonial periods, “many African societies placed strong emphasis on traditional forms of education well before the arrival of Europeans” (Byrnes 1996:1). An example is that of adults in Khoisan-and Bantu- speaking societies who had extensive responsibilities for transmitting cultural values and skills within kinship-based groups (Ibid. 1996:1). The Dutch Reformed Church elders established the earliest European schools in the Cape Colony in the late seventeenth century. The main focus of these schools was on biblical instruction which was necessary for church confirmation (Ibid. 1996:1). “In rural areas, itinerant teachers (meesters) taught basic literacy and math skills”. It was only when the first members of the London Missionary Society arrived in the Cape Colony that British mission schools proliferated after 1799.

Enrolments of learners in the then four republics differed. Byrnes (1996:2) indicates that: “by 1877 some 60% of school-age children in Natal were enrolled in schools, as were 49% in the Cape Colony. In the Afrikaner republics, however, enrolments remained low -

only 12% in the Orange Free State and 8% in the Transvaal - primarily the results of Afrikaner resistance to British education”.

The South African education system has undergone remarkable reforms since the inception of apartheid. Education had been used to discriminate against people on the grounds of racial lines. The poor, the weak and the oppressed were mainly blacks. Education was, therefore, more concerned with “protecting those with power, whether political or economic, than sharing the benefits of education in an open, democratic society” (Harthorne 1999:3). It must be noted that the policy of separate development was introduced by the Nationalist Government which came into power in 1948. On 29 January 1952, Dr D.F. Malan, the then Prime Minister, expressed the view that “the road to peace and goodwill lay in the acceptance of the fact that separate population groups existed, and in giving each group the opportunity of developing its ambitions and capabilities in its own area, or within its own community; on its own lines, in the service of its own people” (Horrell 1963:3). This statement was contained in a letter which Dr Malan wrote to the African National Congress. Dr H.F. Verwoerd, the then Minister of Native Affairs, further intensified racial segregation as he said “that the previous system of education had blindly produced pupils trained on European model, thus they could occupy posts within European community despite the country’s policy of apartheid” (Ibid.1963:6). The Whites received superior education while Blacks received inferior education which was referred to as Bantu Education. There were alarming disparities in the allocation of resources, that is, schools, staffing, furniture, books, stationery, infrastructure and so forth. The curriculum management, that is, what is taught, how it is taught, and by whom, was tailored to achieve the apartheid ideals. The training of black teachers was of inferior quality and both learners and educators were forced to practise teaching and learning activity in Afrikaans. This led to an increasing discontent with apartheid education system.

The shaping of education policy in South Africa was also influenced by religion and churches. The mission churches played a leading role in the control and character of education for black children until 1953. Two major streams were identified within the broad missionary movement; the first was most clearly represented by the English-speaking mission and the other by German Lutheran missions, and also to a lesser extent by other continental European mission churches (Hartshorne 1999:29). He further states that education was seen to be integral to evangelism, thus the preacher and teacher were perceived to be fellow labourers in the gospel. The major English speaking churches who

were traditionally associated with mission education were the first to join forces with black opinion after 1953. This collaboration was in fundamental opposition to the practice of separate and isolated education for the various population groups. “The Afrikaans-speaking churches, because of their broad support of government policy and close involvement in organisations such as Broederbond...came late into the field of black education” (Hartshorne 1999:30). Although the number of schools for blacks increased during the 1960s, their curriculum was designed to prepare children for unskilled jobs. Consequently, government spending on black education was very low and black schools had inferior facilities, teachers and textbooks.

The then Prime Minister, Dr Hendrik Verwoerd, had enforced a regulation that “one- half of all high school classes must be taught in Afrikaans” (Byrnes 1996:4). This decree resulted in tension over language in education which erupted into violence on June 16, 1976. Students took to the streets in Soweto to make their discontent heard by government. The police crushed the protest harshly, resulting in the deaths of many young children. “In the violence that followed, more than 575 people died, at least 134 of them under the age of eighteen. Youthful ANC supporters abandoned schools and vowed to make South Africa ungovernable to protest against apartheid education. The unrest of 1976 resulted in school damages through vandalism and destruction of property” (Ibid. 1996:4).

Teacher-pupil ratios were different among racial groups. “In primary schools averaged 1:18 in White schools, 1:24 in Asian schools, 1:27 in Coloured schools and 1:39 in Black schools. Moreover, whereas 96% of all teachers in White schools had teaching certificates, only 15% of teachers in black schools were certificated” (Byrnes 1996:1). This discriminatory condition impacted negatively in the pass rate for black pupils in the high schools. President P.W. Botha had stated that the concept of “apartheid” was outdated by 1986. It was during the time of President F.W. de Klerk that Mr Nelson Mandela was released in prison, which marked the collapse of apartheid system in South Africa. The Constitution of South Africa, Act 108 of 1996, became “the absolute law of the country, the basic law of the nation, and the first source of law” (Mda and Mothatha 2000: 2). This means that any other piece of legislation was inferior the constitution.

The South African Schools Act (SASA) 84 of 1996 is a national legislation which regulates the functioning of schools across racial lines. It makes provision for, amongst other things, a uniform system for education and establishment of minimum and uniform

norms and standards for the provision of education at schools. Today, the allocation of teaching posts is no longer based on race, but on the number of learners per class. Generally speaking, teacher-pupil ratio ranges from 1:30 to 1:40. The distribution of resources is now determined by the poverty index of the school, taking into consideration the conditions of the community the school serves. Two ways or systems of school funding by government are in operation since April 2001. The first category is Section 20 schools which receive paper allocation and the Department of Education makes procurement on their behalf. The second category is referred to as Section 21 schools which have their allocations deposited in their accounts. The Section 21 schools have been given additional functions by the Member of Executive Council (MEC) to perform. They buy the resources directly (South African Schools Act 1996). Both Section 20 and Section 21 schools are expected to send their annual audited financial statements to the DoE before 30 April. This is an endeavour by the DoE to improve the quality of education in South Africa by ensuring that resources are equitably distributed to schools. To take quality education to a higher level, the DoE has also introduced the IQMS as an instrument to develop educators in their management and teaching practices. The DoE is, therefore, committed to a high quality level of teaching and learning in South African Schools by investing on its teachers so that their teaching can be efficient and effective.

The effectiveness and efficiency of the South African education system rests largely in the hands of teachers who are expected to make a difference to the learners. To this effect, Harley et al. (2000:287) states that “teachers are policy-makers of transforming and developing South African society”. The Department of Education, in consultation with relevant stakeholders such as teacher unions, parent associations, politicians and the business sector, has developed policies with a view to improving the levels of teacher development and performance. These include the appraisal systems for educators which were introduced by the Department of Education, that is, the Development Appraisal System (DAS) in 1998 and the Integrated Quality Management System (IQMS) in 2003.

Every organisation strives to achieve or produce excellence in order to attract clients. The Department of Education is no exception. An important aspect that is key to quality product or service delivery is accountability. Accountability makes educators answerable to parents for their performance. The provincial Member of Executive Council (MEC) usually demands action plans from principals of schools with a failure rate below 50% in grade 12 results. Principals are required to give reasons for underperforming and indicate how they intend to improve the results during the following years.

1.3 Transitional and Post-Apartheid Education System

Prior to the amalgamation of ex-Departments of Education in 1996, there was no common way of evaluating the effectiveness of teaching in schools. In most “previously black” schools, inspectors and subject advisors were perceived to be victimizing educators through evaluation. (Department of Education 1998:52). Between 1985 – 1990, these departmental officials could, consequently, not observe educators during classroom practice, that is, teaching (Department of Education 1998:52). The high failure rate of matric learners during this period suggested that teaching and learning process was of a poor standard owing to, amongst other reasons, a lack of monitoring by departmental officials. There was, therefore, the need within the organised teaching profession to develop an appraisal instrument which would be acceptable to all relevant stakeholders, that is, departmental officials, teacher unions, parent associations, politicians and the business sector. It was hoped that this appraisal instrument would enhance the development of competency of educators and the quality of education in South Africa (Department of Education 1998:51).

Through negotiations which started in 1993 amongst the stakeholders, a document that embraces the democratization that is prevalent in education in South Africa today was finalized in 1994 (DoE 1998:51). This became known as the Developmental Appraisal System (DAS) and was the result of an agreement reached by the Education Labour Relations Council (ELRC) on 28 July 1998. The ELRC is a council that is responsible for, amongst others, maintenance and promotion of labour piece in education. The new developmental appraisal system was to be implemented in 1999 and reviewed in April 2000.

It was designed to ensure that there was democratic participation of the appraisee in the appraisal process. This participation necessitated the establishment of an appraisal panel composed of at least four people drawn from the following:

- the appraisee;
- a peer nominated by appraisee;
- a union representative;
- a senior management level person such as a head of department, deputy principal or principal;

- a person from outside the institution drawn from non-governmental organisations or from district offices, colleges or universities (Department of Education 1998: 66,79)

The appraisal panel could, therefore, be constituted of the appraisee and at least three others from the list above. However, in small institutions the panel may comprise the appraisee and two others from the same list above. Generally speaking, four people constitute the appraisal panel. “Maximally, it is made up of five people and minimally, of three people” (Department of Education 1998:79). In one-educator institutions, as an exception, at least two persons should constitute the appraisal panel.

The DAS was underpinned by three principles, namely democratic participation, transparency and collaboration. The panel, therefore, had to allow the appraisee to participate in making decisions about issues that affect them. It was no longer the traditional inspection which was perceived to be dictatorial and authoritarian in nature. “The appraisee could then offer explanations as to why the observed lesson went the way it did and a sound informed decision about the appraisees performance could be made” (Ibid. 1998:67). The appraisal panel had to be informed by the actual situation the appraisee is in so as to make decisions that consider the appraisee’s context.

Transparency would be guaranteed by the fact that an appraisee was part of the panel. This meant that decisions taken were not taken subjectively and with prejudice by any individual. It was collaborative as a group of people made collective decisions. Any decision taken would be a product of an objective engagement by the panel. It was believed that the democratic working of the panel would also eradicate corruption and favouritism during the appraisal process which was prevalent in the past. From the discussion above, “it should be clear that DAS was meant to foster a democratic ethos within education and to promote a culture based on human rights and fairness” (Ibid. 1998:67).

Due to difficulties of understanding the instrument by educators and even departmental officials, DAS did not take off as envisaged. As part of the researcher’s responsibility to collate information from schools, the researcher, as the supervisor of these six secondary schools, could see that most schools could not return the completed evaluation forms timeously. Some completely failed to make an attempt to implement the appraisal system.

The implementation of DAS came to a standstill and principals indicated that educators did not have capacity to engage in this system.

The departmental officials, teacher unions, parent associations, politicians and business sector had to go back to the drawing board in order to come up with a workable instrument. An agreement was reached in the ELRC under Resolution 8 of 2003 (Department of Education 2003) to integrate the existing programmes on quality management in education. The existing programmes were the Development Appraisal (DA), the Performance Measurement (PM) and the Whole School Evaluation (WSE). The integration of these programmes resulted in a refined instrument called the Integrated Quality Management System (IQMS). The stakeholders that were involved in the negotiations with regard to the new appraisal instrument added some incentives to it. The motivation for incentives in the form of a one-percent salary increase would, it was believed, persuade educators to accept the IQMS and subject themselves to evaluation (Department of Education 2003:7). It was hoped that this incentive would make the IQMS take off with the potential to develop educators professionally. The disadvantage could be that educators accept the IQMS in order to get the one-percent salary increase rather than for the sake of professional development. The IQMS is “an integrated quality management system that consists of three programmes, which are aimed at enhancing and monitoring performance of the education system” (Department of Education 2003:1). These programmes are:

- (1) *Development Appraisal*, the purpose of which is to appraise individual educators to determine areas of strength and weakness so that programmes for individual development can be drawn up;
- (2) *Performance Measurement* which seeks to evaluate individual teachers for salary progression, grade progression, affirmation of appointments and rewards and incentives; and
- (3) *Whole School Evaluation* which is intended to evaluate the overall effectiveness of a school as well as the quality of teaching and learning.

These three programmes are implemented in an integrated way in order to ensure optimal effectiveness and co-ordination of the various programmes (Department of Education 2003:1).

1.4 Reasons for choosing topic

The researcher's interest in choosing this topic was to explore what is involved in the IQMS process and also assess whether or not this policy was actually achieving the personal and professional development of educators as was intended. The research seeks to explain what educators experiences are of the IQMS.

The researcher holds a position which includes overseeing the implementation of the IQMS in schools. The researcher is, therefore, directly exposed to weaknesses of this policy and the problems experienced by educators during implementation. The researcher's main interest was in finding out why educators experience problems in implementing the IQMS.

Although IQMS is a strategy to implement national education policy which should be implemented in a uniform fashion, the researcher's observation has been that educators in different schools had different understandings of the instrument. Other reasons for choosing this topic were that:

- very limited research had been done on the IQMS since it was implemented;
- differences between the IQMS and DAS needed to be explored;
- the challenges faced by educators needed to be highlighted to policy makers.

The findings of this research could be useful to:

- educators with an interest to genuinely develop themselves professionally;
- departmental officials who are expected to monitor the implementation of the IQMS
- national and provincial policy makers who design appraisal policies for educators.

1.5 Research problems and objectives

Policy exists in context. Policy that is easily implementable in one context may not be easily implemented in another context. Some policies such as the IQMS need resources in the form of expertise, time, knowledge, as well as material resources. Some issues investigated include:

- Does the implementation of IQMS take cognizance of different contexts?
- What is the rationale behind the DoE introducing the IQMS?
- What does IQMS entail?
- Are the time frames realistic for the implementation of the IQMS
- How does IQMS differ from the previous evaluation instruments?
- How do the departmental officials ensure that this policy is being implemented accordingly?
- Are the necessary resources available for the implementation of IQMS?
- What are educators' perceptions of the IQMS?
- How is the IQMS being implemented?
- Does IQMS serve the interest of the departmental officials or that of educators or both?

The questions above seek to clarify the all-important critical question: Is IQMS as a strategy to implement the national education policy a better option for educator appraisal?

1.6 Conclusion

In this chapter a detailed background to the study was presented, including the introduction, apartheid education system, transitional and post-apartheid education system, reasons for choosing this topic, research problems and objectives and conclusion. The literature review in the next chapter will present what has been written on this topic.

CHAPTER 2

LITERATURE REVIEW

2.1 Introduction

In this chapter the literature review on teacher appraisal will be presented. The literature review will shed light on the problem being analysed by what has been written and researched on this subject. The researcher will first discuss the concept of teacher ‘appraisal’ or ‘evaluation’ in general, and then look at appraisal perception internationally, South African context and conclusion

2.2 The concept of teacher ‘appraisal’ or ‘evaluation’

Researchers and scholars have different understandings of the terms “evaluation” and “appraisal”. Quinlan and Davidoff (1997:8) suggest that “evaluation has largely come to be seen as a threatening, judgemental, *summative* exercise, while appraisal is regarded as positive, developmental and *formative* process, which has the professional development of the teacher as its most pressing concern”. In this sense, evaluation seems to focus on grading and classifying teachers for promotion and salary progression reasons, while appraisal is a learning instrument aiming at assisting teachers with the basic requirement of good teaching. However, these two terms are often currently used interchangeably.

Teacher appraisal should be perceived positively as its intention is to enhance professional development of teachers. Bell (1988:1) notes that “the most appropriate and effective way of staff appraisal is that which is derived from, and rooted in, the particular circumstances of each school. Staff appraisal process must take into account the uniqueness of each school and the individuality of teachers within that school”. This means that contextual factors should be considered during appraisal process.

The origins of teacher appraisal, broadly conceived, “sits more comfortably with the context of schools being encouraged to review their curricular methodology and to develop better means of assisting pupils’ learning and the effectiveness of school processes than within a narrow context of criticism of teachers, talk about the failings of the education service and the search for the castigation of inadequate teachers” (Evans and Tomlinson 1989:13).

Appraisal reinforces the concept of teachers being reflective and self-critical about their individual and collective work. Montgomery (1999:4) states that “it is vital that all staff share an understanding of the criteria to be used and the processes to be experienced”. This suggests that appraisal criteria and processes need to be shared rather than imposed in order to be developmental.

Wise and Darling, Hammond *et al.* (1984) in Montgomery (1999:3) have noted that “the most common reason for declaring a teacher incompetent was inability to control the class”. While this observation has some truth, it is also important to consider the culture of the whole school in terms of general discipline. Strong leadership of both governance and management has some bearings on the teacher performance, particularly during classroom observation of the appraisee.

Slater in Bell (1988:85) asserts that: “evaluation is, of course, a corporate professional exercise and cannot be carried out in isolation. It is, then, a way of looking at our school, the management structure, school curriculum and the professional development of the staff”. Evaluation, in this context, aims to improve the performance in all areas of school life. This means that you cannot develop a teacher and leave out the school or develop a school and leave out the teacher. A developed teacher will have much impact on the development of the whole school. Horne and Pierce (1996:83-84) state that “appraisal must be a key part of any school effectiveness programme for individuals, teams or groups and the whole school”. They further emphasise the importance of integrating appraisal into school development planning and making appraisal key player in the whole school staff development policy.

Bellington *et al.* (1990:198) also assert that

“appraisal does not exist in isolation and its long-term impact on teacher performance seems likely to depend on how far it is integrated with other forms of review and development [and] teacher appraisal, head teacher appraisal, whole-school review, school development plans, curriculum planning and INSET planning are all related and if linked in a coherent and co-ordinated strategy would transform the school’s capacity for change” (1990:98).

Appraisal is a vehicle not only for individual teacher's professional development but also for the life of the whole school. In other words, the effectiveness of appraisal to teachers makes a positive impact on the whole school in terms of change. Evaluation of individual teachers is to enable them:

- To extend and develop their own teaching styles and strategies;
- To agree common areas and shared priorities within the section;
- To develop strategies for effective use of the materials in the classroom;
- To assess the suitability of material;
- To assess the effectiveness of pupil assessment procedure;
- To improve classroom management skill; and
- To be able to account for current practice (Bell 1988:87).

Evaluators must take it into consideration that every individual teacher has his/her own specific needs to be developed on. A favourable climate should be created for evaluation process to be effective. By engaging in evaluation, teachers improve their motivation and performance at all levels.

Horne and Pierce (1996:94) suggest that "appraisal is about teachers looking at their current situation with an experienced, trusted colleague, and discussing feelings about an aspect or aspects of the job. This involves looking back at past experiences, as well as looking forward to future opportunities". A group of experienced teachers drew up a list of characteristics associated with good teaching which included:

- Ability to communicate clearly;
- Ability to form relationships with pupils appropriate to the learning task;
- Control of class;
- Variety of approach;
- Good planning;
- Suitable appropriate use of resources;
- Self-critical approach leading to adaptation;
- Degree of pupil involvement;
- Overall purpose of lesson - has useful learning taken place?
- Sensitive to individual pupils' needs

(Bellington et al. 1990:22).

The involvement of teachers in staff development process requires a new way of thinking. Teachers must be made to understand that IQMS is not intended to victimise them as the previous appraisal instruments were perceived to be. It is a step in the direction of teacher development and empowerment. According to Horne and Pierce (1996:94):

“Appraisal can be an integral part of empowerment, not only as a way of empowering teachers but as a means of informing any school development programme and of utilising the strengths of all the staff, not only for their individual development but for development of the school and for the benefit of the pupils”.

Evans and Tomlins (1989:63) noted that “the degree to which appraisal can be said to enhance or inhibit the professionalisation of teachers depends upon the pattern of appraisal which is adopted”. This observation links well with the main objective for the Department of Education, as well as for all educators, which is to ensure quality public education for all and constantly improve the quality of learning and teaching” (Department of Education 2003:3). For learners to receive high quality education necessitates the Department of Education to invest in its teachers.

The following discussion attempts to offer different perspectives on the ways in which managing teacher performance and its appraisal may or should influence teacher development. An overview of models of appraisal systems in United States of America, United Kingdom and New Zealand is given. The South African appraisal system is thus explored in the light of what has been done in other countries in this area of teacher development.

2.3 Teacher assessment and staff development in the United States

Teacher assessment and staff development in the US are often not closely related. Jacobson and Battaglia in Middlewood and Cardno (2001:75) state that staff development is “often perceived as little more than instructional remediation that necessarily follows assessment”. They view appraisal as “a natural, systematic part of the life-long learning of a teacher, especially when considered within the framework of a transformational approach to leadership that seeks to elevate the status of teachers” (Ibid. 2001:75). It is

noticeable that the development and implementation of this appraisal tool evolves from managerial to instructional approach of leadership. Both of these approaches are characterized by traditional ‘top-down’ hierarchies to ‘flatter’ type of learning organization that many transformational leaders believe schools can become (Ibid. 2001:75).

Brookover and Lezotte (1979) and Edmonds (1979) in Middlewood and Cardno (2001:77) observed that many policymakers hold a view that schools could make a difference in the lives of learners if the following characteristics were in evidence:

1. Strong principal leadership
2. Clear mission and purpose;
3. Safe and orderly climate;
4. High expectations for all teachers and students; and
5. Consistent, standardised measures of performance.

Managerial leadership began to give way to instructional leadership at the school level. The latter focuses primarily on the principal and “the behaviours of teachers as they engage in activities directly related to the growth of students”, as Leithwood et al. (1999) in Middlewood and Cardno (2001:78) observed. Thus the focus of staff appraisal on professional development was that teacher behaviours would directly influence student performance.

A new approach to school reform emerged in the early 1990s and was referred to as ‘systematic’ reform. Systematic reform, in essence, “seeks to co-ordinate top-down state mandates with bottom-up local initiatives” (Middlewood and Cardno 2001:79). This means that the state mandates set standards for accountability which, in turn, can be achieved by allowing local, flexibility and creativity. In transformational leadership authority becomes more personal than positional and power is attributed to anyone who can inspire the commitments of teachers.

Goodlad in Middlewood and Cardno (2001:82) observed that what had become clear, however, was “the need to develop a model that focused on relationships between educators and the environment surrounding professional activity”. In this new model teachers were treated as partners in their own assessment. The emphasis was, therefore, on shared leadership, horizontal relationships and contextual learning. It was noted that

although teachers need guidance and support, they bring considerable expertise to their own development.

2.4 Teacher appraisal and performance in the United Kingdom

Middlewood and Cardno (2001:125) state that “regulations for the introduction of teacher appraisal came into being in 1972”. The local Education Authorities would themselves be responsible for appraisal of head teachers. It was noted that for appraisal to be successful, it had to be almost entirely focused on personal professional development.

The appraisal scheme was implemented vigorously in many schools during the first cycle, which is undertaken to familiarise both the evaluator and the evaluatee with the evaluation instrument. The implementation was, however, overtaken by new priorities which consequently resulted in the collapse of the appraisal system. Generally, schools found that “appraisal had not made a significant difference to their core work, or aided staff motivation” (Ibid. 2001:127). In other schools, appraisal never began to be implemented or it was stopped through the way. Middlewood (2001:128) asserts that “in the first decade of the new century, the issue in England and Wales is not whether teacher performance should be assessed – but *how*”.

Various reasons led to the failure of appraisal scheme. These include disputes over pay and work conditions and lack of trust of senior personnel. More importantly was the fact that “it was imposed upon a mature profession” (Middlewood and Cardno 2001:128). Fullan (1997) in Middlewood and Cardno (2001:128) points out:

“Planners or decision – makers of change are unaware of the situations that potential implementers are facing. They introduce change without providing a means to identify and confront the situation constraints and without attempting to understand the values, ideas and experiences of those who are essential for implementing any changes”.

Some of the causes for failure of the appraisal scheme are that the scheme lacked real accountability; there was an emphasis on the individual at the expense of the organization; and the scheme is essentially a “bolt-on” initiative in schools (Ibid. 2001:128-129). The research conducted in six schools in the UK pointed to the fact that a

climate of trust underpins all effective management relationships between the manager and the managed. “Unless the appraisees have trust in people operating the process, the appraisal will not achieve its purpose” (Ibid. 2001:135).

2.5 Performance appraisal in New Zealand

Fitzgerald (2001) in Middlewood and Cardno (2001:113) identify that appraisal has been a mandatory requirement of New Zealand schools since 1997. In this sense, the government wanted to introduce public accountability in the teaching profession. Government policy aims at ensuring that schools are accountable for the quality of teaching and learning that occurs. Therefore, teachers cannot receive pay increments if they do not subject themselves to regular professional development. However, Fitzgerald (2001), Middlewood and Cardno (2001:114) observe that “recent moves to provide a framework that is linked with performance pay and minimum competence has created new tensions and challenges”. While the desire was to hold teachers more accountable for their work, no mechanisms were in place to realize this end.

In 1988, the era of self-managing schools was established. Accountability for teacher performance was, therefore, located at the local level. “The major expectation of the government was that public confidence in the quality of teaching would be restored as a direct result of professional accountability being devolved” (Ibid. 2001:115). It meant that schools would take over the work that was done by inspectors in appraising teachers. “Although schools were required to make decisions regarding the quality of teaching and learning, how this was to be achieved was not made apparent” (Middlewood and Cardno 2001:115). Pearl and Inkson (1993) and Cardno (1995) in Middlewood and Cardno (2001:117) assert that “consequently, between 1990 and 1995, there was a lack of action by principals, due in part, to their lack of expertise and training in staff appraisal”.

Research conducted in three schools in the latter part of 1998 reflects that “teachers recognised the need for a system of performance appraisal that was linked with professional accountability and professional development” (Middlewood and Cardno 2001:120). The New Zealand study clearly shows the level of positive support for appraisal as both a developmental and accountability process.

2.6 Teacher Appraisal in South Africa

In South African schools, “involvement by teachers in the development of an appraisal system is beneficial because it takes into account the particular contextual realities and unique characteristics of their school” (Quinlan and Davidoff 1997:1). They further state that “every staff member has a particular and unique contribution to make to the life of the school, and this contribution needs to be appraised. If we see appraisal as contributing towards the development of the school as a whole, it does not make sense that certain people are exempt from being appraised” (Ibid 1997:2). The role players in the implementation of IQMS therefore, include the principal, the Head of Department, post level one educator and peers.

The IQMS consists of three programmes which seek to enhance and monitor performance of the education system, namely, Development Appraisal, Performance Measurement and Whole School Evaluation (Department of Education 2003:3). Bell (1988:173) makes an assertion that “the prime purpose of staff appraisal is to improve the quality and organisation of teaching and learning in schools”, he cites Nisbet (1986:16) who argues appraisal:

“...should be beneficial in its effect. It should be linked to a development programmes which will provide support to improve staff performance. It must not damage or distort the processes of learning and teaching. It must not damage morale, destroy relationships and trust...it should be fair. It must not only operate equitably for all concerned, but also be seen as working fairly...it should be comprehensive, covering the full range of work done by teachers...It should be valid...”

Researchers, locally and internationally, have presented both convergent and divergent conceptual frameworks for examining the design and implementation of teacher evaluation processes in school organisations. Darling-Hammond et al. (1983:285) make an assertion that “the demand for accountability in education has shifted from broad issues of finance and programme management to specific concerns about the quality of classroom teaching and teachers”. Consequently, a growing interest in evaluating teachers and developing new systems for teacher evaluation has been observed. When putting policy in context, it has been realised that “the key to educational improvement lies in upgrading the quality of teachers rather than in changing school structures or curriculum” (Darling-Hammond et al. 1983:286). This is supported by the fact that it is

the teachers who work in such structures and also deliver the curriculum. The focus, therefore, should be on empowering teachers in their profession through appraisal processes which are developmental.

Courtney (2008:546) raises a concern about the analysis of evaluation tools as to “how accurately they measure improvements in the quality of education”. She observes further that there is a shift of policy emphasis from the quality of process in many countries throughout the world. This observation is in line with IQMS in South Africa which promotes formative evaluation which is developmental in nature. An important point is that what the teacher does in the classroom should be correlated with pupil achievement. It has been alluded to the fact that defining what is to be measured and how it is to be measured present a difficulty. “If the focus is on standard learning outcomes, the teaching and learning process is easier to measure and therefore the managers of that system are made accountable” (Courtney 2008:249).

It must be appreciated that schools are now organised in different ways. In many countries, according to Hopkins and Stern (1996:501), “...teachers’ work is now more clearly defined with respect to specified objectives set out for schooling and in relation to achieve these objectives”. Teachers are therefore, expected to be dynamic in terms of the content of what is to be taught.

It is generally observed that the effects of teacher policies on teacher quality are likely to be influenced by the context of the school. However, despite other contextual factors of the school, “in the classroom, good teachers ‘know their stuff’ and how to teach it” (Ibid. 1996:504). It has been observed that such quality teachers add value to the organization of the school. For them, “the organisation of teaching and learning and teacher collaboration also affects forms of assessment and curriculum development within the school” (Hopkins and Stern 1996:504). These quality teachers, in turn, make quality schools and no wonder that such schools produce quality results manifested in learners from these schools. Campbell et al. (2003:350) note that “there could be effective teachers in ineffective schools and ineffective teachers in effective schools and that the relationship between school and teacher effectiveness is problematic”. What may be needed in this case is, while focused on the individual teacher, an approach which reflects the context within which she is working. There are other roles the teacher plays in a school over and above classroom practice. It is for this reason that Hopkins and Reynolds (2001) in Campbell (2003:352) contend that “any model of teacher effectiveness needs to

incorporate ‘context-specificity’”. Thus teacher performance cannot be divorced from the environment in which it is happening. Hannay et al. (2003:123) in their action research suggest “significant conceptual shifts in appraisal practices which could become less of an isolated activity to a more collaborative activity... [and] the purpose of the appraisal would need to change from a focus on competency to professional learning”. In this manner, the staff in a school become complementary and constitute a learning school. Such perceptual changes of performance will be concretised by “shifting from being artificial to addressing real issues, an event to process, isolated to collaborative and competency to professional learning” (Ibid. 2003:125).

It is noted by many researchers on education that there is a need to move towards performance appraisal that focuses on professional learning and growth. This approach to appraisal process results in teachers’ ownership of the programme. Beckham (1981) in Darling-Hammond et al. (1983:286) observes that “most states have legislated requirements for teacher performance evaluation”. Many researchers noted that some of the more recent statutes specify which testing instruments or evaluation procedures are acceptable. They affirm that “not surprisingly, teacher evaluation processes increasingly have become the subject of collective bargaining agreement” (Ibid. 1983:286). In some countries, there is a growing literature on legal requirements for using evaluation results for dismissal. Beckham (1981) in Darling-Hammond et al. (1983:287) recommend that to withstand judicial scrutiny, an evaluation policy must include:

- a predetermined standard of teacher knowledge, competencies and skills;
- an evaluation system capable of detecting and preventing teacher incompetency; and
- a system for informing teachers of the requested standards and according them an opportunity to correct teaching deficiencies.

It has been noted that teachers in general are more satisfied with evaluation systems in which they can affect the criteria on which they are judged. To this effect, Knapp (1982) in Darling-Hammond et al. (1983:288) articulates various stakeholders’ perspectives that:

“Teachers have a stake in maintaining their jobs, their self-respect and their sense of efficacy. They want a teacher evaluation system that encourages self-improvement, appreciates the complexity of their work, and protect their rights. Principals have a stake in maintaining stability in their organisations, allowing them to respond to parental and bureaucratic concerns for

accountability while keeping staff morale intact. They want an evaluation system that is objective not overly time consuming and feasible in the organizational context. Parents and public officials have a stake in the 'bottom line' – the effects of teaching on student outcomes. They want an evaluation system that relates teacher performance to teacher effectiveness and that guarantees appropriate treatment of children in classroom”.

The matter of teacher appraisals requires blending theory and practice. Darling-Hammond et al. (1983:288) put it succinctly that “the context-free generalization necessary for implementing a uniform evaluation system may counteract the context-specific processes needed to effect change in individual or organisational behaviours”.

There is a general idea that it was the rejection of appraisal practices and procedures by black educators that brought about a change in teacher appraisal. Chetty et al. (1993:3) in Middlewood and Cardno (2001:92) identified some criticisms of appraisal practices which included:

- the prevalence of political bias in the system;
- the unchecked power which inspectors wielded;
- the incompetence of inspectors;
- the irrelevance of some evaluation criteria;
- the arbitrariness of scores given for appraisal;
- the secrecy which surrounds the appraisal;
- the difficulty of challenging inspectors’ assessment; and
- the absence of contextual in the appraisal.

These concerns of educators, amongst other factors, contributed tremendously in the fine-tuning of teacher appraisal in South Africa. The current appraisal system called the IQMS is democratically agreed upon among the DoE, teacher unions, parent associations, politicians and business sector. It makes provision of democratic process and structures. The structures to be placed in the school are:

- The Staff Management Team (SMT), which consists of the principal, deputy principal and education specialists or heads of department. The SMT must ensure that a school is functioning efficiently and effectively;

- The Staff Development Team (SDT), which must plan, oversee, co-ordinate and monitor all Quality Management processes; and
- The Development Support Group (DSG), which consists of the immediate senior and one educator who is a peer. The DSG is expected to mentor and support the evaluatee (Department of Education 2003:4-5).

There is a new set of procedures to be followed when appraising a teacher. In a fair situation,

“when a teacher is to be appraised for formative, and particularly for summative, purposes, certain steps may be taken to ensure that he or she is given the opportunity to perform in a confident and relaxed manner and to the best of his/her ability” (Quinlan and Davidoff 1997:75).

Formative evaluation is cumulative and developmental while summative evaluation occurs only once as a summary of all teaching practices

This means that a consensus must be reached before the actual class observation. The appraisal process includes the following stages:

1. Self-Evaluation By The Educator

This enables the educator to become familiar with the instrument which is explained in the following paragraphs. The educator also familiarises himself or herself with the Performance Standards, the criteria (what he/she is expected to do) and the level of performance (how well he/she is expected to perform). Thus the educator is compelled to reflect critically on his/her own performance and set targets and timeframes for improvements.

2. Pre-Evaluation Discussion

Each Development Support Group (DSG) must have a pre-evaluation discussion with educator to be evaluated. Issues to be clarified include

- Whether the educator understands the evaluation process;
- Clarification of areas of concern;
- Clarification of procedures that will be followed; and

- Giving the educator an opportunity to raise issues that are hampering his/her performance, that is, contextual factors.

3. Lesson Observation

The DSG evaluates the educator to determine a baseline evaluation with which subsequent evaluations can be compared in order to determine progress. The purpose of this evaluation by the DSG is:

- To confirm the educator's perception of his/her own performance.
- To discuss areas of strengths and weaknesses and development programme required.

4. Feedback and discussion

This must focus on:

- Performance and not personality ;
- Observation and not assumption ;
- Objectivity and not subjectivity ;
- Sharing information and not giving instructions ;
- Alternatives and not “what you should do is...”; and
- Individual's needs.

(Department of Education 2003:7-9).

2.7 Conclusion

The US model emphasises that staff appraisal is intended for teacher behaviours to influence learner performance. This thinking is in line with South African purpose of appraisal which is to provide high quality education by investing on educators. The DoE in the UK appraise head teachers just like in South Africa. In New Zealand, appraisal is mandatory and teachers will not get pay increment if they do not subject themselves to appraisal. A similar scenario prevails in South Africa where IQMS is used for both professional development and salary increase. It is clear that appraisal system in South Africa has been transformed. Much of the educators' fears have been allayed as educators are personally involved in evaluation processes which affect them. Educators are part and parcel of decision making in terms of scoring, identification of strengths and areas of development.

CHAPTER 3

THEORETICAL FRAMEWORK

3.1 Introduction

This chapter presents a detailed theoretical framework which is intended to clarify the study on the implementation of IQMS as a strategy to implement education policy. The focus of this chapter is on public policy, implementation and conclusion.

3.2 Public Policy

The focus of this study is on public policy. Some authors use the terms policy and public policy interchangeably. It is in this vein that the researcher shall use the word “policy” to mean “public policy”. The researcher shall now look at how some analysts define policy or public policy and then provide a synthesis of the definitions.

According to Hanekom (1987:7) “a policy statement is the making known, the formal articulation, the declaration of intent or the publication of a goal to be pursued. Public policy is therefore a formally articulated, goal that the legislator intends pursuing with society or with a societal group”. Cloete (1995:57) uses the term policy to mean that “policy is a statement of intention to reach a specific objective...”. According to Colebatch (1998:1) “policy is a prior statement of the actions and commitments of a future government in respect of some area of activity”. Another definition is that “policy is a statement of goals and intentions with respect to a particular problem or set of problems” (Fox and Meyer 1996:96). Cloete and Wissink (2000:3) offer the succinct definition that “policy is defined as a statement of intent”. From another perspective, “policy is defined as a relatively stable, purposive course of action followed by an actor or set of actors in dealing with a problem or matter of concern” (Anderson 2003:2). According to Dye (2005:1) “public policy is concerned with what governments do, why they do it, and what difference it makes”.

A synthesis of the above policy definitions indicates the nature of public policy. Firstly, policy is communicative. It is intended to make known to the public what the objectives are to improve the conditions of the lives of the public. Secondly, policy is a formal declaration by the government. It is formal in the sense that the distribution of the resources to ameliorate public conditions is determined by the government. In certain instances, the government determines who must benefit from services provided. Finally,

policy involves participation of various actors. There must be ownership at lower-levels of society as policy implementation is mainly dependent on these groups. The groups include unions, interest groups, implementing agencies and more particularly the street-level bureaucrats. Clearly the activities of the government are generally formalised through policy.

From the above definitions, it becomes clear that “policy” is a concept which can be used in different contexts. Public policy, on the other hand, has “an authoritative, legally coercive quality that the policies of private organisations do not have” (Anderson 2003:5). The following authors concur that “public policy is whatever governments choose to do or not to do” (Hanekom 1987:7; Anderson 2003:2 and Dye 2005:1). Public policy is, therefore, driven by purpose and commitment by the government to ameliorate the living conditions of the public. It is important to note that “public policy are authoritative statements made by legitimate public institutions about the way in which they propose to deal with policy problems” (Fox and Meyer 1996:107).

Policy formulation takes place in phases called policy process or policy cycle. The terms “policy process” and “policy cycle” are often used by various policy analysts interchangeably. Policy process, therefore, “often focuses on how policies are made rather than on their context or their causes and consequences” (Dye 2005:31). During the policy process, a series of activities that generally occur within the political system are taken into consideration. These processes include agenda setting, policy formulation, policy adoption, policy implementation and policy evaluation. A brief description of each phase is given hereunder.

3.2.1 Agenda Setting

Agenda setting is a stage whereby elected and appointed officials decide “what issues will be decided, what problems will be addressed by government” (Dye 2005:32). The process starts with an issue which must then be identified as a problem that needs government attention. “The higher an item on the agenda, the better the chances it will be discussed and dealt with” Cloete and Wissink (2000:98). Agenda setting, therefore, lists issues for decision-makers’ attention in terms of priority.

3.2.2 Policy Formulation

According to Anderson (2003:101) “policy formulation involves developing pertinent and acceptable proposed courses of action (often called alternatives, proposals or options) for dealing with public problems”. The policy activity during this phase is also known as policy design. Policy formulation involves decision-making based on the parameters within which agendas were established and set. Fox et al. (2006:99) affirms that “public policy decisions, therefore, involve choices along the boundaries of what is feasible in the context of available resources” In other words; policy design must be aligned to the problem which affects the public. Stakeholders must be taken on board for ownership of the designed programme at the initial formulation stage.

3.2.3 Policy Adoption

This phase is also known as policy legitimisation. The policy adoption stage is “..... action on a preferred policy alternative for which the proponents of action think they can win the approval, even though it does not provide all they might like” (Anderson 2003:119). Policy is then enacted into law and made known to the public. It is an outcome of advocacy campaigns and interaction with those who will be affected by the policy reform.

3.2.4 Policy Implementation

“Implementation encompasses whatever is done to carry a law into effect, to apply it to the target population, and to achieve its goals” (Anderson 2003:193). It involves mobilisation, of financial and human resources to comply with the policy reform. Cloete and Wissink (2000:187) suggest that “implementation cannot be seen as an activity to be carried out according to a carefully predetermined plan, rather, it is a process that, at the very best, can only be managed, and lessons must be learnt as one proceeds through the different implementation stages.” This implies that policy implementation is both dynamic and complex. Policy gets refined as is being implemented. Policy implementation is, therefore, “the execution and steering of policy actions over time” (Fox and Meyer 1996:97).

3.2.5 Policy Evaluation

During this phase, we learn about the consequences of decisions made in public policy. Policy evaluation, therefore, is “the assessment of the overall effectiveness of a national policy in meeting its objectives...” (Dye 2005:332). The importance of policy evaluation is that, it informs policy makers of its impact on the public. This will assist in deciding whether to carry on with the policy or to terminate it.

3.3 Implementation

The policy process or cycle can be diagrammatically illustrated as follows:

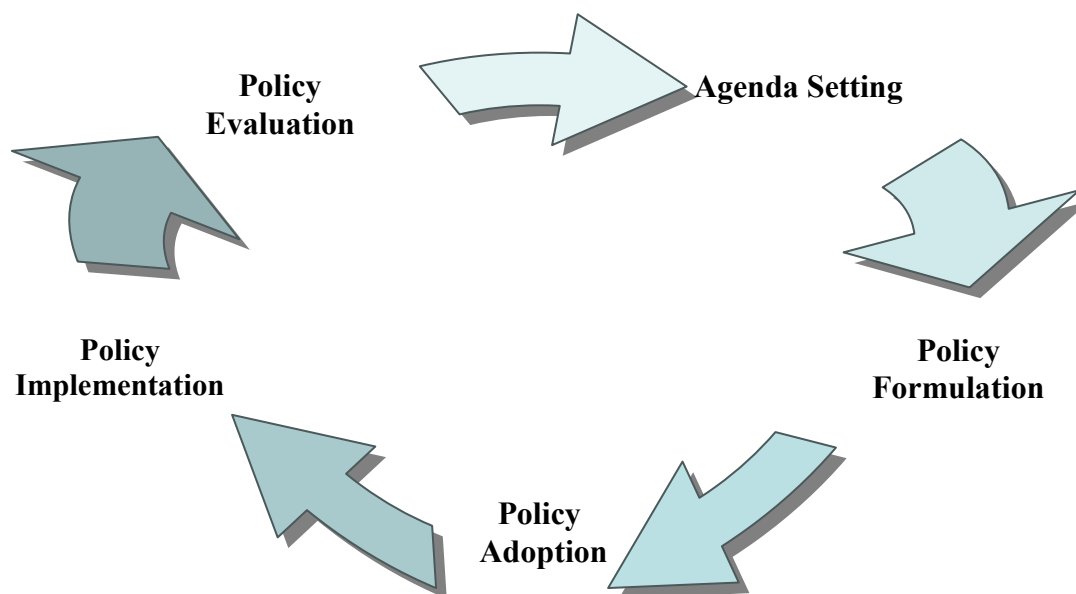


Figure 1: The policy cycle (Dunn 2004:45; Dye 2005:32)

These policy phases do not follow one another in a linear fashion in practice, but rather they overlap. Parsons (1995:465) puts it clearly that “implementation has to be understood as a more evolutionary, ‘learning’ process, rather than as the kind of policy implementation sequence which was originally put forward”.

However, policy on paper cannot be realised if not put into practice. The following discussion will, therefore, attempt to explain policy in action.

This research focused on implementation of policy. Parsons (1995:463) sees implementation as “a study of change: how change occurs, possibly how it may be induced. It is also a study of the micro-structure of political life; how organisations

outside and inside the political system conduct their affairs and interact with one another; what motivates them”.

One can deduce from this statement that implementation of any policy aims to bring about a change of the status quo. It can also be said that implementation has to do with fine-tuning of a policy reform, taking context into account.

3.3.1 Models of implementation

Parsons (1995) suggests two approaches to policy implementation, namely a “top-down” approach and a “bottom-up” approach.

A top-down approach, according to Fox and Meyer (1996:129) is “a technique used by management to change an organisation’s culture whereby top-level managers ‘decree’ that different norms of behaviour are to be observed”. This approach is in the form of directives or imperatives from top management to the lower levels of an organization. Hill and Hupe (2002:160) put it succinctly clear that “practitioners in public administration are working under action imperatives”. These practitioners in public administration constantly need to answer the question about how to act. There is a tendency to blame the implementers of policy if a standard reaction to policy results is perceived as disappointing. It is sometimes not clear as to what kinds of circumstances policy implementers and policy formers do their work in.

Policy and politics are almost inseparable. For a policy to be legitimised, it must have a strong political back-up. This is largely due to the fact that financial resources for its implementation are controlled by government officials, particularly politicians. Exworthy and Powell (2004:263) Hardy et al. assert that “since governance is about determination of citizens’ needs, direct policy formulation and lobby for its legitimisation and consequently its implementation, power comes to the fore”. It means that if policy implementation is also political. In this context, the word “political”, when used to denote human relationship especially between policymakers and implementers, refers to power relations. There is no doubt that power and influence can be acquired and exercised for evil purposes. Power and political processes in organisations can be used to achieve great things when used positively. Pfeffer (1992:16) observes that “It is interesting that when we use power ourselves, we see it as a good force and wish we had more. When others

use it against us, particularly when it is used to thwart or goals or ambitions, we see it as an evil.”

Clearly, the success of implementation is dependent on the co-operation of role-players at the grassroots. To the contrary, “top-downers focus on the actions of top-level officials, the factors affecting their behaviour whether policy goals are attained, and whether policy was reformulated on the basis of experience” (Anderson 2003:195). The top-down approach assumes that the policy will be implemented as was initially formulated. Should the policy not achieve its intended outcome, the blame is cast upon the implementers. Kaufman et al. (1986) in Cloete and Wissink (2000:171) suggest three causes of non-implementation:

- Subordinates don’t know what their superiors want;
- They can’t do what their superiors want; and
- They refuse to do what their superiors want.

Pressman and Wildavsky in Hill and Hupe (2002:44) suggest that “implementation is clearly defined in terms of a relationship to policy as laid down in official documents”. The fact of the matter is that policy objectives must be linked to the means for achieving them. The top management is, in many cases, far removed from what is happening on the ground. This state of affairs often results in policies not being implemented as originally intended if they are at all being implemented. Brinkerhoff and Crosby (2002:23) observed that “no single agency can manage policy implementation effort”. Policy implementation, therefore, requires a concerted effort and actions of multiple agencies and groups.

The bottom-up approach or model “is one which sees the process as involving negotiation and consensus-building” (Parsons 1995:469). This means that it is not dictatorial as the top-down approach. It emphasises good relationships of policy makers and policy implementers. Public participation in the initial phases of policymaking is taken into consideration for a successful policy implementation. According to Elmore (1979) in Cloete and Wissink (2000:169), “the notion that policy-makers exercise some kind of direct and determinary control over policy implementation might be called [a] ‘noble lie’”. Lipsky (1978) in Cloete and Wissink (2000:169) states that “in fact, analysis should focus on those who are charged with carrying out policy rather than those who formulate and convey it”. Another suggestion by Palumbo and Colista (1987) in Cloete and Wissink (2000:169) also suggested that “discretion at lower levels is not only

inevitable, but also desirable... [because] it is necessary for policies to be 'reinvented' so that they better fit local needs". Bottom-uppers argue that "implementation should focus on lower-level officials and how they interact with their clients" (Anderson 2003:195). It is exactly at this level that the customisation of policy takes place, which means that it must address their needs. Pfeffer (1992:17) states that "individual success in organisations is quite frequently a matter of working with and through other people, and organisational success is often a function of how successfully individuals can co-ordinate their activities". The emphasis is clear that no matter how good the intention of the policy may be, the local clients may reject or sabotage it if it is imposed on them. The reason is precisely that "...the attitudes of local officials and the actions of clients are among the factors affecting implementation" (Anderson 2003:195). Decision-making alone does not change the condition of people or beneficiaries of policy, because the decision will not put itself into effect. "Thus, in addition to knowledge of decision science, we need to know something about 'implementation science'" (Pfeffer 1992:19).

Berman (1978) in Cloete and Wissink (2000:173) suggests that implementation can follow four possible paths:

- *Non-implementation*: no adaptation to the project plan or deliverer behaviour
- *Co-option*: no adaptation to deliverer behaviour, but adaptation in the project to accommodate existing routines
- *Technological learning*: no adaptation of the project plan but adaptation of routinised behaviour to accommodate the plan
- *Mutual adaptation*: adaptation of both the project and deliverer behaviour.

Mutual adaptation is likely to show success, in the implementation. Berman (1978) also asserts that "the effective power to determine a policy's outcome rests, therefore, not with the original policy-makers but with local deliverers who operate at micro-implementation level" (Cloete and Wissink 2000:173). In this sense, the street-level bureaucrat is in the centre of successful implementation of any policy.

Weimer and Vining (2005:280) believe that there are two general approaches, that is, forward mapping and backward mapping, that 'provide useful frameworks for thinking systematically about implementation in practical situations'. Context is of essence for successful implementation and consequently should be considered during policy formulation phase.

Forward mapping is a method of planning the implementation process that is associated with the top-down approach. The reason is because the policy to be implemented is determined by the top management. The forward mapper will, nevertheless, forge coalitions in an attempt to convince the actors who may reject the policy. Forward mapping, according to Weiner and Vining (2005:280), “is most useful for anticipating the problems that are likely to be encountered during the implementation of already formulated alternatives”. The authors further view forward mapping as “the specification of the chain of behaviours that link a policy to desired outcomes” (Ibid. 2005:280). The forward mapper, therefore, starts with an objective and then work out a plan of action to achieve the set objective. To this end, the questions to be answered with regard to the IQMS include: What should be done? Who should do it? Why should it be done? When should it be done? Forward mapping in nature and application is sequential or linear. “The forward mapper looks at the intended outcome of policy and then determines precisely what must be done by whom in order to reach the desired outcome” (Ibid. 2004:280). According to Elmore (1979:603) “policy analysts justify their existence by arguing that informed, rational choices by policymakers are necessary to guide and control administrators”. Forward mapping, therefore, supports the notion that successful implementation must be controlled from the top. The forward mapper should have the understanding of the so-called ‘*dirty mindedness*’, that is, the ability to think about “what could possibly go wrong and who has an incentive to make it go wrong” (Weimer and Vining 2005:280). The strength of forward mapping is that it is specific. An important point for the policy maker is to be clear about the consequences of adopting a plausible policy. Weimer and Vining (2005:280) recommend a three-step approach to forward mapping:

1. write a scenario linking the policy to outcomes;
2. critique the scenario from the perspective of the interests of its characters and;
3. revise the scenario so that it is more plausible.

The weakness of forward mapping is that it does not anticipate problems of policy implementation during policy design, but, instead starts with policy formulation and plans implementation of already formulated alternatives. The steps of implementation are sequential and predetermined by senior management of the institution. It does not take into account that some factors can derail policy implementation. The forward mapper assumes that the steps of the plan will run smoothly as designed.

Although forward mapping encourages systematic thinking about implementation, it does not guarantee that the implementation will follow the plan to the letter.

Backward mapping, on the other hand, is associated with bottom-up approach. Backward mapping, “begins not with the statement of intent, but with the statement of the specific behaviour at the lowest level of the implementation process that generates the need for a policy” (Elmore 1979:603). It starts by looking at the outcomes and then plans these desired outcomes, working backwards. Backward mapping aims to change behaviour of actors and recipients who can sabotage the policy reform so that these actors are imbued favourably with the intentions of the policy. The nature of this approach is bottom-up in the sense that the lower levels of the organisation inform the top structures in the hierarchy of what can make the implementation of policies unsuccessful. The backward mapper becomes in control because they are in constant interaction with reality. Both the ability of the organisation and the availability of resources to implement the policy are ascertained. This approach to policy design is more likely to be successfully implemented as it allows resources which are believed to have the greatest effect to be allocated to the organisations (Elmore 1979:604). Lessons learnt from previous similar policy reforms serve as a good point of departure for policy makers. The intention is that all the gaps are being filled as the policy analyst moves backwards and forwards throughout the planning process. Backward mapping emphasises that “it is not the policy or policy maker that solves the problem, but someone with immediate proximity” (Elmore 1979:612). In other words, problem solving requires skill and discretion.

Resources are key to the backward mapper to motivate and support policy reform. Alternative set of decisions resources are then aligned to the policy reform to achieve the desired change. The backward mapper has the understanding that the organisational processes will give shape to the policy reform. Most importantly, backward mapping “by focussing initially on the lowest organisational levels, it may help us discover less centralised approaches that we might have otherwise overlooked” (Weimer and Vining). The backward mapper deals with particulars of cases and then deals with the complexities of a particular situation. In other words, the backward mapper looks at the environment which will, in turn, determine a policy design that is likely to be feasible. The assumption is that resources are available, and then the policy drivers work on the acquisition thereof. Backward mapping is likely to be more accurate than forward

mapping because of the presence of an evaluation element. The former predicts the possible flaws of policy reform even before its implementation stage.

It is clear that forward mapping is a projection of an ideal situation, while backward mapping considers projection, review and reflection before implementation takes place. An appropriate policy design for the IQMS, for example, would be more plausible if it employed both forward mapping and backward mapping as complementary approaches. These approaches were used as analytical tools to guide the investigation into the implementation of IQMS and also took into account 'street level bureaucracy'.

People who are instrumental for the successful implementation of policies are referred to as street-level bureaucrats. Lipsky (1980:3) defines street-level bureaucrats as "public service workers who interact directly with citizens in the course of their jobs, and who have substantial discretion in the execution and consultation of street-level bureaucrats in the formulation of policies is of paramount importance. The success of any policy is far more dependent upon the skills of specific individuals at local level than upon the efforts of the central government. Street-level bureaucrats make policy through implementation. Lipsky (1980:81) points out that "street-level bureaucrats work with inadequate resources in circumstances where demand will always increase to meet the supply of services". They, therefore, use discretion by re-organising their job in order to make sense of it. They also devise some strategies of trying to achieve efficiency of some kind. These strategies can be referred to as coping mechanisms. Street-level bureaucrats, therefore, "develop shortcuts and simplifications to cope with the press of responsibilities" (Lipsky 1980:18).

3.3.2 Street-level bureaucrats

Street-level bureaucrats use their discretion in determining the distribution of resources and also sanctioning service. Another characteristic of street-level bureaucrats is autonomy. Lower-levels in organisations do not always conform to the orders of top management. "At times it is more useful to view lower-level workers as having distinctly different interests and the resources to pursue those interests" (Lipsky 1980:17). When managers try to restrict workers' discretion to achieve certain objectives, street-level bureaucrats will often resist this attempt successfully. Street-level bureaucrats "expect themselves to make critical discretionary decisions, many of managers' efforts to dictate service norms are regarded as illegitimate" (Lipsky 1980:19). Considering the complexities involved in their job, street-level bureaucrats do not claim that they are

doing a perfect job the way the job should be done. They are, however, convinced that they are only functioning effectively and properly under the constraints they encounter. Lipsky (1980:82) states that “the problem of street-level bureaucrats is one of decision-making under conditions of considerable uncertainty where satisfactory decisions about resource allocation must be personally as well as organisationally derived”. Much of the patterned behaviour of street-level bureaucrats, and many of their characteristic subjective actions, may be understood as responses to the street-level bureaucracy problems. Street-level bureaucrats in their routines also rationalise service. They do this by formally or informally rationing services as they refuse to take certain kinds of cases (Lipsky 1980:102). Street-level bureaucrats, therefore, develop conceptions of their work and of their clients that will narrow the gap between this personal and work limitations and the service ideal.

3.4 Conclusion

In this chapter, the researcher presented a discussion on a theoretical framework to assist in the design and conduct of the study. The location of the IQMS in terms of its implementation is found through testing its rationale against these understandings. The following chapter will present the research methodology which was used in the research and the motivation for its use.

CHAPTER 4

RESEARCH METHODOLOGY

4.1 Introduction

In this chapter a motivation for choosing a particular approach to research is explained under research design. The research design includes the presentation of selection of schools, selection of respondents, data collection, data analysis, ethical issues, limitations of the study and conclusion.

4.2 Research design

4.2.1 Selection of schools

This research was conducted in six secondary schools in Mkhambathi Ward in Umgungundlovu District. Mkhambathi Ward consists of twenty-seven schools, twenty primary and seven secondary Schools. These secondary schools have been preferred to primary schools because of the diverse challenges they face. These challenges include learner behaviour, teachers who are open in resisting change especially if they perceive it as a threat to their jobs. Since they show more critical skills than primary school teachers, the researcher hoped to be informed of their perceptions and challenges of the IQMS, and how they thought it could be best implemented in schools. School A is situated on a farm, catering for learners from poor communities. School B, School C and School D fall within one tribal authority but with very dynamic differences. School E and School F are clustered together in a different tribal authority. All of the six secondary schools fall under Mkhambathi Municipality in Umgungundlovu District. A limitation of the project was that of inability to generalise findings beyond this context.

4.2.2 Selection of respondents

The researcher used case studies by employing a qualitative approach. Qualitative research is the type of research that is conducted in the natural setting of social actors. The perspective of the social actor is emphasized so as to understand actions that are context specific (Babbie and Mouton 2001:270). The respondents that were selected included principals of the six secondary schools, one head of department per secondary school and five post-level-one educators from each school. The total number of respondents was forty-two teachers. Principals of schools were selected because it is their responsibility to ensure that IQMS as a strategy to implement education policy is adhered

to in their schools. The heads of departments are specialists in their learning areas therefore they are expected to give sound information with regard to the implementation of IQMS in their specialities. The five post level one educators per school were randomly selected based on voluntary participation in the research. Since all the ranks of teachers need professional development and salary increase, the researcher used non-probability sampling, particularly purposive sampling to select respondents.

4.2.3 Data collection

It has been alluded to the fact that the researcher is the supervisor of these six secondary schools which were targeted. . Three different interview schedules were administered, one for principals, one for Head of Department, and one for five post-level-one educators in each secondary school... The researcher first did the primary data collection by distributed semi-structured interview schedules to the respondents so as to ease the tension when they were writing down their responses. The researcher then made a follow-up by recording them which helped in supplementing some omissions and clarifying some issues in the written version of responses. Case studies were used by employing a qualitative approach. Qualitative research is the type of research that is conducted in the natural setting of social actors. The perspective of the social actor is emphasised so as to understand the respondents' interpretations, experiences and meanings of the problem that is being analysed.

The respondents did not write their names on the interview schedules and that schools names were kept confidential. Confidentiality was ensured by referring to schools as A, B, C, D, E and F.

4.2.4 Data analysis

Data analysis, using thematic analysis, was done after transcription of information gathered. The themes emanated from different responses by the respondents. The focus of the analysis was to explore how IQMS was being implemented in schools; what were the challenges and successes experienced; what were the coping mechanisms adopted and what were their recommendations?

Also, some of the pertinent existing data from the Department of Education was examined, such as policy documents, reports and critiques. These were analysed using

contact analysis in order to inform the broader research questions that could not be answered through primary data collection.

The researcher then drew conclusions from the analysis of data and also made recommendations. Please see attached appendices for the interview schedules.

4.3 Ethical Issues

4.3.1 Informed consent

The researcher made sure that he obtained informed consent from his participants in the research. He distributed the informed consent forms and went through them with the targeted participants. They were informed of the purpose of research and that participation was voluntary. The researcher also informed the participants of the benefits of participating in the research which would inform education policy makers about the progress in the implementation of IQMS in schools.

4.3.2 Voluntary participation

The researcher informed his participants that participation in the research was voluntary, which meant that they were free to withdraw their participation at any stage of the research process should they so wish.

4.3.3 Confidentiality

The respondents did not write their names on the interview schedules and that school names were kept confidential. Schools were referred to as School A, B, C, D, E and F. The respondents referred to as Principal of School A, HOD of School A, PL1 educator of School A up to School F.

4.3.4 Limitations of the study

There are twenty-seven primary and secondary schools in the Mkhambathi ward,. The scope covered by this research in terms of the sample makes it difficult to make generalisations on the population, especially as these schools are located in communities with different contexts.

4.5 Conclusion

This research was conducted by insiders comprising the SEM as a researcher, principals, HODs and PL1 Educators of six secondary schools in the Department of Education. It is hoped that education policy makers will benefit from this fresh insider view emanating from the street-level bureaucrats as implementers of policy. The challenges and successes of the implementation of IQMS will be dealt with in the next chapter by conducting an empirical study about anecdotal responses of the participants.

CHAPTER 5

FINDINGS AND ANALYSIS

The analysis of the key findings of the research will be divided into three subsections that constitute separate responses by principals, heads of departments and post-level-one educators about their experiences of the implementation of the IQMS.

5.1 Principals

The themes which emanated from questions and responses of principals are presented below.

5.1.1 Experiences with IQMS

The general response was that most educators initially feared that the IQMS process was going to be judgemental. The principal of school A said:

The experience in my school with IQMS was that the majority of educators feared the process that initially it was judgemental than developmental.

There was also a general agreement that educators accepted appraisal with a positive attitude during the second cycle of appraisal.

Principals themselves were grappling with IQMS at first and also gained confidence during the second cycle in ensuring that it was implemented properly. To this effect, the principal of school E made this comment:

It was hectic at first to workshop educators on something one was not sure of. Thereafter, it was easy to implement IQMS.

It is perceived as time-consuming. IQMS takes educators out of their classrooms and gather them together where one educator is being evaluated. The principal of school E said:

Though it is time-consuming, it does provide support for educators who feel they do not match the standard of teaching.

Generally, all principals agree that IQMS has a positive impact on the professional development of educators. The response of the principal of school F was:

IQMS has been regarded as a professional instrument that enhances professional development related to curriculum management standards like personality and human relations.

5.1.2 The use of IQMS and the problems with its use

All principals agreed that they have used IQMS in their schools. The problems with the use of IQMS revolved around the fact that it is a departmental policy, thus it is mandatory. In some schools, it was clear that educators regarded IQMS as a departmental ‘thing’ and thus did not have ownership of it. The principal of school B said:

Teachers have a negative towards it, and do it because the department wants it.

Although IQMS is implemented in all six secondary schools, it is done as an event rather than a process. The principal of school A said:

I could feel that the lessons given were the lessons taught prior to the observation.

The principal of school F also confirmed that:

It stands to reason that IQMS is not used daily. People do enough preparation if they are engaged in the evaluation process.

People give themselves very high scores in order to get 1% increase. This unrealistic scoring is caused by the fact that there is a minimum mark an educator must reach in order to qualify for 1% salary increase. For this reason, the DSG find themselves under pressure to give scores that may not necessarily reflect the actual performance of the appraisee. The principal of school D said:

People do it for 1% increase rather than professional development.

5.1.3 IQMS as an appraisal instrument

The response from four principals was that IQMS is a good appraisal instrument for a variety of reasons. Principal of school A thought:

It helps you to know strengths and the weaknesses of the staff and SMT.

Here the focus is not just on an individual educator, but rather on the whole personnel of the school.

The other two principals of schools B and C view the IQMS with the negative eyes. As far as the principal of school B is concerned,

IQMS has many flaws because an educator simply chooses the DSG comprised of his/her friends who do nothing to assist the educator professionally.

Clearly the above-mentioned opposing views portray the culture that is prevailing in a particular school rather than the instrument itself. If professionalism prevails in schools, friendship cannot supersede ethics by compromising fairness and firmness in developing our colleagues.

5.1.4. The difference between IQMS and DAS and the preference with reasons

Most principals indicated that they did not understand DAS and thus were unable to make some comparisons between the two. The principal of school C gave this honest response:

I am not well-versed with DAS.

The principal of school C accurately captured exactly what happened with the implementation of DAS in schools by saying:

DAS did not take off, therefore it is incomparable to IQMS.

Notwithstanding the resistance by a few educators in some schools, IQMS has been implemented in all schools. The IQMS was at least preferred to DAS on the basis of

being better understood than DAS. The principal of school E gave his reason why he prefers IQMS to DAS by saying:

I prefer IQMS because there is an incentive, there are developmental stages for educator improvement. DAS did not offer educators incentive.

From the above discussion, one gets a picture that the implementation of IQMS rests heavily on the attachment of 1% salary progression to the instrument. But a very positive statement about IQMS was made by the principal of school D who said:

I like IQMS because of the developmental element.

5.1.5 The implementation of IQMS in school context

There were different opinions expressed with regard to catering for specific school contexts by the implementation of IQMS. The principals of schools A, D, E and F gave a positive response as was expressed by the principal of school A that:

The implementation of IQMS caters for my school - the institution itself and the stakeholders need to be evaluated in order to enhance the performance.

On the contrary, the principal of school C made this assertion:

It does not cater for my school as there are recommendations that are made about contextual factors which hamper educational process but those issues are left unattended.

This statement paints a picture that although IQMS is implemented in all schools, some processes of implementation are left hanging and not addressed.

5.1.6 Time sufficiency to implement this system

Only two out of six secondary school principals gave a positive response, that is, principals of schools A and B. According to the principal of school A:

Time is sufficient to implement this system because it is a two-cycle process.

This principal brings in another dimension that the manner in which IQMS is implemented in a particular school will determine the availability of time. Therefore, time is not an issue but the lack of capacity to implement the system correctly.

Time is insufficient according to principals of schools C, D, E and F. To quote the principal of school D:

It is time-consuming; classes are disturbed when educators' DSGs have to meet with an aim of developing that particular educator". This statement raises some questions about the planning system at the school. It also reflects on poor understanding by the principal of how IQMS should be implemented. Thus the success of IQMS rests on the manner in which it is implemented.

5.1.7 Support received from the Departmental Officials

Only school A principal expressed that support from the departmental officials is sufficient by saying:

We do get sufficient support at ward and circuit levels. They are visible to the school supporting, monitoring and seeing to it that systems are in place, are functioning and that the targeted dates are met for submission.

As far as principals of schools B, C, D, E and F are concerned, there is little or no departmental support. School B principal said:

Not enough because we were called twice where we were workshopped on the IQMS.

There is a belief in schools that even internal processes within a particular school should be monitored by the SEMs. To this effect, the principal of school D said:

Not much support. The SEMs should visit schools regularly to ensure the effectiveness of the system.

It is, therefore, the duty of the SMT and the SDT to see to it that the IQMS is implemented correctly at their school. The support that is required from the departmental officials should be specific.

5.1.8 Enhancement of the system by 1% increase

There was a difference of opinion among the six principals. The principals of schools A and D responded positively to some extent, as the principal of school D commented:

Though the 1% increase enhances the system, I still feel it should be thoroughly monitored by SEMs to discourage cheating.

Once again, the underlying statement is that professional development is aimed at acquiring the 1% salary increase. This means that if this monetary incentive was not there, it would be unlikely for IQMS to be implemented as it had happened with DAS.

The negative responses were received from the principals of schools B, C, E and F. The principal of school F asserted:

No, it is also just for personal gain and not to enhance the system.

We can, therefore, deduce from the above comments that, in fact, IQMS is implementable because of the 1% incentive attached to it.

5.1.9 Recommendations to make this system to be more efficient

Quite a number of common suggestions came from principals of schools D, E, C and F. The commonest of all was the need for continual support and monitoring by the department just as the principal of school E said:

There must be continual intervention by departmental officials.

Another common thinking was that there must be external monitors and moderators who would be neutral in order to counteract any form of bias. The principal of school F had this to say:

It must be closely monitored by an independent body. It must be given sufficient time. Quality Assurance Unit must intervene on this process and take the lead.

The Quality Assurance Directorate is directly responsible for the implementation of IQMS in schools.

There was also a suggestion that more workshops would make the system more efficient. This was captured in the remarks made by the principal of school C:

More workshops are necessary to make IQMS more efficient.

In fact, all the departmental officials, both office-based and school-based, undergo the IQMS workshops which are conducted by this directorate.

5.2 Heads of Departments

There were six questions that were asked from one Head of Department of each school. Some of these questions overlap with those which were asked of school principals.

5.2.1 IQMS as an appraisal instrument

The six heads of departments unanimously agreed that IQMS is a good appraisal instrument. The HOD of school B put it this way:

I think it is a very good appraisal system. The reason is that it is not a fault-finding mission, but the educator being appraised is involved from the beginning to the end, s/he is part of the process.

This kind of attitude by all HODs was an indication that the implementation of IQMS will gradually improve over time.

Since educators serve the public, they are therefore accountable to it for their performance which must yield the desired results, particularly in the teaching of the community's children. The HOD of school D alluded to this fact by saying:

It also promotes accountability to the principal and educators as well. The salary that an educator receives must be commensurate with performance.

5.2.2 Implementation of IQMS

Different schools have implemented IQMS differently. The HOD of school A was frank in saying:

It has been implemented haphazardly and not exactly according to the policy.

This statement raises questions when one thinks of the effectiveness of IQMS in such schools.

It is striking to note that schools D, E and F are in the right direction with regard to the implementation of IQMS. The HOD of school C put it this way:

During the first term staff meeting, the co-ordinator established structures and then drew up a programme with staff for appraisal dates.

Clearly the participation of staff in planning at the appropriate time would supposedly result in a conducive environment to the implementation of IQMS in this school.

5.2.3 How the IQMS should be implemented

The responses received for this question were rather vague. This state of affairs indicated a lack of understanding of policy design by almost all the HODs. The HOD of school C illustrated this fact by responding:

I think IQMS should be implemented as it is being implemented in our school.

This HOD could not expatiate as to how IQMS is being implemented in her school.

The following response also did not shed light on how the IQMS policy design should have been like. Rather the explanation is in terms of what is contained in the already existing policy document. That is why the HOD of school D responded:

It is imperative that the baseline evaluation should be done in the first term and must be completed by the end of March, the first cycle. The second cycle should

be completed by the end of September when the summative evaluation should be completed.

5.2.4 The difference between IQMS and DAS and the preference with reasons

The majority of HODs could not give detailed responses in this regard, particularly in terms of information regarding DAS because of inadequate training they received. An example is that of school an HOD of school B who said:

IQMS is an ongoing process, it does not focus on immediate results like DAS.

All HODs mentioned that IQMS provides for incentives which DAS did not have. The response made by school C HOD was:

IQMS has money which motivates educators, DAS did not have it.

It is puzzling whether or not DAS would be implemented if it had the same incentive as IQMS. The HODs clearly indicated that they might not have subjected themselves to IQMS if it also did not have some incentives.

The HOD of school F made a good attempt in presenting some comparison between IQMS and DAS. This is what she had to say:

IQMS panel consists of three members including the main member, while DAS had four members including the appraiser. Rating in IQMS is a four-point scale, while DAS used symbols A or B.

Five out of six HODs said they prefer IQMS to DAS for different reasons. The main reason of school B, C, D, E and F was that IQMS is developmental and transparent. The HOD of school B best represented this view by saying:

I prefer IQMS because it has transparency and the educator is involved all the way during his/her development process.

This stance is an acknowledgement that IQMS is important for the enhancement of professional development of educators.

5.2.5 Challenges experienced with IQMS

The HODs raised a number of common challenges with the implementation of IQMS in their different schools. One of such challenges raised was that of a lack of mutual trust among colleagues which resulted in some form of passive resistance to participate in the implementation of IQMS. The response from the HOD of school C was:

Resistance among educators is the main problem in the implementation of IQMS. There is no mutual trust in the process and the team members do not co-operate well in the process.

Educators who hold this view thought IQMS would be used as a fault-finding tool to victimise certain individuals, as the HOD of school E said:

At first it seemed to be a fault-finder than a developmental system.

The next challenge raised was that of the shortage of time which sometimes results in the haphazard implementation of IQMS. In this regard, the HOD of school D said:

It is timeframes. Sometimes you found that the educator did not get enough time to draw up his/her PGP. Due to busy schedule at school, thorough preparation with the DSG and SDT is not done. Most things are done haphazardly in the chase of the deadlines.

Another issue is that educators tend to focus more on the 1% salary increase than the developmental aspect of the appraisal system. This is what the HOD of school A had to say:

A major challenge is that the appraisal system is not mainly developmental; it is a money-based development.

Therefore, some educators feel developed only if they have attained the marks which will ensure the acquisition of 1% salary increase.

Too much paperwork was one of the challenges raised which added more stress to the already stressed educators. This point was raised by the HOD of school B who said:

There is too much paperwork which may be the cause of stress to educators.

There is resistance by educators and a feeling that their private life is disturbed.

There was also a challenge raised that the school time table gets disrupted during the implementation of IQMS. The HOD of school C made this comment:

There is disruption within the school as three educators are involved in one classroom during the process, that is, the DSG.

The fact of the matter is that disruption within the school will be dependent on how the SDT plans for the implementation and also how the SMT manage activities in that particular school.

5.2.6 Making the system more effective

The first step is to develop a strategy to address and change the negative perceptions of IQMS held by some educators as raised in the previous section. The HODs made some suggestions as to what could be done to make IQMS more efficient.

There is a belief by some HODs that external monitors can make IQMS more efficient. Here is what school A HOD had to say:

Policy implementation monitors must be stationed at each and every school and give reports regularly to policy makers.

This statement suggests that the legitimate leadership structures in some schools are unable to perform their duties properly. They are now delegating upward which is self-disempowerment of the leadership at school level.

There was a complaint about large classes which make it impossible to attend to individual learners. The HOD of school B gave this response:

Reduce the learners so that enough time can be given to individuals with special needs, or troublesome needs.

It is comforting to note that large classes are catered for under contextual factors when educators are being evaluated by IQMS.

A valid suggestion is about feedback which in most cases is not given in terms of areas that need development. The HOD of school C responded by saying:

We need feedback regarding our PGPs.

This aspect of IQMS implementation is a huge problem throughout the levels of management in the department. It interferes with the professional development of educators as they are not informed of their progress and lose interest to implement IQMS.

Most HODs feel that more focus should be given to development rather than on the money attached to the implementation of IQMS. The HOD of school D put it this way:

It must be developmental and not money-oriented.

The essence of this statement is that what must come first is the developmental aspect and then money as a motivator for the work well-done.

Workshops were cited as a useful method of equipping people with required skills to enable them to perform their duties efficient and effective way. To this effect, the HOD of school E commented:

We need more and more of the workshops so that we can do the right things with the IQMS.

This comment should be noted by the department that the workshops given so far are not enough.

From the response made by the HODs, it became clear that they are better informed about the IQMS than the principals. One gets a sense that some principals abdicate their responsibilities in the name of delegation.

5.3 Post level one educators

Five educators were interviewed in each school. Educators from the same school gave different responses which were analysed in the light of general trends in all schools. Although some educators were not in favour of IQMS as a developmental appraisal system, the overwhelming majority acknowledged that it is developmental in nature. Teachers felt that they had to rethink the way they were involved in their teaching practices. They even mentioned that it helped them to identify their strengths and weaknesses, thereby improving their teaching and management skills.

5.3.1 Perceptions of IQMS as an appraisal instrument

School A

A general trend of responses indicated that IQMS is perceived positively as it empowers and develops educators, as well as the whole school development. One educator of school A gave this response:

IQMS as an appraisal instrument is done to empower educators with relevant skills, knowledge, attitudes and values necessary for both personal development and the whole school development.

Another educator in the same school also gave a positive response and qualified it:

It is a good instrument because teachers identify for themselves where they want to be developed, and also the people who will develop them (DSG). It is also good because we get a salary increment (1% increase at the end of the year).

In other words, IQMS processes are a means to acquiring this monetary incentive. There was another view in this school which alluded to the way in IQMS should be implemented:

If it is used effectively, it helps to develop the teachers who need to be developed.

School B

As in school A, all educators of school B gave positive responses about IQMS. One educator succinctly put it in these words:

I perceive it as a good appraisal instrument.

Another educator responded positively and also qualified his response:

It is a good appraisal instrument if honestly applied as it develops the educator and also allows the educator to do introspection.

There was also a response focussed on the usefulness of IQMS:

IQMS is a fundamental tool that keeps the educator in check with new development in the learning area. It gives the educators the power to stand in front of the learners with confidence.

School C

There was a difference of opinion in terms of how educators perceived IQMS in school C. Only one educator in school C gave an outright positive perception of IQMS as an appraisal instrument. She put her response thus:

I perceive IQMS as an appraisal instrument to measure the value or quality of educators' teaching.

The rationale behind the introduction of IQMS is perceived to be good, although some educators are uncomfortable with how it is being implemented. The next educator gave this response:

The philosophy which underpins IQMS as an appraisal instrument is good but its implementation is flawed.

Like any change in an organisation, some educators did not embrace IQMS soon after it was declared as a policy. This is confirmed by one educator's response:

At first I had a negative perception. I thought it had to do with right-sizing the number of teachers.

There was also an interesting response given by one educator who bluntly said:

I see IQMS as an instrument of oppressing educators.

This educator did not support the idea of being appraised by anyone.

School D

All educators in school D had a positive perception of the IQMS. Two educators responded respectively as follows:

I perceive IQMS as an integrated programme to empower and develop self-confidence in a more positive way to educators,

It is a well-planned programme with good intentions of developing educators. It gives educators an overview to assess their strengths and weaknesses.

School E

The IQMS was perceived as a useful instrument by all educators of school C. This spirit has been captured by the following two responses:

I perceive IQMS as a strategy used to promote the quality and effective teaching.

IQMS is a good appraisal instrument since it seeks to constantly the quality of learning and teaching.

School F

The respondents in school F showed enthusiasm about IQMS as an appraisal instrument. All their statements were equally positive and well-articulated. One educator gave this response:

I perceive IQMS as a good instrument to captivate educators when teaching and managing.

Another educator said:

I think IQMS is doing very well as an appraisal instrument. The IQMS has empowered educators tremendously in many ways.

5.3.2 Its professional benefits

There was no consensus among all educators in different schools on the issue of professional benefit by IQMS. These differences of opinions were prevalent even among educators of the same school.

School A

The majority of responses from the educators of this school were positive. The response from one of them was:

Yes, with the help of my DSG I managed to identify my strengths and my weaknesses. This also includes reflecting critically my own performance and to set my own targets and timeframes for improvement.

One of the educators was not at all happy with the manner in which the implementation process marred the professional benefit of the IQMS. She gave this response:

Not that much. Most of the time we do not meet after appraisal to discuss some observations and give feedback to one another.

School B

Educators responded positively while two of them indicated that they were not happy with the manner in which IQMS has been implemented in their school.

Yes. Through my DSG I get help and am developed.

As an individual, IQMS has not benefitted me in any way. I was evaluated and no-one developed me.

School C

The respondents were positive while one gave a negative response. All responses given were qualified. One of the positive responses was:

It does benefit me professionally if somebody tells me how my teaching methods were and give me some suggestions.

The other respondent said:

No, because some other performance standards have not been covered since IQMS started. There has been no development or follow-up, it just ended in the classroom.

School D

While four educators responded positively, there was only one educator who was not impressed with any professional benefit. The positive response was:

Yes, it has helped me to realise the areas that I need to improve on and also how much I have learnt and grown over the years.

This statement portrays this educator as critical and reflective about her professional development. The other respondent said:

It is supposed to benefit one professionally, but that has not been achieved.

This educator felt that procedures are not fully observed when IQMS is being implemented as, for instance, the scores do not represent the actual performance of educators.

School E

The educators of school E unanimously agreed that IQMS benefits them professionally. One educator responded:

Yes, it determines my strengths, weaknesses, opportunities for improvement, competence and then gives me support for development.

School F

There was consensus among educators of school F that IQMS benefits them professionally. One responded said:

Yes, because I get elevated to higher levels of professional development which encourages me to seek more and more educational information for assisting my learners.

5.3.3 Concerns about IQMS

School A

A common challenges raised by educators was:

IQMS focuses a lot more on class visits and paperwork rather than on the realities of teachers.

The second challenge which was articulated was:

The correct procedures are not followed when this instrument is being implemented.

Training or workshops were also cited as lacking.

School B

Resistance by some educators prevalent as one educator said:

Some educators do not like it and get appraised by force.

This negative attitude leads to the appraisal process being a window-dressing exercise.

Another educator said:

Some educator prepare only when they are going to be evaluated. Others do not like it even though they get appraised.

Time factor was raised as one of the concerns as the next respondent said:

It consumes a lot of time and also demands a lot from educators. It can also divide the staff because scoring is sometimes unfair.

The last educator indicated that the workshops were not adequate which may explain the of uncertainty about the correct implementation of IQMS.

School C

There are three main concerns that were raised by educators of school C. The first one was a lack of monitoring as one educator said:

Monitoring is not done by the SDT, SMT and Departmental Officials.

The second one was that it adds more work as educators are already overloaded. The respondent said:

IQMS is just a tool used by the Department to overload educators.

The third concern is development versus incentive, which was expressed thus:

Monetary reward leaves much to be desired as it makes it difficult to determine honesty when scoring.

School D

It is said to be time-consuming and disturbs normal teaching as the respondent said:

This appraisal system is time-consuming because some classes have to be left unattended during evaluation process.

Another respondent said:

It is done haphazardly. It also interferes with the school timetable.

School E

There is a concern that corrective measures are not done as this educator explained:

IQMS is a once-off event. Weaknesses are not dealt with throughout the year to determine whether one has developed or not.

The issue of the incentive's interference with professional development was raised that:

Educators view IQMS as an incentive tool for educators' increment and not for developmental purposes.

School F

It was highlighted that not all educators participate in sports. But all educators received marks for this aspect. The respondent said:

A teacher who does not participate in sports still received marks.

A summary of the main concerns will be presented in the next chapter of discussion and conclusion

5.3.4 Making this system more effective

Most of the suggestions to make the implementation of IQMS more effective emanate from the challenges raised by all respondents in the six secondary schools. There were other suggestions that were made to improve implementation when a follow-up was made to the respondents.

School A

One suggestion offered was networking as the respondent said:

The instrument can be effective if the implementation is done through the networking of schools.

The next educator wanted other ways to deal with too much paperwork as he said:

To make this system more effective, I think there must be assistant teachers to help us with paperwork.

The external appraisers were recommended as the respondent said:

IQMS can be effective if the DSG come from outside the school.

Feedback must be part of the process and the respondent said:

There must be discussions with the DSG in order to get feedback on areas of development.

School B

In school B respondents emphasised the importance of workshops or training to facilitate proper implementation of IQMS. One of the educators said:

Teachers need to be trained so that they can understand what is expected of them when they are implementing IQMS.

There was also a view that external evaluators would ensure fairness as the respondent asserted:

Fairness must prevail or external evaluators must be used.

School C

The majority of educators in school C emphasised the issue of proper monitoring of the implementation of IQMS. According to one respondent:

Monitoring by departmental officials must be improved.

The other respondent added the importance of outsiders in the monitoring of implementation and said:

It must be conducted by outside bodies and monitored effectively not at school level.

Another suggestion was about follow-up and fairness which was put thus:

I think the Department must do a follow-up about the educators' weaknesses. Observers must ensure that the evaluation is fair.

School D

There were two major suggestions in school C, that is, monitoring and proper training. One respondent said:

Senior education officials should be involved in effective monitoring of the system to monitor the scoring against performance.

This is echoed by another respondent:

Experts from the department in particular subjects should be members of the DSG.

In as far as the workshops are concerned, the respondent said:

More workshops are required and must be conducted by knowledgeable officials, and not the unions.

School E

Four out of five respondents focussed on how often IQMS must be implemented. One respondent said:

It could be better if it was done occasionally, for instance, three to four times per semester. It would allow us teachers an opportunity to grow continuously in the profession.

Only one educator who focussed on the DSG and its role and had this to say:

The DSG should meet timeously. Our PGP should be attended to as a matter of urgency.

School F

School F educators suggested different suggestions with regard to making IQMS implementation more effective. One respondent said:

Extra-mural activities are an area to be developed because not all educators participate in them.

Nevertheless, all educators receive scores for participation in sports. The second suggestion was about feedback and development as the respondent said:

Effective information on strengths and weaknesses should be disclosed, followed by professional development.

The third one was about fairness and support which the respondent expressed:

Appraisal should be done fairly and with dedication. The SMT must support educators.

The belief in external support has been very common. The other respondent said:

Educators need support from people at the departmental level rather than at school level.

5.3.5 Evaluation experience of IQMS

The educators' responses indicated that they have been evaluated by IQMS. The common response to this question was that educators chose to be evaluated by IQMS because they wanted to be developed. Very few stated that they did not choose to be evaluated because IQMS is a policy which had to be implemented. However, they hastened to indicate that the purpose of IQMS is to develop educators professionally. Regarding the last part of the question, the majority of educators confessed that at first the experience they had with IQMS was scary, but got used to it later on. It was a small minority that claimed to be confident during the first appraisal process.

School A

Those educators who chose to be evaluated are captured in this respondent's comment:

Yes, I chose to be evaluated because I would be empowered in teaching and learning. During the first evaluation process, I thought IQMS was judgemental, but later on realised that it was developmental.

The minority respondents claimed to be confident at the outset as one respondent said:

Yes, I chose to be evaluated because I wanted to increase my teaching skills. I did not have a problem during evaluation process.

School B

With respect to compulsory appraisal, the respondent said:

Yes. It was compulsory for me; I did not have a choice. The experience was not bad, but it does not have to be compulsory.

The uncomfortable part of the experience was articulated by the respondent who said:

Yes. I wanted to see where I stand in terms of professionalism. It was slightly frightening.

The last respondent conveyed a good message about the implementation of IQMS in her school when she said:

Yes. It was good for me. I became confident during the second and third time as my DSG had developed me.

School C

One respondent said:

Yes. I was evaluated for pay progression, personal development and working on my weaknesses. I gained confidence in each and every appraisal process.

There was a sharp contrast of opinion as the other respondent said:

Yes, because it was an employer's policy. I personally wanted to learn something from my DSG. I was very confident.

There was a critical point raised by the other respondent who said:

Yes, because every educator is obliged to be evaluated. It was not interesting because since 2005, nobody has removed the barriers to effective teaching in our school.

School D

The responses reflected a lack of mutual trust among educators in this school. This was captured when one educator said:

Yes, it is obligatory. I also wanted to develop and improve on my weaknesses. It was stressful. You wonder if people do not talk about your mistakes behind your back.

Another respondent said:

Yes, I did not have a choice. IQMS is a policy which every educator should adhere to. I was nervous because I did not know how my DSG would score me.

One of the respondents showed a very positive attitude as she said:

Yes. I chose to be evaluated so that I could understand my strengths and weaknesses in my strengths in my teaching. Initially I was nervous but also managed to regain my confidence.

School E

There were suspicions that IQMS was intended to expose educators' faults as one responded said:

Yes, I chose to be evaluated because I wanted to grow in my teaching experience. It was scary at first because I thought it was a fault-finding instrument, but realised later on that it was worth it.

Another confident respondent said:

Yes. All educators are supposed to be evaluated. I was not scared because I was doing what I do every day in the classroom.

School F

Some educators embraced IQMS from the onset as one respondent said:

Yes, I have been evaluated by IQMS. I chose to be evaluated because I believed its purpose was to empower educators. I felt confident during the process.

Another respondent supported his colleague as he said:

Yes, because IQMS is an instrument to measure myself as far as the teaching is concerned. It was a good experience. You feel secured after evaluation process.

A slightly different version was by the respondent who said:

Yes. I have been evaluated on compulsion. I needed 1% salary increase and improvement of my teaching.

In this chapter the challenges and successes of the implementation of IQMS in selected schools were captured from the respondents as implementers of the policy. Different themes emerged from the responses which reflected the respondents' meanings and understandings of the IQMS as it is being implemented in their individual schools. The next chapter will present the discussion and conclusion of the research report.

CHAPTER 6

DISCUSSION AND CONCLUSION

The research findings from the respondents suggest that educators of the same school have different understandings of IQMS as an appraisal instrument. The theoretical framework has given the researcher a better understanding of the meanings and experiences educators attached to the implementation of the IQMS. The focus of this research was an analysis of the *implementation* of the IQMS and not its evaluation. The following discussion, therefore, captures a glimpse of how the IQMS is being implemented in selected secondary schools in KwaZulu-Natal.

The data collected has been viewed in terms of the research questions which sought to clarify the all-important critical question: Is IQMS as a strategy to implement the national education policy a better option for educator appraisal? The IQMS is, therefore, a policy which must be implemented. According to Anderson (2003:2), “policy is defined as a relatively stable, purposive course of action followed by an actor or set of actors in dealing with a problem or matter of concern”. The DAS was introduced as a result of poor standards of teaching and learning, resulting in high failure rate in matric results. Since DAS was not implementable due to a lack of expertise by both educators and departmental officials, IQMS was introduced and was more user-friendly than DAS. In this context, the real problem to be dealt with was poor standards of teaching and learning. A subsidiary problem was that DAS itself could not be implemented by the targeted group, that is, the educators. This failure to implement DAS gives a sense that forward mapping, which is a method of planning the implementation process that is parallel to the top-down approach, was used during the policy design. Forward mapping is viewed as “the specification of the chain of behaviours that link a policy to desired outcome” (Weimer and Vining 2005:280). The role of the street-level bureaucrats, who are instrumental for the successful implementation of policies, was not taken into account. The DoE consequently resorted to the backward mapping method which is parallel to bottom-up approach. The backward mapper “begins not with the statement of intent, but with the statement of the specific behaviour at the lowest level of the implementation process that generates the need for a policy” (Elmore 1979:603). IQMS has been implemented as a result of a consultative process with the street-level bureaucrats who are both the affected and the implementers. Unlike DAS, the IQMS as an appraisal instrument has been implemented in schools as the actors, particularly

teacher unions, were imbued favourably with the intentions of IQMS as a strategy to implement national education policy which should be implemented in a uniform fashion.

The data collected was aimed at answering the research questions with regard to the implementation of the IQMS in the six secondary schools which the researcher had targeted. The first question about IQMS implementation taking cognisance of different contexts was answered by all the respondents in the positive manner. The SMT is expected to create an environment to make the system work favourably. There is a notion that “implementation cannot be seen as an activity to be carried out according to a predetermined plan, rather, it is a process that, at the very best, can only be managed, and lessons must be learnt as one proceeds through the different stages” (Cloete and Wissink 2000:187). The implementation of IQMS caters for contextual factors when educators are being appraised in schools. It was for this reason that educators responded with a “yes” to this question.

The second question focussed on the rationale behind the DoE introducing the IQMS. The elected and appointed officials decide “what issues will be decided, what problems will be addressed by the government” (Dye 2005:32). The problem in schools was the low standard of teaching and learning, which the government (DoE) addressed with the introduction of the IQMS which was meant to ameliorate the state of affairs within the teaching profession. The rationale, therefore, was to assist educators with personal professional development. Although some respondents qualified their responses, the overwhelming majority supported the DoE rationale as they confirmed that they were appraised because they wanted to be developed professionally.

The third question was about realistic timeframes to implement the IQMS. To this question, the majority of respondents said “No”, some of the reasons being that IQMS has too much paperwork and adds more load to the already overloaded educators. Parsons (1995:465) states that “implementation has to be understood as a more evolutionary, ‘learning’ process, rather than as the kind of policy implementation sequence which was put forward”. Timeframes are met when IQMS has been implemented haphazardly.

The fourth question regarding how IQMS differs from the previous evaluation instruments was attempted by the minority of respondents, while others confessed that they were not well-versed with DAS. The IQMS entails an improved version of DAS, PM and WSE. It was difficult to understand the DAS instrument, while IQMS is user-

friendly and implementable. Policy gets refined as is being implemented because of its dynamics and complexities. Therefore, policy implementation is, therefore, “the execution and steering of policy actions over time”.

The fifth question focussed on monitoring of the IQMS by the Departmental officials. Almost all the respondents said the monitoring process by Departmental officials leaves much to be desired. There are structures within schools which are tasked with the responsibility to ensure the implementation of the IQMS with the support of the Departmental officials. Palumba and Colista (1987) in Cloete and Wissink (2000:169) suggest that “discretion at lower level is not only inevitable, but also desirable... [because] it is necessary for policies to be ‘reinvented’ so that they better fit local needs”. One would, therefore, expect the street-level bureaucrats (SMTs, SDTs and post level one educators) to embrace the argument of the bottom-uppers that “implementation should focus on lower-level officials and how they interact with their clients”.

The sixth question touched on the availability of resources for the implementation of the IQMS. The DoE has conducted workshops for educators and distributed supporting documents to all schools in the KZN province. The respondents indicated that workshops were inadequate, expertise lacking and time factor were cited as the main barriers to proper implementation of IQMS. Lipsky (1980:81) points out that “street-level bureaucrats work with inadequate resources in circumstances where demand will always increase to meet to meet the supply of services”. These officials use some coping mechanisms by devising some strategies of trying to achieve efficiency of some kind. They, therefore, “develop shortcuts and simplifications to cope with the press of responsibilities”. To meet the deadlines for the submission of all educators’ scores at the end of September, some schools implement the IQMS according to the departmental guidelines.

The seventh question was concerning the educators’ perception of the IQMS. Elmore (1979:603) states that backward mapping begins not with the statement of intent, but with the statement of the specific behaviour at the lowest level of the implementation process that generates the need for a policy”. The 1% salary increase has been used as a strategy to imbue the actors and recipients favourably with the intentions of this policy, which is professional development of educators. Thus, a large majority perceived IQMS as a developmental instrument. Very few individuals thought of it as a tool used by the DoE to oppress educators.

The eighth question sought clarity about how IQMS is being implemented. The majority of the respondents indicated that they do it in two cycles, that is, baseline (formative) and summative evaluations. Some say they do it as an event rather than a process, others say they implement the IQMS haphazardly because of the overload and time constraints. According to Hill and Hupe (2002:160), “practitioners in public administration are working under action imperatives”. The respondents gave a clue that they were gradually making an attempt to implement the IQMS as per the DoE manuals.

From the above discussion, it can be concluded that IQMS is implemented at schools but still needs some refinement. Since the focus of this research was not the evaluation of the implementation process of the IQMS, it is difficult to generate key recommendations about the instrument. It is, however, possible to indicate some areas which require the attention of:

- Educators with an interest to genuinely develop themselves professionally;
- Departmental officials who are expected to monitor the implementation of the IQMS; and
- National and provincial policy makers who design appraisal policies for educators.

Emerging from the responses of the interviewees, the key recommendations include the following:

- external monitoring of IQMS should be strengthened;
- training workshops should be ongoing and conducted by trained facilitators
- developmental programmes informed by PGPs, SIPs and DIPs should be drawn up;
- implementation should be ongoing to avoid time constraints;
- DSGs should provide the appraisees with feedback;
- DSGs must be fair in their scoring;
- more focus should be on professional development rather than incentives; and
- justice must be done to the appraisal processes.

This study is concluded by citing Parsons (1995:463) who sees implementation as a “study of change: how change occurs, possibly how it can be induced”. Therefore, policy implementation is a complex process which evolves over time. This is exactly what is happening with the implementation of the IQMS currently.

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Appendix A: Interview Schedule - Principals

- What has been your experience with IQMS in your school?
- Have you used IQMS? If yes, were there any problems with its use? Please explain.
- What do you think of IQMS as an appraisal instrument?
- How does IQMS differ from DAS? Also which do you prefer and why?
- Do you think the implementation of IQMS caters for your school context? Please explain.
- Do you think time is sufficient to implement this system? Please explain.
- How much support do you get from the Departmental Officials? Please explain.
- Do you think the one percent increase enhances the system? Please explain.
- What do you think can be done to make this system more efficient?

Appendix B: Interview Schedule - HODs

- What do you think of IQMS as an appraisal instrument?
- How has the IQMS system been implemented in your school?
- How should the IQMS system be implemented?
- How does IQMS differ from DAS? Also which do you prefer and why?
- What challenges do you experience with this appraisal system?
- What can be done to make the system more effective?

Appendix C: Interview Schedule – Post-level-one educators

- How do you perceive IQMS as an appraisal instrument?
- Does it benefit you professionally?
- What are your concerns about this appraisal instrument?
- What do you think can be done to make this system more effective?
- Have you been evaluated by IQMS? If yes, (1) Why did you choose to be evaluated? (2) What was the experience like for you? If not, why not?