

UNIVERSITY OF KWAZULU-NATAL

**IMPLEMENTATION OF THE INTEGRATED QUALITY
MANAGEMENT SYSTEM POLICY IN PUBLIC SCHOOLS IN
THE UGU DISTRICT**

By

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A dissertation submitted in partial fulfillment of the requirements for the degree

of

Doctor of Public Administration

School of Public Administration and Management Studies

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DECLARATION

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Abstract

Implementation of the Integrated Quality Management System in public schools in the Ugu District

by

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With the advent of democracy in South Africa in 1994, a plethora of old pieces of legislation and policies have either been revised or new ones promulgated to address the gross inequalities of the apartheid state. In the context of education new policies were designed to improve the standard of education across public schools in the country. One such policy is the Integrated Quality Management System intended to support teachers in achieving quality education. Policy Design and Policy Implementation are separate concepts and it is well known that the intentions of the policy are not always achieved during implementation.

It is clear that the State President, Jacob Zuma was cognizant of the disconnection between Policy and Policy Implementation when he stated at a meeting with school Principals in 2009 that “*our wonderful policies that we have been implementing since 1994 have not essentially led to the delivery of quality education for the poorest of the poor*”. He questioned as to why the policies have failed to deliver excellence and what should be done about it. Further, the Basic Education Minister, Angie Motshekga in her maiden Budget Speech asserted that:

“The findings of Professor Jonathan Jansen’s committee on National Education Evaluation and Development Unit (NEEDU) confirms what we all know, what the view is outside there and reasons for a general lack of public confidence in our education system”.

The study explores the extent to which the implementation of the Integrated Quality Management System has indeed led to the delivery of quality education. The Policy was also intended to restore public confidence in the education system and the study aims to explore the extent to which this has been achieved.

The Integrated Quality Management System was intended to ensure that the State is obtaining value for the money expended on education, the largest portion being allocated to the salaries of educators. It would appear not to be the case. In this regard, a Report issued by the Organisation for Economic Co-operation and Development (OECD 2008) found that international studies have shown that the “*returns to investment*” in teacher education, or the quality of performance one might expect from learners in return for money spent on educators, is very low in South Africa, to the extent that “*low educator productivity has been cited as the main reason for South Africa’s relatively poor performance*”

It is for the above reason that the National Policy on Whole School Evaluation which includes the Integrated Quality Management System, designed to address the problems of educator performance and poor learner attainment were put under the spotlight. The success of Policy Implementation, and the possible adaptation of existing policies to ensure that the desired results are achieved are also investigated in the study. Recommendations are made as to how policy might be reviewed or changed.

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CHAPTER ONE

OVERVIEW OF THE EMPIRICAL STUDY

1.1 Introduction

Chapter One introduces the reader to the topic and provides an overview of the study. An explanation for the justification of the research – namely the level of effectiveness of the Integrated Quality Management System (IQMS) currently implemented nationally in all schools.

IQMS is a performance management system which was formulated by both teachers and the National Department of Education and is accepted as being a process capable of fairly evaluating the performance of teachers across the country. The study will explore how successfully the policy is being implemented to meet its intended aims and will focus on a district in KwaZulu Natal. The chapter also gives the reader a brief description of the development process of the evaluation system within the Department of Education in South Africa. The current state of education in South Africa is also cited, explaining why it is important and necessary that teachers - particularly in this country need evaluation. This is a critical factor if the appraisal system's underlying aim is to improve the quality of classroom instruction which in turn should improve the quality of education in the country.

The chapter also gives a brief outline of the perceptions of the public and policy makers on their expectations of a teacher in the classroom and the role s/he is expected to play in society. The purpose of this is to ascertain whether the present policy is able to measure the extent to which these expectations are being met. In South Africa teachers are referred to as educators and those who are taught are termed learners or pupils. The study will use these terms interchangeably.

The methodology of research and research design is discussed and finally a preview of the dissertation is given, in the form of a brief summary per chapter.

1.2 Location of the Study

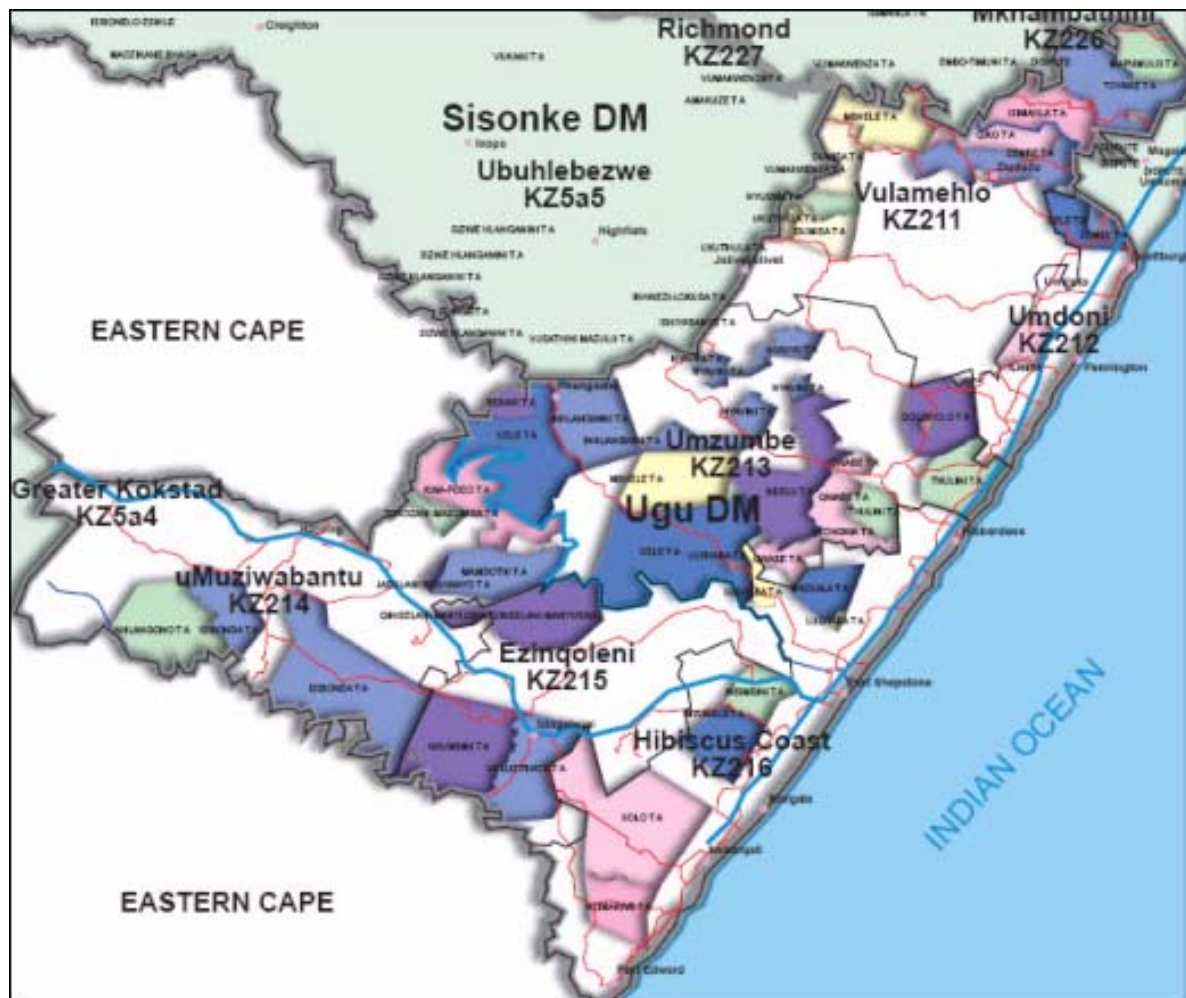
The study will focus on 20 public (government based) primary and high schools falling within the Ugu District Municipality in the province of KwaZulu-Natal (KZN), South Africa. The Ugu District Municipality consists of rural, peri-urban and urban communities throughout the six local

municipalities namely: Umuziwabantu, Eziqoleni, Umzumbe, Umdoni, Hibiscus Coast and Vulamehlo. The choice of Ugu District is important spatially as it represents two (2) distinct socio-economic patterns; namely the coastal areas with a well developed infrastructure and positive economic growth, compared with the hinterland, characterized by poor infrastructural provision and unemployment ratios leading to high poverty levels. Unemployment in these areas was estimated by the Ugu IDP Review (2005/6) to be 30% but with prevailing global economic conditions it can be estimated to be significantly higher.

The Ugu District Municipality is located on the southernmost part of the KwaZulu-Natal province. It lies between the border of KZN and Eastern Cape provinces. The Ugu nodal area is approximately 5,866 square kilometres in size with a population of approximately 700 000. (Statistics South Africa (2007), General Household Survey 2006, Statistical Release P0318, Statistics South Africa, Pretoria).

Figure 1 on the following page indicates the geographical location of the local municipalities within the District Municipality of Ugu as mentioned above:

Figure 1: Ugu District Municipality



Source: Ugu District Municipality IDP Review 2006

Table 1 below, taken from the 2006 IDP Review illustrates the population distribution over the six local municipalities and highlights the most developed as being Hibiscus Coast:

Table 1: Population per local municipality

Local Municipality	Population	%
Hibiscus Coast	218 168	30.99%
Umzumbe	193 764	27.52%
uMuziwabantu	92 322	13.11%
Vulamehlo	83 045	11.80%
Umdoni	62 290	8.85%
Ezinqoleni	54 427	7.73%

Source: Ugu District Municipality IDP Review 2006

Ethnic groups within the Ugu District are divided as shown in *Table 2* below:

Table 2: Ethnic Groupings in the Ugu District

Ethnic Group	Population	%
African	645 985	91.76%
White	28 740	4.08%
Indian/Asian	24 058	3.42%
Coloured	5 218	0.74%

Source: Ugu District Municipality IDP Review 2006

The highlighting of the population group is important within the scope of the study due to the political legacy inherited by the democratically elected government in 1994. Prior to this time, government focus in the education sector was more concentrated on the white population group, resulting in school infrastructure and service delivery capacity in other ethnic groups being highly underdeveloped.

Education Statistics released by the Department of Education 2005 (Statistics at a Glance) show the total number of public and independent schools in the province of KwaZulu-Natal being as follows:

Table 3: Number of schools, learners and educators

School Type	Number	Learners	Educators
Independent	174	56,780	9,069
Public	5,614	2,726,271	68,760
TOTAL	5,788	2,783,051	77,829

(Source: Education Statistics in South Africa at a glance 2003, DoE 2005)

The provincial statistics showing a pupil/teacher ratio in public schools of over 39.6 pupils to one educator is considerably higher than the national average of 34.62. In the Ugu District, however, the most recent statistics show a very different picture as illustrated in *Table 4* below:

Table 4: Number of schools, learners and educators in the Ugu district

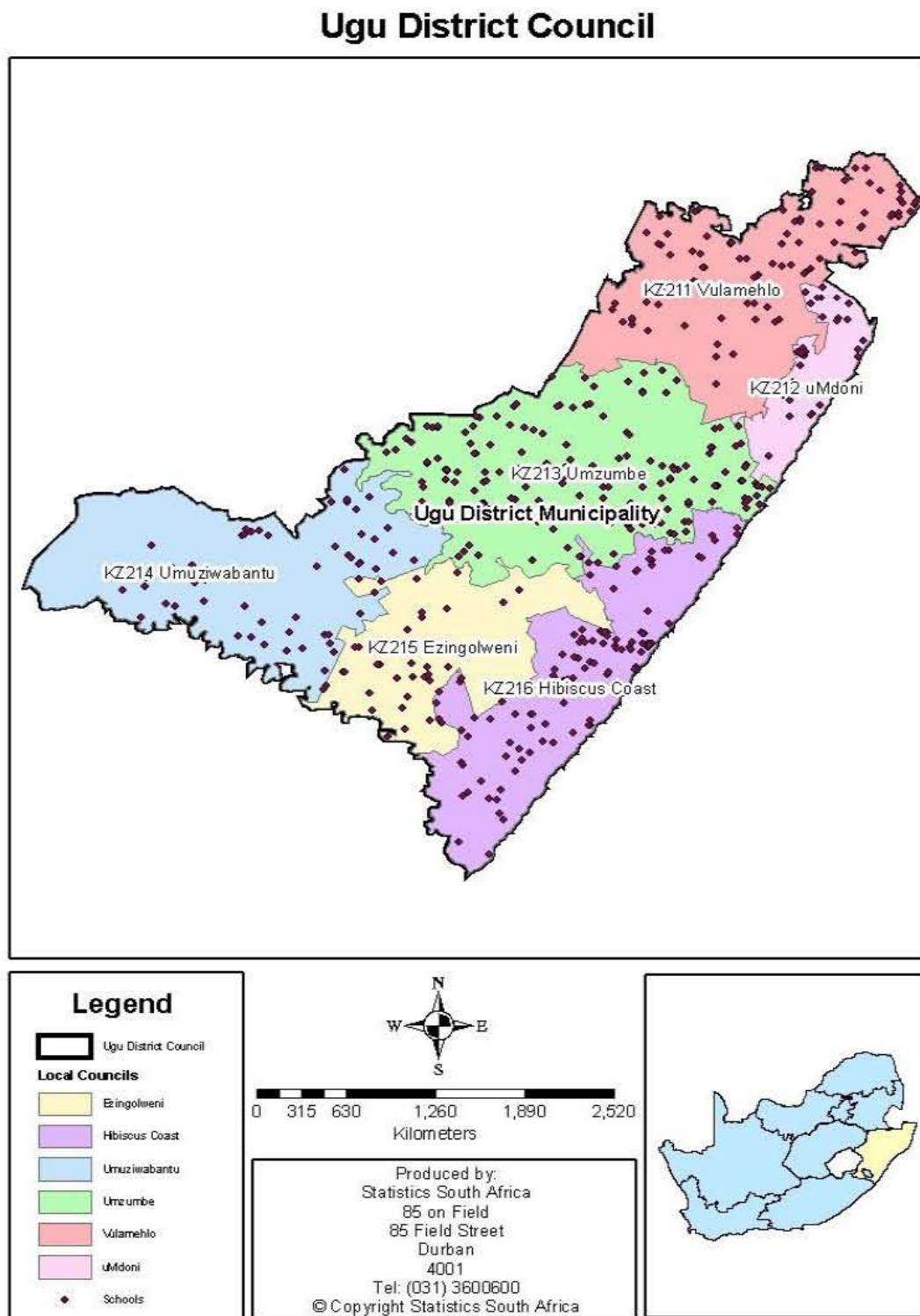
School Type	Number	Learners	Educators
Primary	334	136,764	4,871
Secondary	144	75,786	2,786
Combined	31	13,938	704
Pre-primary	8	611	63
TOTAL	517	227,099	8,424

(Source: Port Shepstone District Office – EMIS 2003)

Here, the pupil/teacher ratio of 26.96 is shown to be far lower than the national average, and accordingly one would expect a far higher level of service delivery across all school types. The study will focus on this aspect to ascertain whether the pupil/teacher ratio plays a role in quality classroom instruction. The Department of Education has divided the Ugu District into two (2) circuits (Esayidi and Scottburgh). These in turn are placed into 17 divisions or wards where 517 schools are being managed.

Figure 2 on the following page is a map showing the distribution of the 517 schools over the different municipalities and highlights the large number of rural based schools. As mentioned in the previous section, the schools in the coastal strip consisting of the Hibiscus Coast and Umdoni municipalities are generally better equipped and more affluent than their equivalents in the other four inland (mostly rural) municipalities. Because of this phenomenon, children from these rural areas prefer to be educated at the coastal schools and are prepared to travel considerable distances at significant additional expense to be taught there.

Figure 2: Schools in the Ugu District Council



1.3 Motivation for the Study

In the context of policy formulation, South Africa experienced a major realignment of all government policies - especially during 1995 to 1996. This 'White Paper Era' followed immediately after the substantial political changes brought about by the first democratic elections held in 1994. This period then was followed by a phase where attention on service delivery in the public sector was emphasised. (1997 to 2003) with a further renewal of attention on implementation of policy by former President Thabo Mbeki.

In more recent times, the concept of service delivery has received much attention - especially in the sphere of local government, education and healthcare services. There are currently abundant examples of cases where service delivery or the lack of it has been highlighted in the media.

Quality of service delivery is directly linked to policy and the implementation thereof – a critical factor for the efficient performance of both the public and private sectors. The question therefore arises as to how one would enhance policy implementation strategies to ensure successful service delivery. Ideally, these three concepts (policy development, implementation and service delivery) should be closely interlinked and developed/implemented in relation to each other. This should result in a more coherent approach to policy and implementation with ongoing review and performance mechanisms giving rise to better service delivery. The study will examine performance management policies relating to the public sector – with specific focus on the Department of Education.

The introduction of a new policy such as the Integrated Quality Management System (IQMS) requires advocacy, training and careful monitoring. Since its inception in 2004/5 the initial thrust at provincial and district level was on successful implementation of this important performance management instrument. Over time, valuable insight was gained into the positive aspects as well as the flaws and challenges that were identified since its implementation. As the co-ordinator for the Ugu District and a member of the Provincial Training and the District Training Teams, the author was required to become involved in the instruction of school management teams in the implementation of IQMS in the District. This process included continuous monitoring and evaluation of the policy implementation.

Policies are continuously transformed by implementing actions that simultaneously alter resources and objectives. It is not policy design but redesign that goes on most of the time. Who is to say, then,

whether implementation consists of altering objectives to correspond with available resources, or of mobilizing new resources to accomplish old objectives? Implementation is evolution. When we act to implement a policy - we change it. The study sets out to explore and investigate whether these factors affect the implementation of the policy in focus.

1.3.1 Provincial and National Information

During the initial implementation process, regular Provincial meetings were held where the twelve districts from the province of KwaZulu-Natal reported on the progress of the IQMS policy implementation. It was discovered that the difficulties being experienced in the Ugu District were similar to those experienced in the other eleven education districts. Minutes of meetings held at National level, where each of the nine provinces, represented by provincial coordinators confirmed these provincial reports. It was clear that this potentially useful tool for improving the quality of education in the country, was not achieving its intended objectives. The study therefore sets out to establish exactly what the intended objectives of the IQMS are and to ascertain the extent to which these objectives were being met and propose ways in which they could be improved to ensure that the policy could meet its intended objectives.

1.3.2 Regional IQMS Summits

In 2006, summits throughout the province were organized at a district level at which invited delegates (Principals and School Development Team co-ordinators) were encouraged to air their views on the success or otherwise of the implementation of IQMS. The Summit gave stakeholders the opportunity to suggest ways in which the system could be refined and improved upon. Possible solutions to the problems encountered in the first year of implementation were proposed. Similar summits were held in each of the other eleven districts and from the report back, it was clear a very noticeable pattern was emerging.

It was apparent that there were serious practical problems in achieving the desired goals of the policy. This prompted the need to investigate the reasons for the obvious failure and to identify which features of the appraisal system were working efficiently. This involved researching international models of teacher appraisal with the aim of identifying best practice in the field.

An issue requiring investigation was that as policies often have roots originating from the more developed areas of the world, is it practical to assume that they are indeed as easily portable and transferable to less developed countries as policy makers would like to assume? The vast divide between rural and urban schools also needs to establish whether it is fair to implement the same policy in schools where the learning and teaching environments are literally worlds apart.

Performance Management within the education sector is relatively new resulting in a deficiency of research based information on teacher appraisal in third world countries. This study will therefore in itself be beneficial to education policy makers in African and other Third World states.

The topic thus is relevant and is intended to add to the existing body of knowledge on the subject.

1.3.3 Need for Appraisal in the South African Context

While the need for teacher appraisal will be discussed further in the Literature Review in Chapter Three, it is open to discussion whether a global “one size-fits-all” approach is the solution in our newly developed democracy. This is particularly true as has been stated with the huge divide which exists between urban and rural schools.

Mounting public concern over required action in the education system is evident by the number of public reports and investigations which have been launched over the last few years. Some of these concerns are voiced in the following accredited Audits, Reports on studies undertaken, and observations from leading educationists nationally. A selected number of these will be discussed in the following section.

1.3.4 National Teacher Education Audit

In 1995 the Ministry of Education commissioned the first-ever South African National Teacher Education Audit. The audit report highlighted the following:

- Fragmented provision of teacher education;
- A mismatch between teacher supply and demand, and
- High numbers of unqualified and under-qualified teachers.

This situation obviously has had a negative impact on the quality of teaching and learning that is presently taking place in South African classrooms. The findings of the audit are relevant to the study in that the question has to be asked whether it is fair to use the same evaluation instrument for qualified and unqualified teachers. It is also relevant to the study since there is a need to establish how the IQMS can assist unqualified and under-qualified teachers to develop so that they are on the same level as their qualified counterparts.

The Audit also showed that a third of the teaching force at that time was engaged in qualifications-driven in-service education, and that in many instances, though there were considerable rewards in terms of salary increases, such qualifications had little or no impact on classroom practice. Despite a huge effort and the commitment of resources by Provincial Departments of Education, Universities, NGOs, Community Based Organisations (CBOs), Teachers' Unions and Faith-Based organisations which have actively engaged in conducting in-service education, current provision remains fragmented and un-coordinated and the resulting impact therefore is rather limited. These findings point to the need to find a way to coordinate the teacher development programmes so that these programmes have a more meaningful impact on the teaching force.

In support of these findings, the report of the 2003 Trends in International Mathematics and Science (TIMSS) Study showed that South African teachers have extensive development opportunities, but the evidence of poor learner performance shows that these have had a limited impact.

The TIMSS studies measured grade eight learning achievement in mathematics and science in several countries in 1995, 1999 and 2003. South Africa's performance was disappointing: in both the 1999 and 2003 TIMSS studies showed that our learners attained lower average test scores in both mathematics and science than all other participating countries (including other African countries, such as Morocco, Tunisia and Botswana). Out of an imputed maximum score of 800, the average South African mathematics score was 275 in TIMSS 1999 and 264 in TIMSS 2003. The average science score was even lower: 243 in TIMSS 1999 and 244 in TIMSS 2003.

These findings were already documented in an earlier project in 1999 known as the President's Education Initiative Research Project or PEIRP.

1.3.5 The President's Education Initiative Research Project

The President's Education Initiative Research Project (1999) was established with the aim of providing a scientific basis for the future planning and implementation of educator development and programmes to support teachers with obvious deficiencies. The project concluded that the most critical challenge for teacher education in South Africa was the limited conceptual knowledge of many teachers. This includes poor grasp of their subjects as evidenced by a range of factual errors made in content and concepts during lessons. The Report states:

“The quality, depth and sophistication of subject matter knowledge among South African teachers is perhaps the single most important inhibitor of change in education quality measured in student achievement terms.”

This must therefore negatively influence the ability of learners to progress to acceptable academic levels. Further evidence of the shortage of necessary skills particularly in rural areas was highlighted in the following report conducted in 2005.

1.3.6 Report of the Ministerial Committee on Rural Education (2005)

Since the majority of public schools are located in rural areas, the Education Ministry commissioned a report on the effects on teaching and learning due to the conditions characteristic of these areas.

The Report of the Ministerial Committee on Rural Education (2005), highlighted specific challenges facing teachers in rural schools:

- A shortage of qualified and competent teachers;
- Problems of teaching in multi-grade and large classes;
- Under-resourced school facilities; and
- Limited access to professional development programmes for teachers. The courses and accommodation may be provided for by the Department but teachers have to pay transport to get to the place of training. This has been seen to be an inhibiting factor in promoting in-service development.

As the research was conducted in an area which is predominantly rural, the above challenges are thus present and prevalent in many schools included in this particular study. The focus of the investigation will be to determine how IQMS can contribute to meeting the needs of educators to overcome the challenges identified. National and provincial education ministries have long been concerned about these particular challenges and have publicly commented on these on a number of occasions. Some of these are discussed in the next section.

1.3.7 Observations from National and Provincial Perspectives

Since 1994 the Ministry of Education has introduced a significant legal framework to address previous inequalities within the educational environment. The best laws and policies, however, will have little impact if the spirit of these laws and policies are not taken into account by the implementers.

The former National Minister of Education, Mrs Naledi Pandor said at the provincial conference of the South African Principals Association (SAPA) in Limpopo, on 9 June 2006:

“A startling phenomenon is a fact I have observed in the past two years. There are hundreds of school principals and teachers throughout the country who appear satisfied with mediocrity. These are those schools that consistently perform below par despite every effort by Government and by district officials. Given the massive investment that our country makes in education we have to ask ourselves the hard question: Can South Africa continue to afford failing schools, failing leadership, failing educators? If the answer is “no”, what can be done to move education from mediocrity to excellence?”

At the same conference she also stated that there is no room for mediocrity or persistent absenteeism and alcoholism in South African schools, suggesting that this is currently prevalent. It is suggested that the IQMS is the ideal tool to assist teachers to move from the mediocrity bracket to the excellence category but that can only be achieved if the process is effectively implemented, supervised and monitored.

The sentiments of the National Minister were echoed by former KwaZulu-Natal Education Member of the Executive Council (MEC), Ina Cronje when she spoke to teachers when schools opened for the 2007 academic year on Wednesday 17 January 2007, saying:

“Don’t cheat our children. Success doesn’t fall out of the sky. Everyone needs to work hard so we can improve our pass rates. Don’t give us excuses about why you are not teaching our children, teach them”. (The Independent on Saturday, 20 January 2007)

An effective and efficient appraisal system should assist in identifying the “cheats” in the system and allow appropriate action to be taken to remedy the situation.

The minister was strongly referring to the findings of the Human Rights Commission which in 2005 held Public Hearings on the right to basic education.

1.3.8 Human Rights Commission on the Right to Education (2005)

The Constitution of South Africa provides every citizen with the right to receive a basic education. The South African Human Rights Commission (SAHRC) as the publicly appointed watchdog, ensures that the Constitution is adhered to by holding regular public hearings to investigate particular issues affecting the policies embedded in the Constitution. The Department of Education came under the spotlight in 2005, with a report being released by the Commission in 2006.

The following statements are taken from the most obvious findings in this 2006 report:

i) Teachers lack passion and a culture of learning and teaching

The Report highlighted low teacher morale as a serious issue. It was found that 54% of educators indicated that they had thought about leaving the education environment, whereas 29% indicated that they thought about this often. The most likely reason given for a teacher to quit is a change in career choice. Other reasons for leaving include low job satisfaction due to lack of career advancement and recognition and dissatisfaction with teaching conditions (e.g. working hours, work load, policy overload, lack of discipline in the classroom and lack of respect from learners).

The extreme prevalence of low morale undoubtedly impacts on behaviour and the many accounts given of teachers not caring, arriving late or simply not being in the classroom are testimony to this. The intentions of IQMS are to boost the morale of classroom practitioners and to encourage teachers to approach their work in a more professional manner. It could be said that if this is not happening, the appraisal system is not working.

ii) Teachers lack training in the New Curriculum

There have been significant shifts in changing the direction of the curriculum for reaching a quality education for all – the most recent being the Outcomes Based Education Curriculum implemented in 2006.

At the Human Rights hearing, many role-players stated that teachers have not been sufficiently taught how to implement the new curriculum and struggle to do so. Teaching resources are often not available or some teachers do not know how to use them. The IQMS is intended to identify the needs of teachers and develop them in these areas to equip them to competently transfer this knowledge to the learners.

The new National Curriculum Statement places more emphasis on life skills, mathematical literacy and Africa – particularly the continent's history, geography, music and dance. School subjects are also to be changed to foster the skills needed for a democratic society and a globalised world. This new method is almost in direct contrast to the previous system where learners were required to learn basics by rote rather than focusing on personal development.

The Education Roadmap compiled at an education meeting organized by stakeholders in the in the educational sector in Gauteng on 9th November 2008 and reported in the Mercury on the 14th November 2008 confirmed these findings.

iii) Lack of Departmental Support

The Human Rights Commission Report also mentions a point raised by the South African Democratic Teacher Union (SADTU) (representing 220 000 of the 430 000 teachers in both private and public schools), who asserted that clear departmental strategy for teacher development and ongoing support is not present.

It is apparent that to effectively manage an appraisal system where teacher increments, promotion, retention, *inter alia* were to depend upon the results of the evaluation process, then such a process needs to be clear, concise, comprehensible, attainable, standardized, nationalized and properly supervised. The aim of the study is to ascertain whether these elements are indeed present in the appraisal system adopted by the South African teaching fraternity. The last element, namely

supervision is critical to the entire process and it is a cause for concern that it is perceived to be lacking and the study aims to explore whether this perception is true or false.

iv) Teachers use old methods of teaching

Despite the introduction of the Outcomes Based Education (OBE), many teachers have not changed or have been unable to change their teaching methods. The Human Rights Commission report states that:

“School days are dominated by formal and customary procedures such as greeting, cleaning, assembling, praying, writing, corrections and taking dictation. There is no reference to spontaneous interaction during lessons.”

These activities still reflect the previous more formal teaching methodology and many teachers struggle to shift their focus on the more modern approach to learning, thus compromising the intended outcomes of the new curriculum. Once again the IQMS is an instrument that is intended to ensure that all teachers are fully equipped to deal with their changing roles. This can only take place if the instrument is used in the manner in which it was intended to be used. A focus area of the study will be to establish if the tool is being correctly used.

v) Teachers have too many children in their classes

As statistics reflect average class sizes, averaging around 34.62 pupils per teacher nationally with 39.64 in KwaZulu-Natal, there is great evidence of teachers having even larger classes – up to 100 learners. This is particularly true in rural and township schools. The teachers may be employed at the school, but a shortage of classrooms often means that classes are combined and teachers take turns in teaching.

Learner/ teacher ratios impact on the quality of teaching and learning that takes place within a classroom and can also negatively affect morale of both the teachers and the learners. The reasons for certain schools having varied ratios and the impact this has on teacher and learner performance form part of the study and will be elaborated upon.

vi) Teachers are disconnected from the community

It is difficult to recruit and retain teachers in rural areas, since most teachers prefer to teach in urban schools closer to where they live. Many educators in these schools live some distance from the school where they work. The Commission established that teachers in rural areas are mostly women who live on average 36km away from the school where they teach and who prefer not to move into the area close to the school. The Ugu empirical study found this to be the case in the rural schools included in the study.

Another reason why teachers commute on a daily basis is that they prefer to send their own children to the more sophisticated urban schools which are perceived to offer a better standard of academic achievement.

This area of research is a serious indictment on educators. Educators must do some introspection and ask the question whether they are in the profession to earn a living or whether they are passionate about the profession - committed to delivering a service that will make a meaningful contribution to this adolescent democracy. IQMS calls for self appraisal and introspection but the perception is that this is a superficial exercise and teachers tend to rate themselves too highly. The study will investigate and elaborate on these perceptions.

vii) Time on task and task on time

The Report of the Human Rights Commission on the Right to Basic Education (2006) found that teachers were not spending enough time in the classroom. This absenteeism is a factor which would severely hamper the efficiency of the appraisal system and the education system as a whole. As has been stated before, but is worth repeating, IQMS is intended to monitor the growth and development of teachers, but if they are not present to be monitored and developed, it defeats the objectives of the appraisal system. The study considers the negative impact absenteeism has on both the evaluation and teaching and learning processes.

Another report – Educator Supply and Demand (HSRC 2005) conducted on behalf of the Education Labour Relations Council (ELRC) as well as research conducted for the ELRC on Teacher Workloads and the number of hours they spend on their different activities have investigated the amount of time teachers spend teaching.

The most important findings of these latter reports have been summarized as follows:

- An average of 16 hours per week is spent teaching (or 3.2 hours a day) out of an expected range of between 22.5 to 27.5 hours per week; and
- Significant differences exist between urban, semi-rural and rural areas – generally educators in urban areas spend more time on teaching and administration than their counterparts in rural areas; educators spend a total of 38.3 hours on their work in rural areas, 41.5 hours in semi-rural areas and 43.8 hours in urban areas. The general decline in time spent across the week is strongest amongst educators in rural areas.

This issue was raised many times during the Public Hearing of the Human Rights Commission. The pattern of inequality repeats itself: the poorer the school, the less likely the teacher is to be in the classroom. A study in 2005 showed that teachers in former White schools spent 19.11 hours on average teaching per week whereas in African schools, teachers spent 15.18 hours teaching. This behaviour persists despite teacher unions insisting that they are not tolerant of teachers who are not in the classroom. The Department is aware of the problem and states quite frankly:

“No training is needed to arrive at school on time or to teach for the full seven-hour day.”

Reasons given for teachers not being in the classroom included:

- Teachers simply not arriving on time or leaving early;
- Involvement in union meetings and activities;
- Departmental training, functions, workshops and conferences;
- Attendance of cultural events such as funerals;
- Illness; and
- Many teachers have businesses and spend time there rather than at school.

Thus, it is argued that a basic starting point in addressing educational challenges in the country is simply to ensure that teachers are in their classrooms. It is also argued that an appraisal system for teachers would need to monitor the attendance rate of individual teachers and after taking the reasons for absence into account reflect attendance rate as part of the evaluation process. The study will explore

the fairness of the system considering that the same instrument is used to evaluate urban teachers who spend considerably more time in the classroom than those teaching in the rural schools.

The results from these hearings presented a picture of a large number of teachers failing in their role as educators. The reasons for this were varied, and as many of these issues are relevant to this study, will be discussed in more detail later in the Literature Review (Chapter Three). Suffice it to say that IQMS should provide the mechanism to identify “the large number of teachers failing in their role as educators” and processes put in place to deal with those who are failing.

The views expressed by the former National Minister, the former KZN Education MEC and the SAHRC have also been voiced by commentators well qualified to speak on the need to take steps to enhance the capacity of the South African teaching force. These are briefly referred to in the next section.

1.4 Other Evidence on the Need to Improve Educator Performance

In 2001 one of the better known education commentators, Dr Nick Taylor – co-ordinator of the Presidential Education Initiative Research Project (PEIRP) report, wrote:

“There is no question that the South African School system is one of the most inefficient in the world, if not at the bottom of the pile. This, despite high levels of spending as a percentage of Gross Domestic Product (GDP)”.

This observation is critical to the study as there seems to be a lack of output compared with the excessive input costs relating to teacher performance. The theoretical model presented in Chapter Two, referred to as the Integrated Organisation model will seek to support or reject the views expressed by Taylor and others supporting this view such as Dr Luis Crouch, a respected educational economist and technical adviser to South Africa’s Department of Education who in 2005 wrote :

“There is little doubt that the two biggest problems South Africa faces are the extreme inequality in actual learning achievement and the relatively low level in this achievement across all groups”.

In the same year Professor Jonathan Jansen, educationist, academic and now Vice Chancellor of the Free State University, said

“...despite significant national investment in education and formal equalization of education expenditure across provinces and population groups, educational outcomes are not only hugely unequal across schools, but also far below standard in comparison with other middle or even far lower income countries as we see in the discussion of SACMEQ11”.

Thus, overwhelming evidence exists proving that despite efforts to rectify the situation, further action needs to be taken: the quality of service delivery in the Education Sector has come under the spotlight in all provinces across the country. In order to identify and recommend solutions, the history of the performance systems and the resultant IQMS need to be reviewed.

1.5 Development of Appraisal Systems in South African Schools

After the integration of the education system in 1994, the South African Ministry for Education recognised the need to evaluate teacher performance and put in place processes to improve the quality assurance measures.

The procedures introduced are summarized in *Table 5* below:

Table 5: Development of the Appraisal System

Date	Agreement/Gazette	System
28 July 1998	(Resolution 4 of 1998)	Developmental Appraisal System (DAS)
July 2001	Gov. Gazette No. 22512	National Policy on Whole School Evaluation (WSE)
10 April 2003	(Resolution 1 of 2003)	Personnel Administration Measures (PAM)
August 2003	(Resolution 8 of 2003)	Integrated Quality Management System (IQMS).

Note:

- a) WSE is a system by which the quality of education provided by schools can be assessed. It links the evaluation carried out by schools themselves (internal evaluation or school self-evaluation) with an external evaluation carried out by national supervisors.
- b) IQMS is informed by Schedule 1 of the Employment of Educators Act, No. 76 of 1998 where the Minister is required to determine performance standards for educators in terms of which their performance is to be evaluated.

During the 1980s schools became sites of struggle against apartheid – particularly against the inequitable and fragmented education policies implemented. As a result of the political conflict, strong teacher unions started to emerge during the 1990's, resisting the enforced government policies regarding education. While the battle against apartheid escalated, schools became 'no go' zones for circuit inspectors, subject advisers and any other employee of the Department of Education who was seen to be perpetuating the undemocratic status quo. It was during this period that the idea was proposed of developing an appraisal system acceptable to all stakeholders – the idea being that it should focus on enhancing the competency of educators and also improve the quality of education.

After much negotiation between unions and the Department of Education starting in 1993, eventually in October 1994 the following key issues with regard to a proposed new appraisal system were resolved:

- General agreement of the guiding principles
- Overall consensus on the nature of the instrument
- General agreement on the need to pilot the appraisal system (with post level one educators) before implementation.

On the basis of these agreements, the Education Policy Unit (EPU) of the University of the Witwatersrand conducted a pilot appraisal in 1995-96. The experiment proved a success and based on this and other evidence, policy makers moved towards developing a national performance measurement system within the department. Finally in July 1998, at the Education Labour Relations Council (ELRC), agreement was reached that there would be an appraisal system and the features of the system were agreed upon.

The principles and practice of the initial system, known as the Development Appraisal System (DAS) were made law, as part of the Personnel Administration Measures (PAM) document during 1999. It now became compulsory for all educators to be appraised. DAS struggled to take off and there was much resistance to the system by all stakeholders particularly the most powerful teacher union (SADTU).

According to the major unions represented in the ELRC (SADTU, NAPTOSA and SAOU), implementation of this original teacher appraisal system at school level was misinterpreted as a punitive measure rather than a teacher development instrument. Teachers themselves felt that the extra time and paperwork required was unnecessary, as the effort was not linked to any significant monetary

gain. As a result of this, further developments on quality management in education were effected and finally agreed upon.

After the implementation of DAS proved to be unsuccessful, additional negotiations amongst the various stakeholders produced a succession of further appraisal systems. The overriding aims of each of the programmes were finally brought together under the umbrella of the Integrated Quality Management System (IQMS) and are briefly described as follows:

Developmental Appraisal (DAS): which relies on peer and self-assessment and is geared towards the development of an individual teacher's personal professional growth plan. This is also linked to the SACE Portfolio Development Project which encourages teachers to record evidence of their developmental trajectory as professionals to use as a baseline for eligibility for pay, salary progression and/or promotion;

Whole School Evaluation (WSE): which focuses on schools as institutions developing a School Improvement Plan, including the accumulated needs of individual teachers as established in the DAS policy; and Personnel Administration Measures (PAM): which provides rewards (in the form of grade or salary progression) for individual teachers' successful completion of their personal growth plan in relation to declared performance standards for each post level.

The idea of combining the best elements of these policies resulted in the new appraisal system now known as the Integrated Quality Management System (IQMS).

1.6 Performance Management Systems and IQMS

Managing performance of any system and individuals within a system is identified as being key to bringing about changes to the organization.

As Abedian, Strachan and Ajam noted (1998:81), Performance Management is basically concerned with measuring, monitoring and evaluating performance, and then initiating steps to improve performance where it is warranted. IQMS is thus fundamentally concerned with measuring, monitoring and evaluating performance, and then initiating steps to improve performance where it is warranted. The perceived problem with IQMS is, however, that that what is being measured in the classroom is not necessarily the same for each of the subjects being taught. Monitoring of the process also varies from institution to institution as are the criteria used when performance is evaluated. Some schools

tend to award consistently high scores, whilst others are reluctant to award high scores thus penalizing the teachers that are being evaluated. The study will investigate the need to introduce some form of moderation so that there is consistency in the process.

The Department of Public Service and Administration in the White Paper on Public Service Training and Education (1997) widely defines performance management as relating to all the processes and systems designed to manage and develop performance at the level of the public service, particular organizations, components, teams and individuals. Teachers are part of the public service and are thus bound by the policies and prescripts laid down by this body.

The major aim of teacher appraisal is to develop teachers in order to improve their curriculum delivery in schools and consequently improve the quality of education. An efficient and effective education system should strive to provide a complete strategy for the successful recruitment, retention, and professional development of teachers in order to meet the social and economic needs of a country. The objective of such a system is to achieve a community of competent teachers, who are committed to the provision of an education of quality, ensuring high levels of performance as well as ethical and professional standards of conduct.

The goals and purposes of professional appraisal may be summarized in two categories as follows:

Evaluative purposes include decisions on pay, promotion, demotion, retrenchment and termination.

Developmental purposes include research, feedback, management and career development, human resource planning, performance improvement and communication (Schuler, Dowling, Smart and Huber; 1992).

This view is supported by Ingvarson and Chadbourne (1994) who state that there are two basic reasons why teacher evaluation are necessary. These are:

- Teachers must be accountable. They must be able to make explicit what they do and why they are doing it.
- Teachers must develop professionally since the context and the knowledge base of their work is constantly changing.

The two purposes of evaluation or appraisal, that are outlined above as being similar if not identical, are referred to as summative evaluation which is evaluation for the purpose of obtaining information for the making of personnel decisions, and formative evaluation which is evaluation for guiding professional career development. (Scriven, in Ingvarson and Chadbourne, 1994).

Since the expansion of the education system of South Africa in the 1990s as a result of the cardinal reforms, there has been concern about quality. One of the quality assurance measures introduced in South Africa was teacher appraisal. The current teacher appraisal scheme in South Africa was introduced in 2003 as a non-threatening, valid, and extensive system to develop the individual and the school. The links between teacher appraisal and the concept of Whole School Development will be investigated in the study.

In discussing the general problems that have been encountered with the introduction of a teacher appraisal mechanism in South Africa, the good intentions of the final product – IQMS – would appear not to have been fully met. This performance measurement tool in South Africa appears to be experiencing teething problems which could be attributed to causes arising from the following broad categories:

- Problems due to the mismanagement or lack of management of the education system as a whole;
- Problems arising from the evaluators who may not understand the importance of their activities; and
- Problems arising from the appraisees who might resent being monitored and evaluated as well as the subsequent paperwork involved.

The study will investigate the extent to which the problems mentioned above are prevalent in the IQMS implementation process and to find solutions should they indeed be present.

When compared to other appraisal models in use in the international arena – both in the commercial and public sectors, many components of the South African IQMS are seen to be theoretically correct, and should therefore potentially be in a position to achieve the intended objectives.

The system should be perceived to be effective in doing what it set out to do – in other words: Are all of those who are involved in the system aware of its intentions and objectives? Are these perceived to

be effective? Ultimately what any performance management system should strive to achieve are the following:

- The system should motivate teachers to improve their performance;
- The system should assist teachers to develop professionally;
- The system should improve learner achievement; and
- The system should make the school a learning organization

Elaborating on the above, an appropriately designed and implemented appraisal system should motivate teachers to improve their individual performance through professional development, which should in turn be reflected in improved learner achievement. The study will investigate whether IQMS is conforming and achieving the objectives listed above.

In South Africa the national and provincial Education Departments are obliged to provide an enabling environment for the preparation and development of teachers. However, it is ideally primarily the responsibility of teachers themselves, guided by their own professional body, the South African Council for Educators (SACE), to take charge of their self-development by identifying the areas in which they are lacking, and to use all opportunities made available to them for this purpose – as provided for in the Integrated Quality Management System (IQMS).

1.7 The Current System in South Africa

At present, the teacher's performance is evaluated by the school head of department in the presence of one of the teacher's colleagues. The teacher is then given a rating that determines the salary increase. This system is open to abuse as collusion can take place between the role players in order to fraudulently inflate the scores.

The study will investigate the extent to which this negative practice is taking place in the implementation process.

1.7.1 Teacher Unions

Teachers are the largest single occupational group and profession in South Africa - numbering close to 430 000 in both public and private schools. Their role has strategic importance for the social, intellectual, moral, cultural and economic preparation of the youth of the country. Teachers work in extremely complex conditions, largely due to the insidious legacies of apartheid, but also as a result of the massive amount of new policies introduced in order to bring about much needed change in education.

With the rise of teacher unionism within South Africa, policies and decisions relating to the educational system were largely shaped in partnership with these organizations. As highly important political bodies, these unions have proved to be so powerful that at present, they control strategic appointments within the educational system.

The result of these politically inspired appointments has often resulted in unsuitably qualified people - lacking the necessary experience - being placed in positions requiring a level of competence far higher than that possessed by the appointee. This situation is verified by the National Skills Audit conducted by the KZN DoE (2000) which showed most employees being woefully below the expected level of competence. The Education Roadmap referred to previously states that in 2004, teachers' baseline tests showed that the majority of teachers scored less than 50% on literacy and mathematics tests.

This factor strongly impacts on the quality of service delivery as capacity within the department has been seriously undermined by this practice.

1.7.2 In Service Teachers

It is known that most currently serving teachers received their professional education and entered teaching when the education policy was an extension of the apartheid scheme. The fact that the whole structure was fragmented and organised in racially and ethnically divided sub-systems has been well documented. The present generation of teachers is the first to experience the new non-racial, democratic transformation. Since 1994 they have had to deal with the rationalization of the teaching fraternity into a single national body and the introduction of new curricula requiring far greater professional independence. This means that teachers are required to acquire new knowledge, skills and

applied competences, including the use of new technologies whilst at the same time allowing for radical change in the demographic, cultural and linguistic composition of the classrooms.

1.8 Statement of the Problem

Policy implementation is frequently a problem since it operates at multiple levels and is influenced by multiple actors. The success of policy implementation in the public sector depends on the understanding that implementers have of the intended objectives of the policy at for example national, provincial and local levels. The conditions for creating an enabling environment at local levels show that these in themselves are considerably different and that the successful implementation of a policy will depend on amongst other factors, what is known as the 5-C protocol which is used to study the variables in the implementation process. Very briefly the protocol looks at the content, context, commitment and clients and coalitions that policy implementation has to traverse before it can be evaluated. The fact that conditions are not the same at all institutions where the same policy has to be implemented, is the focus of the study and becomes the statement of the problem. This essentially is that the Integrated Quality Management System policy should theoretically be implemented consistently at all schools in the country. The perceived problem is that this does not appear to be the case. The reasons for this will be investigated in the study and the effect it has on the effective implementation to achieve its intended objectives of the policy will be explored.

An appropriately designed teacher appraisal system should be crafted and drafted to be able to be used in any school in the country at a single moment in time. The stark realities of the vastly differing conditions under which teachers work for the same Department in South Africa, are perceived to suggest that a single appraisal policy for all teachers is not achievable. The study will place focus on this perception.

Theoretically an appraisal system should motivate teachers to improve their individual performance through professional development, which should be reflected in improved learner achievement. In the ideal system, teacher appraisal should enhance collegiality and collaboration between teachers, making schools learning organizations. The study will therefore compare two real-world scenarios, one is an ideal, problem-free system that is functioning optimally, and the other, which is the target of this research, a scenario in which specific problems are causing the ideal system to be dysfunctional. The ideal model would thus encapsulate the following precepts:

IQMS is perceived to be a policy that is being implemented consistently and fairly at all schools within the system so that it is being effective in motivating all teachers to improve their performance through professional development which in turn enhances learner achievement and is able to improve relationships among staff members.

1.9 Summary

It is clear that quality education requires that students have the right to learn, teachers have the duty to provide it, but at the same time the teachers have to have their own rights taken into account. These rights are two-pronged: technical-professional and socio-political.

The technical-professional rights include having the necessary support, materials and infrastructure to do their job. The socio-political rights include having the right to have their voices heard and not just doing what they have been instructed to do, developing an individualistic and critical approach to their work. These rights are enshrined in the principles of IQMS and should be supported by the necessary structures. The study will investigate the extent to which these rights have been consistently recognized in the implementation of IQMS.

1.10 Objectives of the Study

Having acknowledged the problems, the following objectives have been identified:

To investigate whether the policy is being consistently implemented at all schools;

- To determine to what extent the teachers and administrators are satisfied with the present evaluation instrument. (To identify the perceived effectiveness of the teacher appraisal and performance measurement programs);
- To study the effect teacher evaluation has on teacher professional development. (To evaluate the extent to which developmental appraisal systems motivate teachers to improve their performance);
- To examine what can be done to enhance the present teacher evaluation process and practices;

- To measure the extent to which evaluation can improve teacher performance. (The extent to which developmental appraisal systems motivate teachers to improve their performance);
- To examine what the benefits of teacher evaluation are;
- To determine whether student achievement should be linked to teacher performance;
- To evaluate the effect that the implementation of developmental appraisal systems have on the relationships between School Management Teams and the teaching staff; and
- To recommend ways in which the system can be improved.

1.11 Research Questions

To do this the following questions will be addressed:

- What are the perceptions of teachers of the appraisal programmes?
- Which features of the teacher appraisal policy are perceived to be effective?
- How do appraisals succeed in motivating teachers to improve their performance?
- What correlation is there between learner achievement and teacher performance?
- How do appraisal programs provide assistance for teachers to develop professionally?
- What effect do appraisal programs have on the relationships between School Management Teams and the teaching staff?
- Should unqualified and underqualified teachers be evaluated; and should principals who do not teach be evaluated?
- Is the IQMS being consistently being applied at all schools?

1.12 Overview of Research Design

1.12.1 Introduction

The research design and methodology will be discussed in detail in Chapter Five. The purpose of this section is to provide an overview of the process and explain why the researcher opted for the chosen methodology. The intention is to stress that the researcher recognises that good research requires the development of a research design that is fully compatible with the needs of the topic and that the most

appropriate research design should be one capable of enabling the researcher to achieve the research objectives. The first step will be to conduct a literature review.

A literature survey is usually a critique of the status of the knowledge on a carefully defined educational topic (Schumacher and McMillan:1993). It is undertaken to gain the insight, views and findings from previously conducted studies by other researchers. It is, therefore, crucial to review the literature in order to unlock the significance of the study, avoid unnecessary duplication, select the best methods, to identify flaws in the body of knowledge and suggest possible remedies. Therefore, a literature survey will be used to develop a framework and to discuss the teacher evaluation systems in use nationally and internationally. It will also provide an assessment of professional development strategies for teachers.

The focus of this study, namely, to investigate the extent to which the policy is being consistently being implemented at all schools and whether teachers in the Ugu Education District regard the current system of teacher appraisal in schools as professionally constructive, will require that both quantitative and qualitative approaches be used.

The former will be employed in the interest of representivity of the views expressed, and the latter for the purposes of more in depth probing and the verification of the quantitative data. The use of multimethods in this study will secure optimal understanding of the phenomenon in question - involving the research dimensions of both breadth and depth (Cresswell,1994; Denzin and Lincoln,1998; Salomon,1991).

The quantitative approach will involve a questionnaire survey. The questionnaire will consist of forty eight closed questions. For these closed questions the Likert scale will be used. A pilot study would be done in a few selected schools in and around Port Shepstone.

This approach will also involve individual semi-structured interviews with participants representing various levels of experience and managerial involvement in the process of teacher appraisal.

Since surveys typically use questionnaires and interviews in order to determine the opinions, attitudes, preferences and perceptions of persons of interest to the researcher, these were the instruments identified as being the most appropriate for the study.

1.12.2 Sample

In most research work generalizations are made to draw inferences based on samples about the parameters of the population from which the samples were taken. According to Kothari (2003) the researcher quite often selects only a few items from the universe for study purposes. All this is done on the assumption that the sample data will allow to estimate the population parameters.

This study defined the population as all state paid educators employed at public schools in the Ugu District, including teachers, heads of department, deputy principals and principals. The sample was selected irrespective of age, gender or race group. By selecting part of the elements of the population, conclusions will be able to be drawn about the entire population. Therefore the population will be the total number of teachers on which some inferences will be able to be made. The methodology of defining the sample for the study is elaborated on in Chapter Five.

1.12.3 Data Collection and Analysis

The capture and analysis of the questionnaire data will be computerised. For the analysis of the responses on the open questions a coding frame will be drawn up, also providing for verbatim reporting of responses where applicable (Bell, 1993:107; Oppenheim, 1992:266).

For the analysis of the interview data, the tape-recordings of the interviews will be transcribed. The typed transcript data will then be coded. From the codes (or categories), patterns and themes will be identified and described in an attempt to understand the meanings of these categories from the perspectives of the respondents, with verbatim texts included where appropriate.

1.12.4 Reliability

Reliability will be ensured by cross-verifying a) questionnaire data with interview data, and b) data provided by respondents from different post levels. The field notes made after each interview will be checked to verify the interview data.

1.12.5 Ethical Measures

Questionnaire respondents and interviewees will be fully informed about the research aims and the voluntary nature of their participation, and assured of the confidentiality of their own and their schools' identities and data provided. In analysing and interpreting the data, every effort will be made to heed the assurances given.

1.12.6 Demarcation of the Study

This study is limited to all state paid educators employed at public schools and offices in the Ugu District, including teachers, heads of department, deputy principals, principals and those responsible for the overall administration of the schools such as ward and circuit managers, referred to as office based educators. The sample selected is irrespective of age, gender or race group.

1.13 Concept Clarification

It is considered important to provide a clarification of concepts that will be referred to in the study. A selected number of these concepts, deemed to be relevant and pertinent to the study are provided.

Teacher Evaluation Policy – this is a set of mandates, rules, and guidelines issued by a government regarding the purpose of teacher evaluation and the manner in which it should be conducted.

Evaluation Procedures - the directions for implementing all aspects of the evaluation process in accordance with the rules and guidelines given in the policy. Procedures specify how the evaluation is to be conducted, designated timelines, persons responsible, forms to be used, documentation to be provided, the analysis plan, and the steps to be followed.

Coaching - the assistance given to teachers in ways that will improve their job performance, not just for the purpose of doing better on the evaluation, but also for the purpose of improved teaching and increased student learning. Coaching can include reviewing teacher products related to the domains being assessed, tutoring on the attributes being assessed, and offering feedback on the teachers' strengths and weaknesses. A meeting between the teacher and the assessor or evaluator to discuss mutual concerns and to promote the understanding of the assessments being used; the evaluation

procedures; the criteria and standards being applied, and how the results will be used. The conference can also be an opportunity to collect teacher responses if the conference includes an interview. Coaching can also refer to teachers coaching students so that the students will perform better on a measure used as an indicator of the teacher's performance.

Formative Teacher Evaluation - an evaluation conducted primarily for the purpose of improving the teacher through identifying that teacher's strengths and weaknesses. Formative evaluation is usually done by a supervisor or another teacher and is typically part of professional development. The information and recommendations provided to a teacher about his/her performance based on the results of that teacher's evaluation and designed to help the teacher improve his/her performance and make decisions concerning professional development and improvement

Professional Development - a process designed to improve specific professional competencies or the overall competence of a teacher.

Announced Observation, Visit - an observation or visit that is prearranged with the teacher to be evaluated and for which the teacher can prepare.

Successful Policy Implementation - a simple gauge of the success the policy has achieved in its implementation is to measure the extent to which the policy has achieved its intended objectives. There are, however, variables that need to be taken into account to establish where the implementation has been successful. It might have achieved the objectives, that is it might be described as having been effectual, however the question has to be asked whether this has been done efficiently and also effectively.

1.14 Exposition

Having clarified the key concepts used in this research the following is an outline of the study to be pursued:

CHAPTER ONE: This chapter outlines the orientation of the study. In this chapter the background to the study, the research problem and its aims, research methodology, ethical consideration and the demarcation of the investigation is discussed.

CHAPTER TWO: The legal and theoretical framework is provided in this chapter and a brief view of the education situation in KwaZulu-Natal is given.

CHAPTER THREE: The literature study, which is the theoretical framework of the research will be conducted. Lesson observation and the criteria that the Whole School Evaluation team will use to observe educators in that classrooms will be critically reviewed as the focus of professional development.

CHAPTER FOUR: Education and Economic Development: a comparative study of developing and developed countries.

CHAPTER FIVE: The purpose of quantitative research, design of the questionnaire and questions related to the questionnaire will be discussed.

CHAPTER SIX: Findings, analysis and interpretations of the empirical data.

CHAPTER SEVEN: Conclusions and Recommendations, and concluding remarks and a brief summation of the research. Recommendations emerging from the research will be used for identifying a way forward.

1.15 Conclusion

The chapter gives an introduction to the study and the location in which the study will take place. It provides a description of what motivated the study and elaborates on the need for an appraisal system in the country, referring to various reports that have been commissioned by the various stakeholders in education. Chapter One gives a brief history to the introduction of the evolution of the appraisal system in the country and explores the current situation in South Africa emphasizing why it is necessary to have a properly and consistently implemented evaluation system for teachers in place. This leads to the statement of the problem which is discussed, namely the commitment of implementers to the system followed by the research questions which seek to provide solutions to the problem. Finally an overview of the research design is given. The reader is then given an exposition of what will be encountered.

CHAPTER TWO

LEGAL AND THEORETICAL FRAMEWORK OF THE IQMS

2.1 Introduction

As members of the Public Service, educators are bound by the prescripts of the government of the day and are required to adhere to the laws and policies that govern them. Education therefore resorts firmly under the Public Administration paradigm and the study takes place in this context. Recent developments such as globalisation and the management of knowledge have forced policy makers all over the world - including those involved in education in South Africa and internationally to review the manner in which policy is formulated. Educational policy has been evaluated in many industrialized countries leading to a multiplication of reforms (Hopkins and Levin, 2000). Obviously for reasons already explained, educational policy in South Africa has transformed the education landscape with the introduction of a plethora of new policies, including the focus of the study which is the policy on teacher appraisal. Whether the “multiplication of reforms” has actually made a significant difference to transform education in this country is part of the investigation of the study.

Since the focus of this study is on the adoption and implementation of the policy on teacher appraisal, it is interesting to note that generally, policy adoption and implementation has proved to be problematic (Coburn, 2003; Cuban, 1998; Datnow and Castellano, 2000; Fullan, 2001; Greenfield, 1995). Similarly, the adoption and implementation of teacher evaluation in particular is problematic (Timperley and Robinson, 1997).

The broad context of Public Service management intersects with the education policy context - a system which has undergone massive transformation from one grounded in the apartheid paradigm of racial segregation and inequality to a new paradigm grounded in equality of opportunity for all learners, regardless of race, socio-economic status, gender, ability, or other personal characteristic.

One of the main challenges for education policy makers, facing the demands of globalisation and a knowledge society, is how to sustain teacher quality and ensure all teachers continue to engage in effective on-going professional learning. This implies that the performance of teachers has to be appraised in order to guide the direction of the future on-going professional learning. This is in line with what is required for performance management within the context of the Public Administration framework. Although it is within this framework, it must be noted that it requires a unique approach

within the broader Public Administration context. Many authors, including Peterson and Peterson (2006) point out that teacher evaluation is a complex issue. The point is however that education falls within the realm of Public Administration therefore this is elaborated upon in section 2.2.

2.2 Performance Management within the context of Public Administration

The prescripts which govern Public Administration are a clear indication that departments or entities are accountable to the legislature and the public for their performance. All departments are required to compile annual reports according to specific requirements as set out in the various statutory documents mostly guided by The Constitution, 1996. Legislation and other regulatory instruments such as The Public Finance Management Act (PFMA), 1999, the Division of Revenue Act, 2005, the Treasury Regulations, 2004 and the Public Service Regulations, 2001 all demand that performance of departments and individuals within these departments is managed and evaluated.

Section 195 of The Constitution of the Republic of South Africa, 1996 - which deals with basic values and principles governing public administration, provides *inter alia* the following guidelines upon which all policy frameworks are dependent:

195(1) Public Administration must be governed by the democratic values and principles enshrined in the Constitution, including the following:

- A high standard of professional ethics must be promoted and maintained;
- Efficient, economic and effective use of resources must be promoted;
- Public administration must be development-oriented; and
- Good human-resource management and career-development practices must be cultivated, to maximize human potential.

The implications of the selected provisions contained in the Constitution are that service delivery is paramount and all citizens must benefit from Government ideals and the programmes implemented to achieve those ideals. Public Service officials, which include educators, are bound to ensure that society benefits from the resources provided to departments for this purpose. Education receives the largest portion of the National Budget and is therefore accountable to the public to ensure quality education is

provided. Quality education requires that students have the right to learn, and teachers have the duty to provide it. The IQMS is the instrument that will gauge whether this is being achieved.

The above provisions of the Constitution also reflect the importance of human resource management in the transformation of both government and civil society in South Africa. Given the importance of education in this transformation, the management and development of education human resources [EHR] is a vital policy lever in bringing about the “new South Africa”. Compare the ideals of the White Paper on Public Service Training and Education (1997) and the important policy guideline – which is the White Paper on Human Resource Management in the Public Service [HRM White Paper]. These are discussed in more detail in section 2.3.1 of the chapter.

2.3 Education assessment policy and legislative context

All countries, including South Africa are seeking to improve their schools, and to respond better to higher social and economic expectations. As the most significant and costly resource in schools, teachers are central to school improvement efforts. Improving the efficiency and equity of schooling depends, in large measure, on ensuring that competent people want to work as teachers, that their teaching is of high quality, and that all students have access to high quality teaching. The fact that there are high percentage of teachers who are unqualified or under qualified, would suggest that there are too many incompetent people that are being attracted to the profession.

Teacher issues are also currently high on policy agendas because of concerns expressed by teachers themselves about the future of their profession – whether it is sufficiently attractive to talented new entrants, and whether teachers are sufficiently rewarded and supported in their work. As teachers are in daily contact with the students who potentially form the next generation of teachers, the enthusiasm and morale of the current teacher workforce are important influences on future teacher supply.

Over the past decade, South Africa has developed a comprehensive set of policies in the field of education with a view to transforming education in such a way that the ideal of quality education for all could become a reality. The Ministerial Committee on Teacher Education (MCTE) issued a report in 2003 which identified some main difficulties in the field of teacher education which constituted barriers to the comprehensive transformation of education in South Africa. Various other Ministerial Committees have reported the same to the National Minister of Education.

Some of the most relevant reports to this study are the Ministerial Committee on Schools That Work published in October 2007, the Ministerial Committee on A National Education Evaluation and Development Unit released in January 2009, and the Report of the Organisation for Economic Co-Operation and Development released in November 2008. These reports and international studies such as the report of the Commission of the European Communities on improving the quality of Teacher Education in August 2007, assisted in providing a national and global perspective on the issue of teacher evaluation and teacher development. Numerous enabling Acts to change the face and direction of education in South Africa since 1994 are discussed in the next section.

2.3.1 Education White Paper, 1995

The transformation of education in South Africa emphasises the right of all to quality education (Education White Paper, 1995). The first intent was to redress the discriminatory, unbalanced and inequitable distribution of the education services of the apartheid regime, and secondly to develop a world-class education system suitable to meet the challenges of the 21st century.

There were other White Papers that followed to embrace the entire Public Sector to promote transformation which as has been indicated, includes all government departments including the Department of Education. Some of these are discussed below.

The White Paper on Public Service Training and Education (1997) identified the following as key to the transformation process of the Public Sector: a change in mind-set “a shift from administering personnel to managing people” (para 3.1.1). This has far reaching effects and strongly implies that the management of human capital embraces the concept of managing people through the management of their performance. Perceptions in the education sector are that there has not been a change in mind-set in the majority of institutions, and that personnel are still being administrated rather than managed. The IQMS is perceived therefore to be an administrative instrument rather than a management tool. This has serious implications for the implementation of the policy and the study will investigate the extent to which this has impacted on the process.

It further states in (paragraph 3.1.7) that: “Human resource practitioners will develop a more professional role, providing advice and guidance to management on such matters as employment legislation, Public Service-wide policies and norms, labour market trends, and employee development issues.” In the context of education, this should result in the school leadership being more accountable

for assuming this role. The mechanisms of the policy are perceived to have taken the accountability away from the school management teams and transferred this responsibility to the school development teams and the evaluation panels which might only include one member of the school leadership team. The perception is that this has caused tensions between management and staff and this will be investigated in the study.

A further important policy guideline The White Paper on Human Resource Management in the Public Service [HRM White Paper] comments on the importance of the Public Service in achieving national goals and points out the need for transforming human resource management practices in this regard as follows:

“A professional and impartial Public Service which is representative of all sections of society is essential for efficient and effective government and the achievement of South Africa’s democratic, economic and social goals. Transforming the Public Service into an instrument capable of fulfilling its role in bringing about the new South Africa depends on many things but, above all, it depends on the commitment and effectiveness of its employees which in turn depend on the way in which those employees are managed...”

Transforming the way human resources are managed is, therefore, the catalyst for the transformation of the Public Service in general and for the purposes of the study the education sector specifically. The implication here is that if employees (teachers) are managed within an accepted framework such as the IQMS the new South Africa could become reality.

The White Papers set the way for government departments to map their way forward in crafting policy to meet their own particular needs and the Education Department set about creating policy that would entail various enabling legislation to be introduced to assist the system to manage its resources as cost effectively as possible. These prescripts allude to the management of the system with particular reference to the management of human resources that will be the key to transformation of the education system.

Again the implications for education are that teachers need to be managed in order to gauge their effectiveness, commitment and level of competence. Only in this way will the key to transformation of the education system be found. The IQMS is the one instrument that can measure the effectiveness and

competency levels of educators and could therefore be the key to the transformation of the education system.

Enabling legislation to support educators and the education system as a whole has come at a rapid pace and this has had a major impact on formulating policy on human resource development, such as the IQMS policy, and a brief discussion on relevant prescripts within the Department of Education is presented in the following sections.

2.3.2 National Education Policy Act (No.27 of 1996)

According to the National Education Policy Act (No.27 of 1996), the Minister is mandated to direct that standards of education provision, delivery and performance are monitored. Evaluations need to be carried out under the aegis of the National Department annually or at specified intervals, with the object of assessing progress in complying with the provisions of the constitution and with national education policy. This Act also specifies that, should the evaluation reveal that a province is not complying with the provisions of the Constitution or National Education Policy, the Political Head of Education in the affected province has to account to the Minister in writing within 90 days. The Act also contains the Norms and Standards for Educators (2000) which provides a profile of what a teacher is required to be. These are *inter alia*:

- i) a specialist in a particular learning area, subject or phase;
- ii) a specialist in teaching and learning;
- iii) a specialist in assessment;
- iv) a curriculum developer;
- v) a leader, administrator and manager;
- vi) a scholar and lifelong learner; and
- vii) a professional who plays a community, citizenship, and pastoral role.

The perception is that IQMS does not necessarily measure these profile elements and the study will investigate the compatibility of the two policies as well as those quality requirements for teachers stipulated in the South African Council of Educators Act.

There is widespread recognition that education systems need to have clear and concise statements of what teachers are expected to know and be able to do, and a teacher profile such as the one given

above, should to be entrenched throughout the school and teacher education system, and it is argued, should contribute to the criteria used for teacher appraisal. It is also argued that teacher competencies need to stem from the objectives for student learning, and provide profession-wide standards and a shared understanding of what actually counts as proficient teaching. The norms and standards as described above do not provide an understanding of what counts as accomplished teaching. Furthermore the competencies are difficult to measure and not all are included in the IQMS instrument used to assess teachers. The “unmeasurable” competencies make the performance management system complicated and therefore prone to subjectivity. This will be taken into account in the empirical study.

The teacher profile, and therefore the criteria used for evaluation, needs to be much more embracing to encompass aspects such as strong subject content knowledge, pedagogical skills, the capacity to work effectively with a wide range of students and colleagues, to contribute to the school and the profession, and the capacity to continue developing. It is argued that same criteria should be used for all teachers, irrespective of experience. It is important, however that the criteria should also distinguish between different levels of performance appropriate to beginning teachers, experienced teachers, and those with higher responsibilities. A clear, well structured and widely supported teacher profile can be a powerful mechanism for aligning the elements involved in developing teachers’ knowledge and skills, and for providing a means of assessing whether teacher development programmes are making a difference to curriculum implementation and delivery in the classroom. The only way in which this can be measured is by using the IQMS. However the system has to be applied consistently and fairly to ensure that this is happening. Monitoring of the process is essential. The study will investigate the extent to which the process has been consistently and fairly implemented.

Most teachers are highly motivated by the intrinsic benefits of teaching – working with learners and other young people, helping them to develop, and making a contribution to society – and it is therefore important that system structures and school workplaces need to ensure that teachers are allowed to focus on these tasks without unnecessary interference. The perception of many teachers is that the appraisal system is more an interference than an aid and the study will set out to explore whether this perception has an impact on the implementation of the policy.

Teachers feel that their teaching routine is hampered by the vast amount of administrative work that is required for the job. The results of this particular study together with previous findings suggest that a greater emphasis on teacher quality could see teachers’ work being redesigned to focus more on the professional and knowledge-based components of teaching. This would results in perhaps fewer

teachers being employed, but with more non-professional people being employed to do those parts of teachers' current work that do not require educational skills. A further change could be teachers being paid substantially more to attract and retain the best possible candidates. There is no doubt that higher salaries could be an element which could motivate teachers to improve their classroom performance. The IQMS allows for competent teachers to be rewarded with pay progression, however, the same instrument is used for salary increment purposes and for developmental purposes. The study will investigate whether this should be the case.

2.3.3 Assessment Policy

Besides the evaluation policy related to teachers, the Assessment Policy, gazetted in December 1998, provides for the conducting of systemic evaluation of learners at the key transitional stages, viz. Grade three, six and nine. The main objective is to assess the effectiveness of the entire system and the extent to which the vision and goals of the education system are being achieved. Although this policy is not directly associated with the IQMS policy, teachers should be held accountable for the results achieved by the learners. It is suggested that these externally conducted assessment tasks should form an integral part of the teacher evaluation process.

The disappointing results achieved by South Africans in these assessment tasks is discussed at a later stage, however in brief, the policy is indicating systemic flaws and weaknesses, that require the urgent attention of those employed to fix the system. An attempt is made in the study to identify who these system mechanics are in the Education Department and what they plan to do to improve the system. This is supported by numerous studies undertaken by for example, in chronological order, Angus Case and Ann Deaton (1999), Sarah Howie (2001), Servaas van der Berg (2005), Vijay Reddy (2006) and Brahm Fleisch (2007) who clearly indicate that there are problems that need to be rectified.

That the system needs to be improved has been pointed out in a number of studies investigating the effectiveness and efficiency of the system. These are reviewed in a book 'Getting Schools Working' authored by Taylor, Muller & Vinjevold (2003). One of the strategies to improve the effectiveness and efficiency of the entire system would be to use IQMS as a developmental tool to improve the classroom performance of teachers. The extent to which it is presently being used for this purpose forms part of the focus of the study.

2.3.4 Further Education and Training (FET) Act (No. 98 of 1998)

Also, the Further Education and Training (FET) Act (No. 98 of 1998) makes it obligatory for the Director General, subject to the norms set by the Minister in terms of the National Education Policy Act, to assess and report on the quality of education provided in the FET Band. This Act is relevant to the schooling system since the last three years of schooling fall within this band. At present it is not linked to the appraisal of teachers and it is suggested that it should be.

2.3.5 South African Qualifications Authority (SAQA) Act of 1995

The South African Qualifications Authority (SAQA) Act of 1995, requires that Education and Training Quality Assurance (ETQA) bodies be established for the purpose of monitoring and auditing achievements in terms of national standards and qualifications. The extent to which SAQA uses the IQMS to assist them in determining these standards is not part of the study, but might form part of a further study in the future.

2.3.6 South African Schools Act 84 of 1996

The Preamble to the South African Schools Act, which became law in November 1996, explains its rationale as follows:

“...this country requires a new national system for schools which will redress past injustices in educational provision, provide an education of progressively high quality for all learners and in so doing lay a strong foundation for the development of all our people’s talents and capabilities, advance the democratic transformation of society, combat racism and sexism and all other forms of unfair discrimination and intolerance, contribute to the eradication of poverty and the economic well-being of society, protect and advance our diverse cultures and languages, uphold the rights of all learners, parents and educators, and promote their acceptance of responsibility for the organisation, governance and funding of schools in partnership with the State;” (Republic of South Africa, 1996c).

The South African Schools Act (SASA) (1996) promotes access, quality and democratic governance in the schooling system. It ensures that all learners have the right of access to quality education without discrimination, and makes schooling compulsory for children aged 7 to 14. It provides for two types of

schools - independent schools and public schools. The Act's provision for democratic school governance through school governing bodies is now in place in public schools countrywide. The school funding norms outlined in SASA prioritise redress and target poverty in funding allocations to the public schooling system.

The South African Schools Act 1996 aims therefore to provide for a uniform system for the organisation, governance and funding of schools. It seeks to ensure that all learners have right of access to quality education without discrimination, and it makes schooling compulsory for all children from the year they turn 7 to the year in which they turn 15 (or the end of grade 9, whichever comes first). It regulates the provision of public schools and education places by provinces, the governance of schools (in particular the establishment and operation of school governing bodies), the funding of schools (including state responsibilities, school budgets, fees and the framework for funding rules or (norms and standards) and the establishment and funding of independent (private) schools.

The link which this Act has with the IQMS is that, as was previously stated, the provision of public schools is a National and Provincial competence, and the difference between the provision of schools and learning spaces in the urban areas and rural areas is glaring. The study investigates the impact that infrastructure has on the performance of teachers, and looks at the impact this has on the appraisal system as a whole.

2.3.7 Employment of Educators Act 76 of 1998

The significance of the Act in terms of the study is that according to the Employment of Educators Act 76 of 1998 the employer is entitled to require teachers to engage with professional development activity up to a maximum of 80 hours per annum. The employer is obliged to present or prescribe programmes that need to be attended by teachers. These activities are to be conducted outside the formal school day or during the school vacations. The employer is expected to give at least one term's notice of programmes to be conducted during school vacations.

Thus far there has been no move by the employer to use this clause and therefore courses are offered on an ad hoc basis and are presently offered during the school day, implying that those attending these courses are not teaching. The IQMS is a developmental tool and the study will explore the extent to which it is being used as such and recommend ways in which it can be improved.

2.3.8 South African Council of Educators Act 31 of 2000

The South African Council of Educators Act 31 of 2000 contains the Code of Professional Ethics for Educators which requires that the educator, amongst others:

- Acknowledges that the exercising of his or her professional duties occurs within a context requiring co-operation with and support of colleagues;
- Behaves in a way that enhances the dignity and status of the teaching profession and that does not bring the profession into disrepute;
- Keeps abreast of educational trends and developments;
- Promotes the ongoing development of teaching as a profession; and
- Accepts that he or she has a professional obligation towards the education and induction into the profession of new members of the teaching profession.

The only way in which the above can be measured to ascertain whether teachers are compliant with the above measures is through an appraisal or evaluation system. The perception in many circles is that it is this Council that should take ultimate responsibility for the monitoring and follow-up of the scores submitted by teachers following their annual evaluation. The feasibility of this change is discussed in the study.

2.3.9 Labour Relations Act 66 of 1995

The Labour Relations Act 66 of 1995 entitles the employer to expect an employee to perform his or her duties in a dedicated and committed manner. This implies that the employer has to measure the extent to which the employee is performing his duties in the required manner – through an evaluation process. The process used for teachers is the IQMS which is the focus of the study. The success of the implementation of the process depends on a number of variables which were mentioned in the previous chapter, known as the 5-C protocol, this protocol should be considered before reaching conclusions as to the possible reasons for the failure of policy implementation.

2.3.10 National Policy Framework for Teacher Development in South Africa

The National Policy Framework for Teacher Education and Development in South Africa was introduced in 2006 with the overriding aim to properly equip teachers to undertake their essential and

demanding tasks, to enable them to continually enhance their professional competence and performance, and to raise the esteem in which they are held by the people of South Africa. The objective of the policy is to achieve a community of competent teachers dedicated to providing education of high quality, with high levels of performance as well as ethical and professional standards of conduct.

Since it is believed that teachers themselves are the essential drivers of a good quality education system this belief is firmly embedded in the policy. The Policy Framework indicates that international evidence has shown that the professional education and development of teachers works best when teachers themselves are integrally involved in it, reflecting on their own practice; when there is a strong school-based component; and when activities are well co-ordinated. The national and provincial education departments are obliged to provide an enabling environment for such preparation and development of teachers to take place. It is questioned whether this environment has been sufficiently well created to allow this to happen.

One of the main thrusts of the policy accepts that it is the responsibility of teachers themselves, guided by their own professional body, the South African Council for Educators (SACE), to take charge of their self-development by identifying the areas in which they wish to grow professionally, and to use all opportunities made available to them for this purpose, as provided for in the Integrated Quality Management System (IQMS).

All the policies and prescripts that have been mentioned above have alluded to the need for teachers to continuously develop themselves as professionals so as to enhance the standard of education in the classroom.

Before 2006 and the promulgation of the above legislation, the scene was set five years before when as part of the policy development process to ensure that the constitutional rights as far as education are concerned are enforced, the Ministry of Education in 2001 announced a groundbreaking policy known as Whole School Evaluation. This is important as no form of evaluation had hitherto gained the acceptance of both the employer and the employee. It is therefore important to elaborate and discuss this policy in more detail. This analysis is provided in section 2.3.11.

2.3.11 National Policy on Whole-School Evaluation

Prior to 1998 when DAS was introduced there had been no national system of evaluating the performance of schools consequently no comprehensive data on the quality of teaching and learning, or on the educational standards achieved in the system.

An agreement was reached in the ELRC (Resolution 8 of 2003) to integrate the existing programmes on quality management in education. The existing programmes were the Developmental Appraisal System (DAS) that came into being on 28 July 1998 (Resolution 4 of 1998), the Performance Measurement System that was agreed to on 10 April 2003 (Resolution 1 of 2003) and Whole-School Evaluation (WSE). The IQMS is informed by Schedule I of the Employment of Educators Act, No. 76 of 1998 where the Minister is required to determine performance standards for educators in terms of which their performance is to be evaluated.

The National Policy for Whole-School Evaluation was important as a holistic approach to school evaluation was developed with the current IQMS teacher evaluation process eventually forming only one component or facet of the assessment procedure.

2.3.12 Significance of the WSE Policy

The Policy regards whole-school evaluation as being the cornerstone of the quality assurance system in schools. It enables a school and external supervisors to provide an account of the school's current performance and to show to what extent it meets national goals and needs of the public and communities. This approach provides the opportunity for acknowledging the achievements of a school and for identifying areas that need attention. Whole-school evaluation implies the need for all schools to look continually for ways of improving, and the commitment of Government to provide development programmes designed to support their efforts.

The main cornerstone of the policy provides for schools to carry out self evaluations which are submitted on an annual basis at national level. It is the objective of the Department to randomly select schools every year in order to assess these evaluations and to provide support where necessary.

Thus effective quality assurance within this framework can only be achieved through schools having well-developed internal self-evaluation processes, credible external evaluations and well-structured support services.

The principles and aims of the WSE policy have been briefly listed in Annexure A which describes the principles, aims, tools and key areas of focus of the system. The holistic approach is designed to help schools measure to what extent they are fulfilling their responsibilities and mapping a way to improving performance.

Despite the comprehensive documentation and schedules laid out in the National Whole School Evaluation Policy, these guidelines are dependant on National and District support. Without continual intervention and monitoring from these sources, policy implementation is impossible. An example of this is that in 2008, no schools in the Ugu District which is the area of this study were selected for assessment by the Department. In addition in 2007, of the 517 schools in the Ugu District, only 3 were included in the monitoring and assessment programme.

As an integral component of WSE, IQMS focuses on educator performance and relies on self evaluation in order to achieve the necessary goals for service delivery.

2.4 The Concept of the Integrated Quality Management System

Collective Agreement 8 signed in the Education Labour Relations Council in 2003 explains that the IQMS is an integrated quality management system that consists of three programmes aimed at enhancing and monitoring performance of the education system. The Agreement states that these are:

- *Developmental Appraisal (DA)* which appraises individual educators in a transparent manner with a view to determining areas of strength and weakness, and to draw up programmes for individual development.

- *Performance Measurement (PM)* which evaluates individual teachers for salary progression, grade progression, affirmation of appointments and rewards and incentives.

- *Whole School Evaluation (WSE)* evaluates the overall effectiveness of a school as well as the quality of teaching and learning.

These three programmes are supposed to be implemented in an integrated way in order to ensure optimal effectiveness and co-ordination of the various programmes.

2.4.1 Purpose of IQMS

Collective Agreement 8 states that IQMS focuses on teacher performance, development and ultimate service delivery. Briefly these purposes of the Management System are:

- To identify specific needs of educators schools and district offices for support and development;
- To provide support for continued growth;
- To promote accountability;
- To monitor an institution's overall effectiveness; and
- To evaluate an educator's performance.

2.4.2 Guiding Principles of IQMS

Collective Agreement 8 (2003) points out that the implementation of the IQMS is guided by the following principles:

- The need to ensure fairness, for example, there can be no sanction against an educator in respect of his/her performance before providing meaningful opportunities for development.
- The need to minimise subjectivity through transparency and open discussion.
- The need to use the instrument professionally, uniformly and consistently.

All of the above principles are accepted as being internationally accepted rudiments of a fair and effective appraisal system. A brief overview of the IQMS and implementation procedures is described in Annexure A.

Like any public policy endeavour, education is guided by the framework established by law. Understanding that framework is thus a critical first step in unpacking the various elements which make up the field of education human resource management and development.

2.4.3 Perception of Policy Reform

It is important to grasp teacher's perceptions of educational policy to understand the success or failure of the adoption and successful implementation of a policy (Datnow and Castellano, 2000). Fullan (2001) identifies four policy characteristics:

- The need for policy; why is the policy needed?
- The need for clarity of intention is important and relates to clear goals and means of the policy.
- The policy's complexity is the third characteristic and refers to the extensiveness or difficulty of implementation for principals and teachers.
- The last characteristic is quality/practicality. The policy must be of a high quality and must be supported by resources (e.g. materials and time) (Fullan, 2001).

The success of any educational policy reform requires that teachers themselves are actively involved in policy development, adoption and implementation. Unless teachers are actively involved in policy formulation, and feel a sense of "ownership" of reform, it is unlikely that substantial changes will be successfully implemented.

It is difficult to find the right balance, but open and on-going systematic dialogue and consultation is fundamental to the process. The lack of these processes under the Apartheid regime led to the crisis situation in which education found itself before democratization in 1994.

Under the former dispensation prior to 1994, there were glaring inadequacies in both statutory and common law regarding the rights and protections afforded employees. This resulted in the adoption of a range of Acts directed at remedying this situation and according employees certain minimum rights that employers cannot undercut through contracts of employment.

2.4.4 Appraisal and Professional Development

Following on from the several policy guidelines set in place to map the transformation process, it has been identified that professional development and training are essential requirements in managing the workplace in the new employment environment in South Africa.

The primary aim of such training and development is to develop skills and thus the capacity of employees, many of whom are from disadvantaged backgrounds. The aim of this is to improve the quality of professional public service delivery and work performance, and to achieve the goals of employment equity.

An important tool in measuring the effectiveness of any improvement activity is performance management. A well designed instrument enables an employer to take stock of its human resource as well as to assess and evaluate its performance with regard to service delivery for a range of purposes: improvement of performance, remuneration decisions, placement and promotion decisions, career planning, and the like. It also permits the necessary action to be taken where inadequate performance is identified, including, where necessary, disciplinary measures. The system can also help assist in human resource decisions relating to retirement and resignation.

Since transformation, various legislative enactments provided the framework for the development and implementation of appropriate professional development. Numerous training programmes have been employed to enable the objectives established for the national workforce in general, and Public Service in particular, to be achieved.

Thus, according to the preamble of the Skills Development Act, its purposes, amongst others, are: to provide an institutional framework to devise and implement national, sector and workplace strategies; to develop and improve the skills of the South African workforce; [and] to integrate those strategies within the National Qualifications Framework contemplated by the South African Qualifications Authority Act.

It is within this legal framework that a conceptual and theoretical perspective have to be intertwined for a policy to have the required structures and processes to ensure its successful implementation. This is discussed in the following section.

2.5 Conceptual and Theoretical Framework for the study

Any empirical study requires principal theories upon which it can be constructed. The principal theories upon which this study is constructed are provided:

2.5.1 Theoretical Framework

The theories on which Public Administration and Public Management are said to be based have been well researched and chronicled as has the history and rationale for wanting to develop new systems for more effective management of public resources. Dunleavy and Hood 1994 (“From Old Public Administration to New Public Management.”) are amongst the scores of other commentators who have written on the subject. (See also Minogue, 1998; Schick 1996 and 1998; Hughes, 2003; Osborne & Gaebler, 1992 and Nagel, 1994). These authors provide the basis of what is presented in the following sections.

i) *Modernisation Theory*

This is a socio-economic theory, sometimes known as (or as being encompassed within) development theory, which highlights the positive role played by the developed world in modernizing and facilitating sustainable development in underdeveloped nations (in contrast to dependency theory). It is also a part of the wider theme of theories in sociology, known as the sociocultural evolution.

Theories of modernization have been developed and popularised in 1950s and 1960s. It combines the previous theories of sociocultural evolution with practical experiences and empirical research, especially those from the era of decolonization. The South African context is significant in this perspective as it is classified as a developing nation which as recently as 1994 held its first democratic elections. Emanating from this theory is the focus of the public administration sector on the way they conduct business. This is referred to as the New Public Management (NPM) style which is a practical reform movement of the public administrations of the OECD countries developed in the 1970’s. This movement attempted to align the processes of public administration with those of the private sector.

Characteristics typical of NPM are embraced in the policies accepted by the South African Public Service as is indicated in the enabling legislation discussed in the legal framework. These include *inter alia* :

- Accountability for performance which includes performance auditing
- Decentralisation to ensure a strategic planning and management approach
- Performance measurement to bring about a changed management style

It is interesting and in the context of the study, relevant to note that there are commentators (Schick, 1998) who are of the opinion that NPM had little impact on the way services were delivered in developing economies. One of the reasons for this is that NPM still demands the characteristics of the Old Public Disciplines which were absent in many developing countries as NPM-like reforms were launched. This is not a “stages of development” argument in which a long period of tighter control by central agencies is the prescription. It is an empirical observation that predictable resourcing, credible policy, and credible regulation of staff are pre-requisites for effective contract-like arrangements.

These disciplines are fundamental to any conception of performance; and few reforms can gain traction without them (Manning, Mukherjee, et. al. 2000).

The study takes into account these factors when assessing the successful implementation of the IQMS policy.

ii) Literary theory

This is the theory (or the philosophy) of the interpretation of literature and literary criticism. Literary critics will be sourced through published academic journals and other subject matter. This study contains a comprehensive review of the literature relevant to the topic.

iii) Analytic philosophy

This is typically characterized stylistically by rigorous, precise argumentation, a strong concern to provide evidence for any advocated views, clarity and carefulness in writing, the use of mathematical logic and other formalisms, respect for the natural sciences, and careful attention to texts. Any academic and empirical study will require an analysis of the findings to argue the validity of these.

iv) Economic Theory

Economics is the social science that studies the production, distribution, and consumption of goods and services. A simple definition that captures the essence of modern economics is that of getting value for money. This is particularly true of education which has to balance a host of needs/wants of respective communities with the normally limited available resources.

v) Social theory

This refers to the use of theoretical frameworks to explain and analyze social action, social meanings and large-scale social structures. The field is interdisciplinary, drawing ideas from and contributing to such disciplines as anthropology, economics, history, literary theory, philosophy, sociology, and theology. Some of the theories that have emanated from this framework are Motivational theory, Organisational theory and a Systems Management theory. The study will use these theoretical frameworks extensively upon which the research project will be constructed.

A combination of the theories described above will be included and incorporated in the discussions that follow.

2.5.2 Political and Systems Framework

The Education sector in South Africa, after nearly 15 years of systemic reconstruction has been forced to answer the simple question:

“Is what we’re doing making a difference and is anyone better off as a result of our efforts?”

To answer this question, performance of teachers needs to be viewed from a broader perspective: is the system one that not only counts the inputs and outputs of the implementation, but one that is also able to measure progress in reaching the organisation’s true mission?

Past and future developments of teacher evaluation policies can best be understood when placed in a political and systems framework. The political framework includes external as well as internal stakeholders. The political framework must address the question of ownership and legitimacy. How do

the evaluatees (teachers) see the implementation of policies – in particular the appraisal system? Do they have “buy-in” to the system or do they see it as being owned by the state to impose more control on the way they teach?

Within the political framework, schools are viewed as micro-political units where teachers, administrators, parents, students and even society far removed from the classroom seek to realise their goals. This can often lead to a conflict of interests. Today political institutions are seen as bureaucratic democracies, with one distinguished from the other by the balance of democracy and bureaucracy.

Most writing to date (Strike,1990; 1991; 1993/ MacDonald 1974/ McNeil,1981), about the politics of teacher evaluation indicate that a balance between bureaucratic democracies and professions still need to be found. Their findings suggest that the process of teacher evaluation should be legitimised by democratising it and removing it from the hierarchical bureaucracy in which it now resides - to place it in a new context acceptable to all (Glass and Martinez,1993).

Once an evaluative policy framework becomes understood and accepted, the shift from individual to collective accountability should provide a new dimension to teacher evaluation systems. This can only take place when teachers feel that the system is their own and exists to assist them in their development as better teachers. This is the balance referred to in the previous paragraphs. As politics and organisational culture are closely aligned, the successful schools of tomorrow will need to have a school culture that accepts collective accountability - making everyone responsible for teacher development through a community of learners. The successful shift from the old to the new is dependent on both external and internal elements. This interdependence is referred to as the systems theory. For the purposes of this study the Integrated Organisational Model will be used to explore the climates that need to be created to ensure that teacher evaluation systems achieve what they intend to achieve.

A brief description of the model and framework as related to the study are provided in the following section.

2.6 Integrated Organisation Model

Former President Mbeki, in his State of the Nation Address in May 2004, identified monitoring and evaluation as pivotal to the fulfilment of the “People’s Contract”. The People’s Contract contains governmental promises to the citizens of this country, and a monitoring and evaluation process will enable government to track whether promises are being fulfilled (monitoring), as well as at the end of the day evaluate the efficiency, effectiveness and impact of the programmes of government (evaluation). In South Africa’s new administration under President Zuma, a Ministry responsible for Monitoring and Evaluation of the performance and progress of all provinces and state departments has been formed..

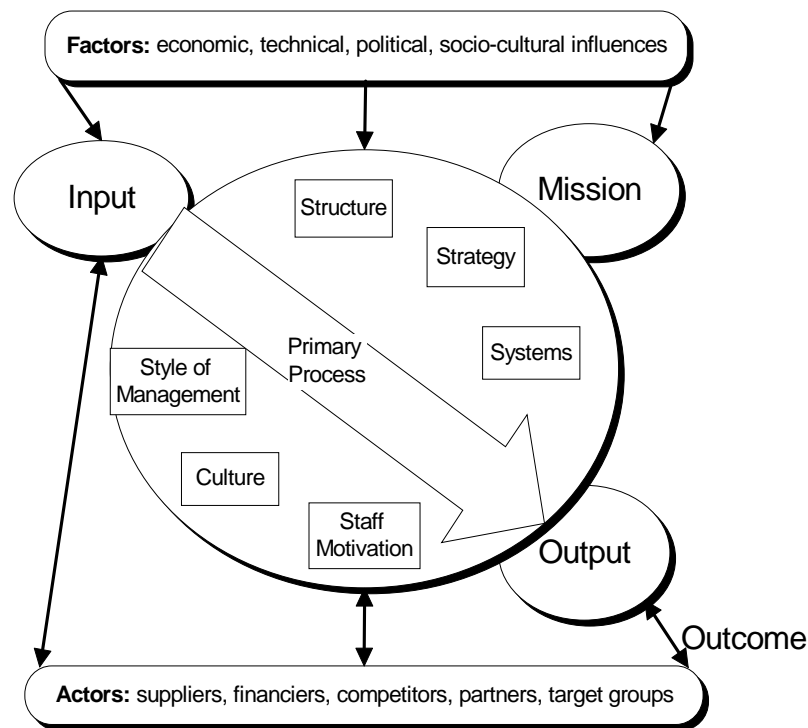
International strategies such as the Millennium Development Goals, which South Africa has adopted, national strategies such as the Accelerated and Shared Growth Initiative for South Africa (AsgiSA) and the National Programme of Action, provincial strategies and Education-specific strategies on a national and provincial level guide the monitoring and evaluation strategy of the Department.

Public Schools and those who work within them depend largely on government for their existence and are therefore reliant on the state for *inter alia* the erection and maintenance schools, salaries of teachers. The government in turn relies on revenue received from taxes from the citizens and decides on the allocation amounts to various government departments.

The political party in control has priorities and funds are dispersed accordingly and the amount of state revenue collected depends on the economic climate of the country which is in turn affected by the prevailing socio-cultural influences prevalent at the time.

Figure 3 on the following page illustrates how all elements work together to form a single organisational unit. In the case of a school, these elements combine to form a functioning entity and are responsible for the efficiency or otherwise of the organisation.

Figure 3: Organisational Model



(Source: Management for Development Foundation)

2.6.1 External organisation elements affecting schools

i) Mission

Figure 3 above shows that the mission of the organisation as an important external element in the defining of an establishment. Any institution's mission statement is important for a number of reasons:

- It gives direction to the institution's activities and is a concise outline of "who we are, what we do, and where are we headed"
- It brands and personalises in the sense that it gives an organisation its own special identity, character and reasons for existence (Smit and De Cronje, 1992:59); and;
- It describes the institutions goals, its market, resources and technological areas of emphasis in a way that reflects the values and priorities of the various stakeholders.

In the school context it is through the principal, school management team, staff and the School Governing Body (SGB) that their beliefs, desires and aspirations develop strategy into pursuing a shared vision and improving the teaching and learning in the school. One of the aspects that needs to

be strategised is how to improve teacher performance by using available policy. The responsibility for policy adoption and implementation in schools rests mainly with the principals (Hope and Pigford, 2002). Their active support for the policy is necessary, since the principal influences teacher's attitude towards the policy (Brown and Anfara, 2003; Fullan, 2001). The responsibility for teacher evaluation also rests with the principal (Beerens, 2003).

Even if the quality of a teacher evaluation system is outstanding, it has little meaning if the principal is unsupportive (Davis, Ellett, and Annunziata, 2002). Although the importance of the principal for the implementation of educational policy on teacher evaluation is widely recognized, research on the role of the principal when implementing teacher evaluation is limited. The literature on the role of principals for policy implementation shows three important dimensions of leadership: vision, support and structure (Leithwood, Louis, Anderson, and Wahlstrom, 2004). The study will analyse the role of the principal in successfully implementing IQMS in schools.

ii) Output

Figure 3 shows that the output of an organisation comprises of all material and immaterial products and services delivered by the organisation to its various target groups (clients or customers). Output relates to efficiency and effectiveness.

Efficiency is the capability of acting or producing effectively with a minimum amount or quantity of waste, expense, or unnecessary effort; working productively with minimum wasted effort or expense. In general, efficiency is a measurable concept, quantitatively determined by the ratio of input to maximal possible output.

Effectiveness means the capability of, or success in, achieving a given goal; producing a desired or intended result. Effectiveness is a vague, non-quantitative concept, mainly concerned with achieving objectives. Contrary to efficiency, the focus of effectiveness is the achievement as such, not the resources spent, so not anything that is effective has to be efficient, but anything that is efficient also has to be effective.

The IQMS measures the both the effectiveness and the efficiency of the teacher which looks at the results of the learners and the way in which the teacher was able to achieve those results. Although

results are not criteria use in measuring the performance of the teacher, it can act as a guide as to the success the teacher is achieving.

The output may also be described in reference to its outcome. This means that it relates to how the target group (e.g. learners and their parents) appreciate the output (quality education).

iii) Outcome

The outcome of the school comprises *inter alia* how the learner uses the output, i.e. the quality education that the pupil received to enable the pupil to make a contribution to the country's economy. This is an aspect that is discussed in chapter four in more detail. Essentially IQMS is unable to measure outcomes, however the contributions of teachers to enable their students to attend tertiary education institutions might act as an indicator as to the quality of education being offered at the school.

iv) Input

Another important external element shown in *Figure 3* illustrates the role of inputs of the organisation which include all the resources available for generating the products and services of the organisation. In the case of a school the following categories of inputs and resources can be identified:

- Staff, e.g. educators and support staff
- Buildings and infrastructure
- Equipment, supplies and materials used
- Services of third parties, e.g. the advice of the Ward Manager etc.
- Information and technology
- Financial resources
- Natural environmental resources

As was indicated in chapter one, nationally the government puts a comparatively high percentage of the Gross Domestic Product (GDP) in the education budget. The bulk of this amount is spent on personnel, the majority of whom are teachers. Using the model, therefore would indicate that the inputs should be efficiently used to attain the desired output. Otherwise stated, teachers (input) should attain the desired results (outputs) from their pupils. Using the National Senior Certificate results as a yardstick, this is not happening and the education system can therefore be described as both inefficient

and ineffective. The study suggests that IQMS is the vehicle to use to reach a system that can be described as efficient.

v) *Factors*

The factors or general environment is the complex set of political, economic, technological, social, legal and cultural factors that influence the organisation. It includes, for example, the factors that originally made the organisation to be founded or to exist. The enabling legislation introduced to assist teachers has already been discussed and will not be elaborated upon here.

vi) *Actors*

The actors or the specific environment comprises of the relations with those sectors (government, people, other organisations or schools, business community or service providers and interest groups) with whom the organisation is directly dealing. If relevant, actors with whom the organisation is co-operating with may include different types of relations:

- Formal/vertical linkages: with e.g. policy makers, decision makers and regulators
- Funding relations: with e.g. financiers, donors
- Service relations: with e.g. suppliers of inputs or with users of output (e.g. customers and/or target groups)
- Relations: with competitors

Actor analysis takes place within the context of Whole School Evaluation and not at the teacher evaluation level.

2.6.2 Internal organisational elements

Within any school internal factors have a profound effect on how the organisation operates. These can briefly be identified as:

i) Strategy

Strategy refers to the way in which the mission is translated into concrete objectives and approaches. Depending on the quality and availability of the external elements, a choice for the most adequate strategy may be made. In case the environment changes, the strategy should be inherently dynamic in order to achieve the relevant output. For the purpose of the study, strategies used to successfully implement IQMS will be discussed as some schools appear to be more successful in implementing the policy than others.

ii) Structure

The structure of an organisation can be defined as the formal and informal division and co-ordination of tasks and responsibilities. It includes all co-ordination mechanisms within the organisation which includes the adoption and implementation of the appraisal system. The way in which these mechanisms are co-ordinated depend to a large extent on the school principal. Effective principals make sure their attitudes and expectations are clear to the teachers. This task oriented behaviour of principals also includes defining clear standards of performance (Hoy and Tarter, 1997). Also, the confidence teachers have in their principal might influence the willingness of teachers to go along with the principal in a reform (Fullan, 2001). This includes the reformation of teacher appraisal.

iii) Systems

This refers to the internal processes that regulate the functioning of the organisation. These internal processes can be divided into:

- Primary processes: directly focused on transformation of inputs into outputs. These include working methods and techniques
- Control processes: focused on control of other processes. These include feedback, monitoring, communication and decision-making processes.
- Strategy formulation processes: focused on the formulation and adaptation of the organisation's strategies. This includes the planning processes.
- Support processes: aimed at supporting the primary and other processes. This includes the financial-administrative and logistic systems.

- Improvement processes: aimed at improving the quality of other processes. These include monitoring systems, quality management and evaluation activities, which for the purposes of the study is particularly relevant.

iv) Management style

The style of management can be described as the characteristic pattern of management behaviour. On which priorities does a manager place emphasis? Which aspects does he/she feel are important and how does the manager spend his/her time? These aspects can involve internal or external relations, people or means, relations or performance, inputs or outputs, quality or quantity. What is his/her attitude in making decisions: Participatory or directive/authoritarian, risk taking or risk avoiding, long or short term oriented, formal or informal, rational or intuitive. In addition, another question to be asked is whether the management style relevant to the particular organisation or strategic objective.

Effective schools more often than not have principals who create a supporting work environment (Evans and Teddlie, 1995). Moreover, the relationship between a principal and teachers at the school influences the capacity and motivation of his teachers (Leithwood *et al*, 2004) affecting the organisational culture prevailing at the school. Management style also affects the climate of communication which will determine whether a supportive or threatening environment may allow frank and honest discourse to discuss performance to take place. The perception exists that effective schools have successfully implemented the appraisal system and are using it as the management tool it is intended to be. This is perceived to be due to the management style that is open and supportive as opposed to a more threatening style. The study takes this into account.

v) Communication Climate

Performance Appraisal often fails to meet its objectives. This happens for a number of reasons but an important factor contributing to this is an unhealthy communication climate. This is a vital element required for performance management to succeed. An unhealthy communication climate can best be described as one that is closed rather than one that is open and supportive. This is depicted in *Table 6* on the following page:

Table 6: Communication climate

Closed Communication Climate		Open Communication Climate	
Judgmental	Proportioning Blame Negative feedback Members made to feel useless Members made to feel second-rate	Descriptive	Information is informative not evaluative
Controlling	Compliance to certain behaviour is insisted upon Out of the box thinking is discouraged	Solution oriented	Solutions rather than problems is the focus Divergent thinking is encouraged
Deceptive	Hidden meanings Artificiality Manipulation	Open & honest	Constructive criticism Say it as it is Assist and improve
Non caring	Aloof Egoistic Impersonal Lack of concern for others	Caring	Empathy and understanding
Superior	Boss mentality I know you do not	Democratic	Equal status
Rigid	Other views not considered Discussion not entertained Little give and take	Flexible	Errors are inevitable Misjudgements will happen Preventive Actions are strategised
Intimidating	Negative approach Concerns of others are ignored	Responsive	Feedback is positive Negative and positive feedback leads to growth

(Source: Regenesys – Monitoring & Evaluation 2007)

It is abundantly clear that management style and communication climate can contribute to or detract from the success of performance appraisal. These are two elements of Organisational Culture which are discussed in the next section.

vi) Organisational Culture

Since it is clearly apparent that a “healthy” organizational culture has a profoundly positive effect on teachers, and contributes to the effective implementation of an appraisal system, the concept of organisational culture will be further investigated.

Hoy (1994:3) advocates that organisational culture has become a vehicle to understanding the character of an institution. Organisational culture embodies the beliefs, values, traditions, practices, policies and norms held by the people within the organisation.

Organisational culture particularly emphasizes the development of shared norms and meanings. Interaction between members of the institution eventually leads to behavioural norms that gradually become cultural features of the school.

The organisational culture of an individual school thus, contributes to its distinctiveness or character. This identity is not easily described but is a result of how people in the organisation experience the norms, values and beliefs within the establishment. The culture of the school is the most pervasive aspect of school life, touching and affecting every other aspect and is strongly influenced by the broader social system. Thus each school tends to develop its very own identity.

Most schools value being recognised as an effective or good school as this identity develops the respect of all its stakeholders. The process of developing a positive identity involves developing the directions, aims, vision and mission for the school. The strategic planning process facilitates the achievement of these goals and objectives thus shaping the direction and progress of the school. Conversely, a negative identity can develop through a lack of a clear vision, a sense of purpose, and through a lack of effective leadership

Taking into cognisance the evolution of a school’s culture can facilitate a better understanding of how support can be provided to assist the school in becoming a more effective learning organisation.

Factors that influence a particular school culture may be internal elements such as the disciplinary procedures, staff relations, and divergent views on authority, pupils’ behaviour or staff commitment to delegated tasks. This may affect the way teachers think about and value their role as educators. It will also affect the way in which people relate to each other, the way meetings are conducted, information

is shared and the way that schools are managed. All of these will impact on the pupils' attitude towards school and the general teaching and learning taking place here. (Davidoff and Lazarus, 1997).

In a school environment as asserted by Bush and Anderson (2003) culture is typically expressed through rituals and ceremonies such as assemblies, prize-givings, celebrating national holidays – all of which are used to support and celebrate beliefs and norms. Rituals are at the heart of a school culture and symbols are a key component of the culture of all schools.

Since 1992, educational legislation as an external factor has impacted considerably on the culture of South African schools in terms of how they learn to cope within the context of educational change (Van der Westhuizen, 2002; Lemmer, 2000). Although this process may be facilitated by new laws, policies and structures; quality in education is embedded in changing values and understanding the actions of individuals, especially teachers, who are expected to be leaders in the culture of the transformation process (Van der Westhuizen, 2002; Donald, Lazarus and Lolwana, 1999). The IQMS is intended to promote this process transformation.

If schools are to be successfully enabled not merely to survive but also to innovate within the ever-present context of educational renewal, it is imperative that they learn simultaneously to adapt to and generate new meanings and strategies, which facilitate effective change management (Moloi, 1999; Fullan, 1997; Senge, 1990). This can only be accomplished when schools begin to invest in improving their quality of thinking through developing their capacity for shared-vision building, continual enquiry, organizational development and collaborative work culture (Fullan, 1997). The challenge is not so much one of solving change problem, but rather a question of explicitly acknowledging school culture as it has profound consequences for both stability and change (Fritz, 2002; Fullan, 1997; Altrichter and Elliot, 2000); Zollers, Ramanathan and Moonset, 1999; Davidoff and Lazarus, 1997)

The internal elements of the model in *Figure 3* are largely left to provincial departments to implement, which is further devolved to districts and circuits and eventually to schools. At each level it is critical that the structures, strategies, systems, staff motivation, culture and management styles are being sufficiently catered for to ensure that the desired objectives of the policy are being achieved.

2.7 Aligning Performance Management with the Systems Model

Within the systems model as described, it can be argued that managing performance has the dual purpose of:

- Managing the external situations (See *Figure 3*). These are the factors, actors, mission, input and output so that employees can perform and ;
- Enhancing the capacity of the employees by developing, enlightening, and appreciating them through the internal processes depicted in *Figure 3*.

The conclusion is that the system must ensure that the performance of people within the organisation is effectively managed. Performance Management is therefore designed to achieve specific and defined results from people so that the organization can achieve its goals and objectives. To be fair and useful, a performance management system must comply with the following criteria:

Table 7: Criteria for a fair and useful Performance Management System

Relevant	System must measure what it is supposed to measure- i.e qualities that are essential for success in the job. To ensure this, job descriptions and performance standards must be regularly updated. Distinction should be made between critical and less critical elements of each job and the rating system focused on what is most important.
Reliable	There must be consistency in judgements about performance i.e it should ensure that different supervisors would evaluate the same employee's performance in the same way. For reliability it is important that the managers or supervisors who carry out assessments are unbiased, and that the same appraisal process is used for all employees in particular posts.
Sensitive	System must be able to distinguish between good and bad performance, otherwise it cannot assist in improving performance.
Acceptable	For an appraisal system to work, it is essential that its users accept it and see it as valid and valuable. To ensure a positive attitude to the system, the designers must ensure that the users of the system are fully consulted when developing or changing the system.
Practical	Performance appraisal systems must be practical and user-friendly so that everyone can understand them and use them in a way that is not too expensive or time-consuming.
Free from Interfering factors	The appraisal system must not measure things that are outside the employee's control, such as a lack of funds, poor equipment, or the social, political, economic or technological climate.

Source: Regenys Monitoring and Evaluation 2007

Any evaluation tool therefore, must ensure that there are appropriate systems in place for continuous improvement enabling the employees to assist in achieving the goals and the objectives of the organisation.

As all components of a system relate to and affect each other, individual performance must be linked to team performance that is in turn linked to the achievement of the strategic goals of the department. Individual, team and organizational performance should therefore constantly be assessed to measure the extent to which each is contributing to the achievement of these goals.

The policy of the present government is to ensure that education receives sufficient resources so as to be able to redress past inequitable distribution. Education thus receives the largest slice of the National Budget and at National level, and policies formulated to ensure that the funds are used cost effectively have been in place for over fifteen years.

The majority of the funds allocated to education are required for personnel costs. It is therefore in the interests of the Department of Education to ensure that teachers are effectively doing what they are paid to do, which is to teach. How would this be established if their performance was not measured? At a macro level therefore it is essential to have a performance evaluation system in place to establish whether teachers are performing at an acceptable level. The need for an effective system to manage and monitor the performance of employees, within the context of a public service in transformation is self evident.

2.7.1 Performance Management

Performance management is a means of promoting the organizations' ability to accomplish its mission of maintaining or improving what it provides while at the same time seeking to maintain or enhance staff satisfaction and development (Armstrong, 1999).

This view is supported by Section 5.9 of the White Paper on Transformation of Human Resource Management which discusses performance management and states:

.. *“The success of the Public Service in delivering its operational and developmental goals depends primarily on the efficiency and effectiveness with which employees carry out their duties.”*

Performance management is therefore an integral part of an effective human resource management and development strategy, and is an on-going process. It also leads on to align training and development, rewarding good performance, managing poor performance, and using principles of openness, fairness and objectivity to achieve customer-driven results.

Performance management seems to be a fairly straightforward process however, the practical experience in many organisations, including the South African public service, has proven that performance management is not as easy as it appears.

2.7.2 Summary

A major goal of the government's and public sector transformation strategy has been to improve the quality of service delivery. Improving quality is a continuous process that involves assessing the current standards of service and product delivery, raising the bar higher, implementing initiatives that promise enhancements and reviewing how far the set standards have been achieved.

Performance management should not only set standards, it should also define who is in what way responsible for their achievement. By assigning personal accountability, organisations can ensure that better quality service and product delivery is not an elusive ideal.

It is in this context and within this framework that the study will take place. At a macro level the study will investigate globally what the purposes of teacher appraisal policies are and to assess the extent to which the policies at a national and provincial level in South Africa conform to these specifications. This will be done by conducting a literature survey which will review literature looking at specific aspects of teacher appraisal and will begin with the origins of the teacher appraisal system in South Africa.

At a micro level it will measure whether policy is being implemented effectively at schools and attempt to identify barriers to successful implementation. Possible barriers will be identified using the literature survey and a field study of teachers and administrator's perceptions of the system will be undertaken.

2.8 Teacher Appraisal in the South African Context

South Africa spends proportionately more on education than many other developing countries yet our pupils perform far worse than those countries in international assessments.

In a publication entitled *Doubling for Growth*, addressing the maths and science challenge in South Africa's schools it is pointed out that our schools continue to produce far fewer passes in maths and science than the country's economy requires. As the Human Rights Commission indicated in their report teachers should spend more time teaching. Perhaps if the incompetent or absent teachers were identified through the appraisal system, and support provided to remediate this unaccepted practice sufficient learners would pass these subjects to satisfy the country's requirements.

One of the key differences between South Africa and other developing, often poorer countries which are performing better is related to the amount of time actually spent teaching the syllabus.

According to the Centre for Development and Enterprise, accountability in the schooling system as a whole is a vital missing factor. It is hard to see significant improvements in quality emerging without the responsibility for results and consequences for lack of performance by principals and teachers. Accountability is a fundamental purpose of managing performance.

2.9 Financial Transfers from National Government

South Africa's national division of revenue system funds provinces progressively; in other words, poor provinces get more funding per capita of the population than rich provinces. This is in accordance with the equitable share formula (ESF).

The equitable share distribution as prescribed by the Division of Revenue Act would assume that the KwaZulu-Natal education department would receive the largest slice. Historically education expenditure has been about 41% of total government expenditure. Using 2002/3 financial year figures as an example, provinces received R49,6 billion (41% of R212 billion) for their education budget, This amount is then divided amongst the 6-17 cohort of the population and a potential amount of R4,489 per learner is available. However, in practice this is not the case. An example of this is that in 2002 a learner in KZN received just over R4,000 whilst his counterpart in the Free State Northern Cape and Gauteng received over R5,000. Although more recent statistics reveal that these figures have now

increased to R 5,530 for KZN with Gauteng and Northern Cape receiving R 7,079 and R 7,865 respectively, the allocation per pupil to the Free State has increased even further to R 7,391.

2.10 Education in Kwa Zulu-Natal

It is important to contextualise the situation in which the Department finds itself. As will be shown in the figures below, the Department is a huge entity and transformation is a slow process. Effecting change is comparable to turning around a large ocean-going liner travelling in the rough seas to face in the opposite direction.

In terms of the political scenario, the African National Congress (ANC) took over the province of KwaZulu-Natal from the Inkatha Freedom Party (IFP) in the 2004 elections and the new provincial legislature implemented considerable changes to the systems starting with a change of departmental leadership and a relocation of provincial offices from Ulundi to Pietermaritzburg. Taken as a whole these are unsettling circumstances and the problems encountered by the Department therefore do have their mitigating circumstances.

The KwaZulu-Natal Department of Education is the largest education department in the country. It employs a total of 68 760 teachers and office-based staff, and takes responsibility for 5,614 schools with more than 2.7 million learners in total. In his introduction to the 2004/5 Annual Report the Superintendent General of the Department, Dr Lubisi states:

“It is important to preface the Annual Report by highlighting the nature and status of administrative and management systems that were inherited by the current MEC when she took office in 2004. The sheer size of the province, the high levels of poverty as well as the high infrastructural backlogs that prevail required an injection of financial resources of massive proportions.

In addition, the amount of neglect over the years and the human capacity and competence limitations necessitated that the Department developed (sic) sound management and operational systems to improve the quality of education provision in the province” (KZN Education Annual Report 2005).

2.11 KwaZulu-Natal in the national context

Table 8 below illustrates the number of educators in KwaZulu-Natal compared with the other provinces in South Africa – by far the highest total of any province:

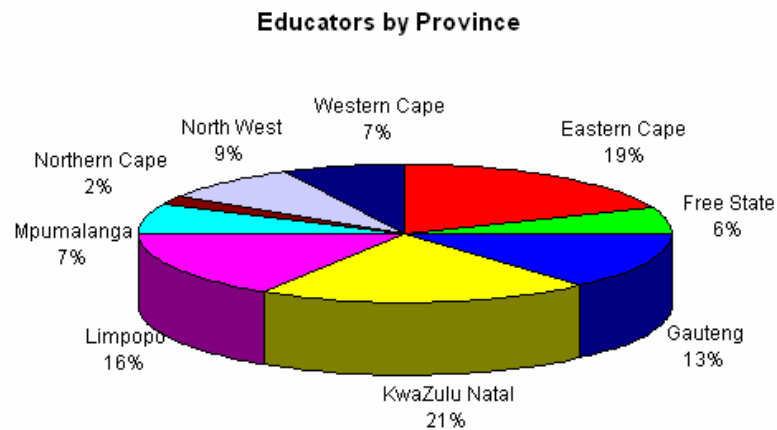
Table 8: Educators by province

Eastern Cape	63,899
Free State	21,955
Gauteng	45,437
KwaZulu Natal	68,760
Limpopo	53,382
Mpumalanga	24,793
Northern Cape	6,069
North West	29,693
Western Cape	25,192
TOTAL	339,180

(Source Education Statistics in South Africa at a glance 2003, DoE 2005)

The figures in the table above translate into the pie graph shown in Figure 4, which at a glance illustrate these figures in terms of percentages per province within the education system in South Africa.

Figure 4: Educators by province



(Source Education Statistics in South Africa at a glance 2003, DoE 2005)

The mere number of teachers in the province makes the implementation and monitoring of the appraisal system an administrative challenge. It is also difficult to entertain the development needs of so many teachers and the study investigates ways in which these challenges can be met. The statistics relating to the number of public schools per province indicate that although KwaZulu-Natal has the highest number of teachers, the Eastern Cape possesses the most schools as shown below:

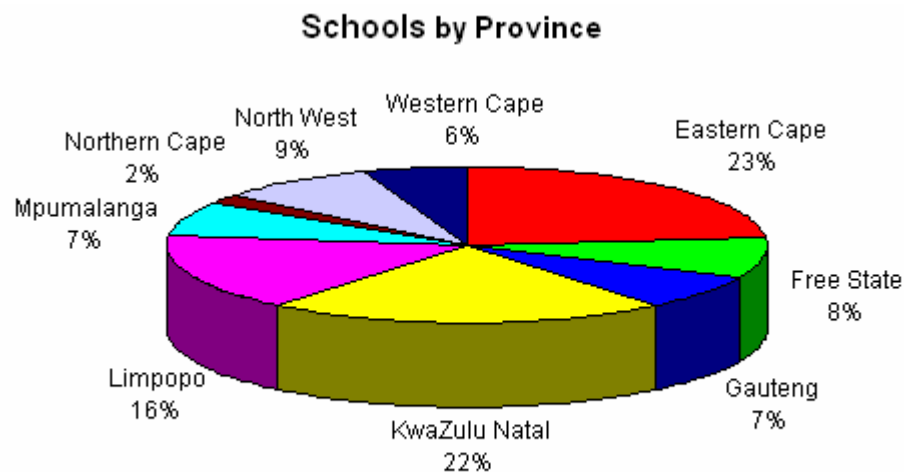
Table 9: Public Schools by Province

Eastern Cape	6,100
Free State	2,123
Gauteng	1,873
KwaZulu Natal	5,614
Limpopo	4,181
Mpumalanga	1,841
Northern Cape	441
North West	2,211
Western Cape	1,456
TOTAL	25,840

Source Education Statistics in South Africa at a glance 2003, DoE 2005)

The statistics above are translated into the pie graph shown in Figure 5:

Figure 5: Public Schools by Province



(Source Education Statistics in South Africa at a glance 2003, DoE 2005)

Despite the Eastern Cape having the most number of schools, the following illustrations show that by far the highest number of learners attend schools in the province of KwaZulu-Natal:

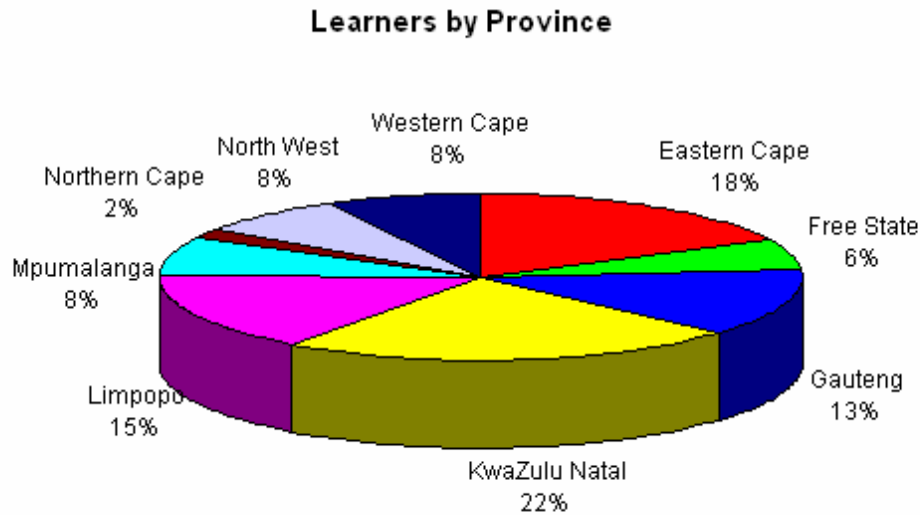
Table 10: Learners by province

Eastern Cape	2,100,024
Free State	684,134
Gauteng	1,524,595
KwaZulu Natal	2,726,271
Limpopo	1,797,820
Mpumalanga	901,732
Northern Cape	199,229
North West	880,946
Western Cape	929,262
TOTAL	11,744,013

(Source Education Statistics in South Africa at a glance 2003, DoE 2005)

Again, the pie graph in Figure 6 illustrates these statistics graphically:

Figure 6: Learners by province



(Source Education Statistics in South Africa at a glance 2003, DoE 2005)

Thus, with KwaZulu-Natal having by far the largest number of learners of any province in South Africa, the equitable share distribution as prescribed by the Division of Revenue Act would assume

that the KwaZulu-Natal Education Department would receive the largest allocation per learner – equivalent to at least 22% of the total share.

The following statistics, however clearly indicate that this is not the case as is indicated in *Table 11* below:

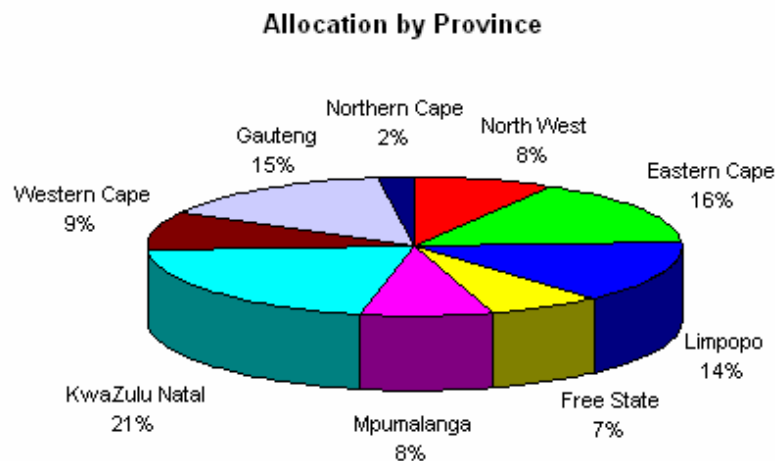
Table 11: Allocation by province(R 000's)

Eastern Cape	11,539,084
FreeState	5,056,634
Gauteng	10,792,959
KwaZulu Natal	15,076,206
Limpopo	10,455,892
Mpumalanga	5,964,056
Northern Cape	1,566,994
North West	5,976,568
Western Cape	6,504,659
TOTAL	72,933,052

(Source Education Statistics in South Africa at a glance 2003, DoE 2005)

Graphically, the percentages of distribution are illustrated in *Figure 7* on the following page, clearly indicating that although the largest share is given to KZN, other provinces, for whatever reason are being given more than their share as determined by the Division of Revenue stipulations:

Figure 7: Allocation by province



(Source Education Statistics in South Africa at a glance 2003, DoE 2005)

Taken collectively as a whole, these statistics when correlated and compared with each other highlight extremely interesting anomalies, and illustrate that although KZN receives the lion's share of 21% of the total allocation, the Rand spent per pupil is ranked at second from bottom as shown in the table below:

Table 12: Allocations and comparisons

(000's)					
Province	Allocation	Learners	Educators	R/pupil	Pupil/Educator Ratio
Eastern Cape	R 11,539,084	2,100,024	63,899	R 5,495	32.9
Free State	R 5,056,634	684,134	21,955	R 7,391	31.2
Gauteng	R 10,792,959	1,524,595	45,437	R 7,079	33.6
KwaZulu Natal	R 15,076,206	2,726,271	68,760	R 5,530	39.6
Limpopo	R 10,455,892	1,797,820	53,382	R 5,816	33.7
Mpumalanga	R 5,964,056	901,732	24,793	R 6,614	36.4
Northern Cape	R 1,566,994	199,229	6,069	R 7,865	32.8
North West	R 5,976,568	880,946	29,693	R 6,784	29.7
Western Cape	R 6,504,659	929,262	25,192	R 7,000	36.9
TOTAL	R 72,933,052	11,744,013	339,180		

(Source Education Statistics in South Africa at a glance 2003, DoE 2005)

This budget spend has important implications in the provision of service delivery as 83.3% of the KZN Provincial Education Budget allocation is spent on personnel. This only leaves a remainder of 16.7% for other requirements such as textbooks, infrastructure etc.

In the context of the study it is important to point out that with the one percent increment granted to deserving teachers in the province, based on the scores obtained in the appraisal, it is likely that the allocation to personnel will grow, rather than decrease. Given the background of the study, the question has to be asked whether all teachers who were granted an increase in salary are deserving of the merit pay?

This same question is addressed in a publication entitled *Doubling for Growth Addressing the Mathematics and Science Challenge in South Africa's Schools* which quotes the December 2006 Peruvian experience where the education ministry announced that all teachers would have to take a proficiency examination. Peruvian unions who have been long opposed to teacher evaluation smuggled out the examination paper and posted it on their website. The ministry, however, created another examination paper, and in January 2007 - despite protests from the unions were able to get 80% of the teachers to write. The result was that almost half of the teachers who wrote the examination were unable to solve basic mathematics questions and a third failed a reading comprehension test.

The report suggests that South Africa should implement a similar test for its teachers, since the study argues that like in South Africa, the education system in Peru is not delivering the quality education as required. As it has already been pointed out, South Africa spends proportionately more on education than many other developing countries yet our pupils perform far worse than those countries in international tests.

An adequate supply of good teachers is a *sine qua non* for reaching the goals of the department. Without an audit of existing teachers we cannot tell how many effective teachers we have and how many we need to upgrade. Properly managed, the IQMS should provide the vehicle for such an audit.

2.12 Conclusion

Chapter Two provides a conceptual, theoretical, political, legislative and systems framework on which the study is based. It indicates that the requirements for performance appraisal within the Public Administration paradigm have been adequately legislated for but that contextual factors are not taken into account and therefore the conditions under which teachers are expected to teach vary from school to school, district to district and province to province. These variables need to be taken into account if the appraisal system is to be applied consistently and uniformly.

The particular position of the education system in Kwa-Zulu Natal presents a challenge in implementing policies because of the mere size of the system. It is very different to the other smaller provinces such as the Northern Cape province and the Free State province which have significantly less schools, teachers and learners. The implementation of the Integrated Quality Management System Policy in this province is perceived therefore more difficult to implement than in the other eight provinces.

CHAPTER THREE

PERFORMANCE MANAGEMENT LITERATURE REVIEW

3.1 Introduction

The challenges of Performance Management were discussed in the previous chapter and a brief history of the evolution of the Teacher Appraisal System in South Africa was provided. Chapter Three will look at teacher appraisal systems from a National and International perspective, with the intention of assessing the extent to which the Teacher Appraisal System in South Africa conforms to systems used in other countries. The value of managing the performance of teachers and the effect it has on school improvement in general and teacher improvement in particular will be discussed.

When compared to other appraisal systems in use in the international arena, there are many areas in the South African system that are theoretically correct and should therefore be in a position to achieve its intended objectives. Some of these objectives are listed below:

- i) The system should be perceived to be effective in doing what it set out to do
- ii) The system should motivate teachers to improve their performance
- iii) The system should assist teachers to develop professionally.
- iv) The system should improve learner achievement
- v) The system should make the school a learning organization.

This implies a collegial environment in which teachers work as a collective rather than working as individuals.

The chapter will review the literature and limit its broad scope to the above aspects with a view to finding whether there are other objectives which have been identified by previous researchers in this field of study. It will also look at the principal theories used by experts in the field to establish whether the study can be constructed around these theories. It will also be used to formulate the research questions.

3.2 Purposes of and Problems of Teacher Appraisal

3.2.1 Aims of Teacher Appraisal

The major aim of teacher appraisal is to develop teachers in order to improve curriculum delivery in schools. The effectiveness of the process of teacher appraisal is, however, dependent on how the teachers themselves perceive the system being used.

Teacher evaluation is a complex process. It is a series of activities and actions that are interconnected and relate to a specific purpose. As teachers deal with complex problems, they should be evaluated as professionals which means that the standards should be developed by their peers, and their evaluation should focus on the degree to which they solve professional problems competently (Soar, Medley, and Coker, 1983). The emphasis of their evaluation should be on their teaching and not on them as individuals (Findley and Estabrook, 1991) and take into consideration the involvement and responsiveness of others involved in the education process (Weade and Evertson, 1991).

3.2.2 General Purpose of Teacher Appraisal

The general purpose of teacher evaluation is to safeguard and improve the quality of instruction received by students (Kremer, 1988) so the system must provide a process that allows and encourages supervisors and teachers to work together to improve and enhance classroom instructional practices. According to various writers quoted below, there are six main purposes of teacher evaluation:

- i) It should strive to improve instruction by fostering self-development and peer assistance (Rebore, 1991).
- ii) Staff development activities can be rated and identified (Peterson (2004).
- iii) The selection process can be validated (McGreal, 1983).
- iv) It provides a major communication link between the school system and teachers (Danielson, 1996).
- v) Personnel decisions can be enhanced through an effective evaluation process (Kremer, 1988).
- vi) Teacher evaluation can protect students from incompetent teachers (Peterson (2004).

Since there are no clear-cut standards for judging incompetence, multiple indicators must be utilized to identify marginal teachers (Bridges, 1992).

3.2.3 Ineffective systems are expensive

Ineffective teacher evaluation systems are more costly than effective ones. Substandard teacher evaluation programmes, because they neither improve teachers' instructional skills nor permit the dismissal of incompetent teachers, rob children of the achievements, when well-taught, they have the potential to obtain (Peterson (2004). The perception is that the teacher evaluation system used in South Africa does not allow for the dismissal of incompetent teachers and the instructional skills of teachers have not been improved. The study will therefore investigate whether IQMS can be considered a substandard teacher evaluation programme.

Conventional teacher evaluation, warns Bernsteine (2004), often resembles a meaningless ritual. "Or even worse, it becomes a recurring occasion to heighten anxiety and distance between teacher and administrator, and competition between teacher and teacher". In short, it minimizes dialogue, reinforces institutional hierarchies, and risks poisoning otherwise productive working relationships among school professionals.

The appraisal of teaching performance is as old as the education profession itself (Rebore, 1991). Few issues in education have the potential to generate as much heat for educators as the evaluation of teachers (Gitlin and Smyth, 1989).

These points bring into clear perspective the need for an effective teacher evaluation policy, and the need for schools and administrators to examine policies with a view to improving learning opportunities in their various classrooms. The study aims to investigate whether the views of these commentators are represented in the application and implementation of the IQMS.

3.2.4 The Uses of Appraisal

The goals and purposes of professional appraisal may be summarised in two categories: evaluative and developmental. The evaluative purposes include decisions on pay, promotion, demotion, retrenchment and termination. The developmental purposes include research, feedback, management and career development, human resource planning, performance improvement and communication (Schuler, Dowling, Smart and Huber, 1992, 207). The teacher appraisal system (IQMS) used in South Africa has both an evaluative and developmental dimension, although the former is used only for pay progression and not for promotion, demotion, retrenchment and termination purposes. The perception is that

teachers being appraised are not benefiting from the developmental dimension and are only interested in the pay progression aspect of the process. This perception will be further explored in the study.

3.3 Productivity improvement

It is important that an understanding of the meaning of productivity, in the context of the public sector is grasped. Public sector productivity is as important to economic performance of a country as that of the private sector. Thornhill (2006) identifies three main reasons why public sector productivity is crucial. Firstly, the public sector is a major employer. Secondly, the public sector is a major provider of services in the economy, particularly business services (affecting cost of inputs) and social services (affecting labour quality). Thirdly, the public sector is a consumer of tax resources.

Productivity is generally defined as a measure of the amount of output generated per unit of input. The definition of productivity as being concerned with the relationship between input and output does not cover issues that many people have in mind when they talk about public sector productivity. A more general interpretation of productivity encompasses broader concerns about the outcomes achieved by the public sector. In common parlance, many people talking about public sector productivity have in mind the general question of what value they receive from public services in return for the utilisation of public funds. Putnam (1993) rejects the idea of including outcomes in productivity measurement. His argument is that to focus on outcomes (changes in health rather than patients treated; changes in educational status rather than numbers of lessons taught) includes changes over which the government has no control.

Although the issue of productivity and performance enhancement in the public sector is nothing new, scholars and practitioners have worked for decades to identify what makes government productive and effective. In fact, the use of the concept of productivity has been intermingled with the concept of performance (e.g., Jackson, 1999; Stainer and Stainer, 2000.) Researchers have identified each concept in different ways. Productivity and performance are functions of many factors – ranging from top management support, committed personnel at all levels, a performance measurement system, employee training, reward structures, community involvement and feedback to correction of budget-management decisions. It is thus important to build up capacities for productivity improvement (Holzer and Seok-Hwan, 2004). As was pointed out in Chapter Two using the Integrated Organisation Model as the framework, improving productivity is a quality control measure to ensure that the available resources

are used in an effective and efficient way to ensure that the intended outputs are obtained in a cost-effective manner.

Productivity improvement is of concern to almost all organisations, and what employees do or do not do influences the productivity of the organisation. Performance appraisal in industry is viewed as being important because:

“an effectively designed (appraisal) form serves as a contract between the organisation and the employee, and helps act as a control and evaluation system enabling appraisal to better serve a multitude of purposes” (Schuler et al., 1992, 207).

These purposes are outlined in *Table 13* hereunder:

Table 13: Productivity Improvement

Management development	Providing a framework for future employee development by identifying and preparing individuals for increased responsibilities.
Performance measurement	Establishing the relative value of an individual's contribution to the company, and helping to evaluate individual accomplishments.
Remuneration and benefits	Helping to determine appropriate pay for performance and equitable salary and bonus incentives based on merit or results.
Identification of potential	Identifying candidates for promotion.
Feedback	Outlining what is expected from employees against their actual performance levels.
Human resource planning	Auditing management talent to evaluate the present supply of human resources for replacement planning.
Communications	Providing a format for dialogue between supervisor and supervisee, and improving understanding of personal goals and concerns. This can also have the effect of increasing the trust between the supervisor and the employee.

(Source : Adapted PG van der Watt)

As has been stated, other purposes of performance appraisal are demotions, terminations, internal recruitment and research. Literature pertaining to industrial and business settings may have a limited application when transposed to educational environments. How can a teacher's "productivity" be measured, for example?

The importance of appraisal in any organisation cannot be overemphasised. The literature on staff appraisal covering a wide spectrum of fields such as commerce and industry, private and public sectors, including schools, shows that appraisal is an indispensable part of managing human resources. Although the purposes have already been discussed, generally three main purposes have been identified. These in summary are:

- To serve as a basis for modifying behaviour towards more effective working habits;
- To provide adequate feedback to each employee on his/her performance; and
- To provide data to managers with which they may judge future assignments and compensation (Kermally 1997).

3.4 Evaluation Methods

There are various methods that can be used for evaluation. These are discussed in the section hereunder.

3.4.1 Data Collection: Lesson observation

The evaluation process usually involves preparation, observation, data collection, reporting, and follow-up. Data collection normally entails a formal observation which is preceded by a pre-conference and followed by a post-conference. The utilization of formal observations does not mean informal observations should be ignored. Many unannounced visits usually prove to be more effective than a few announced visits. It is for these reasons, and those provided in the next paragraph that there are limitations to classroom observations as an assessment method. As has previously been stated, the South African appraisal system allows for only one announced visit per academic year. The question to be explored in the study is whether this single visit is sufficient to evaluate the performance of a teacher.

Furthermore, the classroom observation technique in teacher evaluation is criticised for being potentially biased, invalid and unreliable (Darling-Hammond *et al* 1983).

Darling-Hammond, in Mitchell, Wise, and Plake (1990), asserts that they reveal little about the coherence of the curriculum, the depth and breadth of content covered, the range of teaching techniques used, the quality and variety of materials employed, the types and frequency of students'

assignments, the quality of instruments used for student assessment, the kinds of feedback students receive on their work, or the appropriateness of any of these things for individual students and for the classroom context as a whole. The challenge of establishing alternatives to classroom observation as an evaluation instrument will be part of the focus of the study.

3.4.2 Evaluation as part of whole school development

There is a view that teacher appraisal is but only one aspect of whole school development and that this should be incorporated into other concepts which are discussed in the following paragraphs.

Teacher evaluation should be a small but significant part of the larger strategy for school improvement (Mitchell *et al.* 1990) which would see staff development take place prior to evaluations (Sergiovanni 1977). In the South African context, development takes place after the evaluation and the wisdom of this will be explored in the study.

The professional independence of teachers also has to be taken into account. There is also a school of thought that the evaluation process needs to take actual teaching experience into account and that novice teachers should be evaluated differently to experienced teachers.

Teaching sometimes requires unorthodox methods to bring out the best in their students. Experienced and excellent teachers are capable of pedagogical performances that educational theory and research can neither explain nor predict (Shulman, 1987). This to some extent involves taking calculated risks.

These risk-takers and innovators must be encouraged not stifled. Consequently, any effort to define standards for teaching and to operationalize them in an evaluation must reach beyond the judgment of academic experts. Therefore, a form of evaluation is needed that will reflect a more enlightened view of teaching, that will inspire teacher educators to aim higher in creating their own curricula and designing their own programmes, which would need the introduction of new forms of mentoring, collaboration, and collegiality (Shulman, 1987, 44).

The extent to which these aspects are covered in the IQMS will be explored in the study.

3.4.3 Evaluation methods

Apart from the classroom observation method there are a variety of other methods used to evaluate teachers but most evaluation programmes consist of varying combinations of the following components which are elaborated upon in the next section:

i) Competency testing

South Africa does not have competency testing, but the National Teachers Examination (NTE) in use in the USA is an example of competency testing. Used for initial certification and hiring decisions, the disadvantage lies in its degree of validity. Most studies of NTE results and evaluations of teacher performance show low correlation. No test has been developed to measure a teacher's professional commitment, maturation of decision-making ability, and social responsibility - all important criteria for effective teaching and learning (Soar *et al*, 1983). Test proponents, however, maintain that examinations guarantee a basic knowledge level, eliminate interviewer bias, and are legally defensible (Darling-Hammond *et al*, 1983).

It is highly unlikely that South Africa would consider introducing this method of evaluation, although it does have its merits.

ii) Classroom observation

This is the most popular evaluation method, usually performed annually by school administrators for experienced teachers and more frequently for beginning teachers. Observation reveals information about such things as teacher interaction and rapport with pupils that is unavailable from other sources. Research criticizes the technique, however, as potentially biased, invalid, and unreliable (Darling-Hammond *et al*, 1983). The South African system, as has been pointed out relies heavily on this method of evaluation but is limited to the one observation visit per year.

iii) Student Ratings

Using student ratings in teacher evaluation has usually been restricted to higher education, although student input has been collected informally in middle and secondary schools. This method is

inexpensive, and has a high degree of reliability, but questions of validity and bias remain (Darling-Hammond and others, 1983).

Although the South African system allows for upward feedback from pupils it is hardly ever used. There is a place within the instrument for learner feedback, but is not a compulsory element of the process.

iv) Peer Review

Teaching colleagues observe each other's classroom and examine lesson plans, tests, and graded assignments. Peer review examines a wider scope of teaching activities than other methods. Disadvantages include time consumption and possible peer conflict. Formative application features may justify the time demands and minimize sources of tension (Owens 1991).

The South African system insists that the evaluation panel includes a peer of the evaluatees choice. This has led to criticism as the peer is unlikely to want to give their colleagues low scores an aspect that will be covered in the study.

v) Learner Achievement

Nationally standardized learner achievement examinations often are used to evaluate teachers and school systems by ranking the student, class, and school according to national norms. Research shows that under certain conditions test scores are positively correlated with teacher behaviour (Woolever, 1985). But scores also depend on inherent student qualities, such as I.Q., which are independent of teacher influence (Darling-Hammond *et al*, 1983).

The South African system does not use learner achievement as a criterion for evaluation. It is suggested, however, that learner achievement should be taken into account in the process. This concept will be further investigated in this study.

vi) Indirect Measures

Other "good teacher" descriptors have been examined to determine if they correlate with student achievement. These descriptors include enthusiasm, humour, judgment, objectivity, and punctuality

(Ovando 2001). Research has found a relationship between teacher flexibility and effectiveness, and some teacher characteristics appear to be more effective in some classroom situations than in others. But these findings have not been used in teacher evaluation (Darling-Hammond *et al.*, 1983).

It is clear that various methods are available and literature exists to support all of the above evaluation methods. Coker (1985) observes that the lack of consensus about evaluation issues represents the lack of knowledge about effective teaching and measurement technology. He further suggests that this knowledge can be acquired through studying the data now generated by valid and reliable methods. Validity and reliability of the techniques are discussed in more detail when dealing with criteria for teacher evaluation.

The South African Teacher Appraisal System (SATAS) uses many of the discussed evaluation methods. Although each method does have its own merits, it is suggested that teacher appraisal should be continuous and ongoing with a portfolio to support the evaluation rating. It is also evident that the one planned and announced classroom observation provided for in the SATAS is insufficient to objectively rate a teacher. This is further discussed in the final chapter where recommendations are made.

3.5 Unique context of teacher appraisal

The various methods discussed above indicate that evaluating a teacher's ability to teach is not as straightforward as it appears. There is therefore a need to establish whether teacher evaluation is different to the evaluation of other professions. The literature seems to suggest that it is indeed so. The developmental problems of teacher evaluation programmes begin with the basic consideration: what is being evaluated? Criteria used to determine teacher quality would seem to hinge on the teaching/learning/assessment cycle. Teachers teach different subjects and each subject requires its own unique skills and methodologies. The teaching methods and techniques of a mathematics or physical science teacher differ from those of say a music, art or English teacher. The question has to be asked whether there are generic characteristics peculiar to all "good" teachers.

Administrators and teachers need access to comprehensive evaluation models that capture the complexities of teaching. Matching an expanding knowledge base of teaching and learning, Performance standards need to be developed that lead to reconfigured assessment designs requiring an assortment of reflective, analytic skills which are presently not taken into account.

The problem appears to be that all stakeholders in the process which include parents, administrators, legislators, and teachers- purport to know precisely what a good teacher is or should be. Each of these passionately describes this teacher in great, but mostly biased, detail (Soar *et al*, 1983). Evaluation criteria should be specific, measurable, achievable, realistic and time-framed.

The current literature generally agrees that “good” means “effective.” A good teacher teaches; students, in response, learn and achieve. But there are serious disadvantages in evaluating teachers by their students’ achievement which will be discussed in the Evaluation Methods section.

3.6 Complexity of teacher appraisal

Literature on teacher appraisal shows that it can be very complex as it involves a number of factors than can either impede or support teacher effectiveness (Malongwa 1995). Motswakae (1990) contends that governments worldwide are becoming aware of the need to examine carefully and critically the education provided in order to ensure relevance and appropriateness to the needs of the young. It may thus be inferred that teacher appraisal is of topical importance as its main objective is to improve individual performance and motivation. Poster and Poster (1992) believe that “... if employees are to perform effectively, they must be well motivated, understand what is expected of them and have the ability and skills to fulfill their responsibility”.

Poster and Poster (1992) in their portrayal of appraisal in organisations state that “...it is a means of promoting, through the use of certain techniques and procedures, the organization’s ability to accomplish its mission of maintaining and improving what it provides while at the same time seeking to maintain or enhance staff satisfaction and development”. Sharing this sentiment is the definition offered by Fisher (1995) that it is “... a process of management which entails improving the organization’s performance through the enhanced performance of individuals”. This is taken further by Moorhead and Griffin (2004) when they assert that managers strive to motivate people in the organization to perform at high levels; that is, to work hard, come to work regularly, and to make positive contributions to the organization’s mission.

The appraisal and evaluation of teacher performance should be viewed in terms of its unique context, not merely in terms of process and product. This would appear to preclude the transposition of performance evaluation processes from industrial settings to educational institutions, and to necessitate the consideration of teacher appraisal/evaluation as a unique issue.

3.7 Challenges of Teacher Evaluation

The literature review identified a number of challenges with present teacher evaluation systems. Four of the challenges considered as critical are presented below:

3.7.1 Compliance versus the Goal and Focus problem

Teacher evaluation can be very unimportant if it is perceived to be so. It can either be made into a bureaucratic requirement that is of little or no help for the teachers, that is, collection of information that cannot and is not used in school-wide decision-making and planning, or it can be used as a tool to create better teachers and in turn develop better schools. Evaluation is therefore inextricably linked to school improvement, which is however, a study on its own and will therefore not be discussed in great detail in this section.

The primary purpose of evaluation is the improvement of teaching and learning. It is not to seek out the incompetent teacher. The evaluation process starts with the thinking that teachers are competent; that it is there to recognise and record that competence is present and to provide support to help improve the teacher's skills. What is required therefore, is that the foremost or single most important aim of the whole process is to make the teacher a better teacher, and improve students' learning.

Evaluation plays a particularly critical role in any occupation that claims to be a profession. In any profession there should to be a process in place to determine the extent to which members are adhering to set, observable standards and organizational goals. There is a basic human tendency to make judgments about fellow employees, as well as about the individual. In many schools teacher evaluation has become a bureaucratic requirement that is done at the end of the school year, filed away in a teacher's permanent record to become history and not used for the intended purposes.

There is a temptation to attempt to reduce evaluation to a numerical basis for ease of making some quantitative assessment (Findley and Estabrook, 1991) in spite of the fact that these results reveal little about the qualitative aspects of what teachers actually say and do during instruction (Herrmann, 1987). Most accountability-oriented evaluation systems are not accounting for the right things. Consequently, they are less effective than planners hoped in bringing meaningful oversight to the schools (McLaughlin and Pfeifer, 1988). Some of the most widely adopted forms of teacher evaluation in

current use rely on behavioural indicators to assess teaching, without reference to the appropriateness or effects of the teaching behaviours being measured.

Teacher evaluation systems based on whether teachers exhibit behaviours consonant with research-supported instructional principles are conceptually flawed because they presume that research-derived principles, adhered to by a specific teacher, will invariably lead to successful results. What tends to be relevant for large groups of teachers and students, however, may not be true in the case of individual teachers.

“Teacher evaluation is a profoundly particular undertaking” (Peterson (2004). Furthermore, Duke (1993,) states that “policies that mandate that all teachers must grow according to a fixed schedule and in similar ways are mindless”. Simply itemizing what a teacher possesses or demonstrates, argue Weade and Evertson (1991,), can add up to a description with limited utility. Worse yet, they continue: It can suggest that isolated behaviours make a difference in and of themselves, independent of the context in which they occur. By default, the roles played by students and materials get left out of the picture.

Reductionist (allocating a score) teacher evaluations actually ignore the vast importance that teachers’ personal and professional histories play in the construction of meaning about classroom events (Gitlin and Smyth, 1989). These authors claim that the alleged supremacy of technique within evaluation should be seen for what it is - “a means of portraying a false consensus about the ends of teaching, and a denial of the debate that should ensue about what the nature of these desired goals might be”. If the intent of evaluation is to help teachers improve their instructional practices, the categories and descriptors may become “obstacles to seeing, rather than aids to better vision” (Wood, 1992).

3.7.2 The Challenge of What Should be Measured

This leads to the obvious question of what should be measured. Agreement on a clear set of criteria on which a teacher’s performance in class can be assessed has been indefinable (Danielson 1996; McNeal, 1987), and this comes down to the point that what matters most is what is to be measured? Most current evaluation methods, however, seem to be characterized by an allegiance to a rational/technical or scientific approach to inquiry (Wood, 1992). In this approach, the observer’s judgment of teaching behaviours takes preference, while little or no consultation with the teacher or reflection on the teacher’s and students’ interpretations of their classroom experiences, is considered. This, claim Gitlin

and Smyth (1989), amounts to a misplaced faith in the capacity of scientific forms of research on teaching to deliver definite knowledge about the nature of teaching. On the other hand, an educative approach, as espoused by Gitlin and Smyth (1989), facilitates the breaking down of barriers that stand in the way of dialogical relations. One such barrier is the “artificial division of labour between those who are reported to hold educational theories and those who engage in teaching” (Gitlin and Smyth, 1989). While a technocratic view of schooling focuses attention solely on “how to” questions, an educative approach encourages a critical orientation linking what ought to be with how it will be.

3.7.3 The Valuator Expertise Challenge

One of the main obstacles to teacher evaluation is the experience and proficiency or the perceived proficiency of the evaluator. This endorses the subjectivity of the evaluation process.

The capability of the evaluator to evaluate is probably the most difficult aspect of the evaluative process (Mitchell *et al* 1990). Administrators, whose background may be in widely different fields, states McNeal (1987), are forced to rely on simplistic measures such as checklists. The degree to which administrators “slip into mindless activity by allowing the structure of the (evaluation) instrument to control their sight and awareness” (Wood, 1992) exacerbates the problem of expertise.

Questions are sometimes raised about the extent to which an observer’s account is an adequate match for what usually occurs in a classroom (Weade and Evertson, 1991), especially when, as was documented in Miner’s (1992) study, some principals make evaluations after only 20 minutes of observation.

Further, when a class is being observed, the teacher and students take on “artificial roles that they believe to be appropriate to the occasion” (Weade and Evertson, 1991). School management structures often fail to observe and evaluate teachers, or they overrate the teachers they do evaluate (Guskey, 2000). In this regard, Downey *et al* (2004) found that “some principals gave outstanding evaluations to teachers who dozed in class because the teacher was a friend”. Often those responsible for evaluating teachers are not sure of the rules or the procedures for conducting the evaluation. This also drastically affects the soundness and fairness of the evaluation (Rieck, 1989). Also, the level of objectivity of evaluations is lowered because administrators are either not aware of, or admit to, the manner in which their own attitudes and experiences may tend to slant what they see and hear (Wood, 1992).

It is not surprising, therefore, that according to Medley and Coker (1987), studies have found no appreciable agreement between administrator judgments of teaching effectiveness and the amount students learn.

3.7.4 The Challenge of Hierarchy and Control

The problem of hierarchy and control refers to the situation where the person who is being evaluated is regarded by the evaluator as being incompetent and that the evaluator is the expert who is present to remedy the weaknesses that are observed. In this situation the evaluation becomes judgmental where people are made to feel inferior and incompetent.

While most forms of teacher evaluation are designed with the very best of intentions to institute a necessary form of “quality control”, what they actually end up doing is reinforcing the notion that teachers are not the experts, that educational pecking orders are necessary and just, and that teachers are not encouraged to share their experiences with one another about their work (Gitlin and Smyth, 1989).

This sentiment is echoed by Danielson (1996) when he stated:

“The notion of teachers as independent, autonomous professionals has been eroded, and the importance of management and hierarchical accountability emphasized”. In most forms of teacher evaluation, where the teacher’s professionalism is not considered, the teacher is effectively silenced and therefore, become technicians concerned with implementing the ideas of others, rather than intellectuals involved in questioning and interrogating their own teaching and the context in which it occurs”

Teachers are disgruntled by the number of administrators not directly concerned about, or involved with, improving instruction (Wareia, 1990). For many experienced and permanent teachers, yearly evaluations have been more a matter of pride than of job security (McNeal, 1987) which causes evaluation to become an empty, time-stealing ritual. According to Duke (1993) the annual evaluations of competent teachers for purposes of accountability conveys distrust, undermining the culture of professionalism and becomes a meaningless exercise.

The idea of evaluating all competent teachers every year according to a common set of performance standards that, at best, represent minimum or basic expectations is little short of an institutionalized insult. Gitlin and Smyth (1989) claim that traditional notions of teacher evaluation serve conservative interests by reinforcing authoritarian school relations which actually run counter to the idea of an active and participative workforce. They also run counter to the demands of the profession for self-regulation and autonomy and in this regard they highlight a basic tension which occurs when the professional and the bureaucracy attempt to occupy the same organizational space (Corwin, 1965).

3.8 Reliability and Validity of the Teacher Appraisal System

For an appraisal system to be perceived as fair and necessary the teachers themselves should agree that the criteria against which they are measured are relevant, fair and consistent. If the ratings achieved by the teacher are not a reflection of the teachers real ability the evaluation might be considered unreliable and invalid.

3.8.1 Criteria for Evaluation

Criteria for evaluation must necessarily include intangible and tangible teaching aspects (Darling-Hammond *et al*, 1983; Wise *et al*, 1984; Woolever, 1985). Intangible aspects include student rapport and social responsibility while tangible aspects consist of well-written lesson plans and test results. In the United States of America the wide range of suggested criteria for evaluating teachers resulted in numerous methods designed to quantify those criteria.

For as long as can be remembered the evaluation of teachers has been problematic. Over twenty years ago it was reported that the American public viewed teacher evaluation as a major problem in the school system (Soar *et al*, 1983). State legislatures, aware of the concern, wanted to mandate more effective evaluation. Common methods for evaluating teachers, such as measurement tests of teacher characteristics, student achievement test scores, and ratings of teachers' classroom performance, were said to have been ineffective. Some research was done to improve the evaluation process, but teacher assessment, in general, remained unorganized.

The fundamental problem facing the evaluation of teachers appears to be hinged on the validity and reliability of what gets measured which is the most important characteristic for any successful evaluation method. This asks whether a test or procedure actually measures what it purports to

measure. It becomes inappropriate, meaningless, and useless to make specific inferences from invalid measurements. Evidence of validity must be accumulated to support inferences made from evaluation results.

Successful evaluation methods also must be reliable, effective, and efficient (Wise *et al* 1984). Reliability also means consistency. An evaluation must always give similar scores, ranking, or ratings for similar tests, regardless of the evaluator or the evaluated.

3.8.2 Effectiveness and Efficiency of Evaluation

Here effectiveness implies that the evaluation provides results in their most useful format. Summative evaluation gives a teacher a performance score that should not have to be interpreted when used for accountability. As has been said, formative evaluation brings about the improvement of weak areas in the teaching process. Efficiency in this instance refers to spending time and money for evaluation, training, materials, and procedure to ensure the desired results are obtained. One of the prime objectives of teacher appraisal is to make teachers aware of their weak areas and provide support in remedying these identified weak areas. This support is provided by developing the teacher professionally. The IQMS, as has been stated, is a developmental process where it aims to help teachers improve instructional practice.

3.9 Continuing Professional Development (CPD)

During the process of appraisal, data is gathered by systematic observations, not to only measure current performance, but also to reinforce strengths, identify deficiencies, give feedback and the necessary information for required and desired changes in future performance. For appraisal to be effective, it should be treated as an ongoing, cooperative intervention between supervisor and supervisee which is a shared responsibility, not a once- a-year traumatic confrontation. Habangaan (1998) correctly asserts that if it is treated as an event, it becomes judgmental, which is then detrimental to individual growth and development.

Mullins (1996) declares that performance appraisal has its roots in three well-substantiated psychological principles, and he asserts that people work/learn/achieve more when they are given:

- adequate feedback as to how they are performing, in other words, knowledge of results;
- clear attainable goals; and
- more opportunity to be involved in the setting of tasks and goals.

3.9.1 Increasing Interest in Professional Development

There has been an increasing interest in Continuing Professional Development (CPD) and recognition that it needs to relate closely to classroom practice and performance. There is also widespread distrust amongst teachers resulting from bad experiences of courses they have attended that have little connection with the day-to-day job of improving teaching and achieving learning gains.

When learning is at the centre of the teaching process it would be assumed that the continuing professional development of teachers would be a priority of both education systems and teachers alike. Teachers like other professionals need to update their skill and knowledge base – in the case of teachers their pedagogical skills and particularly their content knowledge.

Clearly the continuing professional development of teachers is important as a means to maintain and sustain a competent teaching profession achieving the desired learning outcomes.

3.9.2 Definition of Continuing Professional Teacher Development (CPTD)

Continuing Professional Teacher Development (CPTD) is an evolving set of activities responding to the specific contextual needs of teachers at particular stages in their lifelong development as professionals. As the education system changes, new demands and responsibilities are expected of the professional teacher. A variety of providers can be identified, each with their own contribution to influence the professional growth of teachers. Professional development may be defined as:

“Professional development consists of all natural learning experiences and those conscious and planned activities which are intended to be of direct or indirect benefit to the individual, group or school, which contribute, through these, to the quality of education in the classroom. It is the process by which, alone and with others, teachers review, renew and extend their commitment as change agents to the moral purposes of teaching; and by which they acquire and develop critically the knowledge, skills and emotional intelligence essential

to good professional thinking, planning and practice with children, young people and colleagues throughout each phase of their teaching lives.” (Day, 1999).

Day provides the ideal scenario for the teaching profession to keep abreast of developments, but the reality is that the majority of teachers do not have the inclination or time to involve themselves in these well meant activities. Teaching is a demanding and tiring profession and after a long day at school few have the energy to pursue self-development activities.

3.9.3 Continuing Renewal

The European Union’s Commission on Teacher Training and Development found that teaching is a dynamic field which requires that classroom practitioners remain at the forefront of developments and this requires them to continuously update themselves. A variety of kinds of activities can contribute to the professional development of a teacher. The providers of these activities usually imagine that their interaction with teachers has the potential to significantly influence the quality of teachers’ practice within their classrooms, schools and the community.

Involvement in professional development should be a lifelong activity in which teachers take responsibility for keeping abreast with new technologies for education, new methodologies for teaching, learning and assessment, new curricula policies and innovations within the subject/learning area or within the field of education. The initial teacher education programmes should aim to introduce the beginner teacher to the world of teaching and learning.

3.9.4 Professional Growth

Professional growth, is only the beginning of a journey which continues as teachers take on more influential roles as mentors of other teachers, and as education managers. At different stages of teachers’ career development, different needs arise. Teachers should be required to individually develop a personal growth plan indicating how they would initiate their own professional growth. Rather than emphasising the duties expected of teachers as employees such as those contained in the prescripts discussed in chapter two, it is argued that as members of a profession, teachers are entitled to a systematic process of continuing renewal.

3.9.5 Current system of teacher development

In the present South African system of teacher appraisal and development in each academic year there are two developmental cycles that the teachers go through. They are required to develop themselves professionally in areas that they have identified as areas of improvement. Such development can come from a number of sources including those listed below. These are:

- i) Support and mentoring by peer groups within the school;
- ii) The Department of Education providing support for policy implementation;
- iii) Higher Education Providers providing qualifications for initial training and also Inservice Training (INSET);
- iv) Teacher Unions providing specific teacher needs-driven initiatives;
- v) Other providers such as non governmental organizations (NGOs), Community Based organizations, commercial profit making providers of educational programmes that provide specific targeted courses or programmes.

3.9.6 Challenges facing the Present System

The current appraisal system presents various challenges that need to be dealt with so that professional development can be introduced in a consistent, efficient and effective way. One such problem identified is that all the varied sources of CPTD are not equally validated as having influence and status over the professional development of teachers. Only qualifications, which are offered by higher education institutions, are given a form of recognition by being awarded credit points on the National Qualifications Framework. This has promoted the view that a CPTD activity is only worthwhile if it is credit bearing and leading to a qualification. Once-off rewards for completion of a qualification provide the incentive for teachers to engage with this form of CPTD. No system of rewarding teachers for engaging in other forms of CPTD is currently available.

According to the Employment of Educators Act (EEA) 76 of 1998, the employer is entitled to require teachers to engage with professional development activity up to a maximum of 80 hours per annum. The employer is obliged to present or prescribe programmes that need to be attended by teachers. These activities are to be conducted outside the formal school day or during the school vacations and the employer is expected to give at least one term's notice of programmes to be conducted during school vacations.

The employer (KZN Education Department) and as far as can be ascertained, other provinces in South Africa, however has not presented or prescribed any such programmes since the introduction of the appraisal system and therefore there have been no officially recognized development programmes undertaken by educators in the province.

3.9.7 Professional Development in the International Context

This situation of not providing development programmes for in service educators is not peculiar to South Africa. As in South Africa, it was found that in many member states of the European Union there is little systematic coordination between different elements of teacher education, leading to a lack of coherence and continuity, especially between a teacher's initial professional education and subsequent induction, in-service training and professional development; nor are these processes often linked to school development and improvement, or to educational research. Incentives for teachers to carry on updating their skills throughout their professional lives are weak. Examples from Europe and Tanzania will be used to compare the South African teacher development programmes with other countries. The purpose of this exercise is establish how the system is working in comparison to developed and developing countries.

European Union Report 2008 (OECD)

Investment in the continuous training and development of the teaching workforce is low across the European Union and the amount of in-service training available to practising teachers is limited. In-service training for teachers is compulsory in only eleven Member States; teachers are not explicitly obliged to undertake it in all of these states. Where it exists, training generally amounts to less than 20 hours per year.

There is no member state in which the minimum compulsory training exceeds five days per year, and in most countries only three days of training per year is compulsory. Furthermore, the fact that in-service training may be compulsory says little about actual participation rates. As regards new teachers, only half of the countries in Europe offer new teachers any systematic kind of support (e.g. induction, training, mentoring) in their first years of teaching. Explicit frameworks assisting teachers who experience difficulties in performing their duties adequately exist in only one third of these countries.

The report notes that investment in continuous training and development in the region are low. For example, in-service training is compulsory in only 11 Member States and where it does exist, training generally amounts to less than twenty hours per year, and is never more than five days per year. A selected example of continuous training and development schedules for these European countries is provided in *Table 14*:

Table 14: Periods for Professional Development

Country	Periods of Professional Development
Belgium	Three days a year
Estonia	160 hours over a five year period
Lithuania	90 hours over a five year period
Hungary	60-120 hours over a seven year period
Romania	95 hours over a five year period unless teachers take professional degrees during this period
Finland	3 days a year of six hours each
Scotland	5 days per year and 50 hours per year on planned activities
Malta	3 days a year at the beginning of the school year. 3 two hour sessions after school sessions

(Source : OECD 2008)

As a comparison, a brief account of professional needs of teachers and how they are met in a Sub-Saharan country, namely Tanzania will be discussed in the next section.

Professional Development in Tanzania

As was found in the EU, Bennel and Akyeampong (2005) report that teachers in Tanzania need to update their skills on a continuous basis and are required to receive an average of ten days of in-service training a year. However, for most teachers, in-service training remains very patchy, poor quality and ad-hoc. The accelerated pre-service training programme, instituted in 2002, where teacher trainees spend only one year in college (instead of two), is also increasingly crowding out in-service training activities at the teacher training colleges. Although there are 400 teacher resource centres spread throughout the country, they remain ineffective mainly because they lack operational budgets. (World Bank EFA 2005).

It has been suggested that teachers in Tanzania have the misconception that they are performing competently and that their managers appear to agree with them. However, far more effort needs to be

devoted to improving management performance at all levels. The lack of awareness among school managers and teachers themselves of the need to significantly improve teaching practice in schools is an important reason why more attention has not been given to this issue. A comprehensive strategy is needed that effectively institutionalises continuous professional development for all teachers. Properly resourced, peer-based in-service training based on innovative approaches has proved to be very effective in many countries.

3.9.8 Professional Development in South Africa

There is a clear indication that teachers need to be developed professionally if they are to be capable of improving the quality of their classroom practice.

Emphasis is being placed on focussing on the quality of teacher development to ensure that there is provision of quality educational outcomes. This has led to the development of a framework for teacher development, which includes the requirement of serving teachers to become accredited (licensed) after undergoing a quality assured teacher development programme offered by competent selected quality providers. The intention is not to exclude or punish any teacher, but to provide teachers the opportunity, once they are in service to have accreditation or licensing that indicates their competence has been improved through their participation in development opportunities.

The framework being proposed aims to improve public confidence in the competence of the teaching profession, and also for the confidence of the teachers themselves, for their pride in teaching. This should go a long way towards improving the status of teaching as a profession.

3.9.9 The New Curriculum

Since the introduction of a new curriculum many role-players pointed out at the Public Hearing that teachers have not been sufficiently taught how to implement the new curriculum and struggle to do so. Teaching resources are often not available or some teachers do not know how to utilise the teaching resources. Parents cannot understand why teachers say that Outcomes Based Education (OBE) is difficult whilst they are constantly on OBE training workshops.

This indicates that teachers have attended courses to develop them professionally to cope with the new curriculum, however, the courses have had little or no positive impact on classroom practice. Whilst

the South African Democratic Teachers' Union (SADTU), the teacher union which represents 220 000 teachers says there is not clear departmental strategy for teacher development and ongoing support, commentators say:

“The quality, depth and sophistication of subject matter knowledge among South African teachers is, perhaps the single most important inhibitor of change in education quality measured in student achievement terms.” (SAHRC: 2006)

Despite the introduction of OBE, many teachers have not changed or have been unable to change their teaching methods to suit the needs of the curriculum.

Although reports reflect average class sizes, there were a number of accounts of teachers having large classes, particularly in rural and township schools. Learner / teacher ratios impact on the quality of teaching and learning that takes place within a classroom. Under these circumstances it is difficult to consider professional development if teachers are not getting the basics right.

3.10 Teacher Evaluation in Developing Countries

Most studies of school effectiveness, teacher effectiveness and school improvement have been undertaken in developed countries, where the relative sophistication of material and economic infrastructure can be more or less taken for granted. To be useful beyond the countries where they are initiated, studies offering policy guidance need to be based on a sound understanding of how far prevailing conditions are the same or different elsewhere.

For example, in some parts of rural Africa a study for the World Bank titled ‘Schools Count’ found that:

- i). There are few or no schools; buildings which do exist are poorly equipped;
- ii). Teachers are not formally trained and there are few incentives to motivate them to improve their qualifications;
- iii) Classes are either very large (more than 100 pupils) or very small (less than ten pupils);
- iv). Children are not fluent in the language of instruction;

- v). The local economy is pastorally-based and communities are nomadic: the economic needs for education are therefore not those of a modernized urban industrial society;
- vi) Communities have a traditional (sometimes Islamic) history, where the accepted knowledge, values and skills are passed on orally through the family structure: the social and moral needs for education are therefore also not those of an urban society; and during their travels, nomadic families and their children may cross over state boundaries: systems introduced in one country may be quite different from – and more or less effective than – those in another country for such people. (World Bank 1995)

The study referred to above found that educational reform in general and teacher improvement in particular in such a context is almost bound – by equipping more and more young people with skills of literacy and numeracy, for example – to be a prime accelerator of transition to a more industrialized and urbanized economy thus reducing poverty. These links between education and the economy are further elaborated on in chapter four. However suffice to say if handled well, that is with due sensitivity towards a community's needs and values, educational reform and teacher improvement programmes may also expedite the transition process, and have less of a negative impact on the people affected. Reform initiatives, together with research and development projects and their evaluations, therefore need to take these very specific local and cultural factors into account:

“Enthusiasm for educational reform has sometimes preceded the reality... Advocates act as if they can easily foretell the effects, positive or negative, of the actions they promote. This convenient fiction spawns reforms with myriad unintended consequences... Many well-intentioned initiatives have resulted in problems worse than the ones originally being addressed. Only through the careful examination of actual country experiences can the real benefits of many “reforms” be determined.” (Chapman et al, 1997)

Improving schools in developing countries is a continuing concern for the World Bank, which is now the largest single source of external financing in developing countries (World Bank, 1995). Bank programmes encourage governments to give a higher priority to education and educational reform, and the spread of education has helped to reduce poverty.

Major challenges however remain. The problems in providing high-quality education noted by Lockheed and Levin (1993) are probably still as pressing for many countries now as they were sixteen years ago:

“Schools in developing societies face problems of relatively low school participation in terms of enrolments of eligible age groups; low levels of school completion, even at primary level; and low levels of achievement... their lack of effectiveness is not a mystery, for resources sufficient to provide even the most rudimentary conditions for success are often lacking.”

Even so, the challenges may be as much concerned with designing and implementing the appropriate kinds of project to address the problems of education and schooling in developing countries as with the problems themselves:

“It is striking that none of the twenty-six project designs studied had clear operational definitions of what was being sought for the students’ learning environment, and none included definitions of the knowledge and skills expected of a child when he or she leaves primary school.” (Heneveld and Craig, 1996).

School improvement strategies have been derived predominantly from the western school context, and so how these strategies would work in contexts that are radically different may not be straightforward (Hopkins, 2002). In low income countries the existence of sometimes weak institutional structures creates additional challenges for school improvement initiatives.

Some school improvement initiatives that were introduced in many parts of East Africa in the mid 1980s, included a mixture of school improvement strategies, such as child-centred learning, a focus on teacher learning, professional development and leadership training, and capacity building. However, some of these strategies did not work particularly well. For example, when it sought to promote teachers’ professional development through centre-based in-service training workshops, the transfer of skills into classroom practice was often problematic.

It has been found that ‘on-the-job’ support is more critical, but this also has implications for changes in the work place culture and the way job support is organized to help teachers in their classrooms (Hopkins, 2002).

Lockheed concurs when he states that:

“It is probably the case that in every developing country there are schools in which children complete primary education having mastered the skills targeted in the curriculum... While there are good public schools, which teach children successfully under difficult conditions, in most developing countries there are simply too few such schools. The result is that many students in developing countries do not acquire sufficient numeracy and literacy skills needed for functioning effectively in their own societies.” (Lockheed, 1993)

There are vast differences between schools in developed and developing countries. It stands to reason therefore that what works in the more sophisticated and advanced systems of the developed nations will not necessarily work in the less effective systems of the Third World. These are economies which are struggling to survive with extremely high levels of poverty and unemployment and therefore the systems that work for developed countries might not work in developing countries. The empirical study showed that what might work in the urban areas might not be transportable to rural areas.

3.11 Teacher Evaluation in rural areas in South Africa

Since the majority of schools that were used in the study can be classified as rural, a deeper insight into the plight of these schools is deemed necessary. The challenges they face are unique and have an impact on the teaching and learning processes and are discussed in the following paragraphs.

The major staffing challenge for public education systems in most low-income developing countries is how to achieve an equitable spatial distribution of teachers between rural and urban areas. The perceived unattractiveness of working in rural schools is usually compounded by the lack of additional incentives for teachers to work in these locations. As a consequence, rural schools generally have relatively less qualified and experienced teachers, teacher turnover is higher and, with higher vacancy rates, teachers have to work harder than their counterparts in urban schools.

3.11.1 The Ministerial Committee’s Report on Rural Education, May 2005

The Ministerial Committee’s Report on Rural Education released in May 2005, states that:

“Poor services discourage better-qualified educators from teaching in rural areas. Previously educators were not part of the homeowners’ scheme. Eventually when they were put on board, educators in the rural schools were still excluded. This scenario leads to a situation where the educators prefer to travel to work than to stay in the rural areas. Late coming, therefore, becomes the order of the day. Having to use their own vehicles on bad roads compounds the problem, as does lack of access to facilities such as medicine and health. Employment in rural areas becomes the last resort while the educator is looking for greener pastures.”

Many educators living far from the schools where they teach tend to arrive late at school on Mondays, and leave early on Fridays. It has been suggested that the state should provide accommodation at schools for educators, but this will not solve the problem of commuting home for weekends. School vandalism is rife, so promoting community ownership of schools appears to be the only answer to the question of how schools will be protected during vacations and over weekends.

The legacy of under- and unqualified educators, few having competencies in key learning areas, working in poorly equipped schools, continues to undermine the teaching environment and conditions of service of educators in rural schools. Educators and communities alike are demoralized, and tensions between them destabilize attempts to reform education and training programmes.

The teaching profession in rural areas is characterised by a critical shortage of qualified educators, particularly in the physical sciences and mathematics. Morale is low because of poor conditions of service and the dire teaching environment in many schools. Many educators are considered ‘migrants’ as they travel to schools from towns, never feeling a part of the community in which they teach. Professional development programmes may be inaccessible due to the long distances educators must travel to attend.

Rural schools need as much support as they can be given, but this is not always the case. Support functions are severely compromised by resource challenges. Turnover of district staff is apparently high, with the result that too few learning area advisors are available across all learning areas, and administrative capacity is poor. District officials also have limited access to cars for visiting schools in remote areas. Technical difficulties such as these may be relatively easily addressed, provided the funds can be made available. For example, administrative services for schools could be provided either through a hub or mobile service including photocopying, and supplies, and vehicles could be made

available for school visits to the more remote schools where poor roads provide the only means of access. (Ministerial Report on Rural Education May 2005).

It would appear that a disproportionate share of newly qualified teachers are from better-off, mainly urban-based households and they are not therefore accustomed to coping with the additional problems of living in rural areas. Moreover, the incentives to work in towns continue to increase mainly because the scope for secondary employment and the opportunities for further study are so much less than in rural areas.

3.11.2 Infrastructure norms and standards in South Africa 2008

The Department of Education recently reported that: In 1994, South Africa's democratically elected government inherited one of the world's most inequitable education and training systems. Unequal education opportunities were fostered mainly through unequal distribution of education resource inputs that are known to negatively impact on student learning. Student learning outcomes were understandably acutely inequitable. The physical teaching and learning environment – that is the school infrastructure and basic services-have historically been one of the most visible indicators of inequitable resource inputs. The majority of our learners were taught in decrepit and unsafe buildings; their schools had no electricity, safe water, sanitation, telephones or co-curricular facilities and equipment.

Significance of the physical teaching and learning environment:

There is a link between the physical environment learners are taught, and teaching and learning effectiveness, as well as student learning outcomes. Poor learning environments have been found to contribute to student irregular attendance and dropping out of school, teacher absenteeism and the teacher and students' ability to engage in the teaching and learning process. The physical appearance of school buildings are shown to influence student achievement and teacher attitude toward school. Extreme thermal conditions of the environment are found to increase annoyance and reduce attention span and student mental efficiency, increase the rate of student errors, increase teacher fatigue and the deterioration of work patterns, and affect student learning achievement.

Good lighting improves students' ability to perceive visual stimuli and their ability to concentrate on instruction. A colorful environment is found to improve students' attitudes and behavior, attention

span, student and teacher mood, feelings about school and reduces absenteeism. Good acoustics improves student hearing and concentration, especially when considering the reality that at anyone time, 15 percent of students in an average classroom suffer some hearing impairment that is either genetically based, noise induced or caused by infections. Outdoor facilities and activities have been found to improve student formal and informal learning systems, social development, team work, and school-community relationships.

This appears to be the norm in most developing countries and therefore most schools in Africa fall into this category. A typical case study is presented in the form of sub-Saharan Tanzania. Many of the findings of the Ministerial Committee on Rural Education in South Africa are the same as those found in a study undertaken in Tanzania in 2005 as part of a study of eight sub-Saharan and four South Asian countries considered to be the poorest in the world. These are briefly discussed in the section below. The information provided relies heavily on information of the study conducted by P Bennell and F Mukyanuzi of Tanzanian schools as part of the broader study.

3.12 Teacher Motivation in Tanzania

Their research found that In Tanzania, as elsewhere in Africa, including South Africa, universal primary education with acceptable learning outcomes can only be attained if teachers are adequately motivated. Teachers also have a critical role to play in supporting development activities in the wider community. In short, teachers are central to the realisation of ambitious national and international education and poverty reduction goals. However, there are growing concerns that teachers in Tanzania, as in other developing countries, are increasingly de-motivated, which is reflected in deteriorating teaching performance and learning outcomes.

The 1995 Education and Training Policy noted that in Tanzania, teachers have experienced low and irregular salary payments, lack of proper housing, inadequate teaching facilities, low status and limited opportunities for professional development. Poor incentives also mean that far too few qualified and experienced teachers want to work in schools in rural areas where the large majority of the population and the poor live and where primary school enrolment and completion rates are relatively low.

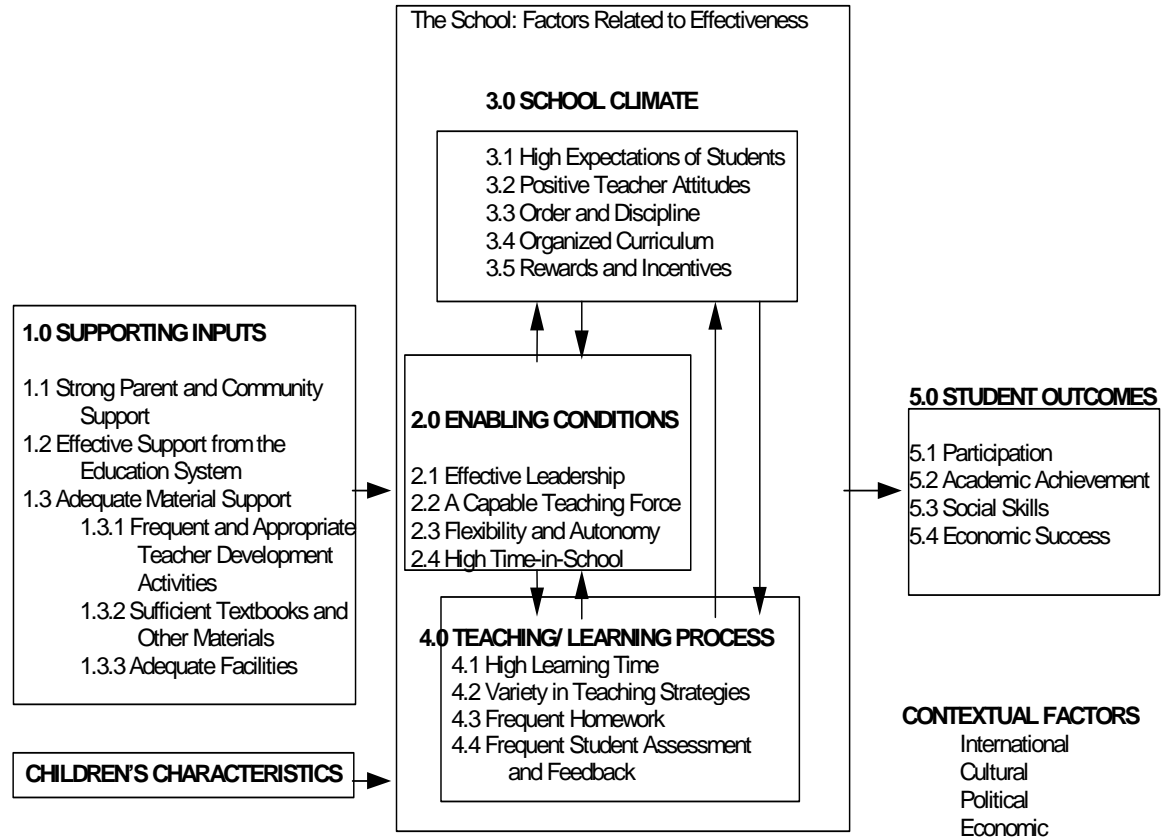
A problem in Tanzanian schools, the study found, is the number of issues that impact negatively on service delivery. As with any other occupational group, pay, working and living conditions and other incentives determine the level and patterns of motivation and thus performance among teachers.

Incentives also powerfully influence the deployment of teachers to schools across the country. It is widely believed that low levels of job satisfaction and motivation are adversely affecting teacher behaviour in Tanzania, which in turn is resulting in lower quality education.

Demoralised teachers are likely to want to find another profession or occupation, be absent or late for work, and not do what is expected of them in the classroom in order to meet the learning needs of their pupils. The report states that they may even perhaps engage in unethical behaviour, such as excessive drinking and sexual relationships with pupils.

In so far as developing countries are concerned, the factors identified by Heneveld and Craig in the mid-1990's as of greatest relevance in determining school effectiveness are likely still to be the primary ones. These were compiled from both school effectiveness and school improvement research findings in developing countries, and are given as a diagram below. Their text gives a detailed definition of each factor, supported by references, of which the most important sources were Lockheed and Verspoor, 1991; Dalin *et al.*, 1992; Levin and Lockheed, 1993.

Figure 7 : Conceptual Framework: Factors relating to School Effectiveness



(Source: Lockheed 1993)

For developing world education systems perhaps the greater challenge of school improvement initiatives should be focused on changing the management and working culture within schools to facilitate effective teaching and learning, which is one of the main aims of IQMS of which teacher appraisal and teacher development is an integral part.

3.13 School improvement strategies

The literature review, OECD report and European Union Commission report, amongst others, revealed that attempts at policy level to make schools and schooling more effective within any system can be classified as either statutory (compulsory) or non-statutory (optional) which could be further classified and understood as either regulatory or enabling.

The success of any teacher appraisal system would require that a combination of both are present. The statutory designs and the non-statutory (attempts made by schools to help themselves) might include but not limited to:

3.13.1 Statutory

- Channelling resources into schools lacking basic necessities, from sound and safe buildings and sanitation to textbooks and ICT facilities;
- Restructuring the curriculum and making specified content compulsory;
- Establishing quality assurance systems, e.g. via frequent independent inspections;
- Instituting regular standardised assessments of all pupils in core subjects;
- Recording and reporting the results of these assessments at school level, with the purpose of monitoring progress and identifying under-performance;
- Setting standards or targets for pupil achievement;
- Either using interventions – such as appointing replacement principals – to turn round, or else eventually closing, schools which fail to meet those standards or targets; and
- Making schools more accountable to the local community by, for example, specifying parent and community representation on school governing boards linking school funding to performance

3.13.2 Non- Statutory

- Promoting the notion of schools' responsibility for helping each child to reach her/his potential;
- Instituting specific centrally-funded programs for which schools can bid;
- Promoting a culture of self-evaluation and review, using information ranging from 'benchmarking' data to pupils' experiences;
- Encouraging 'evidence-based' education and the use of research to support practice;
- Linking school funding to performance

3.14 Effectiveness of teachers

Similarly, there has been a greater concern than previously with the 'effectiveness' of teachers and teaching. Attempts to make teachers and teaching more effective may include and again not limited to:

3.14.1 Statutory

- Raising the profile and value of teaching as a profession, via, inter-alia, publicity campaigns, incentives packages, the creation and development of professional associations;
- Requiring teachers to be qualified, i.e. trained to minimum standards (in some countries, such as those in the European Union, making teaching a graduate or even post-graduate profession);
- Ensuring that initial teacher training is done by accredited institutions and includes substantial school-based placement;
- Ensuring that all teachers have access to further professional training and development throughout their careers;
- Providing professional support and advisory services at a local level;
- Using external inspectors to assess the performance of individual teachers against national norms;
- Using standardized pupil outcome data to assess the quality of instruction;
- Establishing in-school appraisal systems;
- Providing paid time for team work and development;
- Enhancing remuneration and promotion prospects for 'leading' or 'advanced skills' teachers; and
- Instituting performance-related pay for all teachers.

The legislation governing education in South Africa do not include many of the above statutes or recommendations but should certainly be considered for inclusion in future legislation and guidelines for use in professional development programmes. The use of external inspectors to assess the performance of individual teachers against national norms, for example, could prove useful in the moderation of scores achieved by teachers and ensure that the system is being applied consistently at all schools.

By establishing in-school appraisal systems that is, going beyond the minimum requirements of the existing appraisal system, a better insight into the teaching skills of individual teachers will be gained and those areas identified as requiring development would be acted upon.

3.14.2 Non-Statutory

- Basing programs of high-quality continuing professional development around the common theme of effectiveness and improvement;
- Involving teachers *inter alia* in task groups and working parties on the curriculum;
- Involving teacher unions in the development and dissemination of good practice;
- Respecting teachers as agents of change and giving them a stronger sense of autonomy about, and responsibility for, the learning of all of their pupils;
- Encouraging teachers to participate in professional partnership activities, such as clustering, peer observation and/or mentoring; and
- Promoting a culture of self-evaluation and the use of research to support practice.

All of the above are included in the intentions of IQMS and the extent to which they are being implemented forms part of the empirical study.

3.14.3 Attitude to evaluation (Micropolitics)

There is often resistance to institutional change, which includes teacher appraisal because of what is referred to as micropolitics which can be described as the interplay between power, conflict and cooperation within an organisation. This is strongly aligned to the concept of organisational culture which was presented earlier.

The literature contains several definitions of micropolitics, most focussing on the strategic use of power in organisations to achieve preferred outcomes. Smylie and Brownlee-Conyers (1991), quote Hoyle's distinction between micropolitics and administration/management illustrated as follows:

Table 15: Micropolitics versus Management

Micropolitics tends to focus on:	Management is concerned with:
Individual and group self-interests	organisational goals
Power and influence among individuals and groups	the structure of authority in organisations
Informal strategies exercised at the individual and group levels	formal procedures exercised at the organisational level.

(Source :Adapted from Hoyle)

Micropolitics “concerns itself with hidden agendas, with the implicit rather than the explicit, and with those activities that occur among individuals and groups outside rather than inside the formal structures of an organisation.” (Hoyle)

Using this definition, it may be said that individuals and groups might be forced to undermine formal procedures and processes to satisfy their self-interests even where formal operating procedures exist, but exist without measures to prevent their being used to suit the agendas of the special interest groups or individuals. Other factors could possibly be related to the difference between the school as a workplace within the public sector, and an organisation within the private sector in which bureaucratic processes may rightly or wrongly be expected to be more effective. This is in view of the fact that supervisors and managers in the private sector are at least perceived by the workforce to possess a higher degree of knowledge by virtue of education or experience. This is not necessarily the case in education, particularly in the case of a school, where individual teachers may in fact be more experienced as classroom practitioners than the principal or their immediate supervisor, and they may also have superior formal educational qualifications.

Blase (1993) describes micropolitics in the following terms:

“Micropolitics refers to the use of formal and informal power by individuals and groups to achieve their goals in organisations. In large part, political actions result from perceived differences between individuals and groups, coupled with the motivation to use power to influence and/or to protect. Although such actions are consciously motivated, any action, consciously or unconsciously motivated may have political “significance” in a given situation. Both co-operative and conflictive actions and processes are part of the realm of micropolitics.”

Thus, there could be teachers who may experience the negative feelings expressed by Blase, and schools that might be negatively affected by an organisational climate that is not conducive to teamwork and collaboration. So as to avoid these negative consequences, extensive thought and preparation is required prior to a teacher appraisal system being devised, adopted and implemented, to ensure that it addresses the questions of bias and possible discriminatory treatment of certain individuals in schools. This proved to be particularly true in the South African scenario when it was devised, adopted and developed as discussed in Chapter Two.

3.14.4 Teacher collegiality and appraisal

Many contributors to the literature refer to the “isolation” of teachers in “egg cell” classrooms as inhibiting their growth as professionals, forcing them to depend on their own resources for the resolution of curricular, instructional and management problems which arise during the planning and conduct of instruction. Hargreaves (1991) citing the work of other researchers, indicates that if collegiality is seen as promoting professional growth and internally generated school improvement strategies, it can also be seen as a way of securing effective implementation of externally introduced changes, specifically, the implementation of centralised curriculum reform. This has implications for the implementation of the Curriculum Statements in South Africa, since the success depends to a large extent on the co-operative work of faculty groups within the school. Teachers are required to be responsible for implementing nationally defined curriculum statements, which practically forces them to develop collegial relationships and networks at the school level. Shulman (1989), quoted by Hargreaves states:

“Teacher collegiality and collaboration are not merely important for the improvement of morale and teacher satisfaction....but are absolutely necessary if we wish teaching to be of the highest order. Collegiality and collaboration are also needed to ensure that teachers benefit from their experiences, and continue to grow during their careers”.

Referring to the involvement of teachers in the exercise of leadership at school level, Shulman also comments:

“Schools are asked to become like our best corporations, employing modern methods of management to decentralise authority, to make important decisions at the [point where street-level bureaucrats reside. Leadership is not monopolised by administrators, but is shared with teachers”.

Hargreaves distinguishes between “collaborative cultures” and “contrived collegiality” as illustrated in the following table:

Table 16: Collaborative cultures and contrived collegiality

Collaborative cultures are	Contrived collegiality is
Spontaneous - they emerge primarily from the teachers themselves as a social group. Although they may be facilitated by administrative arrangements, they evolve from, and are sustained by the teaching community itself.	Administratively regulated: contrived collegiality does not evolve spontaneously from the initiative of teachers, but is an administrative imposition that requires teachers to meet and work together.
Voluntary - they arise not from administrative constraint or compulsion but from a perceived value among teachers that derives from experience, inclination, or non-coercive persuasion that working together is both enjoyable and productive.	Compulsory: contrived collegiality makes working together a matter of compulsion, as in mandatory peer coaching, team teaching, and collaborative planning arrangements. In contrived collegiality, there is little discretion afforded to individuality or solitude. Compulsion may be direct, or it may be indirect in terms of associated promises of promotion and veiled threats of withdrawal or support for teachers' other favoured projects, for example.
Development orientated - teachers work together primarily to develop initiatives of their own, or to work on externally supported or mandated initiatives to which they themselves have a commitment. In collaborative cultures, teachers most often establish the tasks and purposes for working together, rather than meet to implement the purposes of others.	Implementation oriented: under conditions of contrived collegiality, teachers are required or "persuaded" to work together to implement the mandates of others - most directly those of the principal, or indirectly those of the school board, the state or the nation. Such mandates may take the form of a national curriculum, accelerated learning programs, or co-operative learning strategies. Collegial co-operation is closely tied to administrative co-option.

(Source: Adapted from Hargreaves 1991)

3.14.5 Solidarity and Collegiality

Traditional summative evaluation models are not always structured to support dynamic, regenerative school environments. Evaluation procedures that focus on compliance with strictly controlled sets of behaviours do not encourage teacher involvement in their self-development or in the development of collaborative school cultures. New systems that include evaluation as a genuine part of teachers' everyday practice, with the required supports for regular reflection, are naturally taking root, as hierarchical controlling structures give way to environments that sustain collegial interactions (Sclan, 1994).

An evaluation system, that is perceived by administrators and teachers as being effective, equitable and humane, provides the platform for the ideal of a collaborative culture might be presented as being the ideal. Alternatively, an evaluation system seen to be unfair, inequitable, and affected by the political intrigues of those possessing power, would be unlikely, in view of the foregoing literature, to be accompanied by a voluntary, collaborative culture.

Mullins (1966) concisely explains this by stating that the appraisal process is valuable to teachers in that "... it improves the quality of working life by increasing mutual understanding between managers and their staff"

Trethowan (1991) endorses this view stating that:

"... appraisal is a relationship; it is a method of managing and of being managed. ... Appraisal means being in and around the teacher's work to catch the teacher doing something right. It means being available for advice and support when things go wrong. It means that someone, in addition to the teacher is directly, personally and continuously responsible for the teacher's performance."

Murdock (2000) argues that: ..." it is vital for a progressive system of evaluation to build on collaborative relations whereby the supervisor actively makes efforts to understand the teacher's frame of reference on classroom events and engages in continuing dialogue with teachers".

Appraisal creates an opportunity for the appraiser and appraisee to develop a critical friend relationship, moving into coaching and mentoring. Cosh (1999) offers a model she calls "pair mentoring" where two teachers work together, observing each other's lessons, sharing areas of mutual interest, and planning future strategies together. McGregor (1992) contends that the concepts of collegiality and collaboration are widely emphasized in educational literature, but commonly conflated.

This brings us to the perception of the efficiency factor which is important if teacher appraisal is to achieve its intended objectives.

3.15 Summary

The chapter provides discussion of previous findings on research in the field of teacher appraisal. Various appraisal methods with their advantages and disadvantages are given. Since previous studies have identified problems with appraisal systems, including its reliability and validity, these are noted. Since development of the teaching corps is an important aspect of any appraisal system the need for professional development is discussed.

There are vast differences in the facilities of schools in developed and developing countries and indeed between rural and urban schools in developing countries as is shown in the empirical study. Sections in

the chapter highlight these differences which are subsequently considerably elaborated upon in Chapter Four. Evaluation of teachers has to take place in a school climate which is transparent and without hidden agendas between those doing the evaluation and those who are being evaluated. The spirit in which this should be done has been discussed.

CHAPTER FOUR

EDUCATION AND ECONOMIC DEVELOPMENT: A COMPARATIVE ANALYSIS OF DEVELOPED AND DEVELOPING COUNTRIES

4.1 Introduction

The purpose of this chapter is twofold:

- To point out the fact that there are vast differences between the working and living conditions of teachers in the developed and more affluent countries of the world compared with those in countries which are still developing and;
- To highlight and stress the fact that economic development is closely linked to education within a country and that the quality of education is of utmost importance. The quality of education relies on an effective and competent teaching force that needs to be continuously developed.

The rate at which society changes differs from country to country and from continent to continent, but often having a greater impact on developed countries than those who are classified as developing nations due to their advanced and competitive knowledge base. These concepts will be explored in the following sections.

4.2 Definition of developed and developing countries

Since most international organisations do not have a definition for a “developing ” country it can be considered as term generally used to describe a nation with a low level of material well being. There is also no single internationally-recognized definition of a “developed” country, as types and even levels of development can vary widely within so-called developing countries, with some developing countries having high average standards of living. In an attempt to standardise the definition, some international organizations use strictly numerical classifications. The World Bank for example considers all low- and middle- income countries as "developing" and in its most recent classification, economies are categorised using 2008 Gross National Income per capita. In 2008, countries with a Gross National Income (GNI) per capita below US\$11,905 were considered developing. Other institutions use less specific definitions. (World Bank:2008).

Countries like South Africa with more advanced economies than other developing nations, but which have not yet fully demonstrated the signs of a developed country, are grouped under the term “newly industrialised” country.

Teachers in the poorer developing countries cannot be expected to compete with their counterparts in the First World (Industrialised) countries as their circumstances differ widely. It is a well known fact that teaching and learning conditions in developing and developed countries, although having commonalities, still tend to differ widely, with teachers in developing countries being at a distinct disadvantage. Their needs for competence enhancement and professional development are distinctly different from their counterparts in the developed countries.

It is for this reason that the teacher performance appraisal should be conducted in methods tailored to meet to needs of the teachers in their specific area. Motivational factors for a teacher in Zambia for example, compared with one in Sweden would be two entirely different and unequal scenarios.

The scenario can even differ widely within the same country depending on the geographical location - the extent to which a teacher in a rural school in Botswana can compete with one teaching in that country’s capital city of Gaborone is also vastly different.

The instruments used to measure their performance therefore cannot and should not be the same and yet standardised performance appraisal methods are currently being used globally – methods which often fail to take these contextual factors into account. The study will establish whether the appraisal system used in South Africa is an appropriate instrument for evaluating teachers in this country.

The Global Competitiveness Report (2009-2010) from the World Economic Forum released in June 2009 clearly points out that an important characteristic of the Global Competitive Index (GCI) is that it explicitly takes into account the fact that countries around the world are at different levels of economic development. What is important for improving the competitiveness of a country at a particular stage of development will not necessarily be the same for a country in another stage: what presently drives the levels of productivity improvements in Japan or France is different from what drives them in Algeria or Uganda. In other words, economic development progresses in stages.

The same is also true for education systems around the globe: educational structure and development also needs to progress in stages - and the teaching system is therefore required to respond to these needs accordingly.

According to the GCI, an economy is initially factor-driven: countries compete based on their factor endowments, which in the stages of a developing economy relates mainly to unskilled labour and natural resources. Companies compete on the basis of price, and sell basic products or unsophisticated goods, not requiring a high productivity level which in turn is reflected in low wages. The majority of Sub-Saharan countries are classified as factor driven economies.

As wages rise with advancing development, countries move into the efficiency-driven stage of development, which means they must start to develop more efficient production processes and increase the quality of their products in order to compete globally. South Africa and Namibia are placed in this category with Botswana being in a phase of transition into this stage.

The third and final phase is referred to as the innovation-driven stage, where countries are able to maintain higher wages and the related standard of living only if their businesses are able to compete with new and distinctive products. Examples of countries in this final stage are Switzerland and the United States of America whose competitiveness were ranked first and second place in the world respectively.

4.3 The link between quality education and sustained economic growth

The second focus of this chapter is to establish the link between providing quality education and sustainable economic growth. It is a known fact that a population's education and health status, referred to as human capital formation, plays a significant role in a country's economic development. The economic development needs of a country like Germany for example would be very different to the economic needs of Gabon - the school improvement programmes incorporating teacher development programmes designed in these two countries therefore would have a different focus. The relevance of this for the study is that it emphasizes the fact that an appraisal system needs to be developed to suit the particular needs of a particular country.

As educational circumstances and foci differ widely depending on the stage of development, it is extremely difficult to compare education systems across the globe. The key issues, however that are

discussed in this chapter would be to define the concept of quality education and the relevance of what is being taught in a global context. It also investigates the impact that a schooling system has on the sustainable economy of a country.

As has been established in the previous section, different countries have different needs and objectives when developing their educational system, dependent on many factors such as the stage of economical development they are in. A further factor influencing the direction of education is the design of the economic policy prevailing in a country – a factor which is strongly influenced by political pressures which in turn is shaped by the poverty index levels of any given population. Policy makers therefore are required to take the poverty index levels into account when designing education and economic policies since both should strive to minimise the economic hardships of the people.

Developing countries are likely to provide only basic universal primary and broader based secondary education. This is a course designed to give these poorer nations the human capital boost required to bring about economic participation of large sectors of the population. Alternately, more industrialized countries place more focus on specialised tertiary education, where younger adults would play a more prominent role in economic growth.

Examples from Asia and Latin America (EFA Global Monitoring Report 2006) show that economic growth is the only factor which is able to meet the financing needs for the quality improvement and expansion of access to post-primary education in Africa. Both access to education as well as quality improvement programmes should run concurrently.

Global competitiveness also demands that African secondary education and training needs to vastly improve the quality of the secondary graduates. Expansion of access to African education will not be sustainable without meeting international standards of output quality, because this will “make or break” economic growth potential. Ultimately, it is economic growth at national level which will make the expansion of education opportunities for African youth possible.

International policymakers have thus become aware that more and improved education is vital – particularly within a developing nation: better, more relevant and longer education (better here is relative as it relates to teachers and systems in vastly different environments) inevitably leads not only to higher individual earnings but it is also a required, although not always adequate, necessity for sustainable economic growth.

An additional benefit is that better education results in the improvement of governance levels, resulting in the reduction of the likelihood of corruption, mismanagement and poverty.

A determined effort to provide improved primary and secondary education is now seen as critical, an action which would require both national and international intervention. Strong indications exist that this course would appear to be the most encouraging route to sustainable development and the eradication of poverty in many developing countries.

Results from internationally used standardised tests have proved useful indicators to shed some light and provide further explanation on the role that the quality of education plays in economic growth. According to Hanushek: "It has been proved that international differences in mathematics and science knowledge comparative surveys which have been conducted since the 1960s found that school quality indeed has a remarkable impact on differences in economic growth". (Hanushek;2005)

The implications of these findings indicate that a quality education is necessary as a driving force in an economy, and that the impact that mathematics and science knowledge has on the economy could prove to be significant.

Studies have been conducted that indicate that: "... amongst U.S. workers educated outside of that country, those who came from countries with higher math and science performance consistently performed better, thus precluding the possibility that it is simply something about the characteristics of the home country economies". (Hanushek;2005)

The same author refers to three studies undertaken to prove the usefulness of using standardised tests as indicators of individual earnings and productivity and suggests that the better an individual performs on standardized tests, the more likely he/she is to earn a good salary. He further states that little research has been done in this field in developing countries. The EFA Global Monitoring Report 2009 concurs with this view that international standardised tests provide a good indication of the quality of education globally. Presently in South Africa standardised tests are written only for some grades and sample schools. There is a growing perception that these universal assessments should take place for all grades and all schools to give a realistic indication of the levels of performance of the pupils.

The findings from Hanushek suggest that better mathematics performance at the end of high school translates into 12 percent higher annual earnings - an earnings gain that can be expected across the

entire working life of the individual. The fact that the Department of Education has introduced an alternative to mathematics into the curriculum namely maths literacy, is in light of the above findings disconcerting. The latter is perceived to be of far less value than mathematics.

It would appear that additional returns to school quality may also come through continuation in school, that is, the actual number of years spent in formal schooling. Hanushek further states that there is considerable and substantial evidence from United States of American studies that students who do better in school, measured by scores on standardized achievement tests, tend to go further in terms of educational attainment.

It can therefore be concluded that the only true sense of measurement of universal abilities is through the use of standardized achievement tests.

The study by Murnane *et al.* (2000) also found that even in developing countries with relatively small manufacturing and skill-intensive service sectors, skills have been shown to have a strong impact on outcomes. While much of the quantitative research on the importance of skills has come mainly from developed countries, the qualitative scenario accordingly seems to be relevant for many developing countries as well.

4.4 Teachers and quality education in Sub-Saharan and other developing nations

The backlog in the provision of suitable infrastructure to create an environment conducive to both teaching and learning is enormous and can be considered a serious and major challenge as is indicated in the following excerpt from the 2009 EFA Global Monitoring Report:

“Despite the large investment in both primary and secondary education and the concern for quality, current conditions in most schools throughout the region depress and dishearten visiting educators from developed and industrialised countries. For example, in much of Africa, a typical rural or suburban primary school consists of six to ten classrooms in two or three blocks. If the school is fortunate, the oldest block will have been built sturdily, though newer blocks, often built by the community, may appear to be temporary. These blocks will vary in quality, from mud and wattle to cement block construction; all will suffer from inadequate maintenance and most will usually be surrounded by a dusty compound.”

Up to eighty small children will squeeze into poorly-lit rooms designed for no more than forty learners, and many children may not have chairs to sit on or desks to write on. The teachers must endeavour to provide instruction with only a chalkboard as an aid. Children may have notebooks, and a few, depending on the country and on local economic conditions, may have textbooks.

The teaching process is dominated by the teacher whose delivery is usually aimless and boring. The teachers' salaries, training, and work conditions dampen the enthusiasm of even the most dedicated among them. The overall effect in most schools is that of a ritual being played out in which the participants understand and appreciate little of what is happening. It is small wonder that student achievement is poor and that primary school enrolments in some countries in the region have even declined.” (UNESCO: EFA Global Monitoring Report:2009).

This report invites comment particularly if seen from a continental African perspective. If the “ teachers’ salaries, training and work conditions dampen the enthusiasm of the most dedicated among them” and where teaching environments where they work are “more and more challenging”, one has to consider the environment in which teachers are operating in Sub-Saharan African Schools, and ask if the environments of the 6.25 million European teachers can be compared in any way to the African school environments?

The obvious answer to this is that there is no comparison between the two teaching scenarios - despite the large investment in primary education and the concern for quality, current conditions in most primary schools throughout the region (Africa in particular) dishearten visiting educators. The visiting educators are expected to teach for a period in conditions which, are to say the least challenging, and feel disheartened when comparing conditions in schools in their home countries to what they see their Sub-Saharan counterparts have to endure.

This is supported by the findings of the 2009 Education for All Global Monitoring Report, which states:

“The extent of global inequality in educational opportunity should give policymakers pause for thought. While over a third of children in rich countries complete university, a much smaller share even completes primary education in much of sub-Saharan Africa (with just

5% reaching university level). One in three children in developing countries (193 million in total) reach primary school age suffering from malnutrition and impaired cognitive growth – a figure that rises to over 40% in parts of South Asia.” (UNESCO: EFA Global Monitoring Report:2009).

An illustration of just how inadequate the majority of teaching facilities are in developing countries is depicted in *Figure 8* below which shows a photograph of a classroom in a rural area in South Africa, but could just as easily be from a rural school in any one of the developing countries:

Figure 8: A typical rural school classroom



Source: 2009 EFA Global Monitoring Report

The report estimates that by the end of four to six years of primary education in developing countries, 30-50 percent of school-leavers cannot read or write confidently and lack basic numeracy skills. In the sub-Saharan African countries in particular, the poor quality of teaching results in 18 percent of children, on average, repeating a year of schooling.

Reasons for this failure to deliver quality education are numerous, but some of these issues highlighted in the 2009 EFA Global Report will be discussed in the following sections.

4.4.1 Inadequate education budgets

In many countries, delivering on the commitment to quality compulsory education fails due to lack of funds. In most developing countries, public funding for primary education is inadequate to meet

demand. High levels of public debt also restrict these countries' opportunities. According to UNESCO, developing countries' average spending on education amounts to just 3.4 - 5.7 percent of gross national income compared with the Organisation of Economic Co-operation and Development (OECD) countries of Central and Eastern Europe where the equivalent figure amounts to as much as 8 percent.

Other constraints on the financial resources allocated to education in developing countries are generally related to inefficient and cumbersome administrative structures as well as widespread corruption – both of which impact negatively on the provision of a nationwide education system.

4.4.2 Lack of schools

A lack of infrastructure often exacerbates the education delivery problem in developing countries where there is a shortage of primary schools in relation to the growing number of young pupils requiring access to education. Rural regions in particular often suffer from the lack of a comprehensive primary school network, but in the poorer developing countries, this problem is also found in the normally well provisioned urban areas. Children often have to walk unacceptably long distances to get to school, a factor which would affect the attendance of young female pupils – in particular due to the safety element.

The infrastructure issue is greatly concerning – and often where schools have been built, the number of classrooms are insufficient for the demand in the area – resulting in overcrowded classrooms or situations where parallel education/school sessions need to be scheduled in order to cater for the demand.

4.4.3 Inadequate equipment provisioning

A general feature within the education system of developing countries is the lack of teaching material available for the classroom. These schools often lack textbooks and other necessary equipment, and when these are available, are often as outdated as the furnishings and teaching methods. Many schools have no funding to cover overheads such as water, electricity or transport for pupils – should these amenities even be available in the more remote areas.

This is also found to be the case in colleges and universities which in general also lack proper funding and amenities. Very few are able to fulfill their research and teaching responsibilities satisfactorily.

This, despite their importance in the provision of training for specialists and managers, and in resolving development-relevant challenges in the economy, state and society.

4.4.4 Shortage of qualified teachers

An additional factor impairing the delivery of quality education is that most developing countries lack well-qualified teachers. UNESCO estimates that up to 35 million extra teachers are needed worldwide in order to ensure that all children have access to primary education. Sub-Saharan Africa in particular also faces a burgeoning health problem: in some regions, so many teachers have fallen victim to HIV/AIDS that schools have had to close (UNESCO: 2006).

4.4.5 Poor working conditions for teachers

Previous sections in this chapter have briefly described the difficult working conditions of educators in developing countries. Due to the shortage of infrastructure and the parallel classes which have developed from this situation, many teachers have to teach two or three shifts a day - in classes with very high student numbers. A teaching career is often seen as an unattractive option in relation to the amount of work expected relative to the remuneration received .Many teachers have to take an extra job in order to support themselves and their families. This issue of secondary employment is elaborated on in section 4.13.7.

4.4.6 Low quality teaching

Another factor placing further stress on the teacher in the developing nations is that they are mostly poorly trained and inadequately prepared for their professional role – leading to their inability to fulfill their role as a teacher.

Due to a lack of clearly defined policy, clear targets or goals are not defined within the curricula, which are overloaded with subjects and do not meet the learning needs of primary school children. Too little account is taken of cultural and regional factors. For example, the use of a teaching language which is unfamiliar to students reduces learning outcomes in many cases.

In addition to this, innovative approaches are also often lacking in teaching methods with group work and the encouragement of independent learning not being widely practiced. The capacity for

independent critical thought and problem-solving, the use of new technologies and the promotion of life skills are also not given adequate priority in many curricula. In the field of vocational training, the courses are also often far too theoretical and lacking in current market relevance.

4.4.7 Cost of attending school

Due to the high incidence of poverty, many people in developing countries cannot afford to pay for books and other learning materials, school uniforms and transport to school. Despite the human rights conventions which oblige states to provide free and compulsory primary schooling for all children, school fees are still levied in at least 101 countries. There are many indications that these costs are the main reason why many children stay away from school or break off their schooling early.

4.4.8 Discrimination against girls

In many countries, the traditional role of women and girls militates against their enrolment in school - especially in societies where women's sphere of activity is centred on the home. Gender disparities - also in education - are most marked in the countries and regions with a strong cultural preference for sons: North Africa, the Middle East, Pakistan, much of Bangladesh and India, and some East Asian countries. Early marriage or pregnancy may prevent girls from attending school.

4.4.9 Child labour

According to the International Labour Organization (ILO), around 186 million children between five and 15 years of age have to work - often up to 16 hours a day. In sub-Saharan Africa, almost one child in three works; in Asia, the figure is one child in five, and in Latin America one child in six. Many families depend on their children's contribution to their income. The situation in Africa is also strongly affected by the great number of HIV/AIDS orphans who have to provide for their families. These children have no time or money to attend school, and the teaching hours and curriculum also take no account of these child headed households.

4.4.10 Armed conflict

UNESCO (2009) states that of the 121 million children worldwide who do not attend school, more than 80 percent live in crisis and post-conflict regions. In the 17 sub-Saharan African countries where

school attendance fell during the 1990s, six are affected by or have just come out of a major armed conflict. In Rwanda, more than two thirds of teachers fled or were killed in the genocide in 1994. In Mozambique, the civil war destroyed 45 percent of schools. The number of refugees has also risen as a result of armed conflict. Most refugees are women and children.

4.4.11 Defining essential basic requirements for quality education

The generalised picture presented above of the adverse conditions experienced in the primary schools of most developing nations is sufficiently accurate to pose the following question: “What are the essential basic conditions which need to be present for an African school to be effective?”

Schools with the poor conditions as described previously probably constitute the majority in most African countries. They provide a place for instruction from teachers, and, when possible, some supporting equipment and material. However, the amount and quality of these elements do not nearly come close to the standards usually expected for formalised institutions.

African countries, with support from donors like the World Bank for example, face the challenge of defining for themselves those essential conditions that they can reasonably expect to create and sustain in their schools. Because resources are scarce, it is critical that the conditions invested in must contribute directly and more efficiently to the process of teaching and learning.

In a study conducted by World Bank “Schools Count” (1996) suggests that in Africa, current investments in education development - including those of the World Bank, have not been focused accurately enough on maximizing the learning process. The poor resourcing conditions seen in African primary schools in general is also prevalent in the secondary education and training institutions – one of the key ingredients for national economic growth.

4.4.12 Input-output education production functions

The World Bank “Schools Count” (1996) study found that the research conducted on school effectiveness in developing countries has mainly focussed on the input-output elements of the entire teaching process. Teaching inputs have concentrated largely on the type and quality of initial teacher education and training and the professional qualifications with which they emerge. There is a flaw in this approach since these factors, training and qualifications, do not appear to have a significant impact

on the level of quality of the educational outcomes, that is the learning gains achieved by the learners themselves. This has led to the perception that educators in Lower Income Developing Countries (LIDCs) are generally performing at a lower level than their counterparts in the more developed countries around the world. This has led policy makers in developing countries to make policy recommendations which place more emphasis on increasing the provision of other inputs such as classrooms and learning materials such as textbooks— expecting this to improve school effectiveness specifically and the entire education system generally.

Although these inputs are important it is pointed out that there are other factors that must be taken into account. These factors are the human elements involved in the teaching-learning process which include the capabilities and motivational levels of the teachers which are vital ingredients in producing quality education. (Bennell and Akyeampong: 2007).

As elements contributing to successful learning outcomes the competence and commitment of teachers can be considered as two of the most important determinants in the complex process that is education. These determinants, particularly the latter, are difficult to measure when the performance of a teacher is being appraised. There appears to be dearth of research dealing with the motivational and incentive issues among teachers in Lower Income Developing Countries (LIDCs). (Bennell and Akyeampong: 2007).

The well known Maslow's "Hierarchy of Needs" theory will illustrate the point made in the previous paragraph. The theory puts forward that humans have specific needs that have to be met. These needs are placed at five different levels namely, physiological needs (hunger, thirst, sex), safety needs (security, safety and stability), needs relating to love and belongingness, self-esteem and finally self-actualisation. (Maslow: 1943)

According to his classic model, the lower level needs need to be met before the higher level needs can be fulfilled. In developing countries such as those in Sub-Saharan Africa, the theory appears to be particularly relevant since due to extreme poverty, teachers in these countries face basic survival needs on a daily basis. Food and shelter are not always guaranteed. Security in many of these countries is at risk due to the conflicts that are taking place. It is difficult to imagine that a teacher living and working under these conditions can aspire to the higher level needs without which effective teacher performance cannot be expected to be attained.

Striving to survive is of paramount to these teachers who would consider their involvement in professional development activities of minor importance. This would in turn affect the classroom performance of the teachers. Teachers in SSA countries would also not be concerned with the attention being paid by developed countries such as USA and the EU to linking a monetary value to individual teacher performance, tasks or skills. (Chamberlin *et al*: 2002; Conley and Odden: 1995). This is because they do not consider themselves earning a liveable wage in the countries where they teach or where their lives and those of their learners on a regular basis are under threat due to military activities in the area.

4.5 Policy reforms to improve teacher performance in developing countries

The focus of most, if not nearly all national education strategies and reform programmes is currently aimed at enhancing the performance level of the teachers, improving the work environment and allowing for schools to have a higher level of independence in the decision making process. These strategies can assist to bring about better teacher performance. However, these policies, although aimed at improving teacher performance, often result in an unwelcome increase in teacher workload. Little attention is paid to the general conditions of service relating to teachers. These conditions of service are taken for granted by their counterparts in developed countries. With the lower morale and motivation levels of teachers in SSA countries these educators are reluctant to change their teaching practices when any newly introduced system is implemented.

An excellent example of this is the introduction of the Outcomes Based Education (OBE) syllabus and the National Curriculum Statements implemented in South Africa. Educators believe that this new policy was brought about by the authorities who did not consult them or canvas any input from the educators before putting the system into practice. This has exacerbated the already very limited degree of self-determination educators are allowed to exercise. The end result of this new reform process has resulted in many teachers feeling that they are being forced into a situation in which they were not consulted. Not surprisingly, therefore, South African teachers were being found to have a level of resistance against these reform efforts in a both active and passive manner. This situation is not unique to South Africa.

In a study on valuing teachers conducted by The Voluntary Services Overseas (2002) and based on research conducted in Malawi, Zambia and New Guinea, the report concludes that “a potential crisis in the teaching profession threatens the ability of national government’s to reach internationally agreed

targets to expand and improve education. In many developing countries, the teaching force is demoralised and fractured” (VSO, 2002:1).

The study further focuses on four groups of factors: the state of affairs surrounding the conditions of employment of teachers; their position as educators within the system; the level of association and co-operation with the local community; and the degree to which they can take part in the formulation of educational policy. The report showed that the educational systems in SSA countries are not meeting the desired level required – and when rated according to the four factors above, most of these countries showed negative elements with very few positive features.

A salient feature of the report stresses that supervision and managing processes at all levels are found to be deficient – starting from national level working all the way down to school principal level. The morale of teachers due to poor management policy implementation has been affected negatively. Relatively simple processes such as receiving salaries timeously, adequate staff housing or accommodation as well as the learners not being given sufficient learning material have contributed strongly to the negative state of mind of the teachers in these countries. Further to this, the general deterioration of support services received from national, regional and district level and the belief that as a body, they have very little authority in the formulation of policy directly affecting them has reinforced the widespread disillusionment amongst educators.

4.6 Definition of quality education

The question of what exactly constitutes the definition of quality education is open to debate. If it is accepted that the quality of education is defined as a change in the environment in which students learn so that this change produces "detectable gains" in their learning, therefore, in order to design any proposed changes, it is necessary to have an operational definition of both what actually constitutes learning and what characteristics in the "environment" contribute to that learning.

Basically this means that one has to be clear about both specifying and defining what learners have to learn and also about what they need to help them learn it: implying that it should then be possible to design improvements that will produce learning gains.

These clear operational definitions of what is being sought for the students' learning environment, as well as definitions of the knowledge and skills expected of a child when he or she leaves primary school are an important aspect to consider when defining quality education.

General categories of the factors required to produce this such as community involvement, supervisory support, books, capable teachers, an organized curriculum, effective teaching methods, and sound evaluations - are addressed in the following section in a taxonomy of required conditions for effective learning and teaching.

Also discussed in this section will be the actual input required to address systemic needs including the supervisory service, the examinations system, the training of teacher training colleges, etc. entirely outside and separate from the conditions that are required in the schools themselves

Heneveld and Ward conducted a review of the design of 26 projects undertaken by the World Bank and came to the conclusion in 1996 that there are fundamental conditions that have to exist to ensure that education is delivered. Without these being present it is unlikely that effective curriculum delivery can take place. These basic requirements are discussed in the following section.

4.7 Heneveld's Taxonomy – enabling conditions and supporting inputs

Two of the most important groups of factors in providing a quality education have been identified as:

- a) Supporting inputs that are required for a school to achieve its desired objectives and*
- b) Enabling conditions for this to take place.*

These factors will be explored in the following sections.

4.7.1 Effective Support from the Education System

Table 17 on the following page illustrates the types of support required from the system outside of the school in order for the education service delivery to be effective:

Table 17: Effective support from the education system (Heneveld:1996)

Definition: Support to individual schools by the education system is effective when:	Requirements	Indicators
1. The system delegates authority and responsibility for improvement to the schools themselves.	1. Authority is delegated	a. The system has a clearly defined policy that delegates to the school the authority and responsibility for deciding school schedules, needed equipment and materials, schemes of work, and preferred teaching methods.
2. The system communicates expectations (exerts pressure) for successful academic results.	2. Communication of expectations	a. The system has set performance standards in terms of learner competencies. b. The system has defined the criteria that determine a school's effectiveness. c. Educational leaders above the school level, that is at circuit and district as well as at provincial level communicate frequently and publicly a goal of excellence for the school.
3. The system provides support services to the schools that assist them succeed.	3. Provision of services	a. School supervisors such as circuit and ward managers, subject advisors inform school staff of promising instructional practices and assist staff in trying them out. b. The system provides continuing advice and training for school managers and teachers. c. The system provides the resources needed to achieve instructional goals. d. The system protects the school from political turbulence both internal and external.
4. The system monitors and evaluates schools' academic performances and their improvement efforts.	4. Monitoring and evaluation	a. School heads are evaluated regularly, focussing on their role as instructional managers. Quarterly reports are submitted from those doing the evaluation and follow-up action, if required is recorded. b. The system assesses each school's academic performance and its change efforts on a quarterly basis, and both recognizes successes and provides support to overcome weaknesses.

Table 17 on the previous page illustrates the different support processes, vital to the efficient functioning of an educational system and embraces four major concepts:

- Delegation of authority
- Specifications and communication of expectations
- Provision of support services
- Monitoring and evaluation

These process are all from the external source as opposed to the next important group of internal features contributing to a quality education – enabling factors as described in the following section.

4.7.2 Enabling Conditions: Effective Leadership

Possibly the most important factor in the successful functioning of an educational system within a school context is the quality of leadership at all levels as illustrated in *Table 18* on the following page:

Table 18: *Effective leadership; (Heneveld:1996)*

Definition: Effective leadership exists in a school when:	Requirements	Indicators
<p>1. The Head and the school management team ensure that the resources are available to provide adequate support to teachers, sufficient learning materials, and an adequate and well-maintained learning facility.</p> <p>2. The Head and the school management team actively and the school management team pursues high instructional standards by:</p> <p>a. clearly and frequently stating in concrete terms the school's mission, curricular goals and expected teaching behaviours.</p> <p>b. clearly and frequently expressing high expectations of pupils and the school's focus on learning as its central purpose.</p> <p>c. coordinating and managing the learning process.</p>	<p>1. Necessary resources are available</p> <p>2. High instructional standards are pursued</p>	<p>a. Teachers have adequate compensation in whatever form, to concentrate on teaching.</p> <p>a. The Head's and the school management team's conversations and presentations regularly refer to confidence in student abilities and to learning.</p> <p>b. The Head and the school management team can describe the school's curricular goals and the classroom behaviors that they believe constitute good teaching.</p> <p>c. There are minimal disruptions to learning time (e.g. administrative assemblies, long breaks, teacher tardiness etc.</p> <p>d. The Head and the school management team frequently visit classrooms and hold development conferences with teachers.</p> <p>e. The Head and the school management team frequently review pupil performance (by level, and by subject or learning area).</p> <p>f. The Head and the school management team frequently review and assess teachers, and their curriculum programmes.</p>
<p>3. The Head and the school management team communicate regularly and effectively with teachers, with parents and other stakeholders in the community.</p>	<p>3. Regular and effective communication with teachers, parents and the community</p>	<p>a. Staff meetings are frequent and productive.</p> <p>b. Communication with teachers is frequent and constructive.</p> <p>c. School public events are frequent and productive.</p> <p>d. The Head's and the school management team involvement in community activities outside the school are frequent and constructive.</p>

4.7.3 Enabling Conditions: A Capable Teaching Force

Although leadership is critical within an efficiently functioning school environment, without a capable teaching force, good leadership is largely ineffective as illustrated in *Table 19* below:

Table 19: A capable teaching force (Heneveld:1996)

<i>Definition:</i> The teachers in a school are considered capable when:	Requirements	Indicators
They have mastery of the material they are teaching (subject knowledge)	1. Knowledge	a. All teachers have at least completed secondary school. b. All teachers can demonstrate subject mastery on the material they teach, (e.g. they would receive a high score on a test based on the material they teach).
They have taught for a few years (experience)	2. Experience	a. The majority of teachers have taught for more than one year.
The majority have taught together in the school for some time (stability)	3. Stability	a. There is a low teacher turnover rate from year to year.
The majority are full time teachers who spend every school day working a complete teaching load	4. Full-time	a. Most of the teachers are present at the school for the full school day and teach most of that time.

4.7.4 Supporting Inputs: Adequate Material Support

Without the proper teaching materials and equipment, teachers are not able to fully realize their potential and teaching ability. *Table 20* on the following page specifies the types of material support which would be considered critical to effective teaching:

Table 20: Adequate support material : (Heneveld:1996)

Definition: Material support for a school is adequate for effectiveness when:	Requirements	Indicators
1. Textbooks and other reading materials in an appropriate language with relevant contents are available in sufficient quantity for all learners to use them.	1. Textbooks and other reading material	a. All children can identify their textbook (even if shared) and accurately describe its contents. b. All children can name other reading material, know where to find this and can name the last thing they read.
2. Teachers have guides that outline what to teach and how to teach it and that provide diagnostic and evaluation materials to use with students.	2. Teacher guides	a. All teachers can show someone the Teachers Guide that they use and explain how they use it. b. The Teachers Guide contains material on subject matter, how to teach it, and the method of evaluation.
3. Students have sufficient paper and implements to adequately practice what is taught.	3. Paper and writing implements	a. Children have with them a notebook (or notebook sections) for each subject and an effective implement with which to write.
4. The school has enough classrooms to accommodate classes of teachable size.	4. Classrooms	a. All classrooms accommodate comfortably class sizes as per the government norms, to ensure that there are enough classrooms to accommodate all enrolled students for these class sizes.
5. Classrooms are equipped with blackboards and chalk, enough desks to seat all the learners, and visual aids that support instruction.	5. Classroom equipment	a. There is a usable blackboard and sufficient chalk. b. There are enough desk places so that all students enrolled in the class have a place to sit.

The stark reality is that if a survey of teachers in the Congo were to be compared with a survey done in Canada, Chile, China and Copenhagen what would the difference in responses be? An interesting study would be to ask teachers in Angola to complete the checklist and compare the results with those submitted by their Australian counterparts.

It would appear that the generic requirements which have been identified are the basic minimum requirements for effective teaching and learning to take place and are applicable to any teaching

situation in the world. These factors are however not the only requirements as one also has to take the relevance of the curriculum content into account.

Defining a good quality education proves to be more difficult than it appears. There are few who would disagree with the Dakar goals two and six under the Education for All (EFA) initiative which emphasize that universal education which is provided by governments should be of good quality.

The question which arises, however is what does quality education actually mean? Is there a universal understanding of the concept of good quality? Is the “quality” concept global in the sense that it should be understood in the same way everywhere in the world, that is, every country in the world? Do those who live and teach in Cameroon or Chad have the same understanding of quality as those who live and teach in Canada? For example can an education system that lacks capacity and is not accessible to all learners claim to be an education system of high quality? If its capacity and outreach is limited and large groups of young people are denied access to any form of schooling, is it providing a quality education?

An attempt to find answers to these questions will be discussed in the following sections.

4.8 Prerequisites for and purpose of successful education

Economic growth, which includes production in order to meet basic needs and other requirements of citizens, is considered to be one of the most important goals for every society to sustain and develop. For any country, a healthy population is the basic resource, whereas human knowledge, skills and competencies could be considered to constitute a fundamental capital base.

The existence of a profitable, formal production base within any economy secures the financing of necessary public activities, including education, health care and social security. The point is that without education, production levels are more likely to be low and therefore quality education is a vital ingredient in the economic mix.

In many developing countries, the formal economy is weak and in some instances even shrinking, thus creating increasing social problems and growing needs for government interventions on the one hand, and increasing public poverty on the other. Serious health risks are steadily on the increase, and unemployment and general poverty cause parents to be unable to keep their children at school. Due to

poor social security structures and other support systems together with the growth in population, the growth in the informal production sector has in many instances compounded the problem.

Underfunded education systems thus seen in many developing countries are suffering from serious deficiencies in both quantity and quality. According to recent findings, in these countries: “Coverage is insufficient, access is inequitable and the quality of education is often poor, often information-based, teacher-directed rote learning provided within a formal education system governed by directives. Adult literacy rates are low, and too few children complete basic education” (World Bank 2003).

Another compounding factor other than the high birth rate, lack of formal tax base, poor economic growth and inadequate governance is the high death toll in educated groups due to HIV/AIDS and other serious diseases. These problems all hamper the significant efforts under the EFA and Millennium Goals initiatives aiming to improve the education inadequacies previously discussed.

The purpose of formal education always has been and probably always will be to promote learning, which is the process internal to the pupil or learner leading to the actual attainment of new values, norms, knowledge and skills.

Whether or not learning actually will take place, depends on several conditions, partly interconnected which have already been identified above and would also include the elements discussed below:

4.8.1 Learner motivation

The importance of teacher motivation has already been mentioned, but it is clear that learner motivation is also a precondition for successful education. It is assumed that most participants in formal education have a general motivation for learning, since this is the sole expressed intention of them attending formal education programmes. They are there because they want to be there.

4.8.2 Teacher motivation and ability

Essentially successful education depends on the capacity of the teacher to organise teaching and to present the knowledge and skills. These should be transferred in a way that is able to stimulate the learners' interest in the subject and makes it possible for the student to comprehend and learn. This basically has *inter alia* to do with the teacher's professional enthusiasm, competence and proficiency.

It also refers to teaching method qualifications in addition to access to necessary time, appropriate organisational framework and sufficient and good instructional equipment and materials.

4.8.3 Content of education must be relevant

The critical factor here is that the learner should be able to see the potential usefulness, the relevance of what is being taught, observed and experienced. If the content is perceived irrelevant to the learners and their own particular context, this will be demotivating and hence undermine learning effects. It would be difficult to argue for instance, that maritime education provided to the youth in landlocked countries such as Lesotho or Nepal represents high quality education, even if it strictly follows high international standards.

Likewise, most people would find it highly questionable if social studies in primary schools in Latin America or countries of the Southern African Development Countries were (primarily) concerned with history and current political and socio-cultural conditions in Europe or North America, rather than in their own country and region.

In further defining quality education then, additional explicit, measurable standards and criteria must be used as a global framework as discussed in the following section.

4.8.4 Common (standardized) content and standards

Education is a resource which is intended to be useful to the learners and it stands to reason therefore, that the content and standards of education must be related to their particular situation and the context in which the education is provided. This implies that education must take into account *inter alia* the needs and interests of the learner and other critical key stakeholders, the availability of natural resources and production structure as well as cultural/ political traditions and practices in a particular geographical region.

This means that standards as well as learning objectives, and also methods of curriculum delivery usually have to be decided upon at a national level. This could be extended to include regional level, such as the European Union or OECD level. These co-operation strategies have assisted member states to place their priorities in perspective and work towards common goals that will assist towards improving education delivery.

The understanding of “quality education” might be a relativistic concept in that it means that content, approach to delivery and learning targets of quality education will invariably vary by *inter alia* geographic location, socio-cultural factors and the maturity of the education system. This makes the setting of global standards for the individual subjects and learning areas difficult to define, due mainly to the great differences among countries as far as economic and therefore educational needs are concerned.

As has been alluded to (European Union and OECD alliances), this does not imply, however, that countries in different parts of the world could not and should not learn from each other, even if they differ in culture, climate, education and technology levels. On the contrary: through the exchange of ideas and practical experiences on content and learning objectives, organization and teaching methods between countries, it is often found that these elements are adaptable to suit an individual country’s context. One of the effects of globalisation is that it creates the possible scenario that the increasing internationalisation could lead towards a greater uniformity of education worldwide.

The same principles as above apply to the application of national if not international/universal standards in education. This aspect will be discussed in section 4.8.5

4.8.5 National quality standards in education

Generally, quality standards are decided upon at a national level, and it is difficult to anticipate that these practices in the setting of these standards can be changed or will be achieved unless a quality standards framework can be based on a more scientific approach.

This could be achieved by using *inter alia* thorough and reliable needs-assessments of learners, communities, producers in various sectors and other stakeholders who are those who should benefit from the education that is offered in a particular country. Having stated that, it must be borne in mind, as was mentioned previously, that in a dynamic and fast changing world, national curricula need to be flexible in such a way that they could easily be adapted to local conditions and be in a position to readily respond to changes in technologies and markets.

Despite the formulation of excellent policies in education to implement quality standards for education, it is eventually in fact up to individual schools to determine these quality standards. This is because it is the actual performance of the educational institutions which will ultimately determine the learning

outcomes. An important task for the education authorities therefore is to facilitate and support quality curriculum delivery at school level and to allocate and organise relevant resources and other framework conditions for these education institutions to perform at optimum level. This should also include the evaluation, training and development of teachers and management staff. On-site visits to assist and advise school personnel on scheduled meetings concerning performance standards is an essential element in the process.

It is apparent that universal standards of quality in education are likely to be difficult to achieve, however, it is possible to discuss at regional level common grounds for a way forward. Within the context of Sub Saharan Africa and other developing nations this could be achieved by the formation of alliances such as the European Union and OECD.

Policy formulators in each country have to specify relevant standards and curricula and then decide which aspects are common at a regional level and therefore decide on priorities and strategies that collectively can assist them to achieve agreed upon objectives.

Discussions on the previous pages have been quite general with observations and findings being applicable globally for both developed and developing countries. However, if the economic and social characteristics of developing countries are considered, there are likely to be specific challenges that these countries are facing that are anticipated to be less acute in industrialised and developed countries.

There are probably more specific competencies that education in developing countries should prioritise and implement for the improvement of their systems. Possibly the most important is paying attention to health and production which is discussed in the next section.

4.8.6 Health and production competency

There is undeniably a health crisis in Sub-Saharan countries. Whether this can be attributed to the crop failures in the production of garlic and beetroot harvests due to a lack of sustainable water supply, or whether it was the lack of skills of the workforce to repair sophisticated donor aided first world technology, without sustainable technical support, this scourge can largely be attributed to the inadequate education preparation within the system.

These skills in any system would normally ensure that the aforesaid crops are ready to be harvested in order to solve all the social, economic and educational woes encountered by developing nations for the crops to be harvested in time to rescue the ailing communities and economies paramount to remedying the crisis.

In this context, one could argue that these governments have no option but to give particular priority to the development of health and production competencies of the learners, in order to break the vicious circle. Health education, comprising issues such as general hygiene, nutrition and prevention of serious diseases in most developing countries, is already being integrated into the curriculum at all levels. International efforts to train personnel and strengthen education on these issues are massive and are being intensified.

The importance of promoting the production competencies of learners in developing countries is an area of focus that requires urgent attention. These competencies will comprise knowledge and skills that can be utilised for production in the relevant social and economic context, by the individual or group in question. The main objective will be to enable individuals to cover their own needs and possibly produce for local markets.

In this perspective vocational training, including agricultural education, will have a particularly important role, with a focus on knowledge and skills appropriate for the extraction and processing of local resources. However, this does not mean that the basic broad skills and other elements in general education should be ignored, as they are also relevant to income-generating activities which can be economy boosters.

Providing learners with entrepreneurial skills and competencies will be of particular importance in countries where there are few employment opportunities. The 2006 EFA Global Monitoring Report points out that an increasing number of governments recognize this and include enterprise as a compulsory or optional subject for all pupils and students in general and vocational education.

The report mentions that some African countries, including Kenya and Botswana, have integrated entrepreneurship training as an important element of the syllabus in order to stimulate the development of new, small income generating enterprises. These micro enterprises are particularly important providers of decentralised employment and income, thereby contributing to the maintenance and sustainable development of the local community.

Having briefly explored the background of some of the many constraints which hamper education progress in developing countries, it is necessary to examine how more developed areas of the world are viewing their educational system.

4.9 Exploring international best practice

In order to be able to further examine the close relationship between quality education and economic growth, it is necessary to explore “best practice” scenarios and briefly highlight the reasons for the success of systems which produce the type of education best suited to their economic growth.

4.9.1 Best performing school systems

A recent and wide-ranging report was released by McKinsey & Company in 2007 called “How the World's Best-Performing School Systems Come Out on Top”. The study examined data from 25 school systems, eventually identifying ten countries as the top-performers. Three of these included systems from Belgium, Finland and the Netherlands from the European Union. Seven other systems, including the British system, were benchmarked as showing a strong improvement trajectory.

The findings from this report conclude that the main driver in variations in student learning at school is the quality of teachers. High performing school systems, though strikingly different in construct and context, maintain a strong focus on improving instruction because of its direct impact on student achievement.

To improve instruction, the high-performing systems do three things:

- i) They focus on recruiting the right people to become teachers;
- ii) They develop these people into effective instructors;
- iii) They put in place systems and targeted support to ensure that every child is able to benefit from excellent instruction.

Acting on these drivers requires *inter alia* rigorous standards and assessments, clear expectations, differentiated support for learners and teachers, and sufficient funding.

Particularly relevant to the focus of the study is the finding that differentiated support is required for learners and teachers. This is important since this focussed support for teachers implies that they perform at different levels and their level of performance has been determined either by self or by external evaluation.

Either way, performance is being continuously monitored and evaluated, and ways to improve performance are determined.

The McKinsey report is of the opinion that in order to recruit and retain high quality teachers, high-performing systems are reported as having common strategies and best practices for attracting strong candidates. The report noted that the marketing and recruitment techniques were modelled on strategies employed in the business sector, resulting in the increase in the supply of quality applicants. In addition to this, other commonalities observed were the significance of effective selection mechanisms (with processes for early removal of low-performing teachers soon after appointment) in addition to good starting compensation.

In brief, these systems turned out the best performers mainly due to the fact that they employed staff that wanted to teach, paid them properly and ensured that monitoring and evaluation processes rewarded or removed teachers as required. The process referred to is the exact purpose of performance management and the appraisal of performance. Once again it is pointed out that IQMS does not have the capacity to remove teachers, but perhaps this should be part of the purpose of the appraisal system in use in South Africa.

It is worth noting that despite having what appears to be sophisticated, efficient and effective education structures, even the top performing systems are continuously striving for improvement. An example of this is the way in which the European Union member countries regularly meet to analyse the status quo of their education systems and discuss ways in which they can be enhanced. Some of these enhancement strategies are briefly discussed in the following section.

4.10 Education Policy in the European Union

The European Union has established a Council to deal exclusively with matters relating to education and who report directly to the European Parliament to whom motions are presented for adoption.

The council establishes sub committees who establish commissions which report to Council who are then answerable to parliament. Many commissions relating to the improvement of the quality of teacher education in Europe have been established, some of which are referred to in the following section.

The European Education Commission works closely with other organisations such as the Organisation for Economic Co-operation and Development (OECD) and from time to time presents joint reports with this body. The Commission also uses information gathered by the OECD, such as its triennial PISA (Programme for International Student Assessment surveys and relies on reports presented by the OECD such as the report “Teachers Matter: Attracting, Developing and Retaining Effective Teachers” (2005).

Europe as a developed region is experiencing a growing awareness that the quality of the teacher is a key element in raising the quality of education. In their fast changing technologically based society it is necessary that teachers engage in constant development: meeting needs and challenges in society and translating those needs to adequate learning strategies and activities for pupils and students.

The teachers are therefore required to be agents of change – a role which places a heavy responsibility on teachers with respect to their professional quality and performance and requires them to take responsibility for their own continuous professional development.

Governments within the European Union have therefore decided that in order to promote teacher development as a means to quality education, the development of an explicit teacher policy is necessary. This awareness has led to a wide variety of initiatives both on a national level and on an international/European level focusing on the description and use of explicit indicators for teacher quality.

These initiatives include:

- Explicit indicators for teacher quality being developed and implemented, with competences, standards, key qualifications or learning goals being specified.
- One of the Organisation for Economic Co-operation and Development’s (OECD) recommendations in ‘Teachers matters’ aims at defining clear teacher profiles.

The European Commission has developed a common European framework for teacher competences and qualifications and started a peer learning cluster on teacher and trainer quality. Various Council sittings of member states have adopted a number of resolutions some of which include the following:

The Lisbon European Council in March 2000 stressed that people are Europe's main asset and that "investing in people ... will be crucial both to Europe's place in the knowledge economy and for ensuring that the emergence of this new economy does not compound the existing social problems."

The Barcelona Council in March 2002 adopted concrete objectives for improving the education and training systems for Member States, including improving the professional development and training for teachers and trainers.

In 2006, The EU Education Council recognised that the critical elements in expanding the Union's competitive level within the global market was the reform of the education and training systems, turning them into high performing, efficient and fair instruments which would assist them to achieve the long term goal of being market leaders. (EU Education Council;2006)

The same Council also agreed that progress has been insufficient towards goals such as reducing the number of early school leavers, expanding the share of young people who finish upper-secondary school, or reducing the number of 15-year-olds with poor reading skills.

The findings of the commission place a firm responsibility on teachers to rectify the situation. It states that:

"The quality of teaching is one key factor in determining whether the European Union can increase its competitiveness in the globalised world. Research shows that teacher quality is significantly and positively correlated with pupil attainment. The quality of teaching is one key factor in determining whether the European Union can increase its competitiveness in the globalised world.

Research shows that teacher quality is significantly and positively correlated with pupil attainment and that it is the most important within-school aspect explaining student performance (its effects are much larger than the effects of school organisation, leadership or financial conditions). Furthermore, other studies have found positive relationships between in-

service teacher training and student achievement and ‘suggest that an in-service training program ... raised children's achievement ... (and) suggest that teacher training may provide a less costly means of increasing test scores than reducing class size or adding school hours’.
(EU Education Council;2006)

The significance of the finding here is that European countries recognise the importance of the teacher as a critical factor in the delivery of quality education and identify this as a key element in their competitiveness in the globalised world.

In order to be able to identify whether teaching is effective or not, these countries necessarily need to put effective performance management and evaluation/development policies and systems into place as briefly explored in the following section.

4.10.1 Teacher development in the European Union

The European Union (EU) members agree that high-quality teaching is a prerequisite for high-quality education and training, which is in turn a powerful determinant of Europe's long-term competitiveness and capacity to create more jobs and growth. They also agree that the EU requires a highly-educated workforce to face up to the pressures of the 21st century.

Two important elements in the process of performance management in the education sector are crucial in the teacher development process and need to be balanced in order to be most effective. These two are:

- Governmental responsibility for safeguarding the quality of teachers and;
- The professional responsibility of teachers for their own personal and professional quality and development.

According to a report released by the Commission of the EU in Brussels, August 2007, the following aspects in teacher quality assessment need to be addressed:

- Balance between stakeholders – addressing each role players needs
- Congruency between professional attributes expected of teachers and the relevant national or EU policies reflecting those attributes and values

- Balance between the governmental responsibility for setting of teaching standards and the necessity to create ownership and professional autonomy for teachers
- How to include aspects of teacher quality which are difficult to measure such as personality, personal traits etc.

4.11 Challenges of implementing EU education principles in developing countries

If the First World economies recognise the importance of improving their global competitiveness through the improvement of the training and performance of their teachers, one is immediately struck by the notion that if they are concerned about their present situation, how much more concerned should African and other developing countries be about the same goal, taking into account the extremely challenging conditions experienced in these areas compared with the relative luxuries enjoyed by their Western counterparts?

The following quote taken from the European Union' 2007 report: Improving the Quality of Teacher Education reveals the concerns shared by the European nations about the challenges being experienced in their education systems at present:

“There are around 6.25 million teachers (full time equivalents) in Europe. Teachers play a vital role in helping people develop their talents and fulfil their potential for personal growth and well-being, and in helping them acquire the complex range of knowledge and skills that they will need as citizens and as workers. It is school teachers who mediate between a rapidly evolving world and the pupils who are about to enter it.

The profession of teaching is becoming more and more complex. The demands placed upon teachers are increasing. The environments in which they work are more and more challenging. Many Member States are reviewing the ways in which teachers are prepared for the important tasks they perform on behalf of European society”. (EU Council:2007)

In 2004, the Council and Commission Joint Report on progress towards the Lisbon Objectives in the fields of Education and Training called for the development of common European principles for the competences and qualifications needed by teachers and trainers.

In its report “Establishing an Action Programme in the Field of Lifelong Learning” the Council in November 2006 stated that:

“...the motivation, skills and competences of teachers, trainers, other teaching staff and guidance and welfare services, as well as the quality of school leadership, are key factors in achieving high quality learning outcomes' and that 'The efforts of teaching staff should be supported by continuous professional development and by good cooperation with parents, pupil welfare services and the wider community.” (EU Council:2006)

Professional development is key to the achievement in improving learning outcomes – an important basic principle which applies to situations in both developed and developing countries. The report further states that:

“Changes in education and in society place new demands on the teaching profession. For example, as well as imparting basic knowledge, teachers are also increasingly called upon to help young people become fully autonomous learners by acquiring key skills, rather than memorising information; they are asked to develop more collaborative and constructive approaches to learning and expected to be facilitators and classroom managers rather than ex cathedra trainers.” (EU Council:2007)

These new roles require education in a range of teaching approaches and styles. Furthermore, classrooms now contain a more heterogeneous mix of young people from different backgrounds and with different levels of ability and disability. They are required to use the opportunities offered by new technologies and to respond to the demand for individualised learning; and they may also have to take on “additional decision-taking or managerial tasks consequent upon increased school autonomy”. (EU Council 2007)

The new technologies referred to in the above paragraph are particularly difficult to introduce in systems in the Third World in light of the infrastructure and general lack of resources in these countries.

The report further emphasises the importance of continuous professional development with high quality initial teacher education flowing into a coherent process of keeping teachers up to date with the latest skills required in the knowledge based society. The requirement of teacher responsibility through

a process of reflective practise, research and systematic engagement in their continuous professional development places much of the onus on the educators themselves to improve their performance. The report suggests that systems of education and training should be designed to provide necessary opportunities for this to take place.

The situation of teacher development in African countries is hampered by much of the effort being placed in barely coping with the day-to day task of imparting knowledge to overenrolled classes and lack of classroom space - *let alone* acquiring new knowledge, trying to assess their own performance or take responsibility of doing further research into identifying their areas of weakness.

As factor or efficiency driven economies, the educational needs of developing countries cannot possibly be on the same scale as those of the developed world. The developed world has passed the stage where only basic education is sufficient for their needs, and have been required to shift their focus to more advanced teaching techniques.

Even without the obvious difference in educational focus between the different economies, indications are that even within the more industrialised parts of the world, educational systems are not all necessarily functioning at optimum level.

An example of this is a survey conducted by the OECD (“Teachers Matter” 2005) which states that almost all countries report shortfalls in teaching skills and difficulties in updating teachers’ skills. Shortages relate especially to a lack of competence to deal with new developments in education (including individualised learning, preparing pupils for autonomous learning, dealing with heterogeneous classrooms, preparing learners to make the most of the ICT known as Information Communication Technology).

In many EU Member States there is little systematic coordination between different elements of teacher education, leading to a lack of coherence and continuity, especially between a teacher’s initial professional education and subsequent induction, in-service training and professional development; nor are these processes often linked to school development and improvement, or to educational research. Incentives for teachers to carry on updating their skills throughout their professional lives are weak. The relevance of this finding is important to the study as incentives in the European Union are considered weak, it is noted that in South Africa incentives are totally absent.

Despite all the good intentions of the European Union and their efforts and policy formulation with regard to teacher development, investment in the continuous training and development of the teaching workforce is low across the European Union and the amount of in-service training available to practicing teachers is limited. (European Union's 2007 report: Improving the Quality of Teacher Education).

The report showed that in-service training for teachers is compulsory in only eleven EU Member States and teachers are not explicitly obliged to undertake it in all of these states. Where in-service training programmes are present, training generally amounts to less than 20 hours per year. There is no Member State in which the minimum compulsory training exceeds five days per year, and in most countries only three days of training per year is compulsory. Furthermore, the fact that in-service training may be compulsory says little about actual participation rates.

As regards new teachers, only half of the countries in Europe offer new teachers any systematic kind of support (e.g. induction, training, mentoring) in their first years of teaching.

Explicit frameworks to assist teachers who experience difficulties in performing their duties adequately exist in only one third of countries.

The situation is considerably worse in African countries and the managing of non-performance and incapacity is a concept that is relatively foreign. Since the challenges facing the teaching profession are, in essence, common across the European Union, it is possible to arrive at a shared analysis of the issues and a shared vision of the kinds of skills that teachers require. (European Union's 2007 report: Improving the Quality of Teacher Education) These requirements are briefly mentioned in the following section.

4.12 Teacher competences and qualifications in the European Union

The Common European Principles for Teacher Competences and Qualifications, referred to above, were written on the basis of the experience of teachers and teacher educators across Europe and validated by stakeholders. It describes a vision of a European teaching profession that has the following characteristics:

4.12.1 A well-qualified profession:

All teachers are graduates from higher education institutions (and those working in the field of initial vocational education are highly qualified in their professional area and have a suitable pedagogical qualification). Every teacher has extensive subject knowledge, a good knowledge of pedagogy, the skills and competences required to guide and support learners, and an understanding of the social and cultural dimension of education.

4.12.2 A profession of lifelong learners:

Teachers should be supported to continue their professional development throughout their careers. They and their employers recognise the importance of acquiring new knowledge, and are able to innovate and use evidence to inform their work.

4.12.3 A mobile profession:

Mobility is a central component of initial and continuing teacher education programmes. Teachers are encouraged to work or study in other European countries for professional development purposes.

4.12.4 A profession based on partnership:

Teacher education institutions organise their work collaboratively in partnership with schools, local work environments, workbased training providers and other stakeholders.

Although there are many similarities in the needs of teachers in terms of training and development, low teacher morale, remuneration complaints *et al* between developed and developing countries, there appear to be challenges that are specific to developing countries.

These are discussed in the following section.

4.13 Challenges to the EFA Millennium Development Goals

There is an obvious need for most low income developing countries to address the basic challenges hampering the monumental undertaking of achieving the EFA Millennium Development Goals. It is

apparent that the major target of any education improvement strategy should firstly attend to the serious issue of teacher lack of interest and motivation as well as their low level of satisfaction in their job. This is an area which has been severely neglected in most developing countries, but is, however, an element crucial to the success of any strategy. Due to the vast nature and scope of adequately addressing the predicament, it is perhaps to be expected that authorities are averse to confronting the issue and seem reluctant to grasp this problem.

As previously discussed in section 4.4.12 relating to the hierarchy of needs, it is suggested that the reason for most of the teachers lacking motivation is attributed to the fact that their most important needs such as adequate food, housing and security are not being provided. Consequently, strategies which focus on improving an educational system which embraces higher order needs, without first addressing the lower order needs will be doomed to failure.

Although these issues are starting to be addressed by various developing countries, the recommendations on how to lift teacher motivation and improve morale differ widely from country to country. There are, however certain commonalities which emerge from the recommendations emanating from these countries and key areas were highlighted where if addressed adequately would be instrumental in improving the level of teacher service delivery. The most important areas were discovered to be: providing rural teachers with more benefits, general improvement in the teaching environment, creating a framework for career pathing and increasing the accountability and responsibility at educator and institutional level.

4.13.1 Teacher competence and continuing professional training and development

The problem of teacher competence and training was explored in a recent study by Bennel and Akyeampong who found that:

“Within the Sub-Saharan African teaching context the ‘struggling teacher’ or incompetent teacher is an all too common sight” (Bennel and Akyeampong; 2007).

The study focussing on the developing world specifically mentioned that this was an issue at the basic education level where a high ratio of educators were found to be poorly trained, and were required to commence teaching with no introductory practical experience or preparation. A further feature of

schools in developing nations is the existence of teaching more than one grade within a classroom. This situation is especially demanding on even experienced educators, but the study found that the majority of teachers were not given any additional training support for this environment. One or two teacher schools are a fairly common phenomenon in KwaZulu-Natal schools, particularly at the primary school level and predominantly in the rural areas and the implementation of IQMS at these schools has proved to be problematic.

Poor quality in-service training compounds poor pre-service training and induction. Teachers need continuous professional development (CPD) as well as support from peers and supervisors. CPD is usually scarce, one-shot, top-down, unrelated to a broad strategy, and not targeted at teachers who need it most. In the absence of appropriate support, teachers are likely to lose motivation.

There have however, been some very effective interventions in this area - in Guinea, for example, teachers have been encouraged to take more responsibility for their own professional development, in particular by enabling them to access training resources through a competitive grant scheme.

4.13.1.1 Teachers struggle to cope in the classroom

Educators, in general are inclined to believe that they are effective, but this is not always the case. Curriculum delivery is affected, which in turn has an impact on motivation and satisfaction levels.

Teachers require continuous upgrading, a process which has to be monitored to suit the needs of individual educators. However, it should be mentioned that programmes aimed at improving the national level of teacher qualification could, if not implemented correctly have unexpected consequences for the teaching force. An example of this is in Pakistan where:

“the new minimum qualification requirements for a university degree has created a lot of dissatisfaction. Older, less qualified teachers, feel discriminated against. The lack of consultation has compounded this. In marginalised districts, female teachers do not have the opportunities for further training “. As a result “outsiders get the available jobs, while locally trained teachers who are often more dedicated, are disqualified in their locality” (Khan: 2005).

It is generally accepted that CPTD is an essential part of teacher training. This does, however not take place in all countries, and often, when implemented, the quality and level of training is questionable. Well structured focussed CPTD, therefore is a non negotiable factor as far as teacher development is concerned. The fact that it is not taking place in South Africa is a cause for concern and needs urgent attention.

As has been discussed, educators are often of the opinion that they have the required skills and competencies to perform effectively within the classroom. Their opportunities to engage in CPTD programmes may provide a stimulus to motivation, however, the upgrading of competencies and qualifications could be perceived to be a significant factor to improving salaries. An addition incentive to obtaining these skills would be promotion out of the rural classroom into a more acceptable teaching environment. This was found in the study by Khan (2005) who found that in some countries, CPTD could be hugely incentivising where in Kenya, for example, teachers are willing to pay for their own professional development in order to further their careers.

Teachers from developing countries have been found to be disillusioned with the current opportunities available to them for professional upgrading and In-Service Education and Training (INSET). The generally indifferent quality of this INSET particularly adds to the frustration felt by most teachers as the courses are infrequent and not well prepared. This is an aspect that will be investigated in the study.

In some countries, a further hampering factor in the motivation of teachers is the inflexible structures required to gain a teaching qualification. An example of this is that in Sierra Leone, an untrained teacher would take a minimum of 16 years to obtain a professional degree – more than three times longer than in any developed country.

A problem facing developing country education systems is the urban-rural divide. This brings with it its own peculiar challenges which are discussed in the following section.

4.13.2 Teacher Deployment and Rural Schools

A contributing factor to low motivational levels amongst educators is that it is difficult to deploy teachers to schools in areas which are perceived to be less appealing. There are a number of reasons for this – but the major issue is that employment and deployment policies have been proved to be ineffectively implemented. Incentives provided for in terms of rural teachers have not been put into

practice, resulting in a reluctance for educators to teach in these schools due to the conditions and lack of resources often experienced in these areas.

As a result of this, less qualified and experienced teachers are attracted to the rural schools, a major factor affecting the attainment of reasonable learning outcomes, and impacting directly on the challenge of achieving the goals set by Education For All (EFA).

Urban-rural differences are also indicated by the qualification levels of educators teaching in these different environments. An example of this taken from the EFA Global Monitoring Report (2009) is the case of Namibian teachers, where 40 per cent of rural teachers in the north of that country are qualified as opposed to 92 per cent in the capital and neighbouring areas.

Similarly, the same report states that over 60 percent of basic education urban teachers in Uganda have the necessary qualifications whereas only 50 per cent from the rural areas are qualified to teach. The situation is exacerbated where countries have been involved in conflict or post conflict situations which have seriously disrupted the education process. These findings are corroborated in the study by Bennell *et al* (2004) where a similar pattern emerges in Sierra Leone. In the capital city of Freetown, the study revealed that 96 per cent of the teachers were qualified, but in the remoter northern districts where conflict is often experienced, less than 25 per cent of the teaching force were qualified.

The general practice seen in these countries is that the younger more inexperienced educators are deployed to the rural areas – a situation which for a first time teacher could be extremely demoralising and would lead to negative perceptions about to educational system as a whole. The situation results in the fact that many, often the majority of educators recruited to rural areas are incompetent, underqualified or unqualified for their work.

This state of affairs can exist in even semi industrialised countries such as Brazil where it is reported by the World Bank (2001) that: “unclear lines of accountability have encouraged patronage relationships and recruitment of under-qualified teachers.” Corruption often influences the situation as there have been many cases reported where employment in a particular post can be purchased. In India for example, student teachers are often forced to present a “donation” to the school before being employed as these educators are provided with the same incentives as permanently employed government teachers.

Given the distinct difference between teaching conditions in rural and urban areas, it is obvious that the majority of educators would prefer an urban school with its benefits, and accessibility to professional progression compared with rural schools where these are mostly lacking.(Bennell and Akyeampong:2007).

4.13.2.1 Meeting the particular needs of rural communities

The Centre for Education Policy Development (CEPD) has established that rural development and education in the rural areas in South Africa require special attention. Some of the issues raised by them and others are discussed below.

The issue of rural development poses policy makers and planners at national, provincial and local levels of government with the problem of meeting the specific needs of rural communities. For education it is a question of trying to meet the needs of schools and their learners within the framework of state policy that has a single educational system.

It has been well documented and therefore well known that “the education system of apartheid was divided in terms of race and language, and was funded and resourced in ways that favoured white people and disadvantaged black people. Having combined this into a single, democratic system, the Department of Education is determined not to recognise “rural education” as a separate category. There are rural schools, and education does take place in rural areas. However, these schools are governed by the same curriculum, the same conditions of service, the same national legislation and the same policies as all other public schools in the country. It is only at provincial and district levels that realities on the ground, such as conditions in rural schools, can be addressed specifically.” (CEPD: 2008)

Although the Department of Education is determined not to recognise “rural education” as a separate category, they have established a directorate at National level for rural education and have also developed a National Framework for Quality Education in rural areas. There are also many pro-poor policies that have been introduced that affect rural schools only.

The point made above regarding the separation of rural and urban schools is a valid one. There are virtually two education systems operating and although a number of “pro-poor” policies have been introduced, it is still the rural schools and teachers and learners within them who are disadvantaged.

This view is endorsed by Michael Gardiner (CEPD) in the “Issues in Education Policy” No 4 (2008), when he states that:

“The Constitution, the South African Schools Act and various education policy documents say that all South African learners should have access to the same quality of learning and teaching, similar facilities and equal educational opportunities. However, this is not yet the case. Many people and their schools, particularly but not only in rural areas, struggle with real difficulties such as the lack of classrooms, poor access to services such as water and electricity, no landline telephones and hence no Internet, very few public or school libraries and other similar resources .

Many of these problems are linked to socio-economic factors, such as poverty and unemployment, and they also have a direct influence on the quality of education that is available to children.”

The “Issues in Education Policy” No 4 (2008), produced by the Centre for Education Policy Development it is acknowledged that all of South Africa’s nine provinces have rural areas, and each one is different from the other. The research from the Centre concentrated on examples from three provinces – Eastern Cape, KwaZulu-Natal and Limpopo. They cite the reasons why these three provinces were chosen as being that much of the recent research work carried out by the Centre for Education Policy Development (CEPD) has been located in these provinces, and CEPD researchers have extensive experience of conditions among communities in provinces which are predominantly rural.

4.13.2.2 Staffing small schools

Small, often economically unviable schools are mostly found in rural areas, resulting in educators being widely distributed from the geographical point of view. The study by Bennell *et al* (2007) found that in a region of India, 33 per cent of schools are single teacher establishments, and only 20 per cent of all the schools in this region have two teachers. It would therefore be extremely difficult to generate teacher spirit in these demoralising conditions where one teacher is mostly responsible for the entire school function.

Small schools of this nature tend to isolate educators since there is no one to support them in the conduct of their duties. This results in a high staff turnover creating unacceptable vacancy rates and educators overburdened with work loads. In addition to this, the accountability factor is often compromised in these situations as the teachers do not feel accountable to anybody. This is especially true in cases where the posts have been secured by bribes as previously explained and can have a serious effect on teacher motivation and education service delivery. (Bennell and Akyeampong:2007)

4.13.2.3 The size of the rural-urban divide

Being deployed to rural schools has become a problem. Educators would prefer to remain in urban areas for a number of reasons already referred to but also include the availability of good education for their own children, the employment opportunities for spouses and other family members to be employed, family ties and other social networks, opportunities for further study and better working and living conditions compared with rural schools. One of the most important elements mentioned above is the possibility of increasing the family income by work opportunities afforded to urban dwellers or even for educators to earn secondary incomes in these areas.

The importance of the opportunities to further studies and qualifications is also seen as an attractive prospect to teaching in an urban school. An example of this is that newly qualified primary school educators would be able by continuing their studies to upgrade to a secondary school level or even to study part time at a tertiary institution. A teacher in the remote and often difficult to access rural areas, however, would not be able to make as rapid progress due to their difficulty in reaching institutions where they could further their studies.

The significance of a teacher being deployed to a rural area thus can often mean that they would be required to remain in this post for lengthy periods, particularly in countries where the majority of teaching posts are allocated in a corrupt or unfair manner. This results in newly qualified teachers becoming disaffected with the educational system as they perceive themselves to be unjustly treated by being forced to work in a location which limits their career opportunities.

Although it is widely acknowledged in many LIDCs that the rural teacher deployment crisis constitutes a major obstacle to education service delivery in these areas, limited and often unfocused efforts in remedying the situation have been largely unsuccessful. There have been some government directives which are intended to improve the situation, but these are often poorly thought out and do not assist

matters. An example of this is that in 1989, the Malawian government issued a directive that all teachers were required to teach in their own region – a decision which received such huge criticism that it was eventually reversed.

A similar situation occurred in post apartheid South Africa where the government forced science and mathematics teachers to accept posts in rural schools, in an effort to improve the learning outcomes in these areas. This policy had to be abandoned as many teachers resigned due to this compulsory deployment. Teachers generally did not wish to teach in these schools and no additional incentives were offered to allow for better qualified staff to be attracted to rural areas. The study by Bennell and Akyeampong (2007) suggests that significant benefits and increase in remuneration would assist in attracting teachers to the more difficult areas, but due to the limited resources in LIDC countries would probably not be implementable in the near future. This is a factor that will be taken into account in the study.

4.13.2.4 Working in Rural Schools

The general perception amongst the teaching force in developing countries is that the difficult and isolating conditions existing in the rural schools are such that to be employed there is demotivating and not conducive to career enhancement. In the study by Haq and Islam (2005) the research reveals that teachers are reluctant to live in rural areas, preferring to commute to these schools on a daily basis. Given the poor infrastructure of the rural transport system in most developing countries, this results in educators travelling many hours to get to school, “leaving them tired and lacking energy for teaching.”

Although this is the finding in general, there are situations where this is not always the case. Generally teachers who are employed in localities to which they are accustomed appear to enjoy their jobs more than their counterparts from urban areas who are not readily accepted by the local rural communities. The reason for this could be attributed to the fact that educators who live and teach in the area from which they originate have already established the contacts which provide them with the necessary sense of security. Since they are more in tune with the needs of the community, they are more likely to provide the educational requirements of their area. Teachers who were previously urban based and now posted to rural schools have major difficulties in adapting to the rural environment.

The attractions previously mentioned of teaching in urban schools however, could be offset by the higher cost of living such as rent and transport expenses which are far higher in the urban centres than for rural based residents. (Bennell and Akyeampong:2007)

4.13.2.5 Providing incentives for rural based educators

SSA countries have acknowledged the need to attract educators to rural schools. Special strategies are required by education systems that have rural areas to ensure educators find teaching in these areas more feasible. If the difference between the rural/urban divide is ignored, it is likely that those learners living in the more remote areas will continue to receive an inferior quality education. One way of attracting teacher to these schools is by at least providing them with the types of amenities to which they have become accustomed in the urban areas. The most important of these might include reasonable housing/accommodation with the required infrastructure such as potable water and electricity.

The provision of these amenities might prove more cost effective to governments than increasing the salaries of rural based teachers by high percentages, although this added benefit would contribute largely to more qualified and capable teachers wanting to be relocated to these areas. These strategies would however require external support as the improved packages for rural based educators would prove prohibitively costly for most countries.

Some countries particularly in the more remoter parts of the world have made use of community based educators who receive a stipend far lower than the more formally employed government paid educators, but who are willing to undertake the job as they often unqualified and wish to remain within their own community. This is a short term solution in countries which can afford to do so, but is not common practice in many developing countries without the resources. As a strategy, however, the advantage of this system is that the educators are locally recruited and consequently have a higher level of accountability to the local community.

Problems in staffing, particularly in primary schools in rural areas, has become exacerbated since the introduction of compulsory early childhood development education (ECD) in some developing countries including South Africa. This ECD has placed an even greater pressure on education systems in these already impoverished economies since more teachers are required to implement early education than previously.

Longer term solutions to the staffing crisis in primary schools based in rural areas might only be solved once governments and education systems align their policies with the broader economic goals of the country. This should ensure that the economic and social development of rural areas remain high on government agendas to improve economic reform and development of the more disadvantaged regions.

4.13.3 Professional conduct of teachers

If teaching is to be recognised as a profession in SSA countries, the behaviour and conduct of those in the system need to uphold a level of work ethic comparable with those of other recognised professions requiring a high level of integrity and commitment.

There is acknowledgement that teachers are not held in the esteem which they should be. This can be attributed to the perception of the broader public that educators are not performing at the required level of professionalism. This is indicated by the decline in time allocated by educators to extra curricular activities, teacher preparation and grading of learner assessments. This is mentioned in the World Development Report (2004) that stated that a lack of professionalism amongst educators is present, and that these educators often present themselves at school drunk or are physically abusive or even that they “simply do nothing”. The report states categorically that “this is not low quality teaching – this is not teaching at all.”

The report further mentions that absenteeism in the teaching profession is “unacceptably high” with educators spending ever declining amounts of time in the classroom using outdated teacher focussed teaching methods involving the least amount of effort or preparation.

It appears that this low level of teacher motivation has pervaded the profession and is negatively affecting educator behaviour and performance, seriously impacting on the level of professional conduct, performance and commitment to the job.

4.13.3.1 Individual teacher traits

Motivation levels within the education system can be adversely affected by the specific characteristics of individual teachers. An example of this is the age factor and consequently level of experience within a particular educator. In many developing economies, the average age of the teaching force has become

lower as a result of increased enrolment, and with the more experienced educators leaving the system either through attrition or career change.

As a result of this dynamic, there are fewer educators with the necessary experience to be able to serve as mentors – or who are capable of providing a degree of professional support and leadership. In the study by Bennell, the findings revealed that in general, the teachers in the primary schools of SSA countries are mostly far younger than those found in the secondary institutions – resulting in education at the most basic level being delivered by educators with the least amount of experience.

Historically, the study also discovered that the majority of government based educators have been drawn from the urban based areas, with the inherently more advanced socio-economic backgrounds. In a country such as India, where social distinctions are particularly important, the higher enrolment at schools would currently require teachers from a higher caste to teach children from what was previously perceived to be a lower social order – a situation which is becoming increasingly common in India today.

Individual characteristics, such as the gender of the educator also have an impact on the types of motivational factors which can influence the individual. Bennell's study amongst the OECD countries showed that male educators were more concerned about extrinsic rewards such as better pay than women - who would more likely to be satisfied with intrinsic rewards such as the pleasure of teaching a class of children. (Bennell and Akyeampong:2007)

4.13.4 Education Support Systems

Performance management specifically at the level of the school relies on effective systems and procedures to support education at that level. Effective systems are presently not in place in most schools in SSA countries. There is a perception in these countries that school management systems are outdated, not allowing various stakeholders a say in the policies formulated to improve curriculum delivery. Because of this factor, educators lack a sense of ownership, and are reluctant therefore to experiment with ways to improve their own performance. Labour Relation mechanisms in dealing with disputes and grievances are also problematic.

As has been previously stated, high staff turnover, particularly at the school principal/head teacher level has meant that these relatively senior positions have not been filled with competent applicants for

a long period of time. The acting incumbents are often reluctant to introduce changes or make important decisions because of the temporary nature of their position – a lack of action which produces a situation of ineffectiveness and paralysis in the school environment.

Accountability and successful leadership strategies are inherent to the improvement of education systems. According to the previously mentioned report by the EFA Global Monitoring Report, teachers in SSA countries, often feel that the management system is ineffective and that they are not being well managed. An interesting observation has been made where the evaluation of professional conduct of the head teacher by staff members is generally more positively oriented than the level of support received by the schooling system as a whole.

The report indicated that within the current system, leadership in the form of a highly motivated, professional head teacher is extremely important at school level

4.13.4.1 Teacher Management

Performance management within a system is critical. The poor utilisation of human capital and their management is likely to seriously impact on the motivation level of any staff member. Specific to the education system, the management of teachers is important both at national and other levels. The UNESCO EFA Global Monitoring Report (2006) found that management of teachers was nothing short of chaotic in many countries. Further findings in the report revealed that teacher control is frequently non-existent particularly in countries such as India where head teachers do not exercise administrative management over the educators teaching in their establishments. This is a situation which could be equally applicable to most Sub-Saharan African schools.

An important finding of the study was that a focussed management system such as performance evaluation and appraisal was often lacking and that outside support in the form of inspections was minimal especially in the more remotely situated schools in rural areas.

Within SSA countries, there is also the perception that any teacher management system is one which is inflexible and authoritarian, resulting in limited input by all stakeholders and whose sole purpose is to contain self-determination and minimise job satisfaction. This in turn affects the morale and motivation of the educators, leading to decline in commitment to their work

The settling of grievances in an equitable manner amongst educators has also found to be a key issue in their lack of motivation. Often, the lack of capacity in the labour relations field in the education system has led to many unfair allegations not being resolved. An issue adding to the confusion is that due to the high staff turnover in the more responsible positions, such as head teacher posts, appointed managers are only in this position in an acting capacity – a situation which is bad for teacher morale and disruptive to the smooth functioning of the school system.

4.13.4.2 Management of corruption

In many SSA countries, the scope for corruption and mismanagement is huge due to the lack of serious monitoring systems. These monitoring systems may have been provided for in the policy structure of the governments, but are often not implemented due to a lack of capacity by the managing staff. An example of this is in Ghana where the report stated that “the management of primary schools is especially weak”, and suggested that head teachers were often appointed as a result of the length of service – not because they were capable as managers.

Adding to the lack of capacity is that these head teachers had not been exposed to any form of management training and had therefore no idea how to manage a complex situation such as a school environment successfully. Added to this, the report found that the head teachers were not being given sufficient disciplinary authority – resulting in their staff behaving unprofessionally at school – yet with no serious consequences related to their actions. Circuit managers are also ineffective and inactive – instead of performing an important monitoring and professional support functions, these officials do little else except checking enrolments and staff numbers. (Akyeampong and Asante: 2005).

A study by Adelabu (2005) found that these conditions also existed in Nigeria where educators are not required to supply input into any policy formulation process and that the overall management system is seen to be autocratic and inflexible. His research indicated that teacher morale is affected in this country by the unfair practices effected by those in a supervisory capacity.

Similarly, Ramachandran (2005) also found that this was true within the Indian educational system and stated that “most head teachers appear more concerned about administrative and infrastructure issues than about teacher behaviour and how it impacts on the achievement levels of students”.

A common feature in school systems in developing countries seems to be the lack of managerial training for those in positions of authority -despite countries such as South Africa and Bangladesh who have provided considerable investment into the improvement of skills amongst the more senior positions. This finding would seem to indicate that managerial skills cannot be taught but are an inherent trait within the individual. The scope of the study cannot elaborate on this concept and requires further pursuit in a separate investigation.

A factor, further hampering the free operation and implementation of a successful education system in developing nations is the interference from various parties in the decision making process at various levels. Devkota (2005) found that this is particularly true in South Asia, where in Nepal, for instance, local politicians insist on being involved in the appointment of head teachers. This situation leads to factionalism and greatly compromises the smooth running of the school. As was previously stated, in South Africa, a highly unionized nation, many appointments are politically motivated and communities, through their Governing Bodies ensure that the correctly affiliated individuals are appointed to these posts, disregarding their managerial skills.

Another instance cited in the research was in Sierra Leone where most schools are owned and managed by religious bodies which are often not equipped with managerial capacity. In these cases, educators are complaining about unfair appointments and transfer practices – and are even in some cases expected to donate part of their salaries as a tithe.

4.13.5 Politicisation

In his study, Khan (2005) identified politicisation of the education system as one of the most important reasons why teachers display a low level of professionalism in their work. He states that this interference is directly responsible for all aspects of job motivation – from recruitment, appointments, promotion and management practices.

The study mentions that in the decade of the 1960's, the status within the community of teachers started to wane rapidly and attributes this to the fact that appointments have become politically controlled. A further issue is that many primary school educators are enlisted as election agents and as a reward, later receive unfair benefits from the “political elite” who appointed them. Further factionalism is ensured in countries like Nepal where teachers are divided along political lines – each with their own separate organisations.

4.13.5.1 The politicisation of the education system

The result of educators and management staff being appointed to posts for which they are not equipped has resulted in a proliferation of learning establishments where the staff are untrained and unable to deliver the service required for a good education. Ramachandran *et al* (2005) found that the education bureaucracy had become immobile and that “teachers have no security of tenure” as they constantly fear being removed from their post unfairly.

As a measure to counteract this feeling of insecurity, teachers often apply to a patron for protection – and once this is received, find no reason to take their work seriously. Ramachadran (2005) further states that head teachers cannot discipline these “protected” staff which means that they have “little power to do anything about a teacher who refuses to teach”. In contrast, the lack of accountability issue is not as pervasive in Sub Saharan African countries– although teachers are involved in political issues, the system of patron-client protection is not apparently as prevalent as it is in Asian nations.

Comparing this lack of accountability in government institutions with those non-formal community schools formed by the parents and other interested parties, Bennell and Akyeampong (2007) found that the latter are more likely to be successful. The attribute this success to the fact that communities have a sense of ownership and responsibility towards the school – an element largely lacking in government based institutions. These schools, however are few, and can only account for a small percentage of total enrolments – as low as six percent in a country such as Bangladesh.

As previously mentioned, social background (personal traits) can also affect the perceptions of a teacher’s accountability level. Ramachandran *et al* mention this in their study which found that “.. social attitudes and community prejudices continue to play an important role in determining the ability and willingness of teachers to reach out to children and teach them with empathy and love”.

4.13.6 Accountability to clients and school management

The concept of accountability of teachers in the education system relates to the clients which are the parents and children and their managers – such as their head teachers and other supervisors. Should the accountability factor be minimal or non existent due to various reasons, the motivational factor on teachers would be fragile. In the study by Devkota (2005), the research indicates that “accountability

has a powerful influence on teacher motivation levels”, and mentions that the accountability culture in South Asia is “particularly weak” – for reasons previously discussed.

His research particularly indicates that the situation is worst at the primary school level where the educators do not seem overly concerned about learner performance and states that “Whether they teach or not, they are paid”. He also notes that teachers in private institutions are continuously being evaluated by the standard of performance of their students.

In order to improve service delivery in education, teacher accountability towards their clients and supervisors should be enhanced, particularly in cases such as government based institutions in South Asia where due to various factors, teacher and school accountability have deeply pervaded the education system, resulting in the degradation of basic education as a whole.

Other recommendations suggested by Bennell and Akyeampong (2007) to improve education in developing countries would include the following concepts:

- i) Improved management at school level – effected through the training of head teachers and other key staff members;
- ii) Reduce any non school related activities such as political canvassing and other activities conflicting with school interests;
- iii) Reducing the amount of political interference in the administration of the school system;
- iv) Increase the representivity of educators in key decision making bodies.

4.13.7 Secondary Employment

It is not surprising that reliable information about the extent to which teachers engage in the practice of supplementing their income with secondary jobs is difficult to obtain. It is a common practice, however for educators in most developing countries to augment their salaries in some way or other. Teachers are often engaged in taking extra classes, running small businesses or driving taxis in addition to growing their own produce for sale or own consumption.

The significance of teachers being involved in private work can often adversely affect their commitment at school level. An example of this is where teachers can deliberately skip critical lessons

in school time, thereby forcing students to take the extra classes offered by the teacher. Even though the poverty factor is a serious factor in the rural areas, teachers either sell snacks to learners at break times or expect them to work on their farms in exchange for extra tuition. Harding and Mansaray (2005) suggest that “in some schools the gardening work is done on a regular basis and forms part of the time table.” A study by Musikanga (2005) also mentioned that in Zambia, “competition for the time of the teacher has greatly affected their concentration on schoolwork”

In a further study conducted by the Department of International Development (DFID) titled “Teacher Motivation in Sub-Saharan Africa and South Asia” (2007) the findings indicated that in regions where the salary of the educator was meagre, “there is normally de facto recognition and acceptance that the ‘labour process’ in schools has to be organised in such a way that enables teachers the autonomy to generate additional income.” It was found that many school managers also commonly engaged in these economic “survival” activities.

When the basic pay of an employee does not meet the minimum livelihood needs, it is an accepted fact that this employee will be required to engage in secondary employment. With regard to the educational sector, these additional employment activities are likely to be distracting to the educator and would impact on the motivational level of these individuals.

4.13.8 Educator Incentives and sanctions

A globally acknowledged fact is that the motivation factors in the government based education system are ineffective and often improperly implemented. In the case of developing countries, disciplinary procedures by school management are generally ineffective towards unprofessional conduct such as absenteeism or arriving late for class, ineffective teaching and abusive behaviour. Due to a complex structure of labour relations or political interference, the official paths to remove such teachers are extremely slow and arduous with the additional complication of promotions and rewards being largely unrelated to educator performance.

This state of affairs once again highlights the desperate need for an effective and practicable performance management system that has the capability of rewarding good performance and taking action against non performing teachers.

4.14 Global investment in education

The provision of sufficient funding of any educational system is critical to ensuring that the aims and policies have the wherewithal to carry out the mandate of quality education.

The opinions of three different international commentators regarding the investment governments make in education are presented in this section. These are: President Obama (USA), (ranked 2nd in the World Economic Forums' Global Competitiveness Index 2009-2010 Report), who addressed the joint session of Congress in February 2009, the second is the comment on the World Banks' report on the state of affairs of Indian education (India is ranked 49th in the World Economic Forums' Global Competitiveness Index 2009-2010 Report) and thirdly, a report submitted by the then opposition (presently ruling) Australian political party (Australia is ranked 15th in the World Economic Forums' Global Competitiveness Index 2009-2010 Report).

United States of America

As leader of the world's leading economy, the United States of America, President Barack Obama said in his address to Congress, that education is "absolutely critical to our economic future" and challenged the citizens of the USA to ensure that the country had the highest number of college graduates in the world by 2020. He emphatically stated that dropping out of high school was "no longer an option".

Those priorities were reflected in the \$3.6 trillion budget his administration released two days later, and the \$115bn for schools included in the recently passed stimulus package. While some question whether education, traditionally a state and local issue, merits the attention it has been given on the American national agenda, the opinion of this study is that Obama is on the right path by prioritising education because school improvement can be an important factor in addressing most economic and social woes.

An increase in educational attainment, in the long term, will grow America's GDP while saving taxpayers money. There are the social ramifications as well. People with higher levels of education are less likely to commit violent crime, be on medical aid or welfare, or be admitted to prison. Researchers project that if one third of all Americans without a high school diploma were to get more education, the savings to taxpayers would be huge: ranging from \$3.8bn to \$6.7bn for family assistance, \$3.7bn for food stamps and \$400m for housing assistance.

Studies show that a high school dropout earns about \$260,000 less over a lifetime than a high school graduate and pays about \$60,000 less in taxes. This earning differential means that America misses out on \$192bn (1.6% of its GDP) with each cohort of 18-year-olds who fail to earn a high school diploma, *let alone* a college degree.

But while investing in education is good economics, it's not an immediate solution to the financial crisis at hand. The priorities Obama laid out in his budget are costly, and will take time to be accepted by the education establishment – even if reforms are implemented immediately, they take many years to move through the system to yield results.

Current state of the educational system in India

Joe Qian in an article titled “Universalising Opportunities through investing in Education in India” (September 2009) stated that a World Bank report about the current state of educational system in India highlighted the increased investment and improved performance at the primary and secondary educational level, “ a rather considerable gap in access, distribution and achievement at secondary level”.

The point that is made here is that as India has continued to develop and entrench itself as a major player in the global knowledge economy, the majority of growth has been in the skilled services and manufacturing sectors. The result of this growth has placed a demand on the education sector as it means that that the twelve million young people who join the labour force annually, have to obtain the necessary skills to access the more rewarding jobs to compete successfully in the global economy, especially as the IT sector has become an essential driver of the Indian economy.

This extremely competitive environment places an obligation on education to ensure that the youth entering the job market are adequately prepared to do so. In the abovementioned article, Qian quotes education specialist Sam Carlson who claims that: “Evidence from around the world suggests secondary education is critical to breaking the inter-generational transmission of poverty — it enables youth to break out of the poverty trap”.

Qian also raises the point of the importance of a country's gross enrolment rate (GER) and indicates that at the secondary level the GER in India is at 52% which is lower than countries such as China and

Sri Lanka whose GERs are 91% and 83% respectively. India has a higher GDP per capita than both Vietnam and Bangladesh yet both these economies can boast a higher GER than India's at 72% and 57% respectively.

The education system in India therefore seems to be failing in producing the amount of graduates required. Qian quotes some excerpts from recent reports published in the Indian press, where the education system is brought under the spotlight:

"The situation on the ground is appalling, especially in government schools and rural schools. In a metropolis like Mumbai, civic-run schools are in a state of disrepair, barely hanging on with poorly paid teachers and crumbling infrastructure."

He also quoted a report from The Deccan Herald which referred to graft in the teacher recruitment process and cited from the report that,

"..teacher candidates are frequently required to pay between Rs 100,000-200,000 in order to be selected, usually to the school headmaster. In such a situation, the school headmaster is in a poor position to insist on greater teacher accountability, which reveals the weaknesses of unsupervised local hiring."

It is suggested that emphasis should be placed on improving monitoring and evaluating teachers to curb issues like absenteeism, as well as putting incentives in place to reward good performers. Once again the effectiveness of the performance management systems is highlighted.

The World Bank report made a number of recommendations to improve the education system in India. The challenge for the Government of India is to simultaneously improve access, enrolment and quality of secondary education. Among the number of recommendations made in the report, the four approaches that appear to be the most vital were; improving access, investing in information communications technologies, setting high standards for teacher performance and curriculum, as well as combating location and gender disparities.

These recommendations could easily apply to most developing countries.

Deepening Australia's human capital

The former opposition, presently the ruling Labour Party in Australia released a publication in January 2007 titled "The Australian economy needs an education revolution". A number of the points raised in this publication are discussed in the following section.

According to the report, economic research suggests that technological innovations, improving public infrastructure and building human capital are where the greatest opportunities for further productivity growth lie. The Chairman of the Australian Productivity Commission, Gary Banks is quoted in the report as identifying the best opportunities for improving productivity as being:

"...getting the best out of Australia's 'social infrastructure' – health, aged care and other community services"; and "raising the performance and accessibility of our education and training systems – primary, secondary and tertiary – particularly given their importance in deepening Australia's human capital, on which innovation and economic growth will increasingly depend".

The majority of governments worldwide have identified these needs as being crucial in education. As is indicated in the above quotations, what countries need is not just a higher level of investment in education, but more importantly making sure that any investment made in education is used efficiently. Policy formulators agree that investment in human capital is essential in driving productivity growth and participation in the labour market.

They also agree that this investment is central to securing and sustaining a country's future living standards by boosting economic growth. The Australian report quotes various sources on which they base their premise. There is considerable evidence, they argue, that links education and economic growth:

An international review of the macroeconomic and microeconomic research relating to the link between education, earnings and productivity concluded that the human capital view correctly identifies a strong relationship between these. (Krueger, Alan, and Mikhail Lindahl. (2001) "Education for Growth: Why and for Whom?" *Journal of Economic Literature* 39:1101-36). The authors also noted that the relationship is not linear, reflecting the higher return on early education investments.

OECD research shows that if the average level of education of the working-age population was increased by 1 year, the economy would be 3-6 per cent larger, and the growth rate of the economy would be up to 1 per cent higher. International research has shown a close relationship between higher literacy standards and economic growth, with a 1 per cent premium on average literacy scores linked to a 1.5 per cent higher level of per capita GDP. (OECD Education at a Glance, 2006).

A recent international study found that countries able to attain literacy scores 1 per cent higher than the international average will achieve living standards – measured by GDP per capita – that are 1.5 per cent higher than other countries. (Coulombe, Tremblay and Marchand, (2004) Literacy scores, human capital and growth across 14 OECD countries, Statistics Canada)

Policy formulators need to decide where their priorities lie. However, whether it is through focusing on literacy levels, improving retention rates, or increasing the average number of years spent in education, the evidence suggests that more and better educated economies are wealthier economies. Countries that invest in education do better in achieving their potential economic growth rate.

Beyond economic goals, educational analysts also highlight that education creates other social benefits. It helps build social capital – societies with a strong commitment to education can also enjoy higher levels of civic participation in community and religious groups, greater social cohesion and integration, lower levels of crime and social disadvantage, and a more trusting, equitable and just society.

4.15 World educational rankings

The OECD is a unique forum where the governments of 30 democracies work together to address the economic, social and environmental challenges of globalisation. The OECD is also at the forefront of efforts to understand and to help governments respond to new developments and concerns, such as corporate governance, the information economy, the challenges of an ageing and ailing population and education.

The Organisation provides a setting where governments can compare policy experiences, seek answers to common problems, identify good practice and work to co-ordinate domestic and international policies.

The OECD member countries are: Australia, Austria, Belgium, Canada, the Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Japan, Korea, Luxembourg, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Slovak Republic, Spain, Sweden, Switzerland, Turkey, the United Kingdom and the United States.

The organisation examines results and education conditions from each country, comparing and tracking various elements in order to be able to advise and warn on failings within systems. According to their 2009 annual report, their findings reveal that:

“Australia’s inadequate investment in education is affecting outputs. The World Economic Forum’s most recent annual report on global competitiveness reports that Australia’s education ranking overall is below competitor countries like Singapore, Malaysia and Taiwan. Science and maths education levels lag even further behind, with Australia ranked 29th globally, behind countries like Singapore, France, India, the Czech Republic and even Tunisia”.

This report sees Australia ranked at only 30th, still behind the 133 countries quoted and far behind their Antipodean neighbours New Zealand who are ranked 9th.

The “Australia needs an Education Revolution” document also indicates in other international tests conducted for the Trends in International Mathematics and Science Study (TIMSS), that 15 countries outperformed Australia. The report adds that “Australia’s maths and science education performance has also been criticised by scientists, academics, and industry organisations for eroding Australia’s scientific knowledge base, with long term implications for Australia’s future research and innovation capacity”.

The World Economic Forum Competitiveness Report 2009, another respected publication released results which were surprising to many of the more developed nations. Their findings were grouped according to (amongst others) quality of maths and science education, in addition to the overall evaluation of the education system in each country.

If the position is deemed to be gloomy in Australia then a glance at the situation in Sub-Saharan African countries is particularly depressing, more specifically South Africa who is ranked last of the 133 countries surveyed in the quality of maths and science.

It is significant to note that even countries with a history of political turmoil such as Zimbabwe and Chad were rated far higher than the more stable South Africa, with a supposedly more developed economy. By contrast Singapore, Finland and Qatar were ranked 1st, 2nd and 3rd respectively. Selected African countries are listed in *Table 21* below:

Table 21: Quality of maths and science education. Rank out of 133

Rank	Country	Rank	Country	Rank	Country
49	Senegal	81	Botswana	106	Ethiopia
63	Burundi	82	Burkina Faso	107	Uganda
64	Kenya	90	Zambia	108	Mali
65	Mauritius	91	Gambia	110	Chad
66	Cote d' Ivoir	92	Lesotho	120	Namibia
69	Benin	95	Mauritania	122	Mozambique
70	Madagascar	97	Nigeria	128	Tanzania
75	Zimbabwe	100	Ghana	133	South Africa
77	Cameroon	102	Malawi		

Source: World Economic Forum Global Competitiveness Report 2009

Another area under investigation was the total investment (proportionately in relation to GDP) which the government of each country put into their education system. Here, it will be seen that Sub Saharan countries have prioritised this, and are investing heavily into their educational system as illustrated in the following table:

Table 22: Investment into education – Rank out of 133

Rank	Country	Rank	Country	Rank	Country
2	Lesotho	53	Senegal	97	Madagascar
5	Namibia	64	Burkina Faso	108	Mauritania
10	Zimbabwe	70	Uganda	111	Cameroon
13	Kenya	78	Mozambique	116	Tanzania
14	Botswana	80	Ethiopia	119	Zambia
32	South Africa	83	Benin	121	Gambia
37	Burundi	84	Mali	126	Chad
48	Ghana	88	Malawi	128	Nigeria
49	Cote d'Ivoire	90	Mauritius		

Source: World Economic Forum Global Competitiveness Report 2009

In relation to the question of how well the educational system met the needs of the competitive economy, South Africa and other Sub-Saharan countries did not rank well. When viewed in relation to *Table 22* above, where these countries in general are apportioning significant amounts of budget to education, it is shocking to see that despite this, South Africa ranks near the bottom – indicating that the education system in general is not meeting the needs of the people as shown in *Table 23* below:

Table 23: Quality of the educational system. Rank out of 133

Rank	Country	Rank	Country	Rank	Country
29	Gambia	69	Benin	95	Cote d'Ivoire
34	Kenya	70	Ethiopia	104	Namibia
42	Botswana	72	Lesotho	109	Chad
46	Zimbabwe	74	Ghana	119	South Africa
48	Nigeria	84	Cameroon	121	Mali
51	Mauritius	88	Madagascar	124	Mauritania
55	Senegal	91	Uganda	127	Burkina Faso
58	Zambia	92	Tanzania	131	Burundi
65	Malawi	93	Mozambique		

Source: World Economic Forum Global Competitiveness Report 2009

4.16 Conclusion

The findings from this study have revealed that without doubt, quality education is vital to the driving of a growing economy. Economists have generally come to the conclusion that the importance of human capital cannot be underestimated in explaining why growth rates across countries differ so widely. Human capital is invariably underpinned by a strong education system. The stronger the education system, the more human capital is expanded and the higher the economic growth rate becomes.

A definitive article by Eric A. Hanushek in the International Monetary Funds quarterly magazine, "Finance and Development" (June 2005), puts these concepts into and stresses that through the improvement of education systems a country's economy can be improved. Education of the population can increase economic growth but it is not simply a matter of spending more money on education, it is more important to ensure that the money is spent on specified target areas. It is therefore the efficient use of education expenditure that will determine whether this leads to significant economic growth.

What is apparent is that whatever is measured to gauge quality, schools and schooling need to be improved to improve quality. The clearest way to school and education improvement lies in strengthening schools and more particularly improving the performance of teachers in curriculum delivery. "For those countries that stick to a path of real school quality improvement, investments in education have the potential to deliver significantly large economic as well as social gains". (Hanushek:2005)

It must also be stated that although human capital is important, it is not the only thing that governs the functioning of an economy. There is no question that basic features used by the World Economic Forum to assess competitiveness such as access to financing, inadequate supply of infrastructure, a developed system of property rights, limits on the amount of governmental intrusion through taxes and regulations, and the openness of labour and product markets have an enormous impact. The conclusion to be reached is that by pushing more school attainment on an economy which is unable to use it productively is unlikely to have positive effects.

The policy implications are clear: human capital can be strengthened by providing more schooling, but policies that fail to consider the quality of schooling risk increasing quantity without truly escalating human capital. Similarly, development policies that fail to take into account the overall structure of an economy are likely to expand school attainment with little measurable improvement.

It is therefore quite clear that policymakers should focus on improving the overall quality of the teaching force. The McKinsey report mentioned earlier, stresses that this aspect is key to the successful performance of an education system. It states that if one were simply to redistribute existing teachers, the overall policy goals would not likely be achieved. But the research evidence suggests that many of the recruitment and retention policies that have been pursued worldwide have not been very productive. Specifically, policies of individual countries that have led to changes in measured aspects of teacher quality, such as degrees or other teacher qualifications, do not seem to have improved the quality of teachers, at least when that quality is measured by looking at student performance.

It is also interesting to note that a developing country may gain comparatively more by investing in education than a developed country because it is starting from a lower point. As an example, the absence of the most basic school resources, such as adequate facilities or textbooks seems to noticeably impact on performance.

Nonetheless, the evidence does not indicate that by simply spending more, even in poor (developing) countries, can be expected to have a generally significant effect on student outcomes without closer attention to the efficient and effective use of resources.

Instead, most existing evidence indicates that quality improvements are more likely to come from selecting and retaining better teachers rather than from retraining existing teachers. This finding is particularly relevant to the study since performance management principles in education seem to point to improving the performance of existing teachers. It indicates that the retraining of teachers already in the system is a short term solution whilst the selection of new and the retention of better teachers is longer term and would require policy makers to consider incentive schemes to obtain the desired outcomes.

The ability to improve the teaching force therefore, will depend on the people who can be attracted to the teaching profession. If the teaching force is to be improved, either the hirers must select better teachers or retention policies must be skewed toward the best teachers. If better hiring is an important

element of the plan, it may well take time before new kinds of people are attracted to teaching. Teaching is generally a career choice that requires a prior commitment, one that in turn depends on the career expectations of would-be teachers.

These considerations make the case for building a plan of improvement over time. One-time adjustments or changes in programs are unlikely to be effective. The most feasible approach, given currently available information, is to experiment with alternative incentive schemes for teachers. These might involve signing new contracts and a new approach to teacher compensation, it should also consider the introduction of parental choice across schools, granting merit awards for schools, and similar initiatives. The unifying theme is that each new policy should be designed to improve student achievement directly. One way in which this could be done, for example, is give merit awards to teachers that can be directly linked to objective information about student performance.

The problem is that too often, there are no regular evaluation of policies and programmes involving teacher remuneration packages. These should be performance based, but presently when evaluations are conducted, they frequently focus on inputs to the system rather than on student achievement and outcomes. This underscores the need to assess student outcomes that are related to both new and existing programmes. The key element is measuring student performance directly. Without objective data about student achievement, programmes and policies often proceed in unproductive directions.

Improving the quality of schools can offer exceptional rewards to society, however, how policy makers actually set about improving the quality of education is essential if the rewards are to be reaped by society. What is abundantly clear is that teacher performance is critical to any school improvement programme, and therefore reinforces the notion that the aspect of monitoring and evaluating teacher performance is vital to education systems world-wide.

CHAPTER FIVE

RESEARCH DESIGN AND METHODOLOGY

5.1 Introduction

The specific aim of the study was highlighted in Chapter One, namely to assess the perceptions of teachers on the effectiveness of the implementation of the teacher appraisal system and how this contributed to their own professional development.

The literature study carried out in the preceding chapter forms a framework for an empirical study. This chapter outlines the methodology used by the researcher to collect data and also focuses on the research design, which provides clarity on the following aspects of the research:

- i). The purpose of quantitative/ qualitative and combined or mixed research approach;
- ii). The design of the questionnaire as a research instrument;
- iii) A review of the empirical investigation; and
- iv) A discussion of some questions used in the questionnaire

The starting point was to conduct a literature study since a researcher can only design appropriate research instruments once the literature survey has been done, because one of the functions of the literature survey is to help the researcher to eliminate research problems already solved by other researchers.

The literature review also provided a source for the design of research instruments as this indicated how best the problems in focus could be investigated. The instruments identified were the use of a questionnaire and an interview guide.

A research design specifies the methods and procedures for acquiring the information needed to structure or solve problems. It is the framework of the project that stipulates what information is to be collected, from which sources, and with what procedures. A research design might be described as a series of advance decisions that, taken together, form a specific plan or model for the conduct of the investigation. (Shahajan:2004:43)

Cooper and Schindler (2003: 146) perceive research design as the plan and structure of investigation to obtain answers to research questions. It includes an outline of what the investigator will do from writing hypotheses and their operational implications to the final analysis of data. A structure is therefore a framework, organization, or configuration of the relations among variables of a study. A research design expresses both the structure of the research problem and the plan of investigation used to obtain empirical evidence on relations of the problem. They state that the essentials of research design are the following:

- i). They are activity and time based
- ii). They are always based on the research question
- iii) There is a framework for specifying the relationships among the study's variables
- iv) It guides the selection of sources and types of information and
- v) It outlines procedures for every research activity

Design will serve therefore to provide answers to questions such as: what techniques will be used to gather the data? What kind of sampling will be used? How will time and cost constraints be dealt with?

Essentially there are two approaches to research, these are quantitative research and qualitative research. These approaches are discussed below.

5.2 Positivist (quantitative research)

Positivist research is generally quantitative and involves the use of numerical measurement and statistical analyses of measurements to examine social or other phenomena. It views reality as consisting phenomena that can be observed and measured. The advantages of this quantitative approach are that it places great premium on objectivity and reliability of findings and encourages replication.

5.3 Phenomenological (qualitative) research

Phenomenological researchers, in contrast, argue that the world is socially constructed and that science is driven by human interests and that the researcher, as a subjective entity, is part of the world he/she is observing. Objectivity, in short, is an impossible aim. The advantages of this qualitative, interpretive orientation in research are that the findings often have greater validity and less artificiality as the

process of observing phenomena in natural, real-life settings often allows researchers to develop a more accurate understanding of those phenomena. Good qualitative research often reveals depth of understanding and richness of detail. However, research driven by phenomenological philosophy is sometimes undermined by the subjectivity of the researcher and the poor reliability of the findings in that, two researchers may arrive at different conclusions based on their observations of the same phenomena at the same time.

5.4 Combined research approach

Noting the strengths and weaknesses that flow from purely positivistic and phenomenological bias in research, researchers sometimes adopt a mixed approach that draws on both positivism and phenomenology. Many studies thus reveal a combination of quantitative and qualitative research methods. The use of multiple research methods enable the researcher to increase the reliability and validity of the findings. The weaknesses of one method are balanced by the strengths of other methods incorporated in the same study.

Since the focus of this study is to investigate the extent to which teachers regard the current system of teacher appraisal as professionally constructive, a combined research approach will be used for this study and the processes of this approach will be elaborated upon.

5.5 Research process - combined quantitative-qualitative framework

As Hussey and Hussey (1997:74) point out, the two main paradigms represent two extremes of a continuum, and therefore it is possible for a researcher to use a blend of philosophical assumptions and methodologies. Some common ways, as Cresswell (1994:77) notes, in which this is done, are:

- i) The two-phase design in which the researcher conducts entirely separate positivist and phenomenological examinations of the problem.
- ii) The dominantless dominant where one paradigm predominates while the other is used for a small component of the study (e.g. a researcher may use observation and in-depth study to generate themes and variables and then use a quantitative, hypothesis-testing design for the study as a whole).

- iii) The mixed-methodology design where the researcher intentionally combines aspects of both paradigms throughout, using the advantages of both where appropriate.

5.6 Methodology

The nature of the research necessitated the use of both qualitative and quantitative approaches. The former was used for more in-depth probing and the verification of quantitative data whilst the latter was used for the purposes of representivity of the views expressed.

To ensure that the phenomena in question were fully investigated, the mixed methodology approach was used giving the research both breadth and depth.

Thus a combination of descriptive and exploratory research was used for the study. The reason for this is because descriptive research often goes beyond a mere description of the phenomena. For example, in the study the main focus of interest was in the occurrence of performance measurement and developmental appraisal and their impact on the staff of affected institutions. It was for this reason, that a selected sample of schools involved in IQMS were surveyed allowing a descriptive account of the phenomenon to be presented.

Moreover it was important and relevant to also examine the coping responses of staff in the affected schools and out of the analysis of the data to identify a pattern of behaviour at various levels of the organizational hierarchy.

Exploratory studies are primarily concerned with finding out what is happening and discovering new insights about a phenomenon. To find out more of the phenomenon under investigation, an in-depth search of the literature was conducted, the teachers who were being appraised were surveyed, experts in the field were interviewed, and conducted focus group discussions were conducted. Out of these diverse sources of information details about the real nature of the field of interest were able to be pieced together.

5.7 Summary

The design of a study thus demands a full grasp of research philosophy, research paradigms, research processes and research strategies. In addition, the researcher needs to have a full grasp of the

theoretical and practical processes relating to sampling, data collection and data analysis. These areas will be covered in the sections that follow.

What is important here is that the researcher recognises that good research requires the development of a research design that is fully compatible with the needs of the topic. The most appropriate research design will be one capable of enabling the researcher to achieve his/ her research objectives.

The use of multi-methods in a study secures in-depth understanding of the phenomenon in question as it adds vigour, breadth and depth to the investigation (Cresswell 1994; Denzin and Lincoln 1998; Salomon 1991). Most quantitative data gathering techniques condense data in order to see the bigger picture. Qualitative data gathering techniques, by contrast, are best understood as data enhancers, because when data is enhanced it is possible to see key aspects of cases more clearly. In this study the perceptions of teachers regarding the appraisal system will be captured by applying both a quantitative and qualitative approach.

The quantitative approach involves a questionnaire survey, because it gathers data at a particular time with the intention of describing the nature of existing conditions (Cohen and Manion 1995). The questionnaire consisted of 48 closed questions with no open-ended questions. For the closed questions the Likert scale was used. The qualitative approach involved individual interviews with participants representing various levels of experience and managerial involvement in the process of teacher appraisal. This consisted of open-ended questions which were included in order to capture perspectives with a view of verifying qualitative data from the interviews. A piloting exercise was done in a few selected schools in the Ugu District.

Data consisted of raw material that was from both primary and secondary sources:

- *Primary sources* related to data obtained from information gleaned from interviews, questionnaires and observations.
- *Secondary sources* were provided by a review of the literature and documents.
- *Interviews* were used in order to get a feel for the key issues before embarking on the questionnaire. It also allowed for triangulation to take place. Different data collection methods ensured that the data was sourced at primary and secondary levels. It was

therefore possible to take the interpretative-inductive approach by making observations before arriving at possible explanations and to be able to examine the collected data for underlying patterns suggesting answers to the research questions.

Concurrently it was possible to see how the findings of the study contributed to relevant theory in the field. The final step involved the interpretation of the findings and a generalization of the conclusions to the larger body of knowledge about the phenomenon.

5.7.1 Phases of empirical research: Questionnaire/ Interview guide

Since designing a research project entails systematic planning which entails foresight, the ability to envisage alternative scenarios, to reason from cause to effect, to determine the appropriate sequence of goal-related activities and to infer the significance of facts that emerged from the research, the following phases of the literature survey were used. OPAC, NEXUS, SABINET, using the library's electronic database records to do searches.

5.7.2 Survey and Questionnaire Design

Since the survey is a positivist research design in which a sample is selected from a population and studied to make inferences about the population the study followed this approach. Since surveys typically use questionnaires and interviews in order to determine the opinions, attitudes, preferences and perceptions of persons of interest to the researcher, these were the instruments used for the study. Ahuja (2002:193) regards a questionnaire as a structured set of questions usually sent by mail, though sometimes it is also delivered by hand. The hand delivery method was used as the randomly selected schools were visited to personally deliver the questionnaires. Ahuja (2002:193) further elaborates that a questionnaire is a document that contains a set of questions, the answers to which are to be provided personally by the respondents.

Ledy (1997:191) contends that a questionnaire is an instrument used for observing data beyond the physical reach of the observer. He adds that questionnaires are used as tools to probe deep within the minds, attitudes, feelings or reactions of men and women. Lancaster (2005:138) makes us aware of the following key aspects of question design and implementation:

- The range and scope of questions to be included:
- Question types, for example, open or closed
- Content of individual questions
- Question structure
- Question wording
- Question order

For this study a questionnaire was administered as it was considered the most suitable method of data collection. The questionnaire was made up of appropriately structured close-ended questions using the Likert-style scale type. Close-ended questions are described as those questions that circumscribe the respondents range of responses to questions and are therefore better suited to questionnaires as they readily lend themselves to coding and to quantitative analysis. (Babbie, 2004:341)

Sekaran (2003:197) postulates that the Likert scale is designed to examine how strongly subjects agree or disagree with statements on a 5-point scale. Each of the response categories is allotted weightings (Loudon and Bitta, 1993:621). A score measures the overall perceptions of the population under investigation to a particular statement, which is the mean of the sum of the weightings given by the respondent (Behr, 1983:152). The scale score is “derived by summing the numerically coded “agree” and “disagree” responses to each item with sign intervals for negatively worded items” (Judd, Smith and Kidder, 1991:163).

Respondents indicated therefore the extent to which they agree or disagree on a variety of statements, which are then summated (Sekaran, 1992:170). For the study the the following ratings were included: “Strongly disagree, Disagree, neither agree or disagree, Agree and Strongly agree”.

Since the survey was intended to be a well-designed survey where the sample had been carefully selected to ensure that it was representative of the larger population, it was possible to use statistical techniques to assess the applicability and generalisability of the findings to the larger population. To ensure greater reliability and validity, it was also ensured that the questionnaire and interview did not reveal bias in the way the items and questions were presented.

In the investigation the respondents answered the questions according to an evenly proportioned scale, where all responses were equivalent to 1. Initially therefore each response was given the value of 1. Then the “strongly agree” responses were multiplied by 3 as were the “strongly disagree” and the

“agree” and “disagree” were multiplied by 2. The neutral responses were not given any weighting and therefore remained at 1. This concept is explained by the means of an example of Question One: “Teachers Need to be Appraised and Evaluated”: The responses are thus treated as follows:

Table 24: Response weightings

	Strongly Agree	Agree	Neutral	Disagree	Stongly Disagree	
Level of Response	1	2	3	4	5	Total
No of Respondents	93	188	30	17	12	340
Weighting	X3	X2	X1	X2	X3	
Weighted Total	279	376	30	34	36	755

Once the weighted values have been attained, the positives are combined as are the negatives to form an overall pattern of response as shown below:

Table 25: Combined responses

$(93 \times 3) + (188 \times 2)$	30×1	$(17 \times 2) + (12 \times 3)$
$279 + 376$	30	$34 + 72$
= 655 Agree (Positive)	= 30 Neutral	= 106 Disagree (Negative)

The fact that an uneven number of response levels has been chosen did not help to avoid a neutral opinion on the questions as is suggested (Eiselen and Uys, 2002:22) and therefore the formula as indicated above was introduced to overcome this shortcoming. So, in the results the five-point scale was effectively reduced to a three-point scale by combining responses as follows:

$5 + 4 =$ Disagree

$3 =$ Neutral

$1 + 2 =$ Agree

As a result of the regrouping a clearer pattern would emerge showing a distinct slant towards the agrees (87%), whereas the neutrals have been reduced from 9% to 4% and the disagrees increased from 8% to 9%, validating the fact that the “strongly agrees” and “strongly disagrees” should carry more weight than the neutrals.

5.7.3 Sampling

It is necessary to understand what sampling is and what the purposes of sampling are. Simply stated, sampling refers to drawing a sample (a subset) from a population (the full set). It is a set of elements taken from a larger population. The sample is a subset of the population which is the full set of elements or people or whatever is being sampled.

The usual goal in sampling is to produce a representative sample (i.e., a sample that is similar to the population on all characteristics, except that it includes fewer people because it is a sample rather than the complete population).

Kothari (2003:187) aptly defines sampling as the selection of some part of an aggregate or totality on the basis of which a judgement or inference about the aggregate or totality can be made. In other words, it is a process to obtain information about an entire population by examining only part of it.

In most research work generalisations are made to draw inferences based on samples about the parameters of the population from which the samples were taken. According to Kothari (2003) the researcher quite often selects only a few items from the universe for study purposes. All this is done on the assumption that the sample data will allow to estimate the population parameters.

Kothari (2003) further explains that the items selected constitute what is technically called a sample, their selection process or technique is called sample design and the survey conducted on the basis of the sample is described as a sample survey. The sample, as explained below, should be truly representative of population characteristics without bias so that it may result in valid and reliable conclusions.

5.7.4 Sampling Techniques

The two major types of sampling in quantitative research are random sampling and non-random sampling. The former produces representative samples. The latter does not produce representative samples.

Random Sampling is an equal probability sampling method (which is abbreviated by EPSEM) which means “everyone in the sampling frame has an equal chance of being in the final sample.”

5.7.5 Determination of the Sample Size

Generally the sample should be as large as possible (Blaxter, Hughes and Tight, 2002:143), bearing in mind that the number of respondents for whom usable data will eventually be obtained, may be much smaller than the number that was drawn originally (Huysamen, 1994:48). Wisniewski and Stead (1996:92) contend that no matter what method is used to collect data about the sample it is important to ensure that the sample contains a sufficient number of members of the statistical population. There is general consensus that applying the findings and generalisations of a research to the population and universe is only permitted when the sample can be considered to be representative of the population. It is critical that the researcher, throughout the sampling process be guided by the recurring requirement to ensure representivity (Dooley, 2003:121). This was done.

A study population is that aggregation of elements from which the sample is actually selected (Babbie, 2004:190). On the other hand, Sekaran (2003:265) refers to a population as an entire group of people, events or things that the researcher needs to investigate. According to McMillan and Schumaker (1989:161) a population is a large group of cases from which a sample can be selected. Saunders, Lewis and Thornhill concur by defining population as a full set of cases from which a sample can be taken.

This study defined the population as all state paid educators employed at public schools in the Ugu District, including teachers, heads of department, deputy principals and principals. The sample was selected irrespective of age, gender or race group. By selecting part of the elements of the population, conclusions were able to be drawn about the entire population. Therefore the population was the total number of teachers on which the researcher was able to make some inferences. The sampling method used for this study is explained below.

There are six local municipalities in the district. Four schools in each municipality were randomly selected, which means that at least 24 schools were to be included in the study. At least one high school per Municipality was required to be part of the sample. These were randomly selected. Since it was found that there was not a sufficient distribution between primary and secondary schools the deficiency was rectified by using randomly selected convenience sampling.

The sample also required all wards to be covered and when it was found that a ward was not included in the study, a random sample of the excluded wards was done. Eventually 28 schools were identified

as being part of the study. All educators at these schools and the ward managers responsible for these schools were interviewed and requested to complete the questionnaire. The following table lists the schools used for the research:

Table 26: Schools in the empirical study

No	School Type	Municipality	Enrolment	Ed's	Ward	Return
1	Primary	uMuziwabantu	1658	36	Pisgah	Yes
2	Secondary	uMuziwabantu	1220	25	Pisgah	Yes
3	Junior Secondary	uMuziwabantu	62	3	Sakhayedwa	No
4	Primary	Vulamehlo	566	15	uMkomazi	Yes
5	Primary	Vulamehlo	136	3	uMkomazi	Yes
6	Secondary	Vulamehlo	207	7	Dududu	Yes
7	Junior Primary	Vulamehlo	281	7	Braemar	No
8	Senior Primary	Umzumbe	275	7	Umzumbe	Yes
9	Secondary	Umzumbe	464	13	Emabheleni	No
10	Senior Primary	Umzumbe	344	9	Turton	Yes
11	Primary	Umzumbe	248	7	Emabheleni	No
12	Secondary	Hibiscus Coast	970	23	Paddock	Yes
13	Primary	Hibiscus Coast	1315	35	Margate	Yes
14	Secondary	Hibiscus Coast	662	17	Gamalakhe	Yes
15	Junior Secondary	Hibiscus Coast	528	14	Ogwini	Yes
16	Secondary	Ezinqoleni	734	20	Izingolweni	Yes
17	Primary	Ezinqoleni	1078	31	Izingolweni	Yes
18	Secondary	Ezinqoleni	408	14	Izingolweni	Yes
19	Primary	Ezinqoleni	265	6	Izingolweni	Yes
20	Senior Primary	uMdoni	273	7	Umdoni	Yes
21	Senior Primary	uMdoni	440	9	Umdoni	Yes
22	Secondary	uMdoni	602	23	Umdoni	Yes
23	Secondary	uMdoni	1317	33	Umdoni	Yes
21	Secondary	Umzumbe	416	13	Mtwalume	No
25	Primary	Umzumbe	232	7	Highflats	Yes
26	Junior Secondary	Umzumbe	277	9	St Faiths	Yes
27	Secondary	Umzumbe	773	18	Highflats	No
			15 751	409		

As is indicated in *Table 26*, schools from within each local municipality responded. Of the 17 wards in the district, 14 wards (82%) submitted returns while 3 (18%) did not. From the 27 sampled schools 21 returned responses which represents a school response rate of 78%. From the teacher perspective, from the 409 anticipated responses 341 were received indicating a 83% response rate. Of the 341 teachers who responded, 289 were African (84.75%), 39 were Indian (11.44%) and 13 were White (3.81%) As far as learners are concerned it was anticipated that 15751 learners would be included indirectly in the study, 2684 were excluded as a result of the non-submission which reflects that 83% of learners were effectively included in the study. The schools that responded are reflected in the table below:

Table 27: Schools that responded

Area	Type	Classification	Respondents
Rural	High	Junior Secondary	12
Rural	High	Junior Secondary	10
Rural	High	Secondary	23
Rural	High	Secondary	25
Rural	High	Secondary	14
Rural	High	Secondary	17
Rural	High	Secondary	7
Rural	High	Secondary	20
Rural	Primary	Senior Primary	8
Rural	Primary	Primary	7
Rural	Primary	Primary	35
Rural	Primary	Primary	36
Rural	Primary	Primary	31
Rural	Primary	Senior Primary	9
Rural	Primary	Primary	15
Rural	Primary	Primary	3
Rural	Primary	Senior Primary	7
Rural	Primary	Primary	7
Rural	Primary	Primary	6
Urban	High	Secondary	23
Urban	High	Secondary	33

19 of the 21 schools that responded are rural schools (90%), 10 High schools and 11 Primary schools formed part of the study. At the 19 rural schools all the teachers were Africans, whilst the 2 urban schools had Africans, Indians and Whites teaching there.

This is not contrary to the findings of a study undertaken by the Department for International Development - Bennell and Alkeampong (2007). In this report, the findings indicated that large imbalances in the deployment of qualified teachers to rural areas are particularly acute in a number of countries.

The study by Urwick *et al* (2005) concurred with this finding and states that the remoter rural schools “cannot attract qualified teachers – except for the head teacher”. The study also showed that over one third of the staff of primary schools in Lesotho were unqualified – compared with the less than five percent in the capital of Maseru.

Harding and Mansaray (2005) stress that in Sierra Leone, the acute shortage of qualified educators in the rural areas “..is the most serious staffing weakness” and is a factor which prevents children in these remote areas from receiving a quality education. They also found that most rural schools could only boast one or two educators who were qualified to teach.

Another study by Kadzamira (2005) also produces findings strongly highlighting the urban/rural divide in education delivery where Malawian schools experience a serious “urban bias in the distribution of educational resources”. The study states that due to the low level of job satisfaction experienced by educators in this country, staffing rural schools has become a major problem. In fact the findings show that once a teacher has left the system through attrition, it is very difficult to find a replacement.

It is therefore obvious that the greater the socio-economic divide between rural and urban areas, the greater the imbalance in the spatial distribution of teachers.

Purposive sampling was used to select individuals for interviews from the schools that did not submit returns as well as other managers involved in the process.

5.7.6 Data Analysis

The process of data collection and analysis go hand-in-hand. This study analysed the data in the following phases:

During the survey session each respondent was required to read questions in the questionnaire and mark their response by placing a tick or a cross in the appropriate spaces, or by writing down the appropriate information where required.

For the analysis of the interview data, the recordings of the interviews were transcribed and the typed transcript data was then coded. From the codes (or categories), patterns and themes were identified and described in an attempt to understand the meanings of these categories from the perspective of the respondents, with verbatim texts included where appropriate.

5.7.7 Qualitative and Quantitative data analysis.

Before any kind of statistical analysis could be undertaken, the characteristics of the data in terms of its type had to be determined. To do this measurement needed to be defined.

5.8 Testing and Assessment

The study did not use tests but instead used assessment to evaluate the implementation of IQMS in the Ugu District. The difference between the two is explained below.

Testing is the process of measuring variables by means of devices or procedures designed to obtain a sample of behavior; and

Assessment is the gathering and integration of data for the purpose of making an educational evaluation, accomplished through the use of tools such as interviews, case studies, behavioral observation, and specially designed apparatus and measurement procedures.

5.9 Interim Analysis

The study found that data analysis tends to be an ongoing and iterative (nonlinear) process in qualitative research. The term used to describe this process is interim analysis (i.e., the cyclical process of collecting and analyzing data during a single research study). Interim analysis continues until the process or topic the researcher is interested in is understood.

5.9.1 Memoing

Throughout the entire process of qualitative data analysis the researcher engaged in memoing which involved recording reflective notes about what was being learned from the data. These ideas and insights were included as additional data to be analyzed.

5.10 Data Entry and Storage

Since a qualitative research approach was used, the data was transcribed that is, the text was typed from interviews, observational notes, memos, etc. into word processing documents and these transcriptions were later analyzed, using one of the qualitative data analysis computer programmes mentioned earlier.

5.11 Coding and Developing Category Systems

The capture and analysis of the questionnaire data were computerised. For the analysis of the interview data, the tape- recordings were transcribed. The typed transcript data were then coded. From the codes themes were identified and described in an attempt to understand the meanings of these categories from the perspectives of the respondents, with verbatim texts included where appropriate.

The next major stage of qualitative data analysis involved the accuracy of the encoding process that was verified by double checking that each code had been entered after the questionnaire was encoded onto the database. It was here that the transcribed data was carefully read, line by line, and the data divided into meaningful analytical units (i.e.segmenting the data). When meaningful segments were located, they were coded. Coding is defined as marking the segments of data with symbols, descriptive words, or category names.

Again, whenever the researcher finds a meaningful segment of text in a transcript, he will assign a code or category name to signify that particular segment. This process will continue until all of data has been segmented and the initial coding has been completed.

During coding, a master list (i.e., a list of all the codes that are developed and used in the research study) will be kept so that the codes are reapplied to new segments of data each time an appropriate segment is encountered.

5.11.1 Graphic Representations of Data

The data was described and represented by constructing graphical representations of the data (i.e., pictorial representations of the data in two-dimensional space). The more common graphical representations were used such as bar graphs and pie charts.

5. 12 Interpreting results and determining the significance of the results

According to Leedey (1997:252), Descriptive Statistics is a branch of statistics that describes what the data looks like. He further states that statistics that take small samples of the population and from those samples make inferences by estimating and predicting the general characteristics of a population are inferential. In making inferences in the study, the author will use significance testing and measures of variance to validate his claims. Significance relates to similarities within groups and differences between groups with regard to particular responses. Statistics can be used to determine whether there are significant similarities in responses to questions within demographic groups, as well as significant differences between demographic groups. High levels of similar responses, correlated with high levels of dissimilar responses between groups will be shown as levels of significance on data tables.

Different types of schools, primary and secondary, urban and rural were surveyed to get “maximum variation” in the data collected. This is in accordance with the spirit of qualitative research and its quest for explanations which encompass complexity, subtlety and even contradictions (Denscombe, 2003: 26). Focus group interviews have the advantage of obtaining richer responses by allowing participants to challenge one another’s’ views but in the context of this study it also created a problem in the sense that the less outspoken participants in the group did not always express their views or when they did they gave only a somewhat moderated view that more reflected the “acceptable view” of the group (Denscombe, 2003:168).

The interview protocol used was a simple question on the participants' perceptions of how the IQMS was being implemented in their schools. This was followed by a series of follow-up questions (Arksey and Knight, 1999:97; Litosseliti, 2003: 55). The follow-up questions followed a "funnel approach" and were aimed at increasing the richness and depth of responses (Stewart and Shamdasani, 1990:76; Patton, 2002:372). Trustworthiness was enhanced by recording an audit trail, analysing in collaboration and doing regular member checks (Maykut and Morehouse, 1994).

The analysis was done in a more formal way so as to avoid the pitfalls pointed out by Denscombe (2003:270) when he stated:

One way of doing this (qualitative data analysis) is to become immersed in the data, looking at them many times and then making an intuitive attempt to identify the key categories and connections on the basis of knowing the data so well that insights simply come to the researcher almost as a matter of inspiration

Careful attention was paid to the so called cut-and-paste method (Barry, 1998), which ensured a more systematic procedure in the analysis process.

This is important for the reason that the process of analysing the data is often overlooked in reports of qualitative data. Whereas an explanation of statistical techniques and data manipulation always accompanies the use of quantitative data in research this is not the case with qualitative reports (Denscombe, 2003:277).

The questionnaire and subsequent transcribed interviews went firstly through an analytic coding phase. The raw data were scanned for particular ideas that could form a unit of analysis. Units of data — bits of information — are literally sorted into groupings that have something in common. A unit of data is any meaningful (or potentially meaningful) segment of data. Lincoln and Guba (1985; cf. Merriam 1998:179) say a unit must meet two criteria. First, it should be heuristic, this means that the unit should reveal information relevant to the study (research questions) and stimulate the reader to think beyond the particular bit of information.

Second, the unit should be "the *smallest piece of information about something that can stand by itself, implying that it must be interpretable in the absence of any additional information other than a broad understanding of the context in which the inquiry is carried out*" (Lincoln and Guba, 1985:345). In the

spirit of open coding, time was not wasted on why certain ideas were chosen but more on the discovering, naming and categorising the components of the concept of system implementation (*cf.* Strauss and Corbin, 1990:181).

In the second phase early categories and sub-categories were reflected on and compared so as to refine them to better explain the concept of advocacy.

The researcher was always aware of the guidelines Merriam (1998:183-184) states for the usefulness of categories, that is, they must reflect the purpose of the research; they must be exhaustive; mutually exclusive; sensitising and conceptually congruent .

Although the intention was not to develop grounded theory, the analysis was done according to what Glaser and Strauss (1967) call the constant comparative method of data analysis. The basic strategy of the method is to do just what its name implies, namely, to constantly compare. The initial categories and constant comparing led to the refinement of the categories (Merriam: 1998:159)

5.13 Corroborating and Validating Results

Corroborating and validating the results is an essential component of data analysis and the qualitative research process which was done throughout the qualitative data collection, analysis, and write-up process.

This was essential because an empirical study needs to present trustworthy results to the readers. Otherwise, there is no reason to conduct a research study.

Reliability was ensured by cross-verifying questionnaire data with interview data and data supplied respondents from different post levels. The field notes made after each interview were checked to verify the interview data..

5.14 Significance of the Study

The study is significant as it will:

- Contribute and add to the research and literature in the field of performance management at both individual and organizational level.
- Draw the attention of policymakers and education authorities to the tension between the policy formulation on appraisal on the one hand and the challenges of implementation on the other.
- Sensitise both policymakers and education authorities to the views of educators, principals and SEM's on Teacher Appraisal.
- Propose changes to the existing model of teacher appraisal.

5.15 Summary

This chapter helped to identify the strengths and weaknesses of quantitative and qualitative research methods and how their divergent approaches can complement each other. In most cases, researchers fall into one of the two camps, either relying exclusively upon "objective" survey questionnaires and statistical analyses and eschewing warm and fuzzy qualitative methods, or using only qualitative methodologies, rejecting the quantitative approach as decontextualizing human behaviour. The point is made that it is recognised that each approach has positive attributes, and that combining different methods could result in gaining the best of both research worlds.

The chapter points out that quantitative research uses methods adopted from the physical sciences that are designed to ensure objectivity, generalisability and reliability. These techniques cover the ways research participants are selected randomly from the study population in an unbiased manner, the standardized questionnaire or intervention they receive and the statistical methods used to test predetermined hypotheses regarding the relationships between specific variables. Any researcher should be considered external to the actual research, and results should therefore be expected to be replicable no matter who conducts the research.

The strengths of the quantitative paradigm are discussed and it is pointed out that this form of research should produce quantifiable, reliable data that are usually generalisable to some larger population. Quantitative measures are often most appropriate for conducting needs assessments or for evaluations

comparing outcomes with baseline data. This paradigm breaks down when the phenomenon under study is difficult to measure or quantify. The greatest weakness of the quantitative approach is that it decontextualises human behaviour in a way that removes the event from its real world setting and ignores the effects of variables that have not been included in the model.

It is shown that qualitative research methodologies are designed to provide the researcher with the perspective of target audience members through immersion in a culture or situation and direct interaction with the people under study. The methods used include observations, in-depth interviews and focus groups. These methods are designed to help researchers understand the meanings people assign to social phenomena and to elucidate the mental processes underlying behaviours. Hypotheses are generated during data collection and analysis, and measurement tends to be subjective. It is shown that in the qualitative paradigm, the researcher becomes the instrument of data collection, and results may vary greatly depending upon who conducts the research.

The advantage of using qualitative methods is emphasised in that they generate rich, detailed data that leave the participants' perspectives intact and provide a context for their behaviour. The focus upon processes and "reasons why" differs from that of quantitative research, which addresses correlations between variables. A disadvantage is that data collection and analysis may be labour intensive and time-consuming. In addition, these methods are not yet totally accepted by the mainstream public education community and qualitative researchers may find their results challenged as invalid by those outside the field of education.

CHAPTER SIX

DATA ANALYSIS AND INTERPRETATION

6.1 Introduction

In this chapter the results of the fieldwork are analysed and interpreted in light of the literature research and further interviews conducted. This includes an account of how the fieldwork was done and how the envisaged methodology was adjusted to compensate for unforeseen problems.

An account of how permission was obtained from the relevant authorities to access respondents is provided. An indication will be given as to how many completed questionnaires / transcribed interviews were used to obtain empirical data. A demographic profile of the respondents is provided as well as the respondents' perceptions about various aspects of appraisal systems.

As was discussed in Chapter One, the questionnaire was structured in order to focus on researching the following questions:

- i). What are the perceptions of teachers of the appraisal programmes; and
- ii) Which features of the teacher appraisal policy are perceived to be effective?
- iii) How do appraisals succeed in motivating teachers to improve their performance?
- iv) What correlation is there between learner achievement and teacher performance?
- v) How do appraisal programmes assist teachers to develop professionally?
- vi) What effect do appraisal programs have on the relationships between School Management Teams and the teaching staff?
- vii) Should unqualified and underqualified teachers be evaluated; and
- viii) Should principals who do not teach be evaluated?

The questions were carefully selected to be grouped in the following broad categories as follows:

- "Buy in" from the educators for the teacher assessment system – this involves their personal feelings about IQMS, and whether the structure of the policy actually motivates educators to further improve their performance.
-

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- *Understanding of the policy* – closely linked with the level of training received in the initial stages of the policy implementation
- *Efficiency of the system* – how do the teachers feel about the way the system is working, gauging the level of confidence in the way the policy is being implemented
- *Professional Development* – do teachers believe that IQMS is instrumental in contributing to their career path through professional development?
- *Practical in field issues*: these relate to various challenges within the system which are often voiced by those being evaluated?
- *Level of Implementation* – is there enough confidence in the policy to warrant that further evaluation cycles should be implemented within the annual context?
- *Support* – are the educators receiving support from the various stakeholders, and identifying areas where further improvements can be made
- *Principals* – do principals also need to be evaluated?
- *Moderation* – do teachers believe that their scores should be moderated, and if so, by whom?
- *Future Professional Development* – are educators prepared to show commitment to attending training sessions outside of school hours?

Due to the fragmented legacy left by the Apartheid policies, rural schools have been left behind in terms of infrastructure (buildings, roads, communication mechanisms) and educators in these institutions are often teaching in conditions unheard of in the better equipped urban based schools. It is thus extremely important to be able to separate the two groups in order to pinpoint attitudes and perceptions which are affected by socio-political and environmental issues specific to these rural schools.

In light of this, the twenty one schools have been separated into urban and rural, and the data has been analysed separately, before being amalgamated into a combined response. The respondents were asked to rate the strength of their answers on a scale from 1 to 5, where 1 represented strong agreement to the question and 5 showed extreme disagreement. Responses with a rating of 3 showed that the respondent was indifferent to the question – feeling neither positive nor negative about the concept researched.

In order to be able to accurately reflect the strength of a response, the total of the responses under each rating were multiplied by factors as follows: Extremely strong responses (Ratings 1 and 5) were

multiplied by 3, strong reactions (ratings 2 and 4), by 2 and neutral responses (rating 3) remained the same. This weighting of the data enabled the researcher to be able to interpret the results more precisely. As a final test of the responses, the levels of Agrees and Disagrees were combined to form an overall impression of the responses across all the schools. The decision to separate the schools demographically was taken when the overall responses were examined and found to contain very different levels of responses depending on the location of the educators interviewed. The table below illustrates how important the differentiation between these two demographic groups is in terms of being able to ensure that the data is interpreted correctly:

Table 28: Rural versus Urban responses

Illustrating the different responses between rural vs urban schools**Actual Responses**

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree	Total Responses
Rural Schools	1,558	5,342	3,207	2,280	1,280	13,667
Urban Schools	300	752	668	517	415	2,652
	1,858	6,094	3,875	2,797	1,695	16,319

Weighted

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree	Total Responses
Rural Schools	4,674	10,684	3,207	4,560	3,840	26,965
Urban Schools	900	1,504	668	1,034	1,245	5,351
	5,574	12,188	3,875	5,594	5,085	32,316

Percentages - not weighted

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree	Total Responses
Rural Schools	11.40%	39.09%	23.47%	16.68%	9.37%	100.00%
Urban Schools	11.31%	28.36%	25.19%	19.49%	15.65%	100.00%

Percentage - weighted

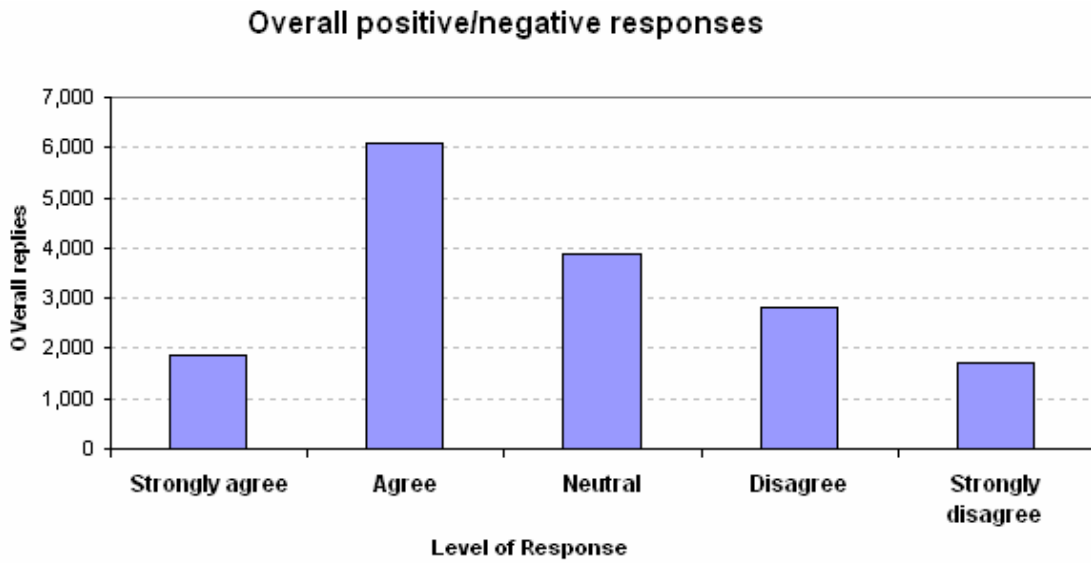
	Strongly agree	Agree	Neutral	Disagree	Strongly disagree	Total Responses
Rural Schools	17.33%	39.62%	11.89%	16.91%	14.24%	100.00%
Urban Schools	16.82%	28.11%	12.48%	19.32%	23.27%	100.00%

Combined figures - weighted

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree	Total Responses
All schools	17.25%	37.72%	11.99%	17.31%	15.74%	100.00%

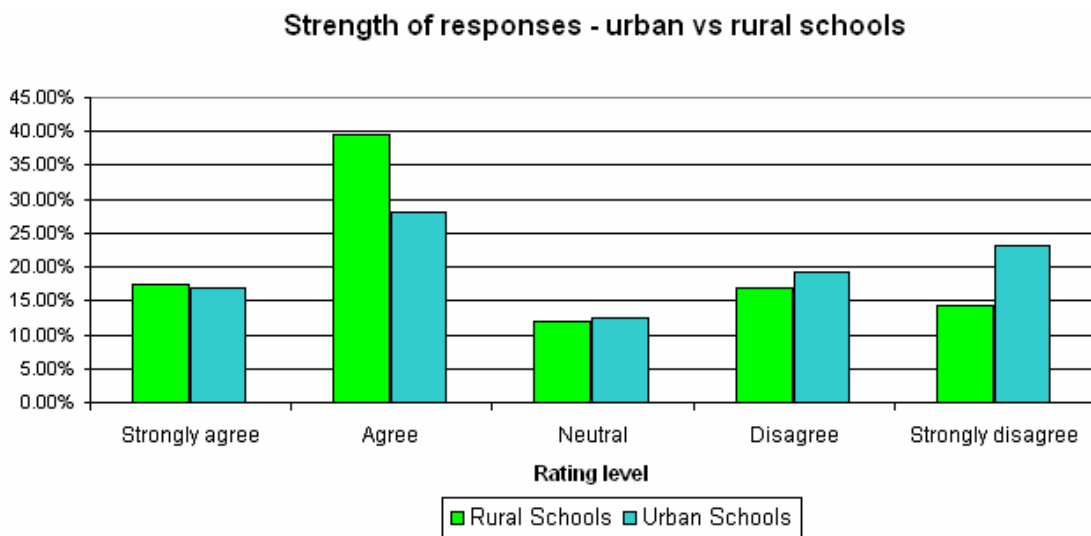
Using these figures, the combined figures of all the data would thus translate to a graph as shown on the following page:

Figure 9: Overall Positive and Negative Responses



The graph above shows that, in general, a large portion of respondents were willing to commit to an opinion, mostly agreeing with the statements made in the questionnaire. The same data, however, separated into urban and rural responses show how the rural responses are very often counterbalanced by those of their urban colleagues:

Figure 10: Strength of Responses



The graph on the previous page illustrates that urban based educators were more willing to vocalize disagreement than their rural counterparts – a dynamic which will be explored more fully in the following sections.

A further feature of the findings should be mentioned here in relation to the number of neutral responses. The level of neutral responses from both segments are almost identical – an interesting anomaly in view of the strength of negative responses from the urban schools. Later interviews conducted indicated that this feature could possibly be as a result of respondents suffering from reform fatigue and/or having lost faith in the professional management of the IQMS on the part of the Department of Education.

Fieldwork

The questionnaire was intended to reach 27 schools with a total number of 409 educators. 17 Wards situated in 6 municipalities were included in the intended target group. The breakdown of responses is provided in the table below:

Table 29: Breakdown of responses

Category	Anticipated number of returns	Actual number of returns	% Rate of return
Educators	409	349	85.40
Schools	27	20	74.10
Wards	17	13	76.00
Municipalities	6	6	100.00
Valid returns	349	341	97.70
Interviews	32	32	100.00

Despite the excellent response from the intended categories it was deemed it necessary to ensure that all wards were represented in the study. Thus, selective interviews in randomly selected schools in the sample wards that did not participate were held with key stakeholders in the schools in these wards. Present at these interviews were the Principal and one other SMT member, the SDT leader and one randomly selected post level 1 teacher making a total of four per school. Five such interviews were held to obtain a comprehensive finding on the perceptions of all teachers in all wards and across all racial groupings. Although the findings of these interviews are not included in the graphical representation of the empirical data, they are included in the interpretation of this data.

6.1.1 Methodology

Permission

The following permission documents are included under separate addenda:

- Ethical clearance letter from the Ethics Clearance Committee, University of KwaZulu-Natal
- Letter of permission to conduct research in the Department of Education

Empirical Data

Demographic Profile

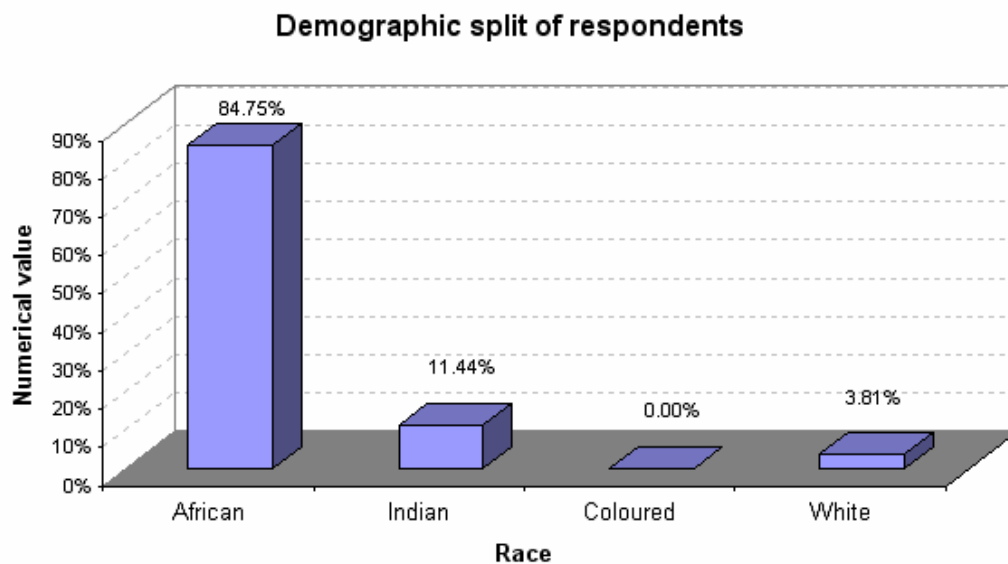
The profile of respondents was analysed with the results illustrated as follows:

Table 30: Racial breakdown of respondents

Race	African	Indian	Coloured	White
Percentage	84.75%	11.44%	0.00%	3.81%

These statistics are represented in the bar graph below:

Figure 11: Demographic Split



Since the Coloured racial grouping was not represented in the sample it was required to take measures to rectify this position. The historically coloured defined areas were identified as being confined to three areas in the district: Harding, Merlewood and Ifafa. A random sample of 2 of these schools was conducted and an urban secondary school was identified as the focus of the study. Although the findings of this interview are not included in the graphical representation of the empirical data, it is included in the interpretation of this data.

The data represented in *Figure 11* indicates that the majority of teachers are African. Of the 20 randomly selected schools which returned completed questionnaires, 2 of these – urban secondary schools - were situated in a municipality where more than 20% of the population is Indian.

Although there are Coloured teachers in the system, they were not part of the random sample selection. To compensate for this, the interview selection process ensured that an urban high school and a rural primary school historically serving this sector of the population were purposively selected.

This type of analysis is important in that if in a randomly selected item in the questionnaire were to be analysed, it would show perceptions that might differ from the sample from which the sample is being represented. The coloured population is represented within the entire Ugu District as follows:

Table 31: Ugu profile – population group

African %	Indian %	Coloured %	White %
92	3.4	0.7	3.9

Source: Ugu IDP Review 2006

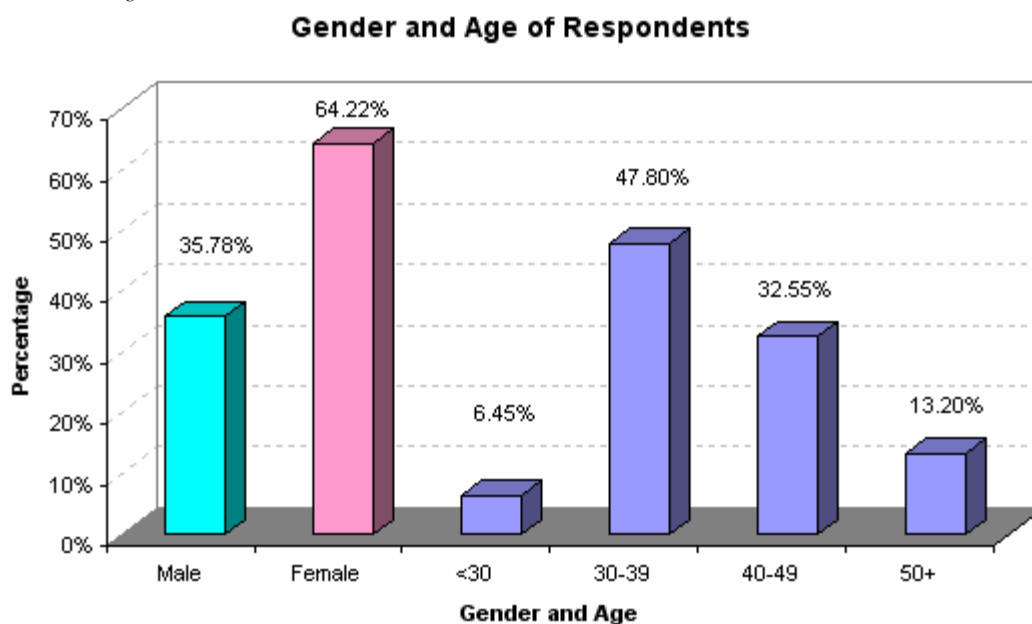
6.1.2 Gender

Figure 12 on the following page illustrates the percentage of male/female educators within the Ugu district. The figures clearly indicate that there were more females in the schools surveyed further suggesting that this is a profession, more attractive to this group.

6.1.3 Age

In this table it is also evident that most of the respondents were between 30 and 39 years while the least number of the respondents were less than 30 years old. This could be ascribed to the fact that fewer young people are wishing to become teachers whilst those who are in the system remain there probably due to a sense of job security.

Figure 12: Gender and age



The data showing a strong presence of female educators in the system can partially be explained by *Table 32* which indicates that the male/female ratios within the Ugu District are heavily weighted towards the female gender as shown below:

Table 32: Ugu Profile - gender

Age/ Total Population	Male %	Female %
20-64	18.60	25.20
Total	46.00	54.00

Source: Ugu IDP Review 2006

The rural population of the Ugu district has been estimated to be 84% of the total population of 704,028 individuals.

Another important factor researched was the amount of teaching experience within the system, indicated by the length of service as illustrated in the *Figure 13* below:

Figure 13: Gender and Experience

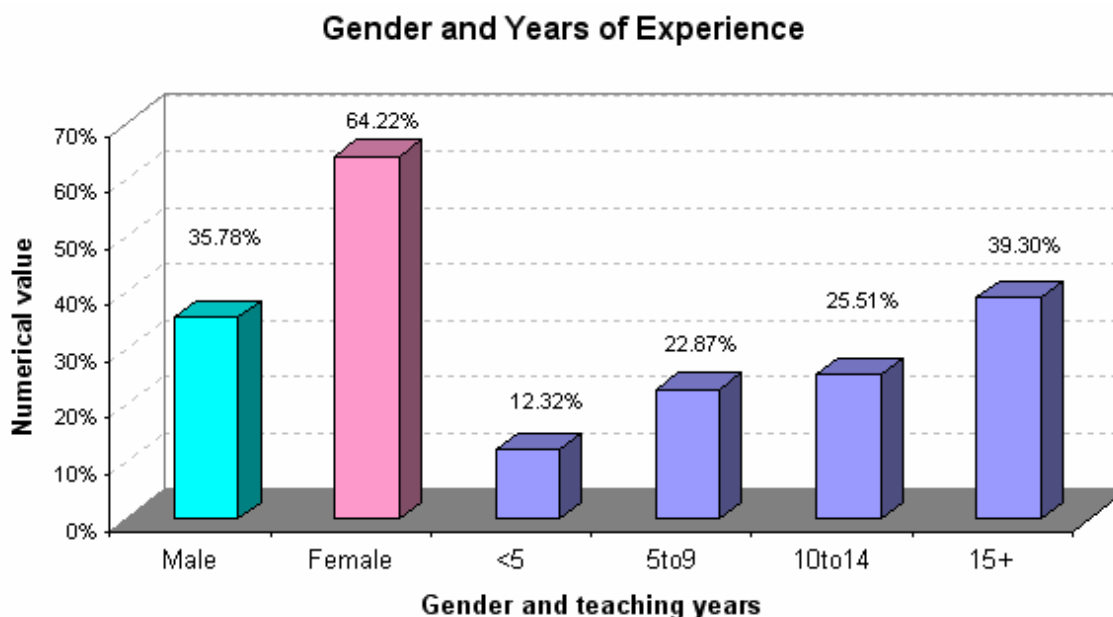


Figure 13 above illustrates the point raised previously where the majority of educators have been in the system for 10 years or more.

Table 33 below, depicts the types of schools which were researched. As was indicated when the sampling procedures were discussed, the majority of schools in the area were situated in the rural areas, and it was anticipated therefore that the random sampling method would produce a preponderance of schools in these areas: it was thus to be expected that only two urban schools formed part of the sample. To compensate for this the interview selection ensured that urban primary schools were purposively selected. These consisted of schools from the Umdoni and Hibiscus Coast Municipal areas. To ensure that all wards were represented in the sample, a school from each unrepresented ward was randomly selected.

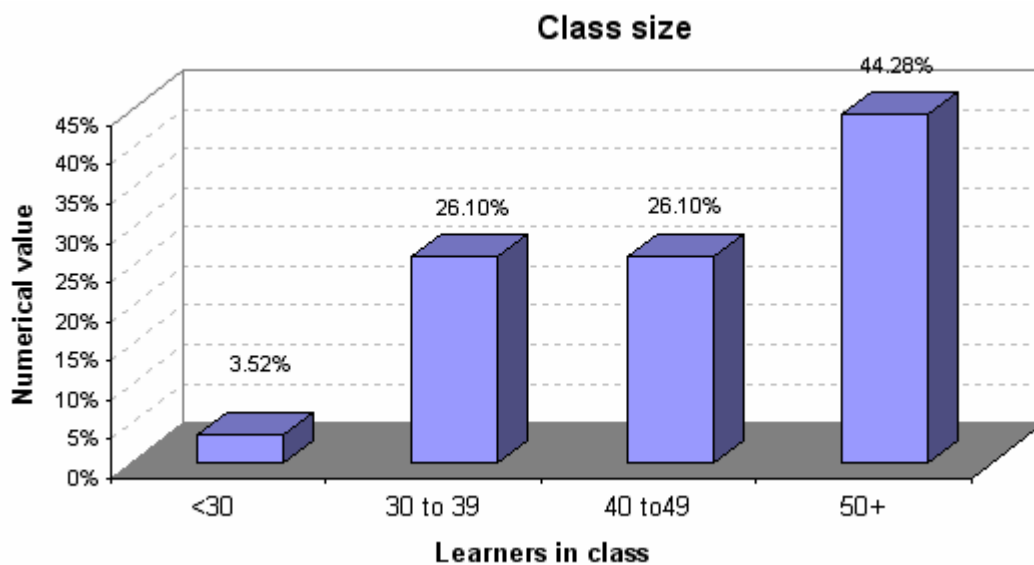
The types of schools included in the research were categorised as follows:

Table 33: Types of Schools

Rural High	Urban High	Rural Primary
8	2	11

Figure 14 below illustrates the pupil/teacher ratio of the schools researched, showing an alarmingly high number of classes with over 40 pupils:

Figure 14: Pupil/Teacher Ratio



The larger the number of learners a teacher has to teach in a classroom, the more difficult it becomes for the teacher to pay individual attention to the learner which affects the performance of both. The reason for this overcrowding is that in most instances there are a sufficient number of teachers but insufficient classrooms to accommodate smaller classes. Classes are therefore combined to be taught by one teacher. At the interviews it became apparent that it is not uncommon to have a class with more than eighty learners with one teacher, whilst the other allocated teacher is off duty relaxing in the staffroom.

6.1.4 Respondents' perceptions

The perceptions of respondents were captured from the returned survey forms and also from the transcribed interviews held. These are captured in section 6.2.

6.1.5 Presentation of results

As previously explained, the questions and resulting responses were grouped, and the data analysed using weightings and demographic criteria, after which the responses were finally combined to form an overall positive or negative value – in addition to including neutral responses.

6.2 Level of Buy-in from the educators

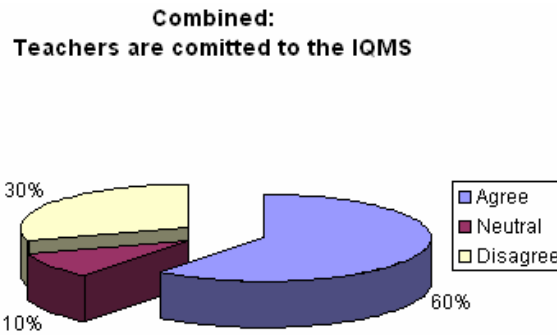
The first concept to be examined is the level of buy-in towards the IQMS from the educators and the resultant interest in the implementation of the policy. The questions thus grouped under this section are listed in *Table 34* below:

Table 34: Ownership of/commitment to the system

Question	
1	Teachers need to be appraised and evaluated
3	Teachers enjoy the Appraisal System
30	Teacher appraisal encourages the staff to work as teams
31	Teachers feel comfortable when observed teaching their classes
33	Teacher appraisal is taken seriously by teachers
47	Salary increments motivate me to further improve

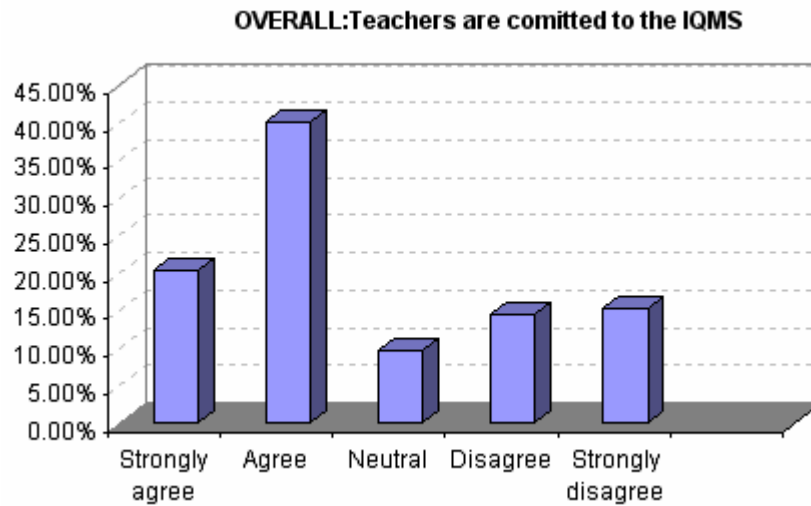
The number of responses were grouped together to gain an overall impression of the level of buy-in. The results shown below indicate that in general, when the positive and negative responses are joined to form their separate values, the overall picture emerges that most educators feel that IQMS is a positive factor in their lives and agree that teachers need to be evaluated:

Figure 15: Commitment to the System



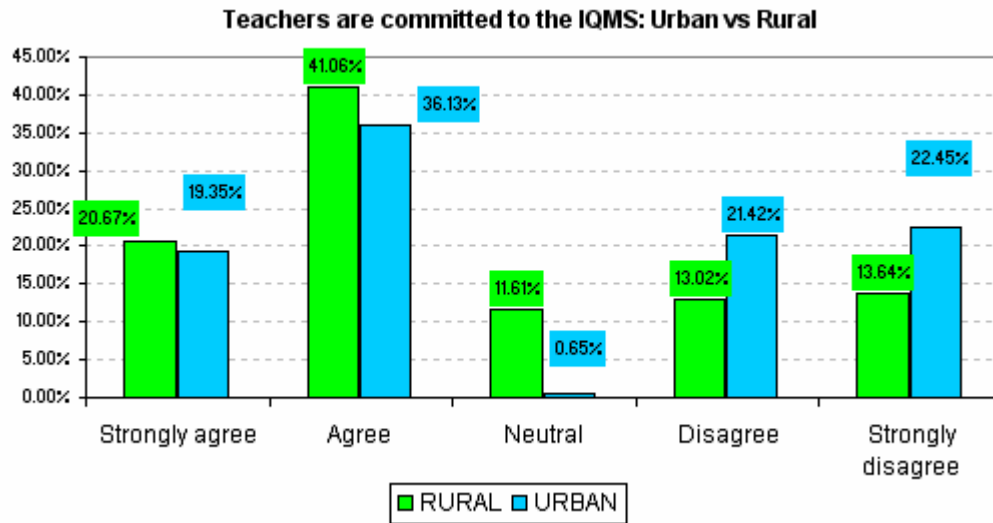
These combined responses, when separated into their relative components can be illustrated as follows:

Figure 16: Commitment to the System



Of concern, are the sizeable number of negative responses which constitute 30% of the overall response. In order to further examine this, it is necessary to pinpoint whether these responses are demographically delineated. The next graph (Figure 17) highlights the responses in relation to urban and rural schools:

Figure 17: Commitment of Rural and Urban Teachers



The indications from *Figure 17* illustrate that although the majority of urban teachers are in support of the IQMS, they have a significant number of reservations about the system - more than their rural counterparts. In fact, from the low number of neutral responses from these teachers, one would conclude that strong opinions are held by them either way about their level of support for the system.

Table 35: Combined Results

Teachers are committed to IQMS – combined results

	Agree	Neutral	Disagree
Urban	55.48%	0.65%	43.87%
Rural	61.73%	11.61%	26.66%

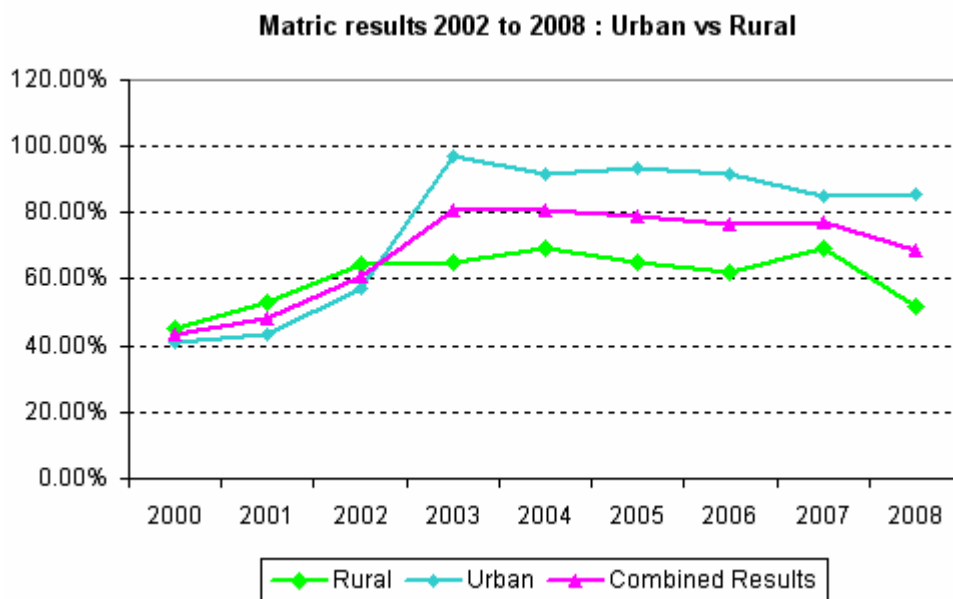
Table 35 above on the other hand shows strong support from the rural teachers, and less inclination to voice disagreement. From the information thus given, it is reasonable to assume that one could expect that the support by the rural teachers for the appraisal system should reflect positively in the only universally written, externally moderated examination results available in South Africa which is the Grade 12 or National Senior Certificate.

The following graph (*Figure 18*) illustrating Grade 12/Senior Certificate results over the last 9 years of the secondary schools investigated in this study, however, show a very different picture and indicate that general performance over all the schools has not shown improvement during this period. It should

be noted that the results from 2008 shows a marked decline - particularly in rural schools – but this has generally been attributed to the first cohort of matriculants writing the Outcomes Based Syllabus, and should thus be excluded from the analysis as being an additional factor, peculiar to that year.

The question thus arises: Why do the majority of rural based educators say they support the system when it is obvious that they are not following the policy which would result in better learner performance?

Figure 18: Senior Certificate Results 2002 to 2008 (DoE 2009)



At present, there is only one evaluative cycle per year. In 2006 and 2007, the researcher of this study was responsible for collating all the performance scores of the teachers for the entire District. Actual score sheets were examined, and it was noted that submissions from rural schools were deficient in the following ways:

- Scores were often incorrectly filled in
- Several teachers were entirely omitted from the evaluation
- Many schools did not even submit their evaluation reports
- Most teachers gave themselves good evaluations, which were accepted by the principals without regard to accuracy or moderation.

It was thus obvious, that most rural schools completed these documents irresponsibly without any real commitment to the workings of the process.

Summary

The inferences to be drawn from these findings result in suggesting that external socio-political factors are influencing rural based educators to be reluctant to voice their true opinions about the teacher assessment system. These factors could be pinpointed such as allegiance to the establishment, principal or school where any dissent could be seen as undesirable or unconstructive to the community.

The poor manner in which 2006 & 2007 evaluations were performed by the rural schools also indicates that the ward managers (ultimately responsible for the correct collation of information) are showing a marked lack of support in assisting the rural schools and/or suffering from a lack of commitment to the new system. This inference will be discussed further in the section under “Support”.

Although the empirical results show that the majority of teachers are positive about the system, these results are skewed by the rural factors and more emphasis should be placed on the responses of the urban based educators who were not shown to be overwhelmingly supportive of either the policy itself or the mechanism of implementation.

As has been alluded to, teachers are well prepared for the one lesson that is observed and therefore are confident and would thus feel no discomfort by having the lesson observed. Teachers who were interviewed were of the opinion that they were sure that it would be a different scenario if an unannounced visit was made. They said that a teacher who was unaware of the intended visit would in all probability have done little or no preparation, would not have had the time to “coach” the learners on how to behave and would probably not be able to provide examples of work that had been marked. This they claimed was the real world and not the rehearsed one that was being presented for appraisal purposes.

Teachers, through their unions insist their lessons cannot be observed at any time by any staff member, including the Principal, the School Management Team or any departmental official without their consent.

6.3 Understanding of the IQMS system

Inherent to the successful implementation of any new system is the level of training received by all stakeholders. The Department of Education instituted the cascade system of training where the office based District staff and SMT's attended courses on the IQMS policy and were expected to disseminate this information to the lower levels. This was also meant to be done for newly appointed teachers at the school.

The questions relating to the understanding of the IQMS system therefore are designed to examine whether the system has been fully taught at all levels, resulting in a comprehensive grasp of the aims and focus of the policy and were grouped as follows:

Table 36: Level of Comprehension/Understanding of the System

Question	
2	I was trained on the procedures of Development Appraisal
4	Teachers understand the Appraisal System
5	Union members understand the Appraisal System
6	Principals understand the Appraisal System
7	Ward Managers understand the Appraisal System
17	The criteria used for teacher appraisal are clear and self explanatory
46	I understand the terminology used in the teacher appraisal system

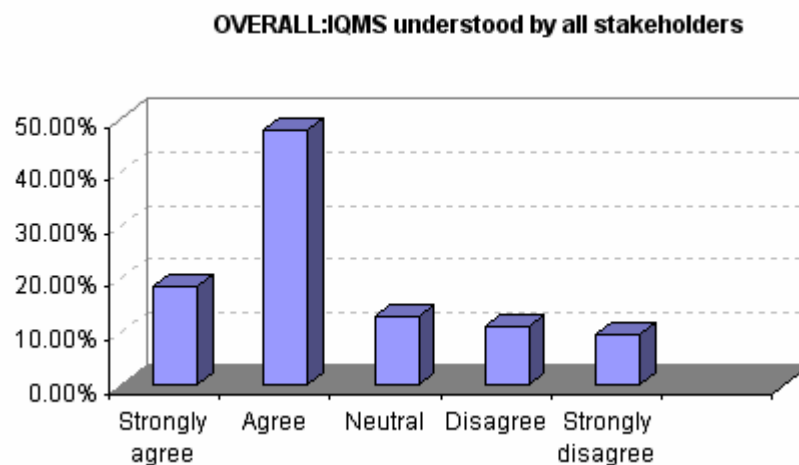
The overall picture of the level of comprehension is depicted in the graph (*Figure 19*) below, where the majority of respondents indicate that they themselves and all stakeholders understand the system, thereby inferring that significant training has taken place:

Figure 19: Understanding of the System



Figure 20 below shows the combined results from all teachers, and is spread across the ratings spectrum as shown in the bar graph below, where it seems that most respondents agreed that they understood the components relating to IQMS:

Figure 20: Combined Results: Understanding



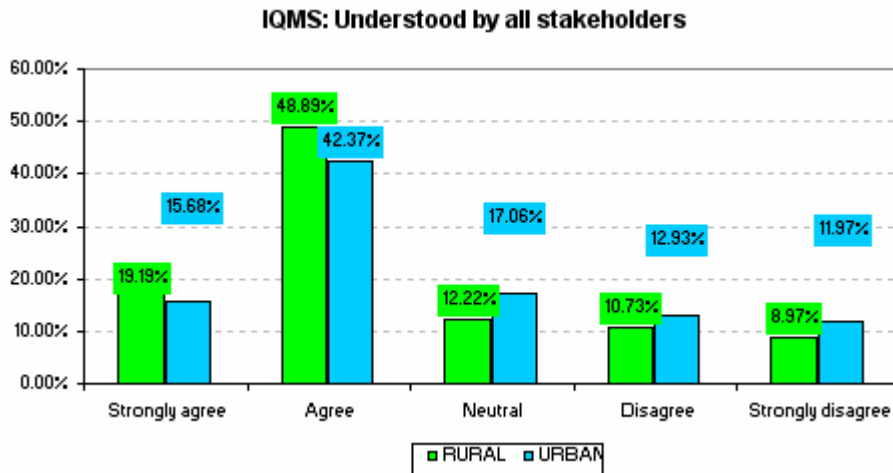
The fact that most respondents agree that the system is understood by the majority of those involved in the processes is not surprising when considering that these stakeholders were involved in the initial training and implementation.

For example, the Unions were actively involved in all the training sessions and were responsible for the training of their union members. Unions were actively involved in drawing up the policy and prior to its acceptance by them, the non-threatening nature of the system was emphasized. Previously, the South African Democratic Teachers' Union has stopped teacher appraisal and monitoring in the early 1990s. Inspectors were banned from schools because of the unwarranted punishments they meted out to teachers. These included giving teachers low scores, which deprived them of salary increases and

punitive transfers to schools in remote areas. Teacher Unions would not allow this to happen again and therefore ensured that their members were given comprehensive training on the system. Since not all of their members were invited to these training sessions it can be explained why a number of teachers remained neutral.

A disturbing factor in the findings show a strong component of the respondents being neutral or disagreeing – again, to further analyse this, the rural and urban responses need to be separated in order to pinpoint where these challenges are being experienced. The expectation would be that the urban schools would have had better access to training than the rural schools, for various reasons such as accessibility, closer District monitoring and other factors. The graph below (*Figure 21*) indicates the responses from the demographic sectors across the rating spectrum:

Figure 21: Rural Responses versus Urban - Understanding of the System



At a first glance, *Figure 21* indicates that no major differences between the two areas exist, resulting in the conclusion being drawn that although 66% is not an optimum level of understanding, significant training has taken place in both school types. Further investigation in relation to specific questions was required to corroborate this finding. The table below shows combined results, but separates the urban and rural schools and indicates that although the graph drawn from the overall question group shows that the majority of educators were trained and understand IQMS, the data contained in *Table 37* below reveals a very different picture when separated into specific questions:

Table 37: Training on the System

Q2: I was trained on the procedures of Development Appraisal

	Agree	Neutral	Disagree
RURAL	71.86%	5.86%	22.28%
URBAN	75.47%	12.26%	12.26%

The responses to this specific question supports the concept that the process of information cascading to rural schools has not been sufficiently achieved and explains the findings of the researcher who discovered that these schools were not submitting their evaluation reports correctly, as discussed previously.

The literature review indicated that generally teachers are of the opinion that a form of appraisal needs to be in place – supported by the findings in this investigation. *Table 38* illustrates this notion, but it is interesting to note that very different responses from the rural and urban schools where 11% of educators in rural schools do not believe that evaluation is necessary:

Table 38: Teachers need to be appraised

Q1: Teachers need to be appraised and evaluated

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
RURAL	35.58%	48.72%	4.81%	5.13%	5.77%
URBAN	43.51%	54.96%	0.00%	1.53%	0.00%

As was pointed out in Chapter 2, the unprofessional conduct of teachers is a cause for concern and the appraisal system should identify teachers displaying such conduct with the relevant authorities taking appropriate action against these teachers. Chapter Four discussed the general problems experienced by developing countries related to behaviour and performance of teachers, being factors which are closely linked to poor levels of job satisfaction and motivation. Unprofessional conduct in educators (lateness, absenteeism, laziness) is a factor which seriously impacts on the level of education quality and learning outcomes. In addition to this, ineffective management of teachers by the supervisors allow for a lowered degree of accountability resulting in teachers in government institutions often being able to escape the consequences of under-performance and, at times, gross professional misconduct.

As rural schools are often not visited by District officials due to their inaccessibility, is it possible that this significant portion of 11% of rural based teachers are those who are often absent/late/lazy and are therefore unwilling to be supportive of a system which monitors/prevents this type of behaviour?

As the onus of information transfer and successful implementation of the system rests with the ward managers, it was necessary to examine whether the educators believed that these department officials were well versed in the processes of IQMS. *Table 39* lists the responses across the two demographic groups in relation to these department employees, and shows that most rural teachers, have had contact with their ward managers and they believe these people understand the system :

Table 39: Ward Manager's Understanding

Q7: Ward Managers understand the Appraisal System

	Agree	Neutral	Disagree
RURAL	68.05%	17.58%	14.37%
URBAN	46.67%	33.33%	20.00%

Thus, the rural based educators mostly think that their ward managers are knowledgeable about the IQMS, but the urban based educators are not as convinced. When investigating the chain of information cascading, it is prudent to examine the last link in the management structure to see whether the school based principals are seen to understand the policy as shown in *Table 40* below:

Table 40: Principal's Understanding

Q6: Principals understand the Appraisal System

	Agree	Neutral	Disagree
RURAL	74.64%	13.13%	12.23%
URBAN	65.38%	18.27%	16.35%

The table above shows that both sectors have more confidence in their principal's guidance and knowledge base of the IQMS than they have in the ward managers' skills.

This is to be expected as the Principals were part of all the training sessions and were responsible for the training of their staff members, and for being held accountable for the implementation of the system.

Summary

It is apparent from the figures that a large percentage of respondents remained neutral on the Ward Manager's understanding of the system. This can be attributed to the fact that these officials very rarely have any meeting with Post Level 1 educators. Their interaction is predominantly with principals and with School Management Team members - that is Deputy Principals and Heads of Department. This view is supported by a previous finding that circuit supervisors do relatively little – a finding which concurs with the study by Akyeampong and Asante (2005) who suggest that these officials merely verify staff numbers and enrolments rather than being able to present substantial professional advice and support to educators under their care. (2005:40).

Although, socio-political factors can affect results given by rural based educators where they could be expected to show loyalty to their immediate supervisors, the conclusions to be drawn here are as follows:

- i) Rural school educators have not been sufficiently trained in the system of IQMS and subsequently do not understand the importance of performing the evaluation reports correctly.
- ii) Ward Managers have either not communicated the system as well as they should have or do not fully understand the implications of the performance management system. This in turn would lead to a lack of commitment from the lower tiers of the system resulting in the general failure of the management system.

6.4 Effectiveness of the IQMS

Once the research has investigated the level of buy-in and training/understanding of the policy, it is necessary to research whether the educators believe that actual implementation mechanisms are effective or not.

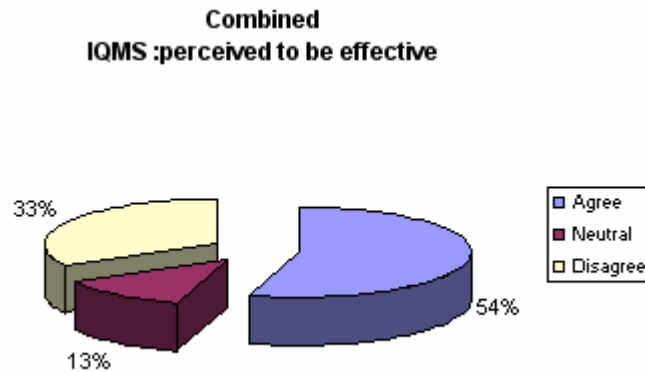
The question groupings related to this field are listed in *Table 41* on the following page, and are designed to discover how much confidence the teachers place in the Department's handling of the policy:

Table 41: System Effectiveness

Question	
8	The teacher appraisal system is effective
9	The teacher appraisal system is fair
10	The teacher appraisal system is working
12	The teacher appraisal system has increased co-operation between staff members
18	The criteria used for teacher appraisal covers all aspects of their work
19	The teacher appraisal system recognises good teachers
20	The teacher appraisal system identifies poor teachers
42	Implementation of development is done consistently at all schools
43	Records of teacher appraisal are kept
48	Performance appraisal scores are kept confidential

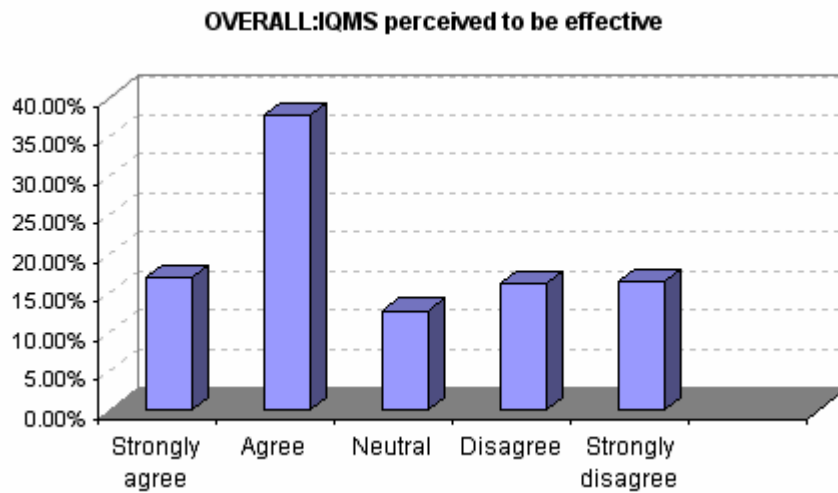
The overall results are shown in *Figure 22* where 54% of all responses indicated that on the whole, the mechanisms of the IQMS are seen to be effective:

Figure 22: Combined perception



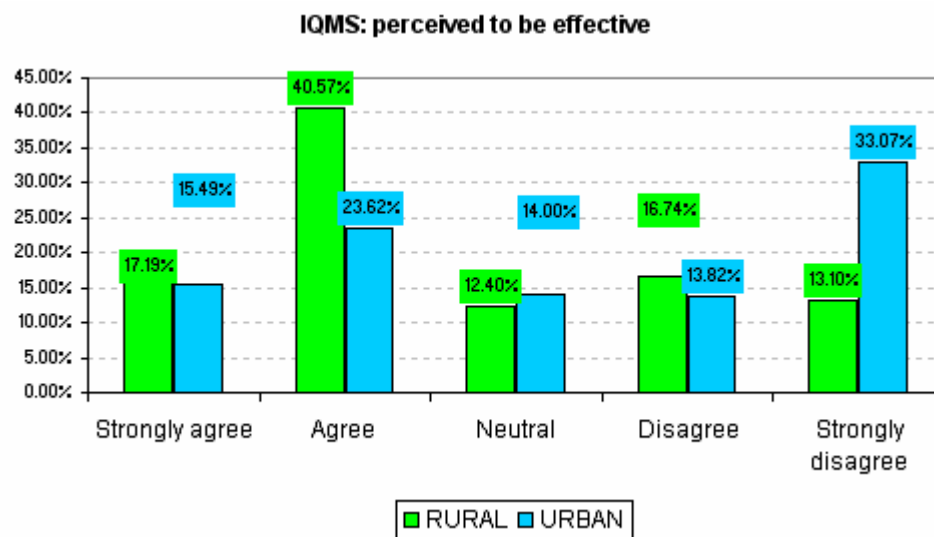
The data above is further analysed across the ratings scale as illustrated in *Figure 23* below:

Figure 23: Overall effectiveness



When this information is separated on a demographic basis, however, the results vary significantly across the urban schools versus the rural – as shown in *Figure 24* below:

Figure 24: Rural and urban perceptions of the system being effective



Thus, demographically separated, the data shows extreme disagreement from urban based educators – they do not believe that the policy mechanisms are being implemented correctly - highlighted in *Table 42* illustrated on the following page:

Table 42: Rural and urban perceptions of the system being effective

IQMS:		Perceived to be effective		
		Agree	Neutral	Disagree
RURAL		57.76%	12.40%	29.84%
URBAN		39.11%	14.00%	46.89%

So where, then, is the system failing? Specific data relating to direct questions about the teachers' perceptions of the system were investigated and the results of the analysis are shown in *Table 43*:

Table 43: Fairness of the system

Q9:		IQMS is fair		
		Agree	Neutral	Disagree
RURAL		48%	13%	39%
URBAN		5%	11%	84%

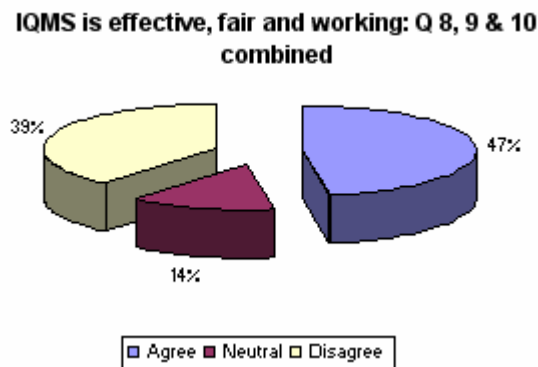
Table 43 shows that, again, the rural component indicate that they feel that the system is fair, whereas the urban educators are convinced that the system is unfair, and even worse, is ineffective as shown in *Table 44*:

Table 44: Effectiveness of the System

Q8:		IQMS is effective		
		Agree	Neutral	Disagree
RURAL		49%	14%	37%
URBAN		10%	14%	76%

In order to further analyse responses – dealing directly with the system, Questions 8, 9, and 10 (IQMS is effective; IQMS is fair; IQMS is working) were combined with the results being presented in *Figure 25* on the following page:

Figure 25: Fairness and Effectiveness



Surprisingly enough, the responses indicated that overall, more educators agreed with the statement that the system is effective, fair and working than those that disagreed. Again, this data is skewed by the rural responses – with the urban educators strongly of the belief that the system is ineffective, unfair and not working.

From the semi structured interviews that were conducted during the process of investigation, it was revealed that the reasons for these negative perceptions were that schools were not consistent in the rating of teachers. Those who were interviewed were of the opinion that some schools allowed high ratings to be given to the benefit of the teachers at those schools whilst other schools were reluctant to give ratings above two. Respondents also stated that School Management Teams used the rating instrument as a threat to punish teachers and that immediate supervisors displayed favouritism towards certain educators. Many felt that the systems and structures particularly at the school level were not in place. Properly implemented systems and structures are vital to any successful management system, and if these are not working efficiently, educators are likely to experience a loss of professional accountability and commitment.

It is at school level where the proper management of teachers is crucial and where the importance of their performance and their competence are strongly influenced by the quality of both internal and external supervision.

The study by Bennell and Akayeampong (2007) is once again cited where their research indicates “that many teachers, and in some countries, the majority of teachers, do not feel that they are well managed”.

This finding concurs with the results of this study which suggests that in the Ugu District, management training for school and other key managers is not particularly effective.

Summary

Having examined the level of buy-in and understanding as previously discussed, these positive responses from the rural schools cannot be taken at face value – again, due to the socio-political reasons mentioned. The following issues therefore need to be highlighted with specific reference to rural schools:

The responses show that in the earlier section on buy-in, only 27% of rural based educators agreed that they were at odds with the IQMS compared with the 44% of urban based educators. This implies that they are comfortable with the system being implemented and further implies they know what the process involves.

The very same schools also indicated in the following section that a significant portion of these respondents (68%) believed that they and all other stakeholders understood the IQMS, representing a significant amount of training on the system. Yet 22% of the very same respondents, strongly disagreed that they were trained on the system – one of the very few responses from this segment showing ranking at this extreme level of 5.

Taking the previous two points into account, it should be concluded that the high level of positive response (nearly 58%) from the rural schools about the effectiveness of the system are responses which cannot possibly emanate from a solid knowledge base about the system and therefore reinforces the suggestion that responders are influenced by the socio-political factors as previously described.

Therefore, in real terms, the data seems to indicate that the system is not perceived to be implemented in an effective way as it should, and further investigation as to the reasons for this must be examined.

The vast majority of teachers who are appraised qualify for salary increments on achieving a satisfactory level of performance in the classroom. The system is therefore failing to identify teachers that are for whatever reason not performing to expected standards. The respondents in the study agree that the system is not identifying poor teachers.

One of the aims of the appraisal system is not to use it for disciplinary reasons, however it does give an indication of whether the teacher is performing to accepted standards or not. If the teacher falls into the latter category and this is not being recognized, the learners in the classroom are being compromised and this is not acceptable.

This is not unique to this country. The report by Devkota (2005) about education conditions in Nepal is again cited here and shows that educators at the most basic primary school level do not seem to be concerned about the “effect of their performance on student achievement” and further states that these educators are paid whether they teach or not.

This situation is related to the inclination of teachers to rate themselves too highly and is discussed in a following section below. Often teachers assume they are doing well because there is no professional input, direction and advice, to indicate otherwise to them.

6.5 IQMS is useful for Professional Development

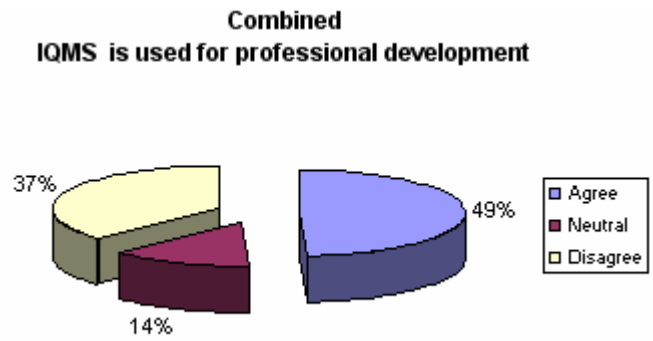
One of the most important aims of the IQMS is that it should be seen as a development tool rather than an evaluative mechanism. The next group of questions were aimed at discovering whether educators were aware of this facet of the policy and whether it has been of use in improving their career path:

Table 45: Professional Development related questions

Question	
11	The teacher appraisal system allows educators to develop professionally
13	The teacher appraisal system has improved teacher performance
21	Professional Growth Plans developed by teachers are achievable
22	Teachers attend professional development courses of their choice

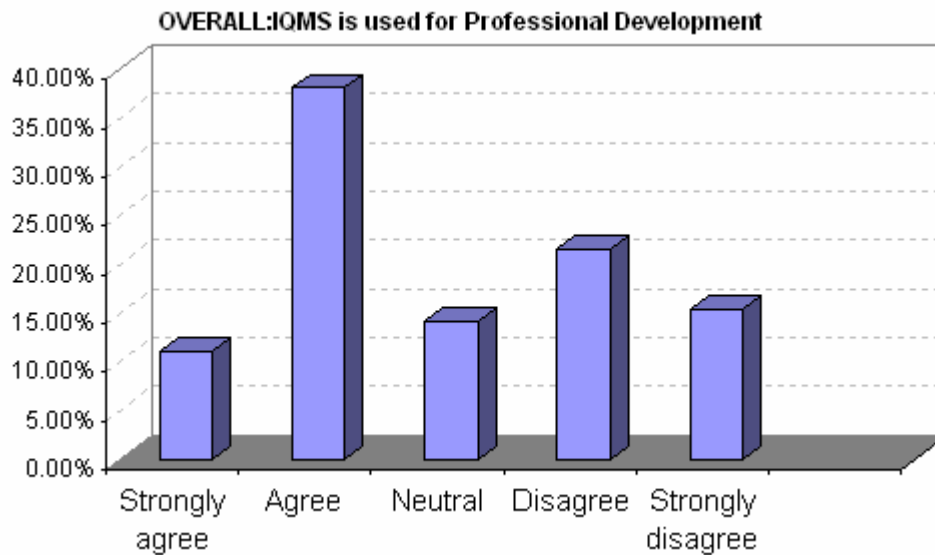
The overall response to this area of the IQMS revealed that the majority of respondents did not believe that IQMS had contributed to their professional development as illustrated in the graph below:

Figure 26: Professional Development opportunities



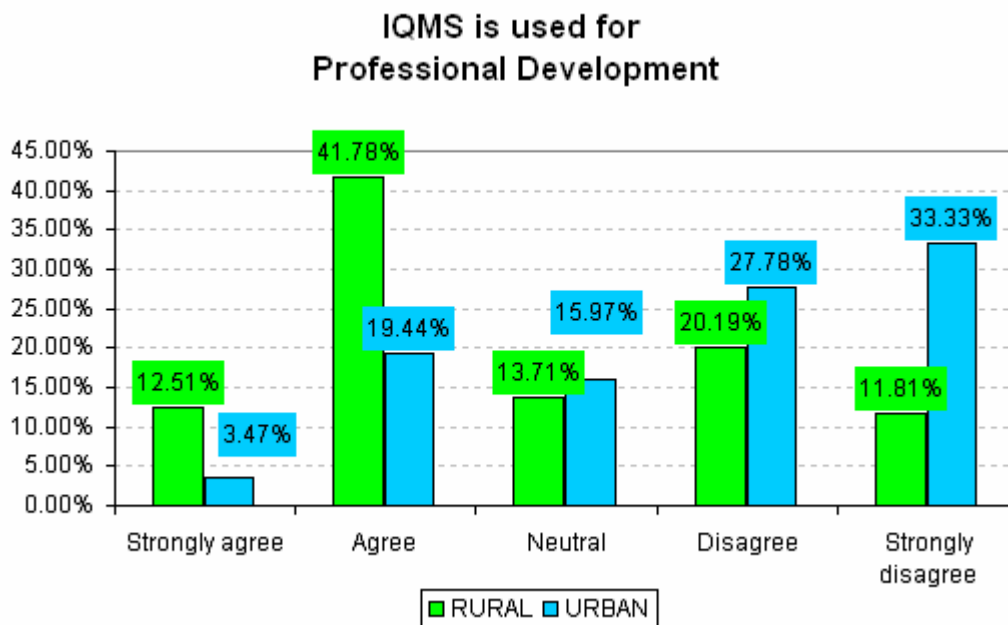
When this data was translated to reveal the rating spectrum, it showed that although many respondents agreed that the IQMS aided professional development, a strong contingent are neutral, disagree or strongly disagree as shown in the graph below:

Figure 27: Professional Development opportunities



When the data is examined in the demographic context, it is apparent that most dissention is received from the urban based educators, the majority of whom believe that the system is not or has not been conducive to their professional development as shown below:

Figure 28: Professional Development opportunities



When these results are combined to reflect agreement or otherwise, the figures reflect that less than a quarter of urban based educators believe that IQMS assists professional development, and an overwhelming majority disagree that they have benefited by the system in this was as indicated in Table 46.

Table 46: Professional Development opportunities

	Agree	Neutral	Disagree
RURAL	54.28%	13.71%	32.01%
URBAN	22.92%	15.97%	61.11%

At present, the much touted continuous professional development promoted by the Department is usually scarce, one-shot, top-down, unrelated to a broad strategy, and not targeted at teachers who need it most. In the absence of appropriate support, teachers can quickly lose motivation.

During the course of the study, unstructured interviews revealed that most development took place “in house” at school and was of an informal nature which mostly took the form of discussion between teachers at break times. None of the teachers interviewed had attended professional development courses arranged by the Education Department or other service providers.

Summary

Again, as previously experienced, the overall results show a very different picture when analysed in demographic terms: rural teachers do not seem to understand what is meant by professional development and are content with the informal sessions as described above. It is thus apparent that despite the apparent agreement of the rural teachers, the true picture reveals that IQMS is not seen to be promoting continuous professional development.

Teachers are required to play a significant role in determining their own developmental requirements and must map out, together with their Development Support Group how they intend getting there. This is referred to as a Professional Growth Plan. Most teachers are of the opinion that these plans are realistic and achievable. These plans frequently indicate fundamental classroom practice improvement such as improved discipline, group control and record keeping. Teachers making such entries are in the main assisted in achieving their objectives by colleagues at the school and, therefore, are going to be seen as being achievable.

More ambitious plans could reflect the need for computer training, advanced management skills and financial management skills, as an example, in which event such training and skilling has cost implications for which no budget has been allocated, and, therefore would become unlikely to achieve.

Studies on the appraisal process identify two main approaches to appraisal, one is the accountability model; however, the model that is being preferred by teachers is the professional development model.

The latter process involves a certain amount of introspection and self reflection to honestly assess their own developmental needs. This implies that they should plan for their own development and attend courses of their choice. The findings indicate that this is not the case and is an area that needs attention.

6.6 Practical infield issues

This group of questions focuses on various challenges which have often been raised during informal interviews, and therefore needed further investigation. The issues raised can possibly lead to discovering why teachers are not enamoured with the system and could lead to providing answers for future implementation procedures. The questions under this heading mostly require subjective

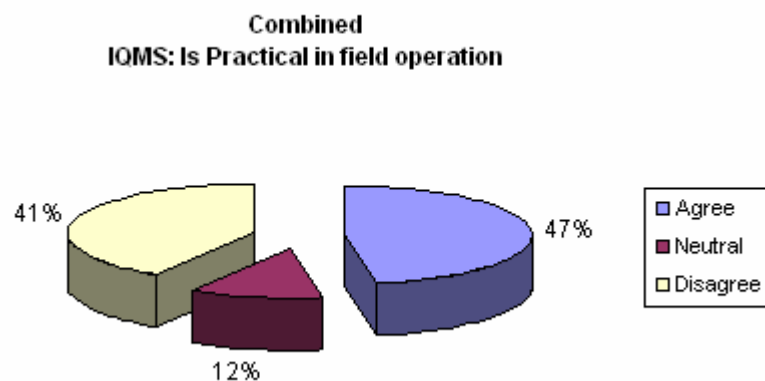
opinions/perceptions from the respondents and have been grouped together to gain an overall picture of the practicality of the implementation mechanism:

Table 47: Implementation Issues

Question	
15	The teacher appraisal system is time consuming
34	Teachers are inclined to rate themselves too highly
29	There is too much paperwork attached to teacher appraisal
38	Teacher appraisal is more evaluative than developmental
14	Teachers qualify for a pay progression despite poor quality teaching

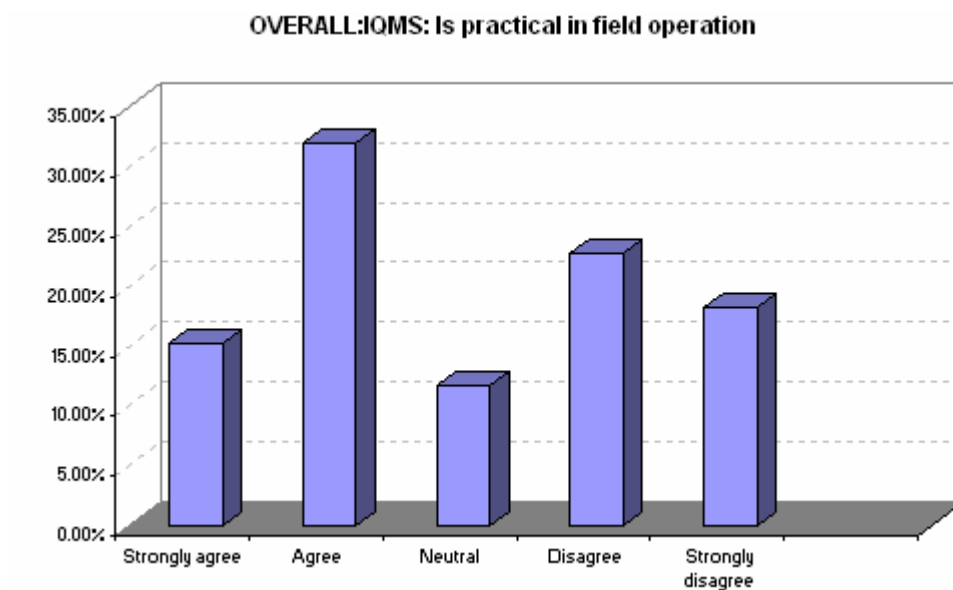
The overall responses found that the majority of respondents disagree that the negative statements often raised about IQMS are true as shown in *Figure 29*:

Figure 29: Implementation



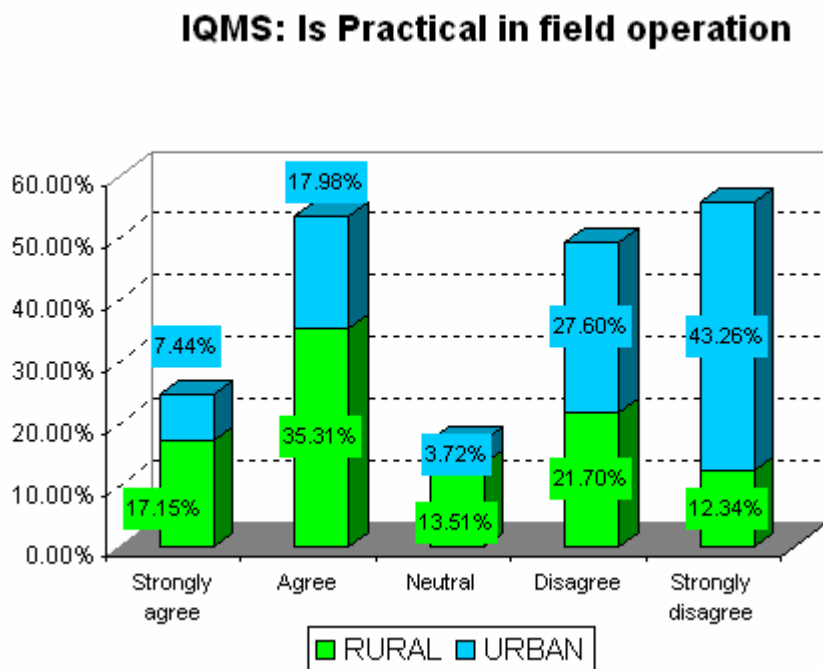
This overall response therefore suggests that teachers are positive about the practical issues of the system and do not find the mechanism onerous, time consuming, nor ineffective, and also disagree that poor teachers still receive pay progressions. When these results are displayed across the rating spectrum, the following responses are categorized:

Figure 30: Implementation



To analyse the true picture, however, the demographic results should be examined:

Figure 31: Rural and urban perceptions



The results shown in *Figure 31* indicate that the majority of the urban educators are in strong disagreement with the statements made – in other words, they believe that the system is not time consuming and that poor teachers do not receive pay progressions. After all the negative responses previously received, these results are surprising and show that the urban component is prepared to put in the time required to make the system effective and despite their previous response pattern, have confidence that poor teachers are not unfairly rewarded. It is important thus, to drill down to the source data to examine this further, and the responses to the 5 questions in this group have been tabulated as follows:

Table 48: Teachers rate themselves too highly

Q34: Teachers are inclined to rate themselves too highly			
	Agree	Neutral	Disagree
RURAL	48.71%	15.50%	35.79%
URBAN	78.81%	10.17%	11.02%

Table 48 shows that nearly 79% of urban teachers seem to be more aware of the possibility of teachers giving themselves good scores whereas only 49% of rural teachers believe that this is a problem. In fact, a large percentage of the rural teachers – 36% actually disagreed with the statement and believe that teachers are rating themselves accurately. These results will be interpreted in the conclusion as they need to be read together with other data.

Concerning the often raised issue of poor teachers still qualifying for pay progressions, it was interesting to note that most urban teachers believed that this is the case, and read together with the previous table where they believed that teachers often overrate themselves, is significant, and reveals the lack of confidence in the actual in field operation of the system from this sector. The table below illustrates the agreement of the urban teachers with this statement – whereas rural teachers are divided about the issue. This is shown in *Table 49*.

Table 49: Pay progression

Q14: Teachers qualify for a pay progression despite poor quality teaching			
	Agree	Neutral	Disagree
RURAL	43.58%	15.47%	40.94%
URBAN	64.35%	7.83%	27.83%

Table 50 shows the responses concerning the focus of the IQMS – whether the system is perceived to be benevolent and assisting career path development. This question is closely linked with Question 11 (part of the previously discussed group relating to Professional Development) which states that “The teacher appraisal system allows teachers to develop professionally”, but focuses on whether the teachers perceive the mechanism to embrace punitive measures and is therefore a means to target certain individuals. The following responses were received:

Table 50: System is more evaluative than developmental

Q38: Teacher appraisal is more evaluative than developmental			
	Agree	Neutral	Disagree
RURAL	55.88%	15.81%	28.31%
URBAN	76.92%	9.40%	13.68%

This data should be viewed together with the responses from Question 11 in order to form a full picture of the teacher perceptions:

Table 51: Professional Development

Q11: The teacher appraisal system allows educators to develop professionally			
	Agree	Neutral	Disagree
RURAL	62.37%	10.42%	27.21%
URBAN	31.13%	16.04%	52.83%

The tables, when read together suggest that most teachers from both demographic areas believe that the IQMS is more evaluative than developmental. In connection with the professional development aspect, however, most urban teachers believe the system has not been used to improve their professional development, although the majority of rural teachers believe it allows educators to develop.

The difference in opinions could be related to timing issues: although it has previously been stated that very little formal professional development training has taken place, rural teachers could be expressing an opinion concerning the aims of the system rather than what has actually been achieved, whereas the urban teachers could be responding about the historical fact that no real development has taken place.

The following tables relate to the amount of effort teachers perceive is required for IQMS implementation. It should be noted that previous data has suggested that rural teachers have not been sufficiently trained in the IQMS system and that their evaluation reports – if they are submitted at all, are incorrectly completed and seem to have merely been filled in, in order to satisfy departmental requirements.

It is thus not surprising that although most rural teachers believe that the system has an inordinate amount of paperwork and is time consuming, their responses are very lukewarm when compared with the urban teachers. Nearly 90% of urban teachers are of the opinion that the paperwork is excessive and 86% that the system is time consuming compared with rural teachers of whom only 69% and 44% agree with the urban teachers' perception. It would thus seem that the reason why the rural schools are not overly concerned with the system's demands, is because they spend a minimum amount of effort in performing their duties, resulting in performance results being incomplete, incorrect or even fabricated in some cases.

This is further explored in the following tables:

Table 52: There is too much paperwork attached to teacher appraisal

Q29: There is too much paperwork attached to teacher appraisal

	Agree	Neutral	Disagree
RURAL	68.76%	7.81%	23.43%
URBAN	89.47%	3.01%	7.52%

Table 53: Time consuming

Q15: The teacher appraisal system is time consuming

	Agree	Neutral	Disagree
RURAL	43.73%	13.47%	42.80%
URBAN	85.83%	4.72%	9.45%

Summary

Taking all the previous findings in this section into account, it is again clear that the overall opinion of the practical workings of IQMS – in field – is not positive. General consensus is that the system can be used as a punitive mechanism – one of the possible reasons for the responses from rural teachers about their colleagues rating themselves too highly where a large proportion did not agree with the statement (or were uncomfortable expressing an opinion, preferring to remain neutral). Further data about the amount of time/effort needed to complete the evaluation reports – compared with the quality/credibility of the reports submitted by the school highlighted the lack of understanding and therefore training given to rural educators. These findings suggest that although educators want to be seen to be loyal to any policy implemented by the authorities, there is a form of passive resistance being experienced – especially by rural educators - to the actual workings of IQMS.

Conclusions, therefore to be drawn from this set of data again emphasizes the need for educators to be better educated as to the benefits of the evaluation system – and their responsibility to ensure that implementation takes place correctly, rather than just completing forms for the benefit of the department. Another area of focus should also be stressed – convincing educators that the system is not meant to be seen as a punitive mechanism, but rather to pinpoint weaknesses in order to develop these areas through professional development.

The above figures seems to indicate that teachers agree that they are inclined to rate themselves too highly, giving them an inflated score and therefore that some form of moderation is therefore required. The high ranking of mediocre and poor teachers is defeating the aim of appraisal as it creates a false picture of what is actually taking place, or not taking place in the classroom. Teachers should be accountable to the parents for the education of their children and by rating themselves higher than they deserve, is an action which is misleading to the parents and society at large.

This is a phenomenon not peculiar to South African teachers. In the research performed by Bennel and Akyeampong (2007) their study focused on the two poorest areas of the world (SSA countries and South Asia) and found that because educators are of the opinion that they are capable, they often struggle in the classroom environment – a situation which “adversely affects their levels of job satisfaction and morale”.

It was reported in the Sunday Times [September 28 2008] that former Education Minister Naledi Pandor appointed “an outspoken educationist, honorary University of the Witwatersrand education(sic) professor Jonathon Jansen to head the new National Education, Evaluation and Development Unit (Needu).” (Jansen is presently vice chancellor of the University of the Free State)

According to the report, “ More than 20 years after the hated inspectors were given the boot, the minister is setting up a unit that could soon visit teachers in their classrooms to see how well they are doing their jobs.”

The report further states that “*The Department has admitted that this (the present) system is flawed and open to abuse as some evaluators were found to have inflated their friends’ marks.*”

The Sunday Times reaffirms the notion that “*at the moment, a teacher’s performance is evaluated by his or her school’s head of department, in the presence in one of the teacher’s peers. The teacher is then given a rating that determines whether he or she receives a salary increase.*”

A disturbing finding is that the majority of respondents agree that poor performance in the classroom is being rewarded with salary increments, which is not what the intention of the appraisal system. The processes of an appraisal system should be accurate, frank and open to the appraised. Taylor (1998) points out that “*...appraisal involves letting people know what is required and expected of them, assessing how they are doing, reviewing this with them regularly and agreeing with them what happens next.*” A teacher, who despite poor quality teaching is rewarded for unsatisfactory performance, will continue to perform at that level without knowing that such performance is not worthy of reward.

It is widely asserted that teacher behaviour and performance is not what it should be. Signs of deteriorating standards of professionalism within the teaching arena and the lack of motivation within the system are visible in almost every education system globally. The phenomenon of educators failing to report for work is unacceptably high and rising, time on task is low and falling, and teaching practices are centered around the educators’ often minimal efforts to convey education using outdated methods.

If such conduct continues to be rewarded, the appraisal system can be deemed to be ineffective and not working as planned.

6.7 Implementation of the IQMS

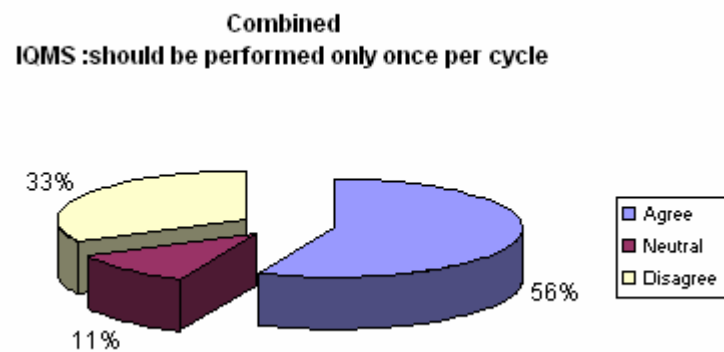
This group of questions was intended to reveal whether the educators felt that a single evaluation cycle per annum was sufficient for the accurate gauging of a teachers performance and for pinpointing areas requiring development. The questions were grouped as follows:

Table 54: Observation and development cycles

Question	
32	One classroom observation session per year is sufficient
40	There should be only one development cycle per year

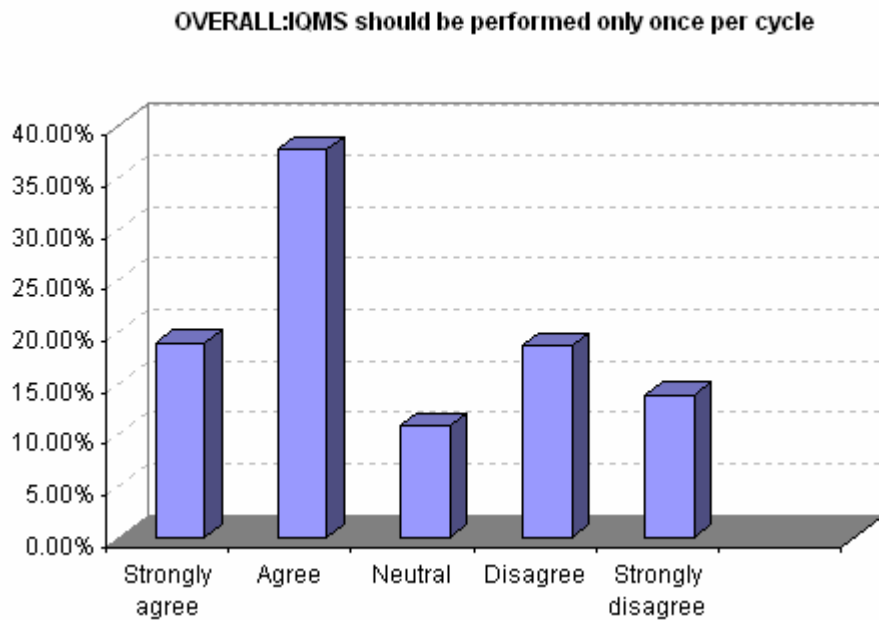
The overall results shown below reveal that the majority of the teachers questioned were in agreement that one evaluation per cycle was sufficient:

Figure 32: One development cycle is sufficient



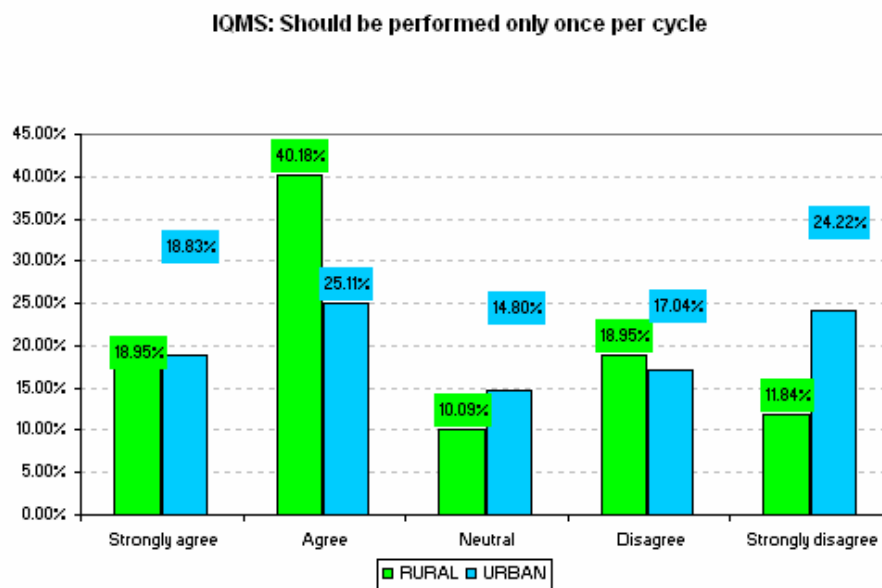
The combined results are drawn from the rating spectrum as follows, and indicates that there is strong agreement about only one evaluation:

Figure 33: One cycle per year



The results, analysed in demographical terms shows how the responses have been distributed between the rural and urban schools:

Figure 34: Rural and urban perceptions of developmental cycles



The results show that teachers from rural schools are more inclined to believe that a single evaluation is sufficient as opposed to those from urban schools – highlighted in the table of combined results as shown on the following page:

Table 55: Rural and urban perceptions of developmental cycles

	Agree	Neutral	Disagree
RURAL	59.12%	10.09%	30.79%
URBAN	43.95%	14.80%	41.26%

The previous section discussed the time consuming element/level of effort required to complete the evaluation reports and showed that urban schools complained more about this element than their rural counterparts. As has been mentioned earlier, the urban contingent was more likely to submit correctly completed reports, suggesting that more effort was placed in the process than in the rural areas where the quality of the reports were poor. It is thus a surprising finding therefore to discover that more urban teachers than rural believed that one cycle was sufficient in order to be able to pinpoint problems through the evaluation procedure as the process was seen to involve considerable effort and time.

Summary

These results show that teachers in general believe that one cycle per year is enough but should be examined in the light of further findings and specific questions relating to their perception of the system. Judging by the findings in the previous section relating to time consuming element of the system as discussed in the previous group of questions, it is pleasing to note that despite the extra work implied by further development cycles, a large percentage of teachers from both groups were willing to undergo further evaluation terms per annum – implying a level of commitment and confidence in the system.

One of the criticisms of the appraisal system is that a teacher is observed for one lesson only and that that lesson is prearranged, allowing an educator to thoroughly prepare for the lesson which is therefore construed to be contrived and artificial. It is therefore to be expected that teachers would agree that one lesson is enough. This arrangement is less threatening than an unannounced or unexpected visit. This would also explain why teachers indicated that they do not feel uncomfortable when someone is watching them teach.

Presently there are two development cycles per year. During each of these cycles the educator has identified areas for development and takes steps to improve in these areas. It is felt, however, that the academic school year is too short to cram in two development programmes. The average school year consists of approximately 200 school days and this leaves 100 days per cycle.

The majority of respondents agree that only one cycle is sufficient as a comprehensive development programme can be accommodated within the school year given the fact that only 10 days per year are allocated to development programmes. The response would depend on the type of development course that is required and the cost implications thereof. Those courses that require internal interventions only would probably be able to be done in the space of two cycles, but the more advanced the nature of the course, the less likelihood it would have of being completed in the space of six months.

6.8 Support from Stakeholders

One of the intentions of the appraisal system is to encourage the sharing of ideas and by using existing best practice teaching techniques and methods. In the school environment this should be done by support received from colleagues, the school development team, school management team, subject advisors, ward managers and district. Teachers interviewed stated that the management style and school culture were strong influences on the extent to which colleagues were able to assist and guide – especially newly appointed teachers entering the education environment for the first time.

The School Development Team (SDT) is a required structure responsible for the administration of the Integrated Quality Management System at site level. Their roles and functions include having to compile a School Improvement Plan (SIP) which must contain a portfolio of the developmental needs of all educators at the school and recommend who shall be responsible for attending to those needs. It, however, became apparent during the interviews that the functionality of the SDT varied considerably from school to school. Some educators were not even sure whether this structure had been established at their schools.

In most instances the immediate supervisor of the person being evaluated has to be part of the evaluation panel. Normally this is the subject head of department who has the responsibility of providing instructional guidance and leadership to those whom s/he supervises and is part of the school management team (SMT).

Other players, such as subject advisors are appointed subject specialists to assist teachers in mastering their subjects and are supposed to provide practical support to the teachers. The function of Ward Managers is to oversee the SMT and monitor the correct implementations of any policy. The questions in this section are directed at discovering whether educators are receiving support from the various stakeholders as described above – and if so, from whom. The questions were grouped as follows:

Table 56: Questions regarding support

Question	
23	Support is received from colleagues
24	Support is received from the SDT
25	Support is received from the SMT
26	Support is received from the subject advisors
27	Support is received from the ward managers
28	Support is received from the District

As the study has now reached a stage where areas of weaknesses can be pin pointed, it will be beneficial to the research to examine the responses from the teachers to each of the questions – shown in *Table 57*;

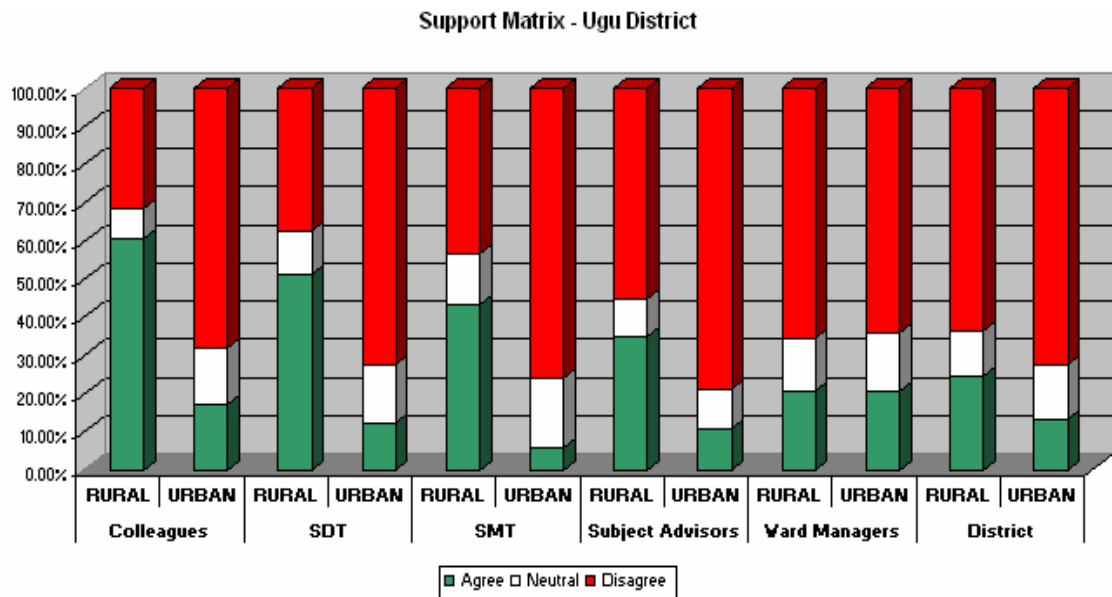
Table 57: Support

Support is being received from:

		Agree	Neutral	Disagree
Colleagues	RURAL	60.68%	7.86%	31.45%
	URBAN	17.27%	14.55%	68.18%
SDT	RURAL	51.08%	11.29%	37.63%
	URBAN	12.04%	15.74%	72.22%
SMT	RURAL	43.51%	13.35%	43.14%
	URBAN	5.83%	18.45%	75.73%
Subject Advisors	RURAL	34.94%	9.81%	55.25%
	URBAN	10.92%	10.08%	78.99%
Ward Managers	RURAL	20.71%	13.75%	65.54%
	URBAN	20.51%	15.38%	64.10%
District	RURAL	24.56%	12.11%	63.33%
	URBAN	13.39%	14.29%	72.32%

The data from the table above has been collated in the shape of a bar graph to form an overall picture for comparative purposes shown in *Figure 35*:

Figure 35: Support matrix



The support matrix graph (Figure 35) illustrates the areas of support at present being received and when viewed collectively, shows that both rural and urban teachers believe the least amount of support is being given by the Ward Managers and the District. Urban teachers are very vocal about their perceived lack of support from their colleagues, SDT, SMT and subject advisors whilst rural schools agreed that the level of support was generally received, with the least emanating from the subject advisors.

At the time of writing, there were 14 secondary school subject advisors employed by the department and no primary school subject advisors throughout the whole of the Ugu District, and these were all in the Further Education and Training (FET) phase, grades eight to twelve. This implies that there were no subject advisors serving the primary schools. It is therefore not surprising that the results indicated the lack of support from this cadre. The situation, however, has recently been remedied with sufficient staff being appointed to assist with this function and the primary schools are delighted with the support they are receiving from the advisors.

An interesting anomaly is the fact that rural teachers were positive about the support level from their colleagues, SDT and SMT whilst the urban contingent rated these as giving of the least support. Again, one could interpret these disparate views due to socio-political influences where the teachers would not want to be seen as disloyal to their colleagues/supervisors. Another element which could explain this

anomaly is that the teachers might have misunderstood the question which was directed at discovering the level of professional support, but which might have been misinterpreted as personal support.

The lack of perceived support from Ward Managers is not surprising as this cadre do not consider themselves to be instructional leaders, and thus do not have direct contact with the teacher in the classroom. Their focus is on school management issues which most often is limited to discussions with the Principal and at times the School Management Team, which includes the Deputy Principal and Heads of Department.

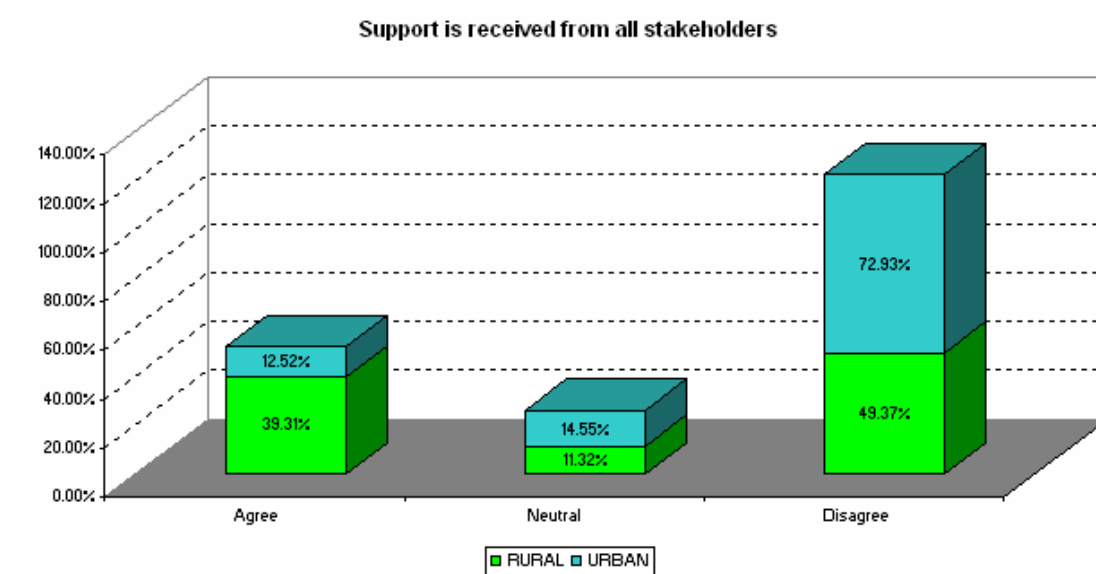
Thus, although the cascading of information system of training (particularly with regard to the IQMS) relies on the various tiers of the hierarchy to impart information, in practice, this has not happened in the case of the Ward Managers. They thus have very little to do with the field workers/teachers and are therefore not seen to be particularly supportive by either the urban or the rural teacher.

The study also found that very little support is forthcoming from the district officials. It is interesting to note that although the Ward Managers are in fact representing the District, they are perceived by the respondents as two very separate entities. Urban schools felt the District was failing them even more than the Ward Managers, whereas the rural schools felt that they received more support from the District than from these officials.

Although there is a governance and management section in the district office which is supposed to provide support over and above the Ward officials, there are presently only two appointed officials who are expected to service the 517 schools in the district.

The overall results of the level of support received has been summarized in *Figure 36* on the following page:

Figure 36: Support



Summary

The overall consensus by both rural and urban teachers is that the level of support received by all the stakeholders is not sufficient and that further effort needs to be done to improve the situation. It is a given fact that if the relevant support is not given by the required players, no system or policy can be implemented effectively.

6.9 Evaluation of Principals

One of the key players in any policy implemented by the Department is the Head of the SMT – or principal. It is therefore this individual who is vital to the success or failure of the IQMS as he/she is the person who sets the example which the teachers follow. It was therefore desirable to establish whether the principals themselves were involved in their own evaluation process, and whether non-teaching principals are being appraised.

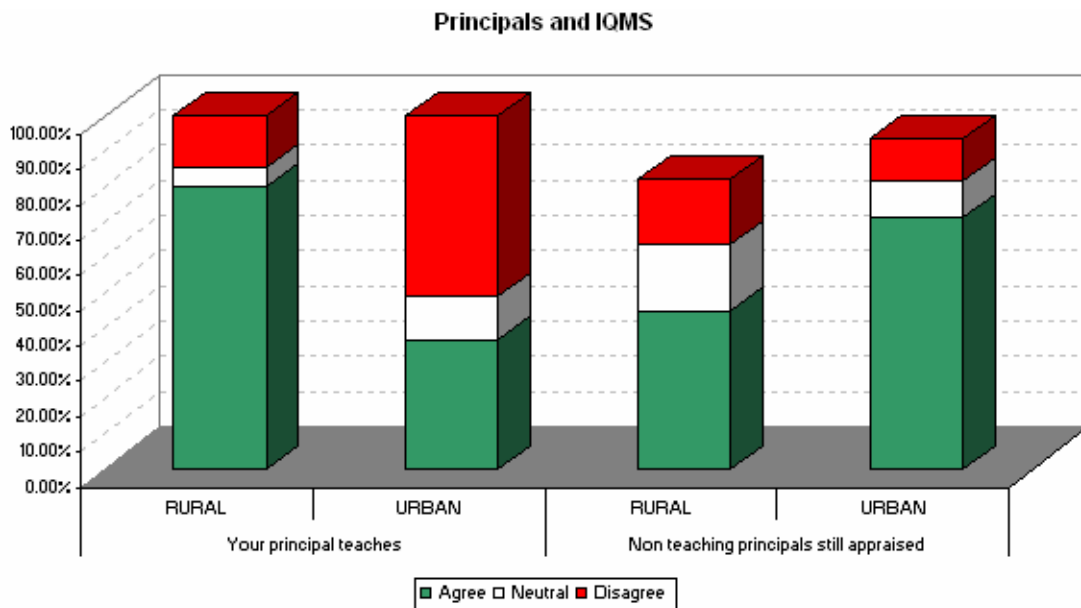
The questions relating to this group are listed in *Table 58* on the following page:

Table 58: Evaluation of principals

Question	
44	Your principal teaches a class
45	Principals who do not teach are still appraised

The findings suggested that there were more teaching principals at rural schools compared with urban, and most urban teachers believed that non-teaching principals were still appraised as shown in *Figure 37*:

Figure 37: Principals



Summary

It is evident that although most rural based principals teach and must therefore follow the evaluation process, only 45% rural teachers believe that non teaching principals are appraised. In practice, it has been established that when evaluation reports are due, Ward Managers convene the principals in his area and hastily fill in the required documentation: the consensus is that these reports are completed in order to fulfill departmental requirements rather than using the mechanism in a careful, considered manner in order to provide quality reporting.

From the findings above, it is feasible to assume that if the level of participation from the Ward Managers and Principals is low, the rest of the lower tiers (educators) will not feel obliged to take the policy seriously and the mechanism will become hampered by the lack of correct implementation.

6.10 IQMS needs to be moderated

Any self regulatory system such as the IQMS needs moderation in order to prevent abuse of the system and to ensure that the areas requiring more professional development are identified timeously.

The following research questions were grouped together in order to assess whether teachers believed that moderation should take place:

Table 59: Moderation of scores

Question	
35	The scores submitted by teachers should be moderated
36	The principal should have the right to moderate scores
37	The immediate supervisor should have the right to moderate individual scores
16	The teacher appraisal system should be moderated externally
39	Teachers should be assessed in a subject not formally trained

The first issue to be addressed is whether teachers believe that moderation is required. The findings tabulated below indicate that an overwhelming majority of both rural and urban teachers believe that moderation of scores is required. It is, however, interesting to note that a significant percentage of rural teachers disagreed with moderation: indicative of the fact that these teachers see the system as a punitive measure as previously indicated:

Table 60: Rural and Urban views on perception of moderation

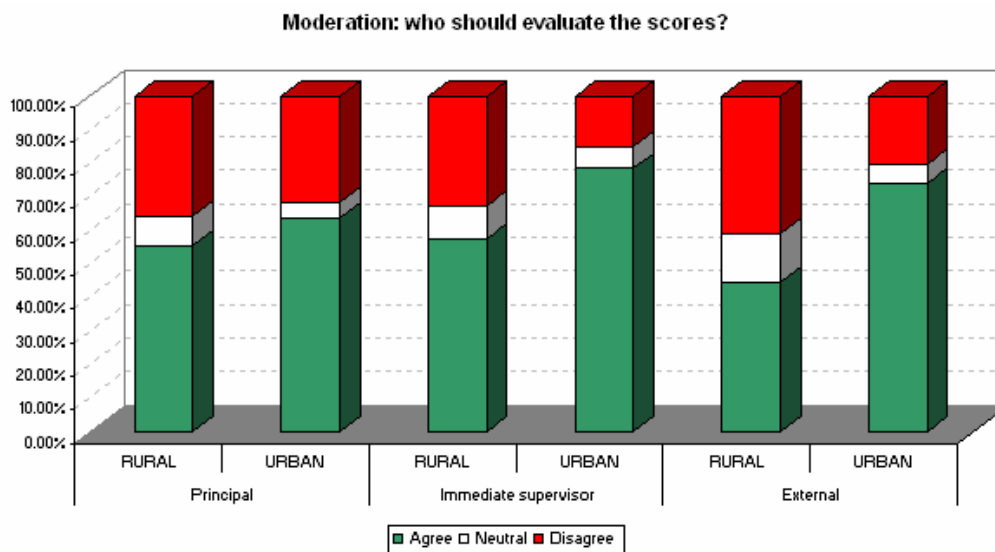
Q35: The scores moderated by teachers should be moderated

	Agree	Neutral	Disagree
RURAL	74.75%	8.14%	17.12%
URBAN	85.09%	10.53%	4.39%

Once it has been established that there is agreement on the moderation issue, it is necessary to highlight the source of moderation: should this be performed at school level or should this take place by moderators outside of a particular school environment?

Figure 38 illustrates the responses from the teachers about the question of who should moderate the scores:

Figure 38: Moderation of scores



The findings reveal that urban teachers are strongly in favour of their scores being evaluated by either an external moderator or their own immediate supervisor. Being evaluated by their principal is ranked the lowest of this group of teachers. Rural based teachers on the other hand strongly disagree that an external element should be brought in and would rather prefer that their scores are assessed by either their principal or immediate supervisor.

These results again highlight the general feelings of distrust held by the rural teachers towards the nature of the IQMS. Their resistance to being moderated by external assessors is proof that this group of teachers fear a lack of control over the process and would prefer for evaluation to take place internally. Another reason for these responses could be that as has been previously suggested, the evaluation process in these areas has been sketchy at best: an explanation for this could be that the rural teachers fear a more controlled evaluation process brought in by external assessment could seriously affect their scores, resulting in losing the pay progression or other penalties.

It is interesting to note that urban teachers had more faith in the evaluation process being done through their own immediate supervisor or an external evaluator – rather than their own principal. The reason for this could be that the urban teachers fear a less objective evaluation if done by their principal. Another explanation for this could be that the teachers feel that the principal might not have specialist knowledge of the subject being taught, and was therefore ill equipped to be able to evaluate scores accurately.

Summary

Although most teachers concur that moderation is required, demographic groups differ in their preference about who should do the evaluation.

Following on the fact that teachers have a tendency to overrate their own ability and give themselves high scores, the question must be asked should the scores therefore not be moderated? Findings show that the majority of teachers were of the opinion that scores submitted by teachers should be moderated. Who does the moderation is discussed in the section below.

Teacher development forms one of the cornerstones of the campaign, since principals as well as teachers will have to know exactly what must be done to provide and track quality education. Principals are challenged to develop strategic plans to motivate and inspire teachers and learners to attain these targets. The campaign calls for collaboration between schools and districts for peer support and learning so as to enhance teaching strategies.

Most believe that principals should have the authority to moderate the scores submitted by educators. However as is shown in Figure 38 the majority of teachers would prefer their immediate supervisors to be their moderators. They agree that some form of external moderation is required. This was confirmed at the interviews where teachers expressed their concern that by allowing scores to be accepted where they were not deserved, the entire system was being compromised.

There are some critical subjects for which it is very difficult to find teachers sufficiently well qualified to teach at schools, particularly at High Schools. More often than not, such teachers only have a minimal pass in the Senior Certificate in that subject, particularly in Mathematics and Science, yet they are expected to teach and be appraised in that subject. Not qualified in the subject that they are teaching and being paid a salary that is significantly less than their qualified counterparts, teaching these or

other subjects, it would appear to the purists that this should not be the case. The majority of respondents were of the opinion that such teachers should not be appraised.

This supports the line of thinking that more teachers need to be trained in these subjects.

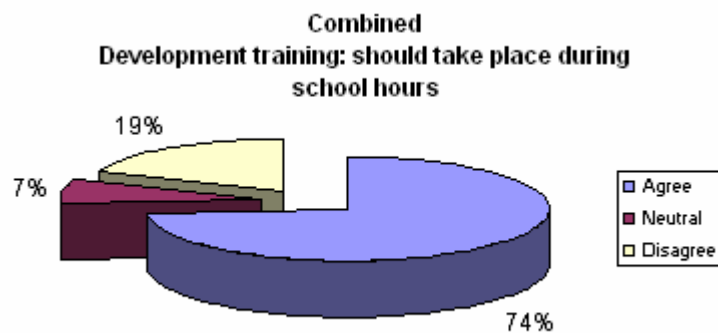
6.11 Training in schools hours

This question has been treated separately in order to examine the attitude of teachers towards the time they are prepared to put in themselves in order to improve their professional capacity. It is important to repeat here that although the department requires that each teacher undergoes up to 80 hours of development training per annum the department has not implemented this by providing the required courses.

Each school governing body has the right to set the working hours of teachers provided that the required 35 hours of contact time with the learners is fulfilled. This is the equivalent of an average of 7 hours teaching time per day.

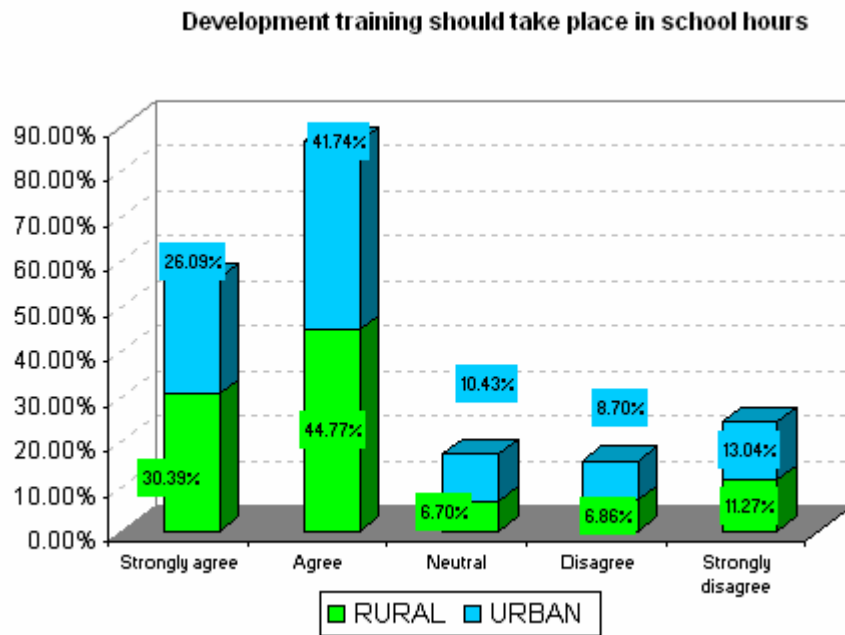
The departmental policy on professional development is that training should be taking place outside of school hours, but as the implementation of the training has been fragmented at best, the policy has not been enforced. The following graph shows the overall combined responses from all the educators on the question about whether they should be trained during school hours or not, and indicates a strong support for the training to be done during school time:

Figure 39: Development programmes during school hours



When demographically split, the responses from the different areas can be illustrated as in *Figure 40*:

Figure 40: Development during school hours



It is interesting to note that this is one of the few questions where urban and rural teachers are in agreement with each other, with very little variance across the rating scale between the two groups. The teachers are mostly of the opinion that training should not take place outside of school hours.

Summary

Although the professional development policy is sound and should improve performance by up-skilling teachers on a regular basis, the department has lost the impetus of this policy by non implementation, resulting in schools replacing the formal approach with informal in-house discussions which normally take place during school hours. The department needs to lay down clear guidelines as to the expected employment hours in order for educators to be reformed as to their responsibilities.

6.12 Overall Results

The empirical results in some ways have shown surprising outcomes, but have reinforced the disparity between the perceptions of the implementation of IQMS between the rural and urban teachers.

In general, however, the analysis has pinpointed areas which need to be improved on and seem to highlight the need for better departmental support.

The study revealed that there are many areas that are a cause for concern. The most glaring is the fact that the system is applied to all teachers on the assumption that they all enjoy the same teaching environment. The fact that this is certainly not the case because of the huge disparity in both human and physical resources between rural and urban schools, was clearly established in the study. Even in the rural areas there are schools that, despite their circumstances, are able to overcome these challenges and produce good results from their pupils. This statement is quite profound in that a “good” school is therefore considered to be one that is able to produce good results. The same analogy is therefore relevant to the teacher in the classroom. A good teacher is a teacher who is able to obtain good results from the learners in the classroom. The appraisal system does not take into account the results that the learners are achieving. This is a deficiency that needs urgent attention.

One of the major concerns of the system is the lesson observation process as stipulated in the policy. As has already been explained, the policy allows for one lesson to be observed in the annual appraisal cycle. Whilst most educators indicated that they were satisfied with this arrangement, the Whole School Evaluation policy would seem to reject this notion when it states that supervisors are required to spend 50% of their time observing lessons. The policy states that it is important for the evaluation to focus on what happens inside the classroom. The anomaly is obvious. Within the one policy (IQMS), Developmental Appraisal allows for one classroom observation session, whereas WSE requires 50% of their time to be spent observing lessons. Logic would seem to suggest therefore that consistency should prevail and what is applicable to this aspect of performance management in the teaching sector should be the same.

These are two fundamental issues that amongst others will be elaborated upon in Chapter Seven.

CHAPTER SEVEN

CONCLUSIONS AND RECOMMENDATIONS

7.1 Introduction

The chapter discusses the findings of the empirical study conducted in the Ugu district and also takes into account the findings of the literature review and subsequent analysis of research studies undertaken in the focus area. After providing a brief background to the context in which the study was undertaken, the results are compared with reports and findings of other national or international committees commissioned after this particular study was completed. It is important to recognize areas of commonality or differences that were identified between the various studies to either support, question or reject the findings of these other reports in order to arrive at conclusions and recommendations based on the empirical study of the Ugu situation. These recommendations and conclusions will be supported by literature studies that have been conducted over time.

7.1.1 Empirical Study Conducted in Ugu District

The study began in 2004 just as discussions and discourses around the subject of teacher evaluation in general, and the IQMS in particular were taking place at National, Provincial District; and operational level. At that time, it had already been widely established that the negative perceptions of important stakeholders relating to the success of the implementation of the system compromised the integrity, and therefore the value of the process.

7.1.2 Has IQMS Improved Teacher Performance in South Africa?

The study was performed with a twofold purpose in mind:

To assess whether the appraisal system had assisted teachers to improve their performance in the classroom; and to identify reasons for the perceived mistrust of the system.

A triangulation analysis of the empirical study, the external studies and a national and international literature review on this subject are presented as a proposed way forward. Before commencing with the empirical study of the Ugu case, a study of the literature relating to IQMS within the South African

context revealed that the evaluation of teachers is a hotly contested issue – findings which are supported by this particular case study.

As the evolution and history of the teacher appraisal system within South Africa is paramount to the understanding of the elements involved, this process was briefly examined and the developmental versus the accountability models were investigated.

An additional complication to the successful implementation of the evaluation system is the close involvement of the public who have a vested interest in education either as a parent, governing body member or other community related structure. As taxpayers, this segment fund the education system and are justifiably demanding value for money - questioning whether the evaluation system is providing the answer to the education problem.

Since the issue of teacher evaluation has been the focus of attention in most countries and international bodies for a number of years there has been considerable research undertaken in this field, both nationally and internationally. This was particularly useful in establishing best practice in the teacher evaluation systems used around the globe.

7.2 Review of National Education Policies

Whilst the empirical study was being conducted, two important, independent investigations were in progress at the National level. The first released in 2008 was a Review of National Education Policies conducted by the Organisation for Economic Co-operation and Development whose main aim was to study Education policy progress in South Africa. The second was a report by the Ministerial committee appointed by the former Minister of Education, Mrs Naledi Pandor to investigate and advise her on mechanisms through which the evaluation and development of schools and teachers can be undertaken. The report was gazetted on 17 April 2009.

Both reports consider education policies that have been formulated and assess the success or otherwise of the implementation of these policies. The Integrated Quality Management System (IQMS) is one of these policies that came under the spotlight and therefore have a bearing on the study conducted on the implementation of IQMS in the Ugu District.

It was pleasing to note that many of the findings were similar to those established in the Ugu study, and that the corroboration or confirmation of these independent committees' findings validates the rationale for the research undertaken in the study.

Some of the areas of commonality are discussed below.

7.3 The Education Crises : How do we evaluate it?

There is broad recognition that there is a crisis in education in South Africa and that the limitations of existing evaluation instruments to remedy the situation are ineffective.

The study found that generally the public perception of the state of education was that the system was dysfunctional or at best limping along held together with quick-fix, short term and unsustainable solutions.

This view is validated by the National Education Evaluation and Development Unit (NEEDU) report which found that throughout the country, in each of the provinces, from government officials, unionists, and teachers alike, there were strong expressions of apprehension and concern that there was an undeniable crisis in education, and that the matter needed to be resolved as a matter of urgency. The unanimity of the responses tabled in the report validated the findings of the Ugu study and highlighted the depth and intensity of concern among all education stakeholders.

In delivering her maiden Basic Education Budget Speech, Minister Angie Motshekga, said that:

“The findings of Professor Jonathan Jansen’s committee on National Education Evaluation and Development Unit (NEEDU) confirms what we all know, what the view is outside there and reasons for a general lack of public confidence in our education system”.

As a supporting document the OECD 2008 report stated that International studies have shown that the “returns to investment” in teacher education, or the quality of performance one might expect from learners in return for money spent on educators, is very low in South Africa, to the extent that “low educator productivity has been cited as the main reason for South Africa’s relatively poor performance” (Department of Education, 2003c, p. 10).

Thus, having collated the empirical information and analyzed the findings in light of both local and international reports, the conclusions followed by recommendations are as follows:

7.3.1 CONCLUSIONS AND RECOMMENDATIONS

i) Implementation of the IQMS is not successful

Education is in crisis, despite various comprehensively developed instruments used for monitoring and assessment. These measurement tools, one of which is the IQMS, however, cannot per se be blamed for causing the crisis and neither are they likely to resolve this crisis. One thing is patently clear however, and that is that the present form of monitoring and evaluation has not assisted to shift education performance in the desired direction at a systemic level: the system is neither identifying incapable or incompetent teachers nor rewarding those who perform well. One of the essential elements of policy implementation is the commitment of those required to carry it out. If those who are responsible for its implementation are unwilling or unable to do so, little will happen. This appears to be the case with the implementation of IQMS policy.

RECOMMENDATION: Design instruments that will assist to shift education performance in the desired direction at a systemic level:

Although there are a myriad of policies and redeveloped, revised and reformulated policies with the aim of improving curriculum delivery, these are not effective at present. The reasons for this, and further recommendations to assist the design of an effective way of improving service delivery are explored below.

There are very few educators who through the IQMS evaluation instrument are identified as being incompetent and the system does not allow action to be taken against these teachers. An instrument to measure incapacity has to be developed and implemented to allow the system to be able to dismiss educators who are not performing to accepted standards. It is one essential strategy to point the education system in the right direction.

7.3.2 CONCLUSION

ii) **There is a lack of capacity in educators to deliver quality education**

It was evident from the triangulation analysis that a major reason for the failure of the education system could be attributed to the fact that the majority of educators are not yet sufficiently equipped to meet the needs of a 21st century environment. Their poor conceptual and content knowledge should be seen as a direct contributor to low levels of learner performance.

An excellent example of the failure of the IQMS is the case where a particular donor funded intervention in the Ugu District to assist teachers to improve curriculum delivery and managers to become instructional leaders, required teachers participating in the intervention programme to sit the same test that was to be written by the learners they taught in the primary phase. It was found that all of these teachers who had undergone the IQMS evaluation had scored a “satisfactory” or better rating in the 2007 evaluation cycle. When the tests were marked it was found that the highest score achieved by a teacher was forty percent. Such glaring deficiencies of the content knowledge of teachers are not being detected by the appraisal system.

RECOMMENDATION: Use targeted teacher evaluation by using learner achievement in standardized tests as an important assessment area and ensuring that subsequent developmental programmes are structured to meet the needs of individuals:

To gauge whether the educator has the necessary conceptual and content knowledge to deliver the curriculum effectively, the teacher has to be assessed or in other words to be evaluated. The most logical way of measuring a teacher’s effectiveness would be to assess learner performance and compare the results with national or provincial standards. The current teacher evaluation process does not use learner achievement as an important assessment area.

In South Africa the only consistently applied measurement for learner achievement at national level is at the end of the learner’s school career when they write the Grade 12 or the National Senior Certificate examination. The Ugu study confirmed that the current system for accountability relies heavily on exit point examinations, as in the case of Grade 12 learners, and on random systemic evaluation which targets only selected grades (3, 5 and 9) on a sampling basis. In other words, no learner performance record is kept of every school, classroom and learner.

Thus, it is possible for learners to arrive in Grade 12 without having been given the necessary education to successfully pass the required national standard or for teachers/principals to promote learners on a non merit basis, thereby passing on educational incapacity throughout the system.

At present, Grade 12 teachers are not being assessed on their pass rate and are therefore neither rewarded nor targeted for further professional development.

A national system of accountability including learner assessment data but also other kinds of data (such as teacher knowledge and classroom support) must form part of the proposed comprehensive system for monitoring and evaluation of schools.

It is thus proposed that all grades should be assessed annually or at the very least that critical grades be targeted for annual assessment. The results of these should contribute to the national database and would form an essential tool to be able to pinpoint underperforming educators who might need further professional development or merely to be held accountable for their failure.

This process of learner evaluation would require full union support which should be sought for Educators to be formally assessed on a regular basis. Should the teachers be found wanting, they should not be allowed to teach until such time that they are able to at least gain a satisfactory result in the assessment.

In order to gain this level of competence, teachers will require better support and development from the Department and each developmental programme should be structured to meet the needs of individuals. Training for teachers in the content of the subject should be both site-based and in the form of formal training at special colleges or institutions equipped to impart the necessary knowledge. The site-based support referred to above implies that the concepts of instructional leadership, discussed later, need to be institutionalized.

Learner achievement should be a factor when assessing educator performance: it is one of the best ways of measuring empirically, the effectiveness or otherwise of the teaching methods or level of teaching ability and competence.

7.3.3 CONCLUSION

iii) A lack of accountability of those involved in the curriculum delivery process.

The singular most important issue found to be highly significant in the system was the lack of accountability of those involved in the curriculum delivery process. Teachers are meant to be supervised (usually the Head of Department), and those who supervise them are in turn meant to be supervised (usually the deputy principal and/or the principal). The organisational structure then further provides for the principal to be supervised by the ward manager who is in turn supervised by the circuit manager who reports to the district manager. The principal is also required to report to the governing body which reports to no-one but does have access to the command chain commencing with the principal and ending with the provincial head of department.

At present, the accountability chain is simply too long and convoluted to be effective or efficient, because this is where the shifting of the blame is facilitated. Typically teachers blame the supervisors for not providing the required support, the supervisors apportion the blame to the principal and so the identified weakness is passed up the hierarchical ladder with no solution being provided.

The accountability/ responsibility conundrum was elaborated upon by the Minister of Basic Education who said in Parliament on 30 June 2009 that the school accountability system is weak, uneven and limited in scope. The accountability system is weak because of a persistent culture of resistance to strong measures of accountability within schools and it is not only teachers who should be singled out for attention in the case of failing schools: the accountability net reaches wider than individual teachers. The system needs to improve coordination of support at all levels.

Thus, for any enforcement of accountability to succeed all levels from the teacher, to the principal, to the governors, to the district, provincial and national department authorities should be included in the assessment net. In other words, although important, the teacher is merely one element within the system of many supporting components which needs to be held accountable.

RECOMMENDATION: Make the role players accountable for teacher and school performance

There is widespread consensus on the need for stronger accountability measures alongside developmental support to be introduced into the school system. It is recommended that this could be done by *inter alia*, using the following strategies:

1: Ward Managers should be evaluated according to their schools' performance

In any organizational structure, the role of middle management is extremely important, and the success or failure of the organization largely rests with these individuals. The policies of the roles and responsibilities of each role player within the educational chain of command are clearly defined within the structural design. Within the educational organization, ward managers are expected to perform the actions of middle management, monitoring schools, principals and performance of the units allocated to them.

Part of this empirical study thus focused on the role of the ward managers and their role in managing curriculum issues in their schools. Now whilst school performance has many measurements, it is curriculum delivery that is fundamental to school performance. In a study undertaken in 2001 by the researcher, (Unpublished Masters thesis: District Management in the Port Shepstone Region), it was found that “district officials (ward managers) provide little or no support to curriculum development” and recommended that they should be responsible for the monitoring of academic standards at the schools which they manage (p336). This is the same finding eight years later, when standards of teacher performance have slipped even further.

The results from the study showed that ward managers still currently do not consider themselves to be responsible for instructional guidance. The question as to who is then responsible for holding poor or non-performing teachers/principals accountable for the performance of the learners in the classroom remained unanswered.

Experience of the researcher has shown that although the ward managers are intended to act in a supervisory capacity and should play an important part in the evaluation process, there is evidence of implicit collusion between these officials and the principals.

An example of this unholy relationship was revealed in the Ugu study where it was ascertained that to appease the requirements laid down by the Department, the ward managers would accept the self evaluation scores of the teachers submitted to the principal without verifying the authenticity and accurateness thereof. This indicates that in general, the ward manager for whatever socio or political reason is accepting the word of the principal who has accepted the findings of the substructures without any form of verification. Poor learner performance, teacher absenteeism, content knowledge, are swept aside and not investigated further. As there are no review processes where the scores can be moderated by a suitable moderation mechanism, it was found that there is a distinct lack of acceptance of responsibility for incorrect or obviously inflated scores.

The only way to counteract this negative effect on the system is to evaluate/reward the ward managers according to the performance of the schools. One of the ways this can be done would be through using the proposed regular national learner assessment results as a guideline of the effectiveness of the relevant ward manager. This should motivate these officials to ensure that they visit their schools regularly with a view to managing – as opposed to merely putting in a required presence.

2. School Based Management should be held accountable

The Ugu study also found that in the first instance it is the Head of Department or subject leader at school level, then the Principal who is ultimately responsible for monitoring and evaluating the performance of teachers. The study, however revealed that the reluctance of the school based officials to involve themselves in the evaluation process also compromised the integrity of the policy. The role of the ward managers in the process would thus be critical to ensure that non-compliant, reluctant school based officials are held accountable for their non-compliance.

7.3.4 CONCLUSION

iv) The system is seen in a negative light

The implementation of monitoring systems during the previous regime resulted in considerable negativity and apprehension on the part of the evaluatees. It should thus be important to consider this fact when developing the system, and to convince stakeholders that the present policy formulators intended to use the monitoring system for professional developmental purposes rather than measuring

performance in order to take action against incompetent teachers. Within the Ugu District at present, the resultant system is perceived to achieve neither goal.

Jonathan Jansen's Committee concurred when it added that *“The deep negativity towards the apartheid inspection system should not be ignored in the way government crafts a new and comprehensive system of accountability touching all schools.”*

The report alludes to but does not expound on the way in which the new and comprehensive system will be introduced.

RECOMMENDATION: There must be more focus on the buy-in level of relevant stakeholders to make amendments to the present instrument to improve it:

The concept of teamwork and collegiality plus the idea of the importance of accurate self evaluation should be strongly emphasized through workshops and reading matter. Buy-in to any system can only be achieved once the role players are convinced that the successful implementation of the system will result in benefits to themselves and other stakeholders. The focus on these workshops should be on the positive effects of professional development, more than the perceived punitive nature of an evaluation system.

7.3.5 CONCLUSION

v) There is suspicion of and resistance to any form of external evaluation

Similar to the Jansen report, it was found that there was resistance among teachers to classroom visits and scrutiny by any official from the department of education, at ward, circuit, district or provincial level and that they were strongly opposed to classroom visits outside of the one agreed upon observation visit allowed for during the evaluation cycle. There is particularly strong opposition to any form of unannounced visits.

The Committee, however also found that in some provinces or districts throughout South Africa, such external observation was allowed and sometimes even welcomed. Often the nature of local school politics and the skills of a particular department official could make access to classrooms easier or

more difficult. But what this means is that in terms of access to schools and classrooms, there is considerable unevenness in the national system.

The findings revealed that the prevailing micro-politics at school level could be a strong determining factor in whether external classroom visits were acceptable or not.

RECOMMENDATION: External evaluation should be introduced through an accepted external body such as the South African Council of Educators and/or the Education Labour Relations Council and should be perceived to enhance and assist the evaluation process:

The monitoring of policy implementation and compliance with evaluation requirements should form part of the functions of the department of education or preferably an independent, impartial body such as the South African Council of Educators who are regarded as being fair and objective. The present process has often led to educators feeling 'probed' or judged as opposed to allowing them to be assisted to improve their professional skills.

One of the ways to effectively moderate and institutionalize internal evaluation is to stabilize it with a strong sense of non threatening external evaluation. This might be construed to be a short term solution. In the long-term, the task should be to restructure the political concepts of solidarity and professional concepts of collegiality by putting the primary interests of the child in the forefront.

An interesting finding in the National study and found too in the empirical study was that the observation of lessons outside of the prescribed singular visit was more readily acceptable in urban schools than their counterparts in the rural areas. This was ascribed to the fact that the concept of team work was better promoted within these schools and that an ethos of the school being a learning organisation prevailed.

It is almost certain that this situation has arisen from the historical imbalances prevailing in South African schools. Urban schools generally have been better developed and have the facilities to offer a broad curriculum with specialist support. The rural schools, where the community is too poor to pay school fees, mostly do not have libraries, specialist laboratories or a sophisticated computer generated support system to provide a broader curriculum. Generally, the study found that rural school teachers are more demotivated than their urban counterparts and would prefer to be evaluated by their colleagues – having a deep suspicion of assessment by external agents.

Problems involved in the successful implementation of the evaluation system have included issues of a socio political nature. A culture appears to have developed in South African schools in which teachers tend to adopt a defensive position of support and camaraderie especially in relation to perceived external threats. Given the enduring sensitivities around the external evaluation of teachers and teachers' work, teachers strive to protect their colleagues and to seek maximum advantage for their peers. To act "professionally" in making judgments about peers based on detached, objective assessments of what a colleague can/cannot do, is frowned upon in this culture of solidarity.

For internal evaluation to work, where teachers and their peers make judgments about their own performance, a capacity for self-criticism and for objective judgment is required. However, the Ugu study found that this ideal is not immediately attainable in an immature education system which is highly uneven in resources and capacity.

A way forward in the process therefore can only be achieved by promoting the concept of external assistance in the evaluation process – but must be handled in a manner which is considered non threatening to the evaluatees. Janssen's committee suggested that mentors could be used to assist with the process of internal evaluation, a solution which if handled correctly could be invaluable in promoting accurate assessment scores and could assist with identifying teachers requiring further development.

Again, the concept of teamwork and the positive, supportive role of the department should be promoted: external visits should be seen as an important factor in the accurate evaluation process and should not be seen as a punitive exercise towards teachers who might require further professional development.

7.3.6 CONCLUSION

vi) The importance of self evaluation is not understood

Internal evaluation at present is patently a concept that is not understood by the majority of our schools and teachers. The study found that internal evaluation was basically unlikely to produce valid and reliable results particularly when such evaluation was data that would be used for decision-making about teacher compensation as well as advancement. As was the case with continuous assessment,

when schools are left to make their own judgments about scholastic performance, those results are often inconsistent with more objective, external measures of the same achievements.

RECOMMENDATION: Educate all role players about the benefits of the system so that the ideal situation is reached where schools should be striving to reach the principle of internal evaluation:

This is important since when the organizational cultural influence of the school naturally promotes a high level of commitment to self evaluation, the result is advancement in professionalism and the promotion of democratic participation. This allows teachers and schools to be encouraged to participate in honest evaluations of their own performance and capabilities.

In an ideal situation schools should be striving to reach the principle of internal evaluation. It should in fact be the aim of every school to build a culture of monitoring and evaluation by teachers, peers and instructional leaders with its focus on developmental programmes to improve performance. Within an organisational culture of this nature, teachers learn from each other, share and consult on their planning, and observe lessons among themselves. Here the views of learners are also sought and the school grows considerably as a learning community.

A major issue identified in the study was the question of collegiality. The study indicated that micropolitics asks the questions: Should colleagues be allowed to criticize each other? Is there not a collegial bond that prohibits such judgment by another colleague or peer? It is proffered that professional bonds in the school environment in South Africa prevent colleagues from offering criticism (honest evaluation) to others. Just as solidarity imposes a political constraint on peer judgment, collegiality imposes a professional constraint on the same.

It has been established that as schools begin to engage in self-evaluation, their efforts should be accompanied by continuous support, training and guidance. Recognition should be given to self-evaluation reports which are honest and open about what the school does well, and what it requires to do better; evidence-based, accurate self-evaluation reports, which include the views of stakeholders. This should be given merit and at the same time, self-evaluation reports that offer excuses, cover up, engage in blame, and breed complacency, should be discredited.

7.3.7 CONCLUSION

vii) Lack of Departmental Support

It was clear that little support was received from District officials to improve the classroom performance of teachers. It also established that when support was in fact provided, the knowledge of the district officials conducting the course was not as capable or proficient as they should have been. It appeared that that courses held after normal school hours were not well attended as those attending were expected to pay their transport costs to and from the venue, and it also meant that their family commitments were being compromised.

Jansen's committee also mentioned that they should report on the "confusion and incapacity in other provinces where IQMS has hardly got off the ground. In fact, it is reported that the recently appointed "moderators," whose work it is to judge the adequacy of implementation, have been able to visit more schools in certain provinces than the IQMS district/circuit personnel." The Ugu study found that Ward Managers in particular, although visiting schools regularly, do not accept that the monitoring of the IQMS is part of their function.

RECOMMENDATION: More support is required from the Department of Education, particularly at district, circuit and ward level:

Teachers are often blamed by the public and face media criticism for failing schools. Not sufficient attention is paid to the fact that there are also, unfortunately, incompetent and incapacitated district officials who are unable to provide the necessary developmental support and guidance for teachers and principals. There also appears to be a lack of coordination of support at the level of wards, circuits, districts and provinces. This is compounded by the general uncertainty generated by the excess and complexity of curriculum and other policies that place more and unrealistic administrative demands on teachers that force them away from the classroom into a never-ending stream of unnecessary paperwork.

Teacher unions were sceptical of the ability of the departmental officials to implement effective developmental programmes and SADTU confirmed this in their response to the publication of the NEEDU report when they said: "The report and proposal does not begin to address the underlying socio-economic conditions which fuel poor performance. The Report is concerned with measuring

outputs, rather than improving inputs into the teaching and learning system. Our fear is that teachers will be cast as scapegoats once again.”

7.3.8 CONCLUSION

viii) There is a major divide and disparity between urban and rural schools

There is no doubt that there is a link between educational outputs with socio political and economic conditions. The South Africa historical and current socio economic landscape still plays a major role within our education system.

It is patently apparent that conditions under which teachers teach and learners learn are grossly unequal and the Ugu study highlighted that it is unfair to use one system for schools situated in communities facing abject poverty as well as in schools who find themselves in more affluent surroundings. The majority of schools requiring support interventions in the Ugu District are mainstream rural schools based in poverty-stricken communities.

This argument is also supported by the report of the Ministerial Committee entitled Schools that Work (Christie *et al*, 2007). One of the major emerging comments from this report was that the schooling system is not currently directed towards the needs of mainstream schools. The report defines what is meant by the term mainstream schools and states:

“Mainstream schools are black schools in relatively poor socio-economic circumstances.... It is these schools, not privileged schools ‘on the edge’ that are ‘the normal schools’ for most South African learners. It is mainstream schools whose potential must be developed if South Africa is to meet its goals of equity and quality for all, achieve its human resource development targets, build the next generation of citizens, and do justice to its young people”
(Christie *et al*: 2007)

Through the rural/urban delineation, schools’ performances are to a very large extent still moulded by their social and historical contexts of colonialism and apartheid. Because of this, the schooling system in the country continues to be unequal, and there a few rural based public schools in South Africa which have the resources to produce superior academic results. Although there have been significant infrastructural improvements since 1994, according to the National Education Infrastructure

Management System: National Assessment Report published by the Department of Education in 2007, many rural schools still lack the basics such as clean running water, electricity, libraries, laboratories and computers.

One problem resulting from the infrastructure capacity is the high pupil/teacher ratios: more than one-quarter of the (rural) schools in Eastern Cape, KwaZulu-Natal and Limpopo have more than 45 learners per classroom. These are not comfortable or easy conditions in which teachers are expected to provide a sound education for young people.

RECOMMENDATION: Rewards and incentives for performing rural schools, principals and teachers should be considered:

Although most poorly performing schools are rural based, it should be mentioned that despite this, there are a number of these schools, which despite their poor resources, are performing at levels considerably higher than one would expect. This suggests that there could be elements other than the infrastructure/resource issues preventing effective curriculum delivery. The study indicated that for numerous reasons it is difficult to attract and retain teachers in rural schools. The implementation of special rural allowances and the provision of staff accommodation and a transport allowance should be considered. A concerted effort to improve the infrastructure and the provision of basic commodities has to be made. This should be a joint venture between the Department of Education, the District and Local Municipalities, and parastatals such as ESKOM and Telkom.

The South African government should consider following the Nigerian example by appointing a Ministry to monitor the programmes designed to implement the Millenium Development Goals. This should assist the Department of Education to alleviate the plight of rural schools.

Despite being located in rural areas, some schools have been able to overcome these challenges and were able to achieve excellent results in the 2007 National Senior Certificate examinations.

The table below shows the top 20 schools Senior Certificate results for the Ugu District 2008. As a large percentage of the 517 schools in the district are rural, one would expect a large number of these not to be in this range, but it is interesting to note that the school ranked number 6, is a deep rural school with 100% pass rate.

Table 61: 2008 Senior Certificate Results

Matric Results - Ugu District 2008						
Rank	School	Entered	Wrote	Pass	Pass%	Type
1	Umzinto Islamic	15	15	15	100.00%	Urban
2	Suid-Natal	84	84	84	100.00%	Urban
3	Scottburgh	97	96	96	100.00%	Urban
4	Port Shepstone Islamic	19	18	18	100.00%	Independent
5	Oxford International	70	63	63	100.00%	Independent
6	Buhlebethu	69	68	68	100.00%	Rural
7	Port Shepstone High	238	237	236	99.58%	Urban
8	Port Shepstone Secondary	145	144	143	99.31%	Urban
9	Sizathina	48	46	45	97.83%	Rural
10	Marburg	268	261	255	97.70%	Urban
11	The Woods School	24	24	23	95.83%	Independent
12	Mthwalume	174	168	159	94.64%	Rural
13	Umzinto Secondary	246	234	208	88.89%	Urban
14	Port Shepstone International	37	35	31	88.57%	Independent
15	Harding Secondary	95	93	82	88.17%	Urban
16	Roseville School	144	138	121	87.68%	Urban
17	Sehole	130	127	109	85.83%	Urban
18	Malusi	34	34	29	85.29%	Rural
19	Tholisu	30	30	25	83.33%	Rural
20	Umzumbe Secondary	59	52	43	82.69%	Rural

(Source DoE Matric Results 2008)

The school ranked 9th – Sizathina, also deeply rural, achieved a near perfect score of 97.83% as did Mthwalume with 94.64%. It was established that the reasons for this success are, *inter alia* attributed to the following:

- i) Mthwalume's score had actually dropped in 2008 – previously, the results showed an almost perfect score of 100% for a number of years. The current principal had only been in this position

for 3 years. The researcher found that this school had an extremely strong governing body, which enjoyed an excellent relationship with the previous principal.

ii) Sizithina's success could be attributed to the extraordinary manoeuvre of retaining the matric pupils in what could be termed a "boot camp" on the school premises prior to the exams. The parents strongly supported this action, and despite the poor hygienic conditions, even went so far as to take turns to cook for the children for the duration of this camp. It was found that although the governing body was not deeply involved in the school governance, the extremely motivated principal proved a powerful reason for the success of class 2008.

iii) Buhlebethu, ranked 6th with 100% pass rate was found to have a strong principal with a very involved governing body. It should also be mentioned here that this school was very results driven – if learners were not performing, they were not allowed back into the school after the year end. Although this practice is frowned upon by the department's policy of the right to education for all, it seems to have motivated learners to put in the extra effort.

It is thus suggested that one of the most powerful factors in service delivery is the school based manager – the principal. Surely it follows that when one of these goes the extra mile to ensure the success of the learners, they should be recognized and rewarded in a monetary sense. At present, although performance scores are meant to perform this function, monitoring at district and provincial levels are ineffective as learner performance is not used as an assessment factor.

7.3.9 CONCLUSION

ix) IQMS scores are meaningless and lost in the system

Most of the respondents felt that the system did not identify poor teachers, nor reward those who evaluated themselves honestly. For the system to work both authority and expertise at all levels (teacher, head of department, principal, school, district, province, national) remain important requirements for effective implementation of monitoring and evaluation.

IQMS in the KZN province is presently housed in the Office of the Quality Assurance Directorate which is considered an add-on function by that directorate. The monitoring of policy implementation at a district level, however has no dedicated component to do this and the district's responsibility is

merely to ensure that all educators have submitted their final scores for submission for processing to the provincial office.

This lack of policy monitoring and evaluation at an operational level has thus created doubts about the credibility of the system. This is substantiated by the NEEDU report which states that the purposes and locations of these different policies contribute to the confusion. At national level, for example, IQMS and WSE fall under different directorates (though officials rush to say this is being corrected). Similarly, at provincial and district level these monitoring and evaluation functions fall under a range of different units and directorates each with their own logic, resources, capacities and meanings.

The study also found that some districts within the province are quite adept at interpreting and reinterpreting IQMS for their own purposes (for example, the moderation instruments) so that what the policy looks like in one district/ province might receive a very different interpretation in another district/province.

In the Ugu District after consultation with circuit and district officials, it was confirmed that the evaluation instruments made it difficult for them to monitor the quality of teaching and learning occurring in different schools, quite apart from the causes for such low levels of education quality.

Leadership is critical at provincial, district, ward and school level to make the best out of the complexity of evaluation and development efforts and instruments

RECOMMENDATION: District Managers, Circuit and Ward Managers should review scores and Circuit Managers should take full responsibility for the implementation of the IQMS at school level. These reviews should take place in the context of the results achieved by the learners so as to compare the appraisal score with the level of achievement of the learners:

The establishment of a fully-fledged IQMS Directorate should be established at all levels of the system in order that systems for data collection and data and information flow can be improved.

It is recommended that whilst middle management in the form of ward managers should be held accountable for the accuracy of assessment scores, these scores should be analysed and reviewed first at district level, before being passed onto the Provincial level. In this way, the District manager would be able to make more informed decisions as to the accuracy of the scores and to submit his own

assessment/recommendations together with the scores. As a manager based in the area, the district manager would have a far better idea of the performance or otherwise of schools and school based employees than some official based in Head Office.

Thus, at district level, the officials should be able to identify and investigate the real causes behind poor performance levels.

7.3.10 CONCLUSION

x) There is a lack of capacity within the system to effectively implement the IQMS

The study established that there is considerable variation in the capacity of schools for the interpretation and implementation of the existing evaluation and development measures. Some schools use IQMS as an instrument to improve curriculum delivery by providing internal development courses for their teachers. Other schools, and unfortunately these are in the majority, do not even prepare a school improvement plan. Despite the prescript contained in the South African Schools Act which requires the principal to submit an annual report on the academic performance of the school in relation to standardized minimum outcomes, standards and procedures for assessment, this is not being done. Also not being done is the required annual plan setting out how academic performance will be improved at the school and reporting on the progress of the implementation of the improvement plan half way through the academic year. The questions to be asked are why are those who do not comply not dealt with? Why keep policies that are not being implemented?

These plans and reports should logically flow from the processes of IQMS.

The study also found that schools were inconsistent in the application of the policy and some did not apply it at all, but were still able to submit scores for teachers. This dishonest practice certainly suggests that the system has lost credibility in its implementation. In practice the evaluation instruments do not monitor the impact of policy on teaching and learning; they monitor policy compliance.

RECOMMENDATION: There has to be capacity building at school, district, circuit and ward level to improve policy implementation:

Principals, in general, through their immediate supervisors, the Ward Manager, are mainly concerned with meeting the required deadlines rather than ensuring that the process is carried out accurately.

Instructional leadership is an element that is severely lacking in our schools. As has been previously stated, it is the School Management Team (SMT) that should take responsibility for this role and ultimately it is the head of the institution, the principal who should be held accountable at school level.

Both international and South African research literature has identified the role of the principal as key in contributing to better student outcomes. There is consensus in the US and European literature, and increasingly in South African research, that school managers play a crucial role in creating the conditions for improved instruction (Marsh, 2002; Spillane, 2004; Taylor, 2007).

What is less understood is how the principal contributes. Most school principals do not practice the functions of instructional leadership identified by Spillane *et al.* These functions are:

- Constructing and selling an instructional vision;
- Developing and managing a school culture conducive to conversations about the core technology of instruction by building norms of trust, collaboration, and academic press among staff;
- Procuring and distributing resources, including materials, time, support and compensation
- Supporting teacher growth and development, both individually and collectively;
- Providing both summative and formative monitoring of instruction and innovation;and
- Establishing a school climate in which disciplinary issues do not dominate instructional issues

Most of the above functions are fundamental to the IQMS processes but are not being used in the majority of our schools.

Teachers and schools are required to conduct a self evaluation exercise to identify as honestly as they can their strengths and weaknesses. Since the system for evaluating teachers and schools is still

considerably immature, it is not surprising that generally it is found that there is an incapacity for self-scrutiny among many teachers.

7.3.11 CONCLUSION

xi) Using the same instrument for different purposes is confusing

One of the problems with the system was identified as being unnecessarily complex in the existing evaluation instruments as far as evaluation, appraisal and development policies, plans and processes are concerned. Jansen's committee also established that the integration of a developmentally-focused evaluation as well as a remuneration-focused appraisal compromises the validity of measures of school and in particular teacher performance.

It was established that by using pre-determined minimum standards in the instrument, for the sake of uniformity, quality was being compromised. The intention is that teachers need to move up a notch in their ability to effectively deliver the curriculum in the classroom. This is not being done and the instrument itself does not therefore improve education. The content knowledge of the subject they are teaching of many of the teachers is severely lacking but this deficiency is not being exposed by the system.

RECOMMENDATION: Separate Development and Performance Systems:

It is recommended that the same instrument for teacher accountability as well as teacher development and also pay incentive should not be used. By integrating these processes, it is the process of teacher development that is compromised and this is not the objective of the designed appraisal system.

Respondents in the study felt that the development and performance of teachers needed to be separated and dealt with by at least two different systems. Meeting the development needs of teachers is a big challenge for the system. Teachers and their evaluators are reluctant to reveal their development needs. They felt that their rating would be low and that although they would theoretically be receiving professional development, they would be losing their salary increment – the latter being more important to them. As a result the objectives of IQMS are being lost. The major issue here is that the same instrument is being used for teacher accountability as well as teacher development and pay incentive. By integrating these processes, it is the process of teacher development that is compromised.

A compromise might be that the salary increment only be granted after the completion of the completion of a number of development courses.

If the unit proposed by the Jansen Committee is established, it adds yet another layer of bureaucracy for teachers and schools to cope with. Increased monitoring and inspections have to be linked to a positive and co-ordinated programme of teacher development, if not it will lead to further demoralisation of the profession.

The cost and scale of the proposed unit is also considered to be problematic as it represents a massive diversion of already scarce educational resources - proposing an annual budget of close to half a billion rand and a high-calibre professional workforce approaching 1,000.

There are already structures within the education system that appear to be doing the same thing to achieve the same objectives. The proposals made by the Committee take us back to the old forms of duplication, with multiple agencies evaluating the same things for different purposes.

SADTU have also asked the question: “Do the recommendations of the committee measure up to the task set by Polokwane Resolution number 32” - which called for: “...the establishment of a national education evaluation and development unit for purposes of monitoring, evaluation and support?.” SADTU contend that there is little in the recommendations to take forward the quest for teacher development and support.

It would appear therefore that the existing system for evaluation and appraisal faces a growing credibility crisis because there is no link between school and teacher evaluation and developmental programmes to effectively address the curriculum delivery problems that might have been identified. It is apparent therefore that the present curriculum support and advisory roles need to be separated from monitoring and evaluation roles. Such a separation would place more relevant emphasis on concepts such as self development, self evaluation and school improvement from within.

7.4 Should the system be changed?

The IQMS should provide information and feedback to teachers regarding effective practice and should offer a pathway for individual professional growth. It allows a mechanism to nurture professional

growth toward common goals and supports a learning community in which teachers are encouraged to improve and share insights in the profession. To have developed a comprehensive system such as the IQMS which is administered to almost 360 000 educators is indeed commendable. It is realised that to perfect such a comprehensive system would take a long time, probably up to almost 6 to 8 years.

It is therefore acknowledged that there are too many indications that although the IQMS has its limitations, teachers and administrators would be reluctant to change the system in its entirety. There are a number of possible reasons for this.

Focus interviews found that there is a pervasive sense of reform fatigue among South African teachers. Whether it was curriculum change or assessment reform or new educator regulations, teachers were tired of “yet another” round of possible changes to their work schedules.

Teachers and administrators involved in the study indicated that they would prefer current education policies to be given time to prove their usefulness before scrapping them or drastically changing them. IQMS is a relatively new measure that teachers and administrators are getting to grips and coming to terms with and are therefore implementing more effectively now than previously.

An introduction of another form of appraisal could lead to reluctance from teachers to accept any new policy and would involve lengthy negotiations with the various teacher unions. Resentment of teachers to a new form of appraisal would ensure its failure.

Jansen’s Committee also concurred that although there is no evidence that IQMS in its present form will be able to serve as an effective mechanism for accountability, there might, however be a case for continuance with further fine-tuning and refocusing of IQMS with particular attention to learning gains and academic achievements. This will also offer some assurance to teachers and officials who are concerned about the possible withdrawal and replacement of IQMS.

7.5 Finding the way forward

It is clear from the findings of this study that currently, the IQMS – although comprehensively developed and designed to measure performance in the delivery of quality education service – is not serving as an effective mechanism for this purpose. The tool is complex and the implementation is

highly open to interpretation, and can only function effectively in a more mature environment, where self evaluation is fully understood and honestly performed.

Although, reform fatigue is evident within the system, some form of further development is clearly required. In summary therefore, the following recommendations should assist towards the improvement of the policy implementation:

- i) The system should be separated into two instruments – one for evaluation and monitoring, and the other for professional development.
- ii) Learner achievement should in some way at least form part of the evaluation score.
- iii) Clear policy on accountability needs to be formulated.
- iv) The Department of Education needs to become more involved and focus on improving the knowledge base regarding evaluation both in school based employees as well as those in the office.
- v) Managers must start to manage – this means Ward Managers should be urged to take more active part in the management of schools within their ambit.
- vi) District Managers should be more involved with the evaluation process by rejecting obviously inflated scores received from Ward Managers. Results should be properly analysed and discussed before being submitted to Head Office.
- vii) Recognition and reward should be given to those employees who despite poorly resourced facilities go above and beyond their call of duty to ensure that their learners achieve good results. A good starting point would be to reward Grade 12 teachers whose learners achieve satisfactory or good results.
- viii) Re-professionalisation of the entire educational structure from office based officials to school based management teams and teachers.

ix) The teacher unions should also shoulder part of the blame for the system failure by the practice of appointing teachers lacking in capacity to important posts. The way forward would thus be for the unions and the department to agree on a more structured approach to new appointments as well as allowing the teachers to be more exposed to external evaluation processes.

Consideration might also be given to the general findings of the study, which do not form part of the conclusions and recommendations of this report, but might be considered for further research. Various viewpoints are synthesized for further analysis.

There is a need for a better understanding of what works and what does not. The problem is that too often, there are no regular evaluation of policies and programmes involving teacher remuneration packages. These should be performance based, but presently when evaluations are conducted, they frequently focus on inputs to the system rather than on student achievement and outcomes. This underscores the need to assess student outcomes that are related to both new and existing programmes. The key element here is measuring student performance directly. Without objective data about student achievement, programs and policies often proceed in unproductive directions.

Regular evaluation of policies and programmes involving teacher remuneration packages must be introduced. These should be performance based, and when evaluations are conducted, they must not focus on inputs to the system but rather than on student achievement and outcomes. There is therefore a need to assess student outcomes that are related to both new and existing programs.

The key element is measuring student performance directly which implies that objective data about student achievement must be obtained to ensure that programmes and policies always progress in more positive and productive directions.

In-service training and development programmes have met with limited success and have not always achieved their intended objectives. While some in-service training and development programmes have met with success and achieved their intended objectives, they have generally disappointed and have been perceived to be a waste of taxpayers money and if conducted during normal school hours, a loss of valuable teaching time.

In-service programmes should be selective and targeted to meet the needs of individual teachers. Presently there is not sufficient insight for selecting a programme that is likely to yield significant gains in teaching performance and therefore impacting positively on learner achievement.

Ways must be found in selecting programmes that are likely to yield significant gains in teaching performance and therefore impacting on learner achievement. Conduct in-service programmes outside of school hours and monitor and evaluate these programmes to measure whether their intended objectives have been achieved.

Quality improvements are more likely to come from selecting and retaining better teachers rather than from retraining existing teachers. A long term solution for the selection and retention of good teachers must be found, indications are that the retraining of teachers already in the system is a short term solution. The selection of new and the retention of better teachers is longer term and would require policy makers to consider incentive schemes to obtain the desired outcomes.

Many countries do not currently have active teacher retention policies that should ensure that the teachers that matter, those who are able to obtain maximum potential from their students, are enticed to stay in the classroom. The ability to improve the teaching force will depend on the people who can be attracted to the teaching profession. If the teaching force is to be improved, either those doing the hiring must select better teachers or retention policies must be skewed toward the best teachers. The research evidence suggests that many of the recruitment and retention policies that have been pursued worldwide have not been very productive.

Policies that can entice teachers who are able to obtain maximum potential from their learners, to stay in the classroom need to be developed. If the teaching force is to be improved, either the hiring must select better teachers or retention policies must be skewed toward the best teachers.

Regular monitoring and evaluation is an essential part of the system. Independent task teams at all levels of the system should be responsible for the maintenance of accepted standards at school level with the focus on learner attainment and learner gains.

Teaching is generally a career choice that requires a prior commitment; one that in turn depends on the career expectations of would-be teachers. And expectations take time to be affected by general policies. It is advised that systems need to look at and experiment with alternative incentive schemes

for teachers. These might involve signing new contracts and a new approach to teacher compensation; it should also consider the granting of merit awards for schools, and similar initiatives. The main thrust should be that each new policy should be designed to improve student achievement directly. One way in which this could be done, for example, is give merit awards to teachers that can be directly linked to objective information about student performance.

Policy changes may affect the speed of replacement, both slowing and speeding up the rate of turnover of teaching staff. For example, changes in teacher contracts, salaries, and benefits may result in more or fewer teachers leaving the teaching profession. Giving the school more autonomy in deciding on recruitment and retention policies, also seem to have an obvious impact on turnover. The more autonomy a school has the less turnover of staff is expected.

The study has been both interesting and revealing. Interesting in that it was found that there is widespread consensus that education policies are not working. This has been acknowledged even by the State President, Jacob Zuma who when addressing school principals and other important stakeholders in education, acknowledged that “our wonderful policies that we have been implementing since 1994 have not essentially led to the delivery of quality education for the poorest of the poor”. He asked why the policies have failed to deliver excellence and what should be done about it.

This study assists in answering the President’s questions.

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ANNEXURES

UNIVERSITY OF KWAZULU-NATAL SCHOOL OF PUBLIC ADMINISTRATION

Doctoral Research Project

Researcher: PETER VAN DER WATT (039 6888605)

Supervisor: PROFESSOR Y PENCELIAH (031 2607645)

Research Office: Ms P Ximba 031-2603587

Title of Survey

The research project is entitled: *Implementation of the Integrated Quality Management System Policy in Public Schools in the Ugu District.*

Enclosed please find two survey forms. The first is asking you how you feel about the Integrated Quality Management System. You are required to respond to 48 statements in this survey. Please remember that there are two pages to this questionnaire.

The second is asking you for information about yourself and the school in which you teach. You should answer 12 questions on this sheet.

The purpose of this survey is to solicit information from teachers regarding their perception of the teacher appraisal system as it is presently being implemented. The information and ratings you provide us will go a long way in helping to identify whether teachers think that the evaluation system is working or not. The questionnaires [an example on how to complete the questionnaire is provided] should only take 30 minutes to complete. In this questionnaire, you are asked to indicate what is true for you, so there are no “right” or “wrong” answers to any question. Work as rapidly as you can. If you wish to make a comment please write it directly on the form itself. Make sure not to skip any questions. Thank you for participating!

EXAMPLE FOR COMPLETING THE QUESTIONNAIRE

Questionnaire One

You are requested to carefully read the statement and then respond to the statements contained in the instrument as honestly as you can! You can only give one response to the statement on a scale of 1-5

There are no right or wrong answers. No reasons have to be given for your response. An example of what you are expected to do is given below:

	1	2	3	4	5
Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
The appraisal system is working					

If the respondent placed a cross in block 1: S/he is very happy with the system

If the respondent placed a cross in block 2: S/he is happy with the system

If the respondent placed a cross in block 3: S/he is neither happy nor unhappy with the system

If the respondent placed a cross in block 4: S/he is not happy with the system

If the respondent placed a cross in block 5: S/he is not at all happy with the system

DECLARATION

NB Before completing the form please take time to read, understand and question the information given before giving consent. This should include time out of the presence of the investigator and time to consult friends and/or family.

**I.....(full names of participant)
hereby confirm that I understand the contents of this document and the nature of the research project, and I consent to participating in the research project.**

I understand that I am at liberty to withdraw from the project at any time, should I so desire.

SIGNATURE OF PARTICIPANT

DATE

	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
1. Teachers need to be appraised and evaluated					
2. I was trained on the procedures of Developmental Appraisal					
3. Teachers enjoy the teacher appraisal system					
4. Teachers understand the appraisal system					
5. Union members understand the appraisal system					
6. Principals understand the appraisal system					
7. Ward Managers understand the appraisal system					
8. The teacher appraisal system is effective					
9. The teacher appraisal system is fair					
10. The teacher appraisal system is working					
11. The teacher appraisal system allows educators to develop professionally					
12. The teacher appraisal system has increased co-operation between staff members					
13. The teacher appraisal system has improved teacher performance					
14. Teachers qualify for pay progression despite poor quality teaching					
15. The teacher appraisal system is time consuming					
16. The teacher appraisal system should be moderated externally					

17.The criteria used for teacher appraisal are clear and self explanatory					
18.The criteria used for teacher appraisal cover all aspects of teachers' work					
19.The teacher appraisal system recognizes good teachers					
20.The teacher appraisal system identifies poor teachers					
21.Professional Growth Plans developed by teachers are achievable					
22.Teachers attend professional development courses of their choice					
23.After identifying their particular needs for development, teachers receive support from colleagues to assist them in weak areas					
24.After identifying their particular needs for development, teachers receive support from the SDT to assist them in weak areas					
25.After identifying their particular needs for development, teachers receive support from the SMT to assist them in identified weak areas					
26.After identifying their particular needs for development, teachers receive support from subject advisors to assist them in identified weak areas					

	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
28. After identifying their particular needs for development, teachers receive support from the district to assist them in weak areas					
29. There is too much paper work attached to teacher appraisal					
30. Teacher appraisal encourages the staff to work as teams					
31. Teachers feel comfortable when they are observed teaching their classes					
32. One classroom observation session per year is sufficient to assess my teaching ability					
33. Teacher appraisal is taken seriously by teachers					
34. Teachers are inclined to rate themselves too highly					
35. The scores submitted by teachers should be moderated					
36. The principal should have the right to moderate individual teacher scores					
37. The immediate supervisor should have the right to moderate individual teacher scores					
38. Teacher appraisal is more evaluative than developmental					
39. Teachers should be appraised in a subject for which they have not been formally trained					

40. There should be only one developmental cycle in a year					
41. Developmental training should take place during normal school hours					
42. The implementation of developmental appraisal is done consistently at all schools					
43. Records of teacher appraisal are kept					
44. Your principal teaches a class					
45. Principals who do not teach are still appraised					
46. I understand the terminology used in the teacher appraisal system					
47. Salary increments as a result of a satisfactory performance appraisal motivates me to further improve my teaching skills					
48. Performance appraisal scores are kept confidential					

End of the Questionnaire One

Thank you for taking the time to complete the questionnaire. Please proceed to Part Two of the survey.

Questionnaire Two

Please provide the following information about yourself and your school. Place an X in the applicable column. Attach this completed questionnaire to your completed response sheet

1. Are you a male or female?

Male	Female
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2. How old are you?

Under 30	30-39 years	40-49 years	50 or older
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3. Are you an

African	Indian	Coloured	White

4. How many years have you been teaching?

Less than 5 years	5- 9 years	10-14 years	15 or more years
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5. What is the highest grade you teach?

R	1	2	3	4	5	6	7	8	9	10	11	12
---	---	---	---	---	---	---	---	---	---	----	----	----

6. Are you professionally qualified [Diploma or degree]?

Yes	No
-----	----

7. Are you qualified in the learning area/subject you are presently teaching?

Yes	No
-----	----

8. Where is your school situated within the UGU District?

Deep rural	Rural	Township	Peri urban	Urban
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9. How is your school classified?

Junior Primary	Senior Primary	Combined Primary	Junior Secondary	Senior Secondary	Secondary
Grade R – 3	Grade 4– 7	Grade R – 7	Grade 8 – 9	Grade 10 – 12	Grade 8-12

10. What is the largest class you teach? [Number of Learners]

Less than 30	30-39	40-49	50 and more
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11. Were you appraised in 2006?

Yes	No

12. If you answered yes, did you receive a salary increment in 2007?

Yes	No
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End of the Questionnaire Two. Thank you for taking the time to complete the questionnaire.

THE NATIONAL POLICY ON WHOLE SCHOOL EVALUATION

Assuring quality of the education system is the overriding goal of the Ministry of Education. This National Policy on Whole-School Evaluation introduces an effective monitoring and evaluation process that is vital to the improvement of quality and standards of performance in schools. The adopted model is radically different from the previous school inspection system carried out in South Africa under the apartheid regime. Together with the accompanying guidelines/ this Policy prescribes an approach that is built upon interactive and transparent processes. These processes include school self-evaluation/ ongoing district-based support monitoring and development and external evaluations conducted by the supervisory units.

The Policy places particular emphasis on the need to use objective criteria and performance indicators consistently in the evaluation of schools. Recognising the importance of schools as the place in which the quality of education is ultimately determined; focus is primarily on the school as a whole rather than simply on individuals and their performance. The multi-sources of evidence that are used will enable valid and reliable judgements to be made and sound feedback to be provided both to schools and to the decision-makers. The findings must be used to re-orientate efforts towards improving the quality and standards of individual and collective performance. They should complement other initiatives to improve the work of schools/ such as developmental appraisal for educators. This makes the model less punitive and more supportive/ with a feedback mechanism that enables schools and their support structures to agree on improvement targets and developmental plans.

BACKGROUND AND CONTEXT

1.1 Introduction

1.1.1 For many years, there has been no national system of evaluating the performance of schools, and there is no comprehensive data on the quality of teaching and learning, or on the educational standards achieved in the system. As a result, the National Policy for Whole-School Evaluation is being introduced. This complements other quality assurance initiatives conducted under the aegis of systemic evaluation, namely; accreditation of providers, programme and service reviews and monitoring learning achievements. It should also align with Developmental Appraisal for Educators so that

educators are confident that the features of good practice sought in whole-school evaluation are the same as those encouraged through appraisal and development programmes.

1.1.2 The National Policy on Whole-School Evaluation has been designed to ensure that school evaluation is carried out according to an agreed national model. It sets out the legal basis for school evaluation, its purposes, what is to be evaluated and who can carry out evaluations. It also provides guidance on how evaluation should be conducted. It further sets out how the evaluation process should be administered and funded. The Policy indicates ways in which very good schools should be recognised and under-performing schools supported. It makes clear the links between those at national and provincial level who are responsible for the quality of education, and supervisors, schools and local support services.

1.1.3 This Policy is aimed at improving the overall quality of education in South African schools. It seeks to ensure that all our children are given an equal opportunity to make the best use of their capabilities. As a process, whole-school evaluation is meant to be supportive and developmental rather than punitive and judgmental. It will not be used as a coercive measure, though part of its responsibility will be to ensure that national and local policies are complied with. Its main purpose is to facilitate improvement of school performance through approaches characterised by partnership, collaboration, mentoring and guidance. The Policy also contains a built-in mechanism for reporting findings and providing feedback to the school and to various stakeholders - the National and Provincial Education Departments, parents and society generally - on the level of performance achieved by schools.

1.1.4 The Policy is supported by national guidelines, criteria for evaluation, and instruments that have to be used by trained and accredited supervisors in order to ensure consistency in the evaluation of schools. These also provide the means by which schools can carry out self-evaluation and so enter into a fruitful dialogue with supervisors and support services.

1.1.5 Whole-school evaluation is not an end in itself, but the first step in the process of school improvement and quality enhancement. The National Policy on Whole-School Evaluation is designed to achieve the goal of school improvement through a partnership between supervisors, schools and support services at one level, and national and provincial governments at another.

1.2 Education policy and legislative context

1.2.1 The transformation of education in South Africa emphasises the right of all to quality education (Education White Paper, 1995). The first intent is to redress the discriminatory, unbalanced and inequitable distribution of the education services of the apartheid regime, and secondly to develop a world-class education system suitable to meet the challenges of the 21st century.

1.2.2 According to the National Education Policy Act (No.27 of 1996), the Minister is mandated to direct that standards of education provision, delivery and performance are monitored. Evaluations need to be carried out under the aegis of the National Department annually or at specified intervals, with the object of assessing progress in complying with the provisions of the constitution and with national education policy. This Act also specifies that, should the evaluation reveal that a province is not complying with the provisions of the constitution or national education policy, the Political Head of Education in the affected province has to account to the Minister in writing within 90 days.

1.2.3 Similarly, the Assessment Policy, gazetted in December 1998, provides for the conducting of systemic evaluation at the key transitional stages, viz. Grade 3, 6 and 9. The main objective is to assess the effectiveness of the entire system and the extent to which the vision and goals of the education system are being achieved.

1.2.4 Also, the Further Education and Training (FET) Act (No.98 of 1998), makes it obligatory for the Director-General, subject to the norms set by the Minister, in terms of the National Education Policy Act, to assess and report on the quality of education provided in the FET Band.

1.2.5 The South African Qualifications Authority (SAQA) Act of 1995, requires that Education and Training Quality Assurance (ETQA) bodies be established for the purpose of monitoring and auditing achievements in terms of national standards and qualifications.

1.2.6 In line with the above legal provisions, this Policy elaborates on the responsibilities of the Minister with regard to the conduct of whole-school monitoring and evaluation. It confirms that external whole-school evaluation is an integral part of the new quality assurance approach.

1.2.7 The shift in terminology from 'inspection' to 'whole-school evaluation' is important. Whole-school evaluation encapsulates school self-evaluation as well as external evaluation. It also provides for schools to receive advice and support in their continual efforts to improve their effectiveness. It does not interfere in any way with existing activities and agreements, for example, Systemic Evaluation and the Developmental Appraisal System. Part of its purpose is to evaluate the effectiveness with which such initiatives are being implemented and provide information aimed at strengthening their contribution to educational improvement.

1.2.8 The focus is on both internal monitoring and external evaluation, i.e. self-evaluation by the school and external evaluation by the supervisory units, and the mentoring and support provided by the district-based support teams.

SECTION 2

KEY ELEMENTS OF THE POLICY

2.1 Aims

2.1.1 The principal aims of this Policy are also integral to the supporting documents, the guidelines and criteria. They are to:

- (a) Moderate externally, on a sampling basis, the results of self-evaluation carried out by the schools;
- (b) Evaluate the effectiveness of a school in terms of the national goals, using national criteria;
- (c) Increase the level of accountability within the education system;
- (d) Strengthen the support given to schools by district professional support services;
- (e) Provide feedback to all stakeholders as a means of achieving continuous school improvement;
- (f) Identify aspects of excellence within the system which will serve as models of good practice and;
- (g) Identify the aspects of effective schools and improve the general understanding of what factors create effective schools.

2.2 Whole-school evaluation and quality assurance

2.2.1 Whole-school evaluation is the cornerstone of the quality assurance system in schools. It enables a school and external supervisors to provide an account of the school's current performance and to show to what extent it meets national goals and needs of the public and communities. This approach provides the opportunity for acknowledging the achievements of a school and for identifying areas that need attention. Whole-school evaluation implies the need for all schools to look continually for ways of improving, and the commitment of Government to provide development programmes designed to support their efforts.

2.2.2 Effective quality assurance within the National Policy on Whole-School Evaluation is to be achieved through schools having well-developed internal self-evaluation processes, credible external evaluations and well-structured support services.

2.3 Principles

2.3.1 The Policy is based on the following principles:

- (a) The core mission of schools is to improve the educational achievements of all learners. Whole-school evaluation, therefore, is designed to enable those in schools, supervisors and support services to identify to what extent the school is adding value to learners' prior knowledge, understanding and skills;
- (b) All members of a school community have responsibility for the quality of their own performance. Whole-school evaluation intends to enable the contribution made by staff, learners and other stakeholders to improve their own and the school's performance, to be properly recognised;
- (c) All evaluation activities must be characterised by openness and collaboration. The criteria to be used in evaluating schools, therefore, must be made public;
- (d) Good quality whole-school evaluation must be standardised and consistent. The guidelines, criteria and instruments must ensure consistency over periods of time and across settings;
- (e) The evaluation of both qualitative and quantitative data is essential when deciding how well a school is performing. For this reason, whole-school evaluation is concerned with the range of inputs, processes and outcomes. These are associated with, for example, staffing and physical resources, human and physical, the quality of leadership and management, learning and teaching, and the standards achieved by learners;
- (f) Staff development and training is critical to school improvement. A measure used by whole-school evaluation in judging a school's performance is the amount and quality of in-service training undertaken by staff and its impact on learning and standards of achievement. In this way whole-school evaluation will make an important contribution to securing well-focused development opportunities for school staff;
- (g) Schools are inevitably at different stages of development. Many factors contribute to this. A basic principle of this policy is to seek to understand why schools are where they are and to use the particular circumstances of the school as the main starting point of the evaluation. The policy recognises that

schools in disadvantaged areas, for example, must not be disadvantaged in terms of whole-school evaluation.

2.4 Approach

2.4.1 The approach is designed to help schools measure to what extent they are fulfilling their responsibilities and improving their performance. The means of achieving this are through:

- (a) School-based self-evaluation;
- (b) External evaluation by the supervisory unit personnel trained and accredited to evaluate schools;
- (c) Adequate and regular district support leading to professional development programmes designed to provide assistance and advice to individual staff members and schools as they seek to improve their performance;
- (d) An agreed set of national criteria to ensure a coherent, consistent but flexible approach to evaluating performance in the education system;
- (e) Published written reports on the performance of individual schools;
- (f) Annual reports published by provinces and the Ministry on the state of education in schools.

The following are the key areas of evaluation:

1. Basic functionality of the school;
2. Leadership, management and communication;
3. Governance and relationships;
4. Quality of teaching and learning, and educator development;
5. Curriculum provision and resources;
6. Learner achievement;
7. School safety / security and discipline;
8. School infrastructure;
9. Parents and community.

GLOSSARY OF TERMS

Accreditation - means the certification, usually for a particular period of time, of a person, a body or an institution as having the capacity to fulfill a particular function in the quality assurance system.

Certification - recognition by a certificate of the competencies acquired by a supervisor through successfully completing a supervisor's training course.

Competencies - the specific knowledge and skills required by supervisors, which include their ability to conform to their code of conduct.

Curriculum - planned educational experience provided for learners supplied by schools, mainly in lessons but possibly in other circumstances such as educational visits and extra-curricular activities.

District - encompasses district or regional education authority.

Education for learners with special needs (LSEN) - is used to designate all those forms of education, in ordinary and special schools or other settings, which are regarded by their practitioners as constituting explicit means of responding to learners 'special' characteristics and 'needs'.

Ethos - a number of factors, which include the curricular offerings, relationships in the school community, cultural opportunities, leadership etc. which define the school's community spirit.

Evaluation - the means of judging the success of a school's performance based on the criteria in the Evaluation Framework.

Extra-curricular activities - activities, such as trips, visits, school contests, cultural, artistic, sportive and technical-scientific activities that are outside the school's normal timetable provided by the school for learners.

Framework - the Whole-School Evaluation Framework is a package that includes the policy, guidelines and instruments for monitoring and evaluating the performance of the schools.

Improvement Strategies - a planned effort to make better the good and average schools, and to improve the performance of the schools that are performing below the required standards, on an on-going basis.

Judgements - opinions formed by supervisors based on evidence collected through using the criteria in the Evaluation Framework.

Leadership - the capacity to guide the school and those associated with it in the right direction.

Monitoring - systematic observation and recording of one or several aspects of the school's activity .

Planning - systematically establishing the way in which specific objectives are going to be fulfilled.

Planning can apply to areas of learning and whole-school projects and activities.

Procedures - specific steps by which policies and plans are implemented.

Progress - learner's progress in school in knowledge, skills, feelings, attitudes, aptitudes and behaviour, which can be measured by comparing their current state with their prior state.

School - an environment in which learners are given the opportunity to achieve agreed outcomes. Includes all schools, ABET and LSEN learning centres.

School policy - written statements, which describe the way the school intends to, fulfil its educational purpose.

School development - improvement in the school's activity: for example, in curriculum, ethos, material resources, etc.

School mission statement and aims - a clear statement regarding the purpose of the school.

School self-evaluation - is the process by which the school determines, at a given point, to what extent it is succeeding in attaining its stated aims and objectives, taking into account the priorities set and the full range of available resources.

Supervisor - a person trained and accredited to evaluate a school's performance.

Systemic evaluation - a common approach to the evaluation process whereby an education system or an aspect thereof, is evaluated. Systemic evaluation targets quality factors and examines the education process holistically.

Whole-school evaluation - is a collaborative transparent process of making judgements on the holistic performance of schools that is measured against agreed national criteria.

INTEGRATED QUALITY MANAGEMENT SYSTEM (IQMS) FOR SCHOOL-BASED EDUCATORS

OVERVIEW

1.1. Background

An agreement was reached in the ELRC (Resolution 8 of 2003) to integrate the existing programmes on quality management in education. The existing programmes were the Developmental Appraisal System (DAS) that came into being on 28 July 1998 (Resolution 4 of 1998), the Performance Measurement System that was agreed to on 10 April 2003 (Resolution 1 of 2003) and Whole-School Evaluation (WSE). The laMS is informed by Schedule I of the Employment of Educators Act, No. 76 of 1998 where the Minister is required to determine performance standards for educators in terms of which their performance is to be evaluated.

1.2. What is the IQMS?

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. These are: Developmental Appraisal;

. Performance Measurement; and Whole School Evaluation.

The purpose of **Developmental Appraisal** (DA) is to appraise individual educators in a transparent manner with a view to determining areas of strength and weakness, and to draw up programmes for individual development.

The purpose of **Performance Measurement** (PM) is to evaluate individual teachers for salary progression, grade progression, affirmation of appointments and rewards and incentives.

The purpose of **Whole School Evaluation** (WSE) is 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.

1.3. Purpose of IQMS

- To identify specific needs of educators, schools and district offices for support and development;
- To provide support for continued growth; . To promote accountability;
- To monitor an institution's overall effectiveness; and . To evaluate an educator's performance.

1.4. Guiding Principles

The implementation of the laMS is guided by the following principles:

- The need to ensure fairness, for example, there can be no sanction against an educator in respect of his/her performance before providing meaningful opportunities for development.
- . The need to minimise subjectivity through transparency and open discussion. . The need to use the instrument professionally, uniformly and consistently.

2. ROLES AND RESPONSIBILITIES OF INDIVIDUALS AND STRUCTURES INVOLVED IN IMPLEMENTING THE IQMS

2.1. The Principal

- Has the overall responsibility to ensure that the IQMS is implemented uniformly and effectively at the school.
- Must ensure that every educator is provided with a copy of this document and other relevant IQMS documentation.
- Together with SMT/SDT members responsible for advocacy and training at school level.
- Must organise a workshop on the IQMS where individuals will have the opportunity to clarify areas of concern.
- After advocacy and training the principal will facilitate the establishment of the (Staff Development Team) SDT in a democratic manner.
- Ensures that all documentation sent to the District/local office is correct and delivered in time.
- Responsible for internal moderation of evaluation results in order to ensure fairness and consistency.

2.2. The Educator

- Must undertake self-evaluation of his/her performance.
- Identifies his/her personal support group - Development Support Group (DSG).
- Develops a Personal Growth Plan (PGP).
- Must co-operate with the DSG.
- Must co-operate with the External WSE Team when the school is being evaluated.
- Attends INSET and other programmes in terms of areas identified for development.
- Engages in feedback and discussion.

2.3. School Management Teams (SMT)

- SMTs inform educators of the INSET and other programmes that will be offered and make the necessary arrangements for educators to attend.
- Assist with the broad planning and implementation of IQMS.
- Ensures that school self-evaluation is done in terms of the WSE policy and in collaboration with the SDT.

2.4. The Staff Development Team (SDT) 2.4.1. Composition

- The SDT is made up of the principal, the WSE co-ordinator, democratically elected members of the school management and democratically elected post level 1 educators.
- The school should decide on the size of the SDT. It is suggested that the number be from 3 to 6 depending on the size of the school.
- In schools with only one or two educators such educators make up the SDT but the District / Circuit provides the support.

2.4.2. Roles and Responsibilities

- Ensures that all staff members are trained on the procedures and processes of the IQMS.
- Coordinates all activities pertaining to staff development.

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- Prepares and monitors the management plan for the IQMS.
 - Facilitates and gives guidance on how DSGs have to be established.
 - Prepares a final schedule of DSG members.
 - Links Developmental Appraisal to the School Improvement Plan (SIP).
 - Liaises with the department in respect of high priority needs such as INSET, short courses, skills programmes or learnerships.
 - Monitors effectiveness of the IQMS and reports to the relevant persons.
 - Ensures that all records and documentation on IQMS are maintained.
 - Oversees mentoring and support by the DSGs.
 - Develops the School Improvement Plan (SIP) based on information gathered during Developmental Appraisals.
 - Coordinates ongoing support provided during the two developmental cycles each year.
 - Completes the necessary documentation for Performance Measurement (for pay or grade progression), signs off on these to assure fairness and accuracy.
 - Submits all the necessary documentation (e.g. SIPs) to the District/local Departmental office in good time for data capturing.
 - Deals with differences between appraisees and their DSGs in order to resolve the differences.
 - Coordinates the internal WSE processes.
 - Ensures that the IQMS is applied consistently
 - Liaises with the external WSE Team to coordinate and manage the cyclical external WSE process.

2.4.3. Term of Office

- It is up to the school to decide on the term of office of the SDT.
- For the sake of continuity and stability it is suggested that the term of office of a SDT be for a period of three years.
- When an individual leaves the institution, he/she must be replaced through democratic elections.

2.5. Development Support Group (DSG)

2.5.1. Composition And Selection .

- For each educator the DSG should consist of the educator's immediate senior and one other educator (peer). An educator's peer must be selected by the educator on the basis of appropriate phase/learning Area/subject expertise and not on friendship. This selection of a DSG takes place after an educator has completed a first self-evaluation and reflected on strengths as well as areas in need of development.
- In respect of one teacher schools the District / Circuit provides the support and mentoring.
- Each educator may have a different DSG while some individuals (e.g. HoDs (Education Specialists)) will be involved in several DSGs (for different educators).
- Once educators have determined who their DSGs are, this information will have to be factored in to the broad planning of the SDT to ensure that there are no "clashes" with Education Specialists (HoDs) having to evaluate different teachers at the same time and to ensure a reasonable spread and pace of work for evaluators towards the end of the year.

2.5.2. Roles and Responsibilities

- The main purpose of the DSG is to provide mentoring and support.

- The DSG is responsible for assisting the educator in the development and refinement of his/her Personal Growth Plan (PGP) and to work with the SDT to incorporate plans for development of an educator into the School Improvement Plan (SIP).
- The DSG is responsible for the baseline evaluation of the educator (for development purposes) as well as the summative evaluation at the end of the year for Performance Measurement.
- The DSG must verify that the information provided for PM is accurate.

2.6. District/Local Office

- The district/local office has the overall responsibility of advocacy, training and proper implementation of the IQMS.
- The District/local office has a responsibility with regard to the development and arrangement of professional development programmes in accordance with identified needs of educators and its own improvement plan.
- The district manager has a responsibility to moderate evaluation results of schools in his/her district/circuit in order to ensure consistency. In cases where the evaluation results of a school are not consistent with the school's general level of performance or where the district/circuit manager has reason to believe that the evaluation at a particular school was either too strict or too lenient, he/she must refer the results back to the school for reconsideration.
- The district/local office must ensure that the evaluation results of schools are captured and processed in time to ensure successful implementation of salary and grade progression.
- The district/local office should ensure that the implementation process in schools is monitored on an ongoing basis.

3. IMPLEMENTATION PROCESS

3.1. Advocacy, Training and Planning

At a full staff meeting the principal/SMT will explain to staff - .

- What the IQMS is;
- What the benefits will be for educators, learners, the school and the system; and .
Why this approach was adopted.
- Training must specifically address issues relating to how the IQMS should be implemented in the school.
- All officials and educators must have a thorough understanding of the purposes, principles, processes and procedures of the IQMS.
- Training must enable officials and educators to plan and administer the IQMS in a uniform and consistent manner.
- IQMS planning by the SDT must incorporate all the processes together with the time frame in which they must be completed, as well as all individuals involved together with each one's responsibilities.
- It must take the schools' year plan into account (drawn up by the SMT).
- Schools must factor in to their broad planning the cycles of evaluation and development.
- . Baseline evaluation - in the first term.
- . Summative evaluation - in the last term.
- . First Developmental Cycle and reflection - end of March to end of June.

- Second Developmental Cycle and reflection - end of June to end of September.). Secondary schools must ensure that educators who teach Grade 9 or 12 classes
- are evaluated before the external assessments/examinations commence.
- By end of February educators must be provided with a timetable indicating when they can expect to be evaluated.
- The principal calls a general staff meeting at the beginning of the year at which educators are apprised of the IQMS procedures and processes.

3.2. Self-Evaluation by the Educator

- Immediately after the initial advocacy and training, each educator should evaluate her/himself using the same instrument that will be used for both Developmental Appraisal (DA) and Performance Measurement (PM). This enables the educator to become familiar with the instrument.
- Educators also familiarise themselves with the Performance Standards, the criteria (what they are expected to do) as well as the levels of performance (how well they are expected to perform) in order to meet at least the minimum requirements for pay progression. This self evaluation forms part of both Developmental Appraisal (DA) and Performance Measurement (PM).
- Since Performance Measurement (PM) will be used for determining pay and/or grade progression (notch increases) it must be used to evaluate the performance of educators within the period of a calendar/school year even though the award will only be made in the following year.

The emphasis on self-evaluation serves the following purposes:

- The educator becomes familiar with the instrument
- The educator is compelled to reflect critically on his/her own performance and to set own targets and timeframes for improvement... in short, the educator takes control of improvement and is able to identify priorities and monitor own progress.

- Evaluation, through self-evaluation, becomes an ongoing process.
- The educator is able to make inputs when the observation (for evaluation purposes) takes place and this process becomes more participatory.
- The educator is able to measure progress and successes and build on these without becoming dependent on cyclical evaluations

3.3. Pre-evaluation Discussion

Each DSG must have a pre-evaluation discussion with the educator concerned during which the following issues must be clarified:

- Whether the educator understands what is expected of him/her in terms of the various performance standards and criteria and how he/she will be rated.
- The educator is given the opportunity to clarify areas of concern that he/she may have.
- The DSG informs the educator about procedures and processes that will be followed throughout the IQMS cycles.
- The DSG explains to the educator that classroom observation involves performance standards 1 to 4.
- The DSG explains to the educator that the evaluation in respect of the remaining performance standards will be based on general ongoing observation by the DSG and on documentary evidence and other information that the educator may provide to the DSG.
- Guidance is provided to the educator on the development of his/her PGP. After the baseline evaluation further discussions on the development of the PGP need to take place.
- The educator is also given an opportunity to raise issues that are hampering his/her performance. This is important in the light of the contextual factors, which may be

recorded in the report and considered for possible adjustment of the mark awarded in respect of a particular criterion.

3.4. Classroom Observation

- After identifying the personal DSG the educator needs to be evaluated, for the purpose of determining a "baseline" evaluation with which subsequent evaluation(s) can be compared in order to determine progress.
- By this time the educator will have completed a self-evaluation and will have determined strengths as well as areas in need of development.
- This evaluation must be preceded by a pre-evaluation discussion. ~ The evaluation should be done by both members of the DSG.
- Should an educator request for an additional member to serve on the DSG, the request may be granted by the SDT. A reasonable request may not be refused.

The purpose of this evaluation by the DSG is:

- to confirm (or otherwise) the educator's perception of his/her own performance as arrived at through the process of self-evaluation.
- to enable discussion around strengths and areas in need of development and to reach consensus on the scores for individual criteria under each of the Performance Standards and to resolve any differences of opinion that may exist.
- to provide the opportunity for constructive engagement around what the educator needs to do for him/herself, what needs to be done by the school in terms of mentoring and support (especially by the DSG) and what INSET and other programmes need to be provided by, for example, the District/Local office.
- to enable the DSG and the educator (together) to develop a Personal Growth Plan (PGP) which includes targets and time frames for improvement. The PGP must primarily be developed by the educator with refinements being done by the DSG.

- to provide a basis for comparison with the evaluation for Performance Measurement purposes which is carried out at the end of the year.

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7 NOVEMBER 2008

MR. P VAN DER WATT (205524929)
PUBLIC ADMINISTRATION

Dear Mr. van der Watt

ETHICAL CLEARANCE APPROVAL NUMBER: HSS/0669/08D

I wish to confirm that ethical clearance has been approved for the following project:

“Implementation of the Integrated Quality Management System Policy in public schools in the Ugu District”

PLEASE NOTE: Research data should be securely stored in the school/department for a period of 5 years

Yours faithfully


.....

MS. PHUMELELE XIMBA

cc. Supervisor (Prof. Y Penceliah)
cc. Mrs. C Haddon