

**THE INTEGRATED QUALITY MANAGEMENT SYSTEM: EXPLORING
THE TENSION BETWEEN ACCOUNTABILITY AND PROFESSIONAL
DEVELOPMENT.**

by

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discipline Education Management and Leadership, School of Education and
Development, Faculty of Education, University of KwaZulu-Natal.**

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DATE SUBMITTED: 3 December 2008

DECLARATION

I declare that this thesis titled, INTERGRATED QUALITY MANAGEMENT SYSTEM: EXPLORING THE TENSION BETWEEN ACCOUNTABILITY AND PROFESSIONAL DEVELOPMENT, which is submitted to the university for the degree of Doctor of Philosophy has not been submitted by me for a degree at any other university, and is my own work and all the sources that have been used or quoted have been indicated and acknowledged by means of complete references.

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ABSTRACT

This study critically examines the Integrated Quality Management System (IQMS), a quality and performance management system that was introduced into South African schools in 2005. The policy initiatives in South African education are aimed at producing an educated and appropriately skilled workforce. Central to the idea of an ‘educated workforce’ that can compete in the global markets lies the quality of teaching and learning in a nation’s schools. This has implications for teacher performance. Teachers and schools are asked to be accountable to the community they serve, the taxpayer and to the government for the considerable sum invested in education. Therefore, there is a concern with maintaining ‘standards’ in education as well as enhancing the quality of teaching and learning.

At the same time cognizance has to be taken of the fact that in South Africa, teacher professional development is a vital concern. The main notion to be examined in this study is the notion of **professional development** as a counterbalance to the idea of **accountability** as a key driver of the IQMS. Thus this study revolves around and explores the tension between the notion of accountability and evidence-based evaluation on the one hand; and the need to enhance professional development and maintain professional autonomy on the other hand. What becomes more important; the evaluation of performance to enhance teacher development and professionalism or the measurement of performance with a view to rewarding ‘good’ performance?

New Public Management (NPM) was chosen as the theoretical framework for this thesis as it is obviously both an ideology and a model for many public sector organizations like schools. NPM is an ideology based on market-related principles like setting performance targets and using performance measurement and incentive structures. The IQMS is a practical manifestation of the principles and assumptions underpinning

NPM. Critical Management Studies (CMS) which is defined as a broad approach to management studies embracing a number of epistemologies which are compatible with a social justice and people-development perspective was used to evaluate the principles and purposes of the IQMS and its NPM underpinnings.

A combination of both quantitative and qualitative research paradigms was employed in order to gather data in this study. Survey questionnaires were administered to principals and educators in KwaZulu-Natal in order to elicit their views on the IQMS. Semi-structured and unstructured interviews were also conducted with departmental officials and teacher union officials respectively. The data gathered was analyzed using the metatheoretical framework of ‘critical theory’ mainly because the main objective of the study was to uncover the assumptions underpinning the IQMS.

The conclusions arrived at indicate that the mechanical aspects of the IQMS relating to ‘performativity’ undermine the potential of the IQMS as a genuine professional development tool. If the IQMS is used for the latter purpose it would inevitably lead to an enhancement of the quality of teaching and learning. Neo-liberal ‘managerialist’ and post-welfarist reforms adopted by the state are not suitable presently for a developing country like South Africa. South Africa needs a teacher evaluation policy that is genuinely developmental, taking into account both the professional development needs of its educators and the socio-economic context in which schools operate.

DEDICATION

For my children:

AVIKAR, ASHVEER AND YUDISHA.

May this study serve as a source of inspiration to you.

I am proud to be your mother and I dedicate my life to helping you find your mission and fulfill your dreams. I am also very grateful for the opportunity to learn from you and to help you live a life filled with integrity, love, spirituality, intelligence and gratitude.

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LIST OF ABBREVIATIONS AND ACRONYMS

APEK	Association of Professional Educators of KZN
CEO	Chief Executive Officer
CMS	Critical Management Studies
CPTD	Continuing Professional Teacher Development
DA	Development Appraisal
DAS	Developmental Appraisal System
DoE	Department of Education
DSG	Development Support Group
ELRC	Education Labour Relations Council
EMIS	Education Management Information Systems
ERO	Education Review Office
EPU	Education Policy Unit
HRM	Human Resource Management
IMF	International Monetary Fund
INSET	Inservice Training
IQMS	Integrated Quality Management System
KZN	KwaZulu- Natal
LPT	Labour Process Theory
MEC	Member of Executive Council
NATU	National African Teachers' Union
NCS	National Curriculum Statements
NPM	New Public Management
NSE	The Norms and Standards for Educators
NQF	National Qualifications Framework
OECD	Organisation for Economic Co-operation and Development
OFSED	Office Of Standards In Education
PM	Performance Management
PRO	Public Relations Officer
PRP	Performance Related Pay
REQV	Relative Equivalent Qualification Value
SACE	South African Council of Educators
SADTU	South African Democratic Teachers' Union
SEM	Superintendents of Education Management
SGB	School Governing Body
SIP	School Improvement Plan
SPSS	Statistical Package for the Social Sciences
SMT	School Management Team
UK	United Kingdom
USA	United States of America
WSD	Whole School Development
WSE	Whole School Evaluation

1. CHAPTER ONE: BACKGROUND AND ORIENTATION TO THIS STUDY

1.1 INTRODUCTION

As a result of the post 1994 changes in education policy and legislation a plethora of educational topics exist in South Africa which merit close study and investigation. 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 can be achieved. One of these policies is the *Integrated Quality Management System (IQMS)* introduced in 2003.

The management of teacher performance is far from new, either in South Africa or in the international educational world. The international thrust of education policy-making in South Africa, however, has still to be recognized and acknowledged. What needs to be critically explained is the impact, seen by many as inevitable, of the global neo-liberal restructuring of education in South Africa and the rest of the international community.

The policy initiatives in South African education especially the revised National Curriculum Statement (NCS), an outcomes-based approach to the curriculum and the National Qualifications Framework (NQF) which link education and training is aimed at producing an educated and appropriately competent workforce. Central to the idea of an 'educated workforce' lies the quality of teaching and learning in a nation's schools. This clearly has implications for teacher performance. Teachers are asked to be accountable in a visible way, both to the learners they serve and to the taxpayer and the government for the considerable sum invested in education (Middlewood and Cardno 2001:10). As a result of the concern with maintaining 'standards' in education as well as enhancing the quality of teaching and learning, teacher performance management has become a contentious educational issue.

A good deal of healthy debate revolves around what needs to be done to improve the quality of teaching and learning in South African schools. In rekindling the debate the researcher revisits an 'old' concept for enhancing teaching and learning; Developmental Appraisal. Professional development of teachers could become a powerful concept for a 'developing country like South Africa' (Dept. of Education: 2005). South Africa is

referred to as a ‘developing country’ because it is a fairly new democracy. Any effort to improve the quality of education must take into consideration the ‘forces that shape the realities of schooling and influence the teaching and learning outcomes’. ‘Persistent poverty, inequality and socio-economic conditions especially in rural and township schools’ are challenges that have to be engaged with in the implementation of the IQMS policy. There is also a ‘need to strengthen the teaching core’ (Witten 2009: 18).

Therefore, cognizance must be taken of the fact that in a developing country like South Africa, teacher development is a vital concern. One of the main aspects to be examined in this study is the notion of ‘professional development’ as a counterbalance to the idea of ‘accountability’ as the key drivers of the IQMS.

Evaluating teacher performance is one way of ensuring a quality teaching force and enhancing its professionalism. This brings to mind the important question of how teacher effectiveness may or perhaps more importantly, should be judged. Is teacher evaluation about rating the performance of teachers against predetermined performance criteria? There is a concern that management of the IQMS may militate against its professional development purpose. There is also a possibility that an ambiguous situation may be created by combining the twin goals of accountability and professional development in a single policy (West-Burnham 2001: 20-21).

Bartlett (2000) has argued that accountability and professional development are contradictory and mutually exclusive and an appraisal scheme in which both professional development and accountability are integrated will inevitably produce confusion and suspicion among teachers.

As globalization gathers pace, there is an inevitable comparison between countries and therefore the competition between nations has also increased. The implication of this for any assessment of teacher performance is that most governments have placed emphasis on education outcomes such as literacy, numeracy, examination results, test scores and the number of students that go beyond secondary education to universities and colleges. The significance of this is that outcomes have to be seen as measurable or quantifiable because it is only through measurable outcomes that comparisons can be made (Middlewood 2001: 8). The emphasis on the measurable or quantifiable brings with it considerable risk especially to teacher professionalism. This study is concerned with the complex relationship between accountability (a key element of performance management in the 21st century) and the need for teacher development and

professionalism which presupposes competence and some measure of professional autonomy.

It is necessary to spell out the overtly managerialist nature of education policies like the IQMS and their (global) neo-liberal underpinnings. South Africa has not been immune to replacing bureaucratic public service systems with New Public Management (NPM), **‘based on ideas derived from the private sector’**, ‘wherein the organization’s overriding goal is to optimize performance by maximizing outputs(benefits) and minimizing inputs(costs) and thereby provide ‘value for money’. This is called the **‘principle of performativity’** which is often referred to as the government’s **‘important strategy innovation’ in education**’ (Thrupp & Willmott 2003: 214) (*researcher’s emphasis*).

1.2 BACKGROUND TO THE STUDY

1.2.1 Prior to 1994

The overwhelming majority of Black schools (African, Coloured, Indian) have been without a formal appraisal system since the defiance campaign against school inspectors in 1990. Their white counterparts practiced the old system of inspection where evaluations were done by inspectors. These inspectors came from the former Departments of Education (Transvaal Education Department, Cape Education Department, Orange Free State Education Department and Natal Education Department) and the best performing educators were rewarded with a promotion. When the ANC government came into power in 1994, a single Department of Education was created which meant a single system of assessing teachers across all schools in South Africa.

The defiance campaign led by teacher unions contributed to the absence of an appraisal system. Subject Advisory Services monitored teachers on relevant subjects. These subject advisors were rejected outright and even chased away from schools. It seems that teachers did not have a problem with the principle of evaluation but with the manner in which such evaluations were conducted. There was no feedback to teachers and no follow up to further development. This system of evaluation had a negative impact. It encouraged nepotism and the merit assessment system itself was fraught with problems sometimes forcing teachers to be loyal to

inspectors for the sake of rewards. These and other issues have been well documented by the *National Teacher Appraisal Pilot Report (1997)*. It is against this background that teachers unions came up with an alternative system, namely, the *Developmental Appraisal System for Educators* referred henceforth to as DAS.

1.2.2 Developmental Appraisal System

The main objective of DAS was to improve development and support educators and improve the quality of public education in South Africa. The implementation of DAS involved the establishment of School Development Teams. The appraisal panels were set up. The appraisee put together his/her appraisers, the needs identification form, his/her professional growth plan, the professional growth form, the discussion paper form and the appraisal report form. With the number of forms to be filled, the paper work was enormous. The use of appraisal teams tended to be cumbersome and the selection of a peer was fraught with problems.

Given the way DAS was formulated (it was an initiative of a major teacher union and the Policy Unit of the University of Witwatersrand), it is easy to see that the rights of educators were regarded as being important. This is one of the reasons why DAS as an appraisal instrument was purely formative in nature. Accountability was missing from this equation as was the link between performance and pay. At the same time, while DAS was an internal system of assessment carried out in schools, Whole- School Evaluation was an external system of evaluation carried out by officials of the Department of Education.

1.2.3 Integrated Quality Management System

In 2003, after consultation with teacher unions, the Department of Education decided to combine the three processes, namely Development Appraisal (DA), Performance Measurement (PM) and Whole- School Evaluation (WSE), although each of these programmes has a distinct focus and purpose (*IQMS Collective Agreement 8 of 2003*).

The IQMS which is the present system of quality and performance management for South African schools consists of four parts:

- Section A: This contains information on the integrated quality management system.

- Section B: This consists of the implementation plan in the form of a flow diagram with a supporting narrative.
- Section C: This consists of the instrument to be used for Performance Measurement, Development Appraisal and Whole-School Evaluation.
- Section D: Forms (annexure A, B, C: Performance Measurement for salary or grade progression (*IQMS Manual 2005*)).

This study analyses IQMS, an evaluation system which was implemented in South African public schools in 2005. IQMS is a major shift from the old paradigm of external inspections conducted on teachers and schools. The new paradigm calls for a joint collaboration between schools, districts and supervisory units with the overall aim of enhancing the quality of education in South Africa.

The IQMS has three distinct programmes. Development Appraisal (DA) is used to appraise teachers with a view to determining areas of strengths and weaknesses and to draw up programmes for individual development. Performance Measurement (PM) is used to evaluate individual teachers for salary progression, grade progression, affirmation of appointments and rewards and incentives. The purpose of Whole School Evaluation (WSE), the third component of the IQMS, is to evaluate the overall effectiveness of the school – including the support provided by the District, school management, infrastructure and learning resources as well as the quality of teaching and learning (*IQMS Collective Agreement 8 of 2003*)

The manual for IQMS (Section A) clearly indicates that IQMS serves a purpose for each of its three programmes:

- The purpose of development 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 (formative evaluation).
- The purpose of performance measurement (PM) is to evaluate individual educators for salary progression, affirmation of appointment and rewards and incentives (summative evaluation).
- The purpose of whole school evaluation(WSE) is to evaluate the overall effectiveness of a school-including the support by the district, school

management, infrastructure and learning resources –as well as the quality of the teaching and learning (systems evaluation) (3-8).

If the IQMS is envisaged to be a quality and performance management strategy, this would imply that all three programmes should have a managerial focus to be implemented successfully. Both New Zealand and the United Kingdom have adopted the term, ‘performance’ and ‘performance management’ to apply to teachers in schools. The IQMS is concerned with:

- Reviewing performance and identifying strengths and weaknesses,
- Professional development,
- Performance Measurement, Accountability and Pay awards,
- Sustaining quality service and School effectiveness.

(adapted from the IQMS Manual 2005)

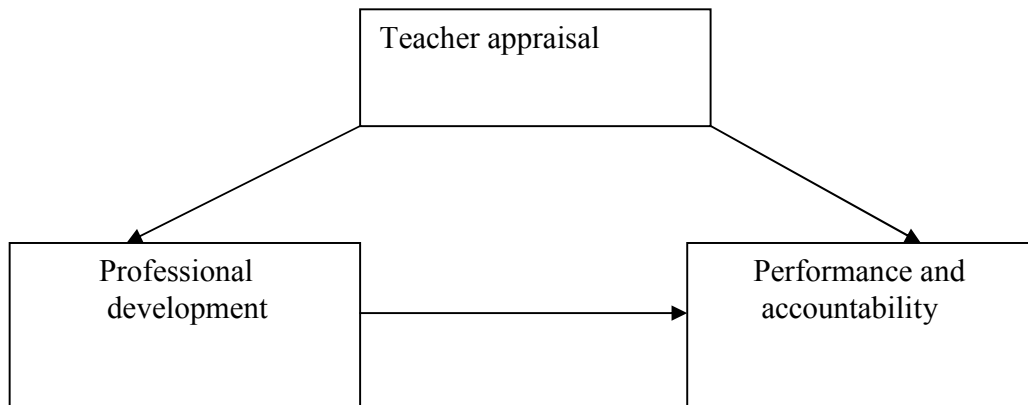
This introductory chapter examines the dual status and role of the IQMS as a performance management strategy promoting accountability and as a means of facilitating ongoing professional development. The study seeks to answer the hidden contradictions inherent in this apparently progressive policy. A rationale is provided as to why the writer wishes to pursue this study. The critical questions which the study wishes to address are delineated and a clear theoretical framework is provided.

1.3 STATEMENT OF THE PROBLEM

An examination of the literature on teacher appraisal indicates that teacher appraisal has **two main intentions** – one is professional development; the other is accountability (Zhang 2008: 21). The question is: whether or not both purposes can be achieved in a single system of evaluation like the IQMS? There is much debate on this issue (see Zhang 2008; Bartlett 2000; Beerens 2000; Guskey 2000).

Figure 1.1 illustrates the dual purposes of teacher appraisal. (adapted from Zhong 2008: 23).

Figure 1.1



More often than not, the link between teacher appraisal and professional development is not closely aligned and, even when it is, professional development is often perceived as little more than ‘instructional remediation’. Figure 1.1 also shows the link between professional development and performance to illustrate that ‘meaningful professional development strategies can improve performance’ (Zhong 2008: 23).

This study revolves around and explores the tensions between the notion of accountability and evidence-based evaluation on the one hand, and the need to reinforce and enhance professional-based autonomy and professional development in the teaching profession on the other hand. From this tension emanates questions of how the IQMS deals with this tension; to what extent does the IQMS promote professional development and to what extent does it advocate accountability? What becomes more important; the evaluation of performance - to enhance teacher development and professionalism or the measurement of performance with a view to rewarding ‘good’ performance?

The central aim of this study is to examine what seems to be the mechanical aspects of the IQMS which can be dealt with perfunctorily by teachers and the potential of the IQMS as a genuine professional development tool. It is assumed that if the IQMS is used for the latter purpose it will inevitably lead to the enhancement of teaching and learning.

1.4 CENTRAL ISSUES TO BE EXAMINED

One critical issue already mentioned is to examine the tension between accountability and teacher professional development, both of which are assumed to be implicit in the IQMS. Internationally there is a growing concern with accountability and educational standards¹. Teachers may, with some justification, be suspicious of schemes of evaluation that quantify their performance and may lead to an undermining of their professionalism and autonomy. Thus it is also important to distinguish between government-enforced accountability and **professionalism**, which is a defining quality of the teaching **profession**.

Professionals are occupational groups whose members have responsibility, client orientation, autonomy, ethical behaviour and high status. Traditionally they are located in the professional category because of the job they do. The teacher works in a professional service organization such as a school, performs a valuable service to society using knowledge and skill learned through lengthy and advanced training, and the job is not routine considering the variability of the learners he/she has to work with. In certain matters such as work space and methods of instruction the teacher has considerable autonomy, although this is shared with others in curriculum design and assessment (Kwaabe 2003:100-102). It is also worth pointing out that teachers in this country all have to register with a professional body, the South African Council of Educators (SACE). This professional body is responsible for 'the ethic, professional conduct and standards in the teaching profession' (*South African Council of Educators Act No. 31 of 2000*).

One perception of quality performance management is that it may be viewed as a way in which the employer controls the employee. Thus it is concerned with surveillance and accountability. The type of teacher evaluation scheme used is almost certain to convey a perception of its purpose. Schemes with 'rating scales linked to financial rewards and externally derived performance standards stress managerial accountability with teachers reduced to the role of passive civil servants because they are seen as state functionaries rather than professionals' (Thurlow 2003: 122).

¹ This is a reference to the managerialist accountability regime which results in the negation of the human. Thrupp & Willmott (2003) refer to this as the concomitant reduction of learning to ostensibly valid measurable outcomes, which are the result of the drive for cost effectiveness and efficiency.

The *Draft Teacher Appraisal Instrument* proposed by teacher unions in South Africa promulgated teacher evaluation linked to professional development of teachers rather than to a bureaucratic and judgemental system which is closed and rigid (Beardall 1996).

The *Report of the Pilot Project* (Mokgalane *et al.* 1997) which researched teachers' views on evaluation recommended that the emphasis in a future evaluation scheme should be on such issues as 'self-appraisal', 'support and development', 'significance attached to contextual factors', 'openness and transparency' and 'personal development'. No mention is made of accountability linked to financial rewards and incentives. There can be no doubt that the 'influence of the NPM ideology' (Pollitt 1990: 59) in education has radically altered the balance between accountability and professional development. However, it is important to note at the outset that an emphasis on accountability may be inappropriate and even counterproductive in a young democracy like South Africa.

Like the rest of the world, South Africa assuming that NPM principles are effective in public sector reform has adopted these principles in its education policies. According to NPM, the task of management is to organize factors of production, including human labour in such a way as to ensure their efficient and effective application (Thrupp & Willmott 2003). NPM is criticized for ignoring the fact that the public sector differs from the private sector in its essential nature. NPM also ignores the obvious fact that education, like other social science, is a public good not merely a 'product' to be sold to 'clients'². With an emphasis on cost-cutting, efficiency and 'performativity', NPM may not be an appropriate solution for the South African education system as it may exert a harmful influence on the notions of service and professionalism and professional development which could be downgraded in favour of accountability. NPM could also erode the traditionally respected values and ethics of civil servants such as fairness, equality, probity and impartiality. This problem arises because NPM is based on output controls and discretionary management – in imitation of private sector management rather than on any requirement for open procedures and processes.

Financial rewards for 'performing' teachers will result in higher salaries, not to mention the obvious point that the attraction of higher salaries may mean enforced compliance to

² Bottery (2000:78) argues that its use in schools is 'anti-educational'.

imposed norms rather than innovative performance as an individual. Furthermore, the need for measurement according to predetermined criteria has the untenable assumption that the quality of teaching is a quantifiable and predictable variable. NPM and the lobbying for intensive accountability through first setting down performance standards than relating activities to them for the management and control of the education process could reinforce goal-attainment and lead to an interest in only that which is quantifiable and measurable and undermine the complexity of the educational experience for both teacher and learner. This has implications for both professional development and autonomy.

Critical Management Studies (CMS) is used in this study as a broad-based approach to education management studies and offers a range of alternatives to mainstream management theory with a view to radically transform management practice. The core of CMS lies in its skepticism of the prevalent forms of management and the social injustices that they reproduce. The CMS tradition goes back to Marxism and the humanistic critique of bureaucracy and corporate capitalism. CMS proponents argue that as long as managerialism is the dominant mechanism for allocating resources, narrow goals like profit and, in the case of service industries, ‘performativity’ are held above all other interests (Grey & Willmott 2005). CMS aims to free people from this ideological domination. CMS advocates a critical stance to neo-liberal tendencies³.

All of this raises a critical issue: Is a developing country like South Africa ready for a sophisticated quality and performance system like the IQMS? The three programmes of the IQMS appear to be valid components of a quality and performance management system but whether one system can meet such a range of outcomes appears to be problematic. Also one set of performance criteria are used for both professional development and performance measurement (which the researcher views as a means of enforcing accountability). For performance measurement we need ‘valid, credible criteria capable of generating objective data that is also widely acceptable’; for professional development, we need to ‘identify a detailed taxonomy of the components of the work of professionals in a school in perhaps the most complex area of all – what constitutes a good teacher’ (West-Burnham 2001: 23).

³ CMS critiques post welfarist reform and the way it is most likely to reinforce rather than diminish social inequalities in education.

The Public Service Review (2008: 2-5) presents a bleak thumbnail sketch of the quality of education in developing countries. However, the governments of these countries are praised for prioritizing the regeneration of schools and taking active steps to raise the status of the teaching profession –to varying degrees of success.

However, the article also states quite emphatically that:

.....in recent years, we have seen a notable shift away
from ‘inputs’ to the proliferation of newly emerging
initiatives designed to make public servants
more accountable for the quality of the public service
they provide (2008: 2).

There is evidence from a number of ‘**developed** countries’ that ‘performance monitoring’ and the use of performance management systems can improve the delivery of education as a public good but one must, of course, be wary of the ‘one size fits all’ syndrome and act with caution in the transference of models of performance management initiatives from one context to another (Thurlow with Ramnarain 2001).

1.5 CRITICAL QUESTIONS

In this study both the explicit and implicit assumptions of the IQMS policy will be subjected to a critical evaluation in order to ascertain whether this programme can be used to improve an educator’s work performance and the enhance the effectiveness of the school. These assumptions have also been considered in the formulation of the critical questions.

Some of the assumptions underpinning the IQMS policy are:

- that the IQMS will improve the quality of teaching and learning in the country’s schools;
- that the IQMS is an inherently developmental tool;
- that the system’s focus is positive and constructive;
- that the different IQMS programmes inform and strengthen one another; and
- that the inbuilt reward or punishment will have the effect of enhancing teacher competence (*IQMS Collective Agreement 8 of 2003: 7-10*).

The study will focus on the following important and central questions in the research:

1. To what extent are the assumptions underpinning the IQMS justifiable?
2. To what extent does the IQMS emphasize teacher accountability and determine teacher competence?
3. To what extent does the IQMS promote and facilitate professional development and school improvement?

These critical questions were considered throughout this study to investigate whether the present system of quality management would lead to an improvement in an educator's work performance and to organizational effectiveness as envisaged in the IQMS policy document (*IQMS Manual 2005: 2-8*).

The answers to the critical questions are based on the perspectives of a number of stakeholders. The primary consideration was the perception of teachers. District and provincial departmental officials were also consulted as were the three major teacher trade unions.

1.6 RATIONALE FOR THIS STUDY

The Integrated Quality Management System is a quality and performance management system with three purposes: evaluation for individual development and empowerment; effectively measure teacher performance and promote accountability; and lead to an improvement in the overall effectiveness of the school. The point of departure in the IQMS policy is the assumption that the three aspects of this system of quality management can be harmoniously integrated and will automatically result in the general improvement in teacher performance and school effectiveness and that there will be no conflict of interest between its various purposes. It also assumes that the implementation of the IQMS will manifest in improved teaching and learning, motivated and committed educators, effective and efficient schools and classroom management. The whole reality of the policy will be assessed against the reality of its management and its interpretation and implementation in schools. Since its introduction in 2005, there is very little empirical research carried out to establish whether the IQMS serves the purpose for which it was intended. The area of quality and performance management is one of the most vital research fields.

Trupp's (1999) study of schools in New Zealand lists some of the specific factors that result in school improvement and effectiveness. This is of particular significance in the South African context with its historical inequalities. Some advantaged schools⁴ have excellent facilities and experienced and qualified teachers while others, notably in certain rural areas, lack electricity, water, sanitation, telephones and basic equipment. In South Africa the political, economic, and cultural context has to be taken into account in any study of a quality management system. The link between teacher evaluation and whole-school development is a critical one. It would be interesting to see how the IQMS has linked them and whether it is able to garner maximum benefits from the integration of both these processes. However, it must be pointed out that the whole-school evaluation and development policy appears in a separate policy document and is part of the IQMS document only as an overall Quality Assurance plan (see Annexure E). This study is therefore chiefly concerned with teacher evaluation.

Given the South African legacy of Apartheid, the emphasis on staff development is perhaps more necessary here than in other countries because of our many disadvantaged schools and the number of unqualified educators especially in the rural areas (ELRC 1999). This begs the question: are we ready for a sophisticated system of quality management like the IQMS bearing in mind our contextual realities?

At the same time one must be aware of the need for an evaluation system that will enhance the culture of teaching and learning, develop and nurture professional teachers, promote effective schools and engage in the qualitative transformation of our education system. This study will be one of the first to do an intensive and critical evaluation of the IQMS and its main objective of 'ensuring quality public education for all and constantly improving the quality of learning and teaching' (*IQMS Manual 2005: 9*).

This is a critical and political study that views the IQMS as an interventionist ideology aimed at promoting accountability. The researcher's stance is that South Africa needs a quality and performance management system that will develop teachers.

⁴ These schools are defined as schools that are privileged in terms of both financial and human resources and include many of the former 'white' schools.

1.7 THEORITICAL AND ANALYTICAL FRAMEWORK

Critical Theory is the overarching framework of this study. It is a term that can be used quite loosely to refer to a whole range of theories which take a critical view of society and the human sciences. More specifically, it can be defined as ‘a human activity that takes society as its object, and attempts to transcend the tensions between individual spontaneity and the work-process relationships on which society is based’ (Rollings 2008). In very general terms, critical theory can be described as a theory that seeks to give social agents a ‘critical purchase’ on what is normally taken for granted and that promotes the ‘development of a free and self-determining society by dispelling the illusions of IDEOLOGY’ (Macey 2000: 75). Critical theory examines and establishes the ‘limits of the validity of a faculty, type, or body of knowledge, especially through accounting for the limitations imposed by the fundamental, irreducible concepts in use in that knowledge system’ (Dahms 2008:4). Critical Theory is used in this study to critique the IQMS and its NPM and managerial underpinnings. CMS, a broad-based approach to management, is offered as an alternative approach to models of management like the NPM and New Managerialism.

Traditionally, the public sector had been characterized by Taylorist management, i.e. bureaucratic, inflexible and mainly concerned with control, profit and cost cutting. By contrast, it has been argued that there is value in ‘emphasizing innovation, creativity and empowerment to generate greater identification and commitment to the success of the organization’ (Exworthy and Halford 1999: 6).

Clarke *et al* (2000) note that NPM developed in the 1980s is a distinctively different approach to the coordination of publicly provided services. NPM principles are considered effective for public sector reforms by a number of countries. The OCED, the World Bank and the IMF are keen advocates of NPM reforms across the world. NPM principles have not been introduced only in industrialized countries like the UK, USA, Canada and Australia but also in developing countries including India, Thailand and South Africa.

Needless to say, the core principles of NPM are also evident in the South African education policies:

The imperatives on schools to respond to change from central government has increased with the introduction of performance management from 2000 and represents the culmination of policy, public and research interest in the quality, effectiveness and measured improvement of schools (Husbands 2001: 18).

The democratic South Africa government has given high priority to educational management development, recognizing that enhanced management capability is essential if schools and learners are to achieve their potential. The IQMS is a quality and performance management system that evaluates educators and schools and links quality to accountability, therefore, it can be argued that it is in sync with both the ideology (corporate ideology) and the principles underpinning NPM. It also sets down national standards of performance that have to be adhered to.

To justify the decision to locate a study on quality and performance management in education within the theoretical framework of NPM, it is necessary to examine some of the NPM principles relating to public management. They can be summarized by the following seven doctrines:

- an emphasis on hands on professional management skills for active, visible discretionary control of organizations (freedom to manage).
- explicit standards and measures of performance through clarification of goals, targets, and indicators of success.
- A shift from the use of input controls and bureaucratic procedures to rules relying on output controls measured by quantitative performance indicators.
- A shift from unified management systems to decentralization of units in the public sector.
- An introduction of greater competition in the public sector so as to lower costs and achieve higher standards, etc.
- A stress on private sector style management practices, such as the development of corporate plans, performance agreements and mission statements.
- A stress on cost-cutting, efficiency, parsimony in resources use, and ‘doing more with less’ (adapted from Hood 1991: 4-5)

Examining the above principles it can easily be seen from the first principle that NPM requires managers who are active and visible. Clear assignment of responsibility is required from the point of view of accountability. In the private sector, performance management systems are clear in allocating roles and responsibilities and hence advocating accountability. Just as in private sector organizations, managers in the public sector are also required to possess professional management skills and many of these skills are required to manage and evaluate staff and to compensate them accordingly. There is a link between performance, which is assumed to be quantitative, and reward.

NPM stresses output controls and measured performance to allow for transparency and accountability to be strengthened. Previously inputs had been stressed by governments because of the difficulty of measuring public service outputs objectively. The change to an output orientation based on NPM requires clear statements of goals and targets and performance measurement based on ‘pre-determined standards/indicators’ of achievement – ‘management by objectives’ as described in Hood’s second principle. NPM requires the precise definition of goals, standards and indicators of performance measurement. Performance measurement is one of the processes of the IQMS that uses performance criteria and performance standards and gives clear statements and goals of what is required. The stress on accountability may not address the genuine concerns of educationalists in a developing country like South Africa. Unquestionably, schools should be accountable but only in terms of social justice and providing authentic learning opportunities for both teachers and learners.

In many countries the government has decentralized the governance and management of schools and schools are often referred to as ‘self-managing’ organizations (Ball 2001: 59; Bush and Glover 2003: 45). Decentralization in the public service can also be seen as separating the policy maker from the policy implementation organization. The governance of South African schools have been decentralized, however the policy maker is the national Department of Education. This points to the apparent tension between centralization and decentralization and has implications for the design and implementation of teacher evaluation systems like the IQMS. The demand for a tighter system of accountability often comes from ‘the central authority rather than from teacher demand and it is often an imposition on teachers rather than a reflection of their professional judgement’ (Clark et al 2000: 65). Governments continue to steer from afar.

The above discussion is a brief overview of NPM principles which will be elaborated on in Chapter 2. The researcher justifies the use of NPM as a theoretical framework in view of the stance permeating many national education departments that:

Schooling must emphasize the knowledge and skills required
for economic growth and international competitiveness
and teachers must be held publicly accountable for
their performance in accordance with measurable performance
indicators (Grant *et al* 2005: 31).

It should be pointed out that performance management presumes that the performance of core activities in an organization can be made transparent to the public's gaze on a continuous and sustainable basis through audit. Information of the work done in an organization is provided by "selective objectification of performance" known as performance indicators (PI) (Trupp & Wilmott 2003:23). Information about performance is captured by the relationship between cause and effect. One very disturbing feature of the ideological stance that drives the management of teacher performance is that it presents 'an overtly technicist picture of teaching and a lack of awareness of the complex, abstract and conceptual thought which shapes a teacher's professional practice' (Clark *et al* 2000: 72).

People in an organization have to be kept in a constant state of activation. This constant state of activation engendered by OFSTED, the system of inspection used in the UK, has now been reinforced by performance management in schools, especially the linking of teacher's pay to their performance (Trupp & Wilmott 2003:24). In South Africa, it appears that a similar stance is being advocated in a quality and performance management system like the IQMS. The IQMS has measurable performance criteria with a management plan to ensure that these performance criteria are met and appropriate incentives to encourage teachers to perform effectively and efficiently. Accordingly, principals and senior staff are the managers of the process and teachers are the providers of specified services and it is the responsibility of the former to monitor the performance of the latter (IQMS Manual 2005). The IQMS is regarded as a mechanism to improve professional development; it can easily be used as a tool of control. Performance

Management, according to Seifert, is ‘entirely managerial with no explicit reference to education other than being directed towards the appraisal of school teachers’ (1996: 101).

Critical Management Studies is a rapidly growing group of politically and theoretically innovative approaches to management, business and organization. It encompasses a wide range of perspectives that are critical of traditional theories of management. It is generally accepted that CMS began with Mats Wilmott’s edited collection, ‘Critical Management Studies’ (1992). Critical Management Studies initially brought together critical theory and post-structuralist writings but has since developed in more diverse directions.

The main home of CMS has been in British, Australian and Scandinavian business schools. However, academics from North America and other parts of the world are also engaging with this body of writing and research. Drawing on the Frankfurt School of critical theory, and the work of Michel Foucault, Jacques Derrida and Giles Deleuze, Feminism, post-colonial theory, ecological philosophies, and radical democratic theory (for a comprehensive list see Alvesson and Willmott 2003), these new voices question the politics of managerialism and market managerial forms of organization. CMS attempts to articulate these voices and provide ways of thinking beyond current dominant theories and practices of organizations.

(http://en.wikipedia.org/wiki/Critical_management_studies)

1.8 DEFINITION OF TERMS

Semantic differences emerging from the terms evaluation, assessment and appraisal have largely been ignored in this work because of differing usages in which the words tend to blend into synonyms. The researcher prefers the term ‘teacher evaluation’.

Evaluation is a judgement about the value or the worth of the teaching achieved. Evaluation of a teacher’s teaching may be couched in such terms as ‘good’, ‘poor’, ‘excellent’, ‘weak’ etc. Such evaluations may be linked to improvement of practice or to external functions such as promotion, performance pay or teacher registration (*IQMS Manual 2005*: 1-3).

However, the following terms and phrases need some elucidation: performance measurement, performance management and professional development and accountability as they are crucial to an understanding of main issues under critical review in this study. The following key concepts used throughout the thesis are also defined:

- Critique
- Ideology
- Neo-liberalism
- New Managerialism
- New Public Management
- Critical Theory
- Quality management

Performance Measurement is concerned with quantitative judgment based on the rating and grading of performance. It is a summative evaluation and is linked to pay or grade progression in the IQMS. **Professional Development**, on the other hand, is wholly associated with developing the competencies, skills and experience of staff **without the evaluative connotation** associated with performance measurement. It identifies and addresses areas for improvement and INSET programmes and develops the personal and professional growth of staff (Jasper 2006). A further comment can be made that it is based on qualitative judgements and is essentially formative in nature.

The term ‘**performance management**’ needs some elaboration. There are a number of perspectives on performance management. Over the years we have seen many practices, techniques, tools, systems and philosophies which have as their aim the management of performance. One interpretation of the term seems to dominate – one which focuses on the individual and which for most parts is essentially a evolution of traditional appraisal practices. However, one has to note that perspectives on performance management have widened to include organizational performance and to combine individual performance with organizational performance as they do impact on each other (Williams 2002: 17). The three distinct programmes used in the IQMS, DA, PM and WSE combines individual performance with school performance.

Both New Zealand and the United Kingdom have adopted the term performance management to apply to teachers in schools; terms, of course, taken from the world of

business and industry. Given below is one conception of performance:

It is something that people actually do and can be observed. By definition it includes only those actions or behaviors that are relevant to an organization's goals and that can be scaled (measured) in terms of each individual's proficiency (that is level of contribution).

(Campbell et al 1993: 40)

Ilgel and Schneider (1999) write in similar terms:

Performance is what a person or system does. Performance Measurement is the quantification of what is done and performance evaluation is the judgment of the value of the quantifiable performance measurement (73).

Performance measurement appears to be concerned with rating scales and quantification of performance and therefore the summative aspects of evaluation. Many texts suggest qualities or competencies considered desirable in a teacher (Fullen 1992). However, the meaning of 'teacher quality' equated with 'teacher competence' has been the subject of much argument. The complexity of the teaching-learning situation and the multiplicity of factors involved warn against any oversimplification in measuring the dynamic interaction between learner and teacher.

IQMS is a quality management system which incorporates performance measurement linked to financial rewards as one of its three components. One of the main concerns of this study is to examine whether a quality management system like the IQMS is being implemented solely as a performance measurement tool in schools.

Accountability is a concept with several meanings. It is often used synonymously with such concepts as responsibility, answerability, enforcement, blameworthiness and other terms associated with the expectation of account-giving (Oxford Dictionary 2nd Edition). Within the scope and role of employment positions, accountability involves the expectation or assumption of account-giving behavior. Public concern over the performance of the public service has highlighted what is referred to as an 'accountability gap' in the public sector. Thus the demand for accountability in the public service has increased. Hunt states:

What is sought is a measure of accountability: that the teacher should be able to give an account of what he or she and the learners engage in; that the teacher is in some way responsible for his or

her performance; and those to whom the teacher is accountable may either influence or intervene in the conduct of the teacher(2006: 18).

From the demand for accountability it follows that some procedures have to be put into place to ensure that these demands are met. At national level, this may consist of policies being introduced with schools being directed to follow them. In this study, accountability is regarded as holding educators responsible for meeting identified performance standards through a continuous cycle of teacher evaluation and reporting (<http://www.ansa-africa.net/index.php/views/feature>). The IQMS, an evaluating instrument which scores the ability of educators to meet prescribed national standards, may be regarded as a strategy to promote public education accountability.

In this study the word, ‘**critique**’ is used to mean a sustained criticism of a policy from a specific viewpoint, with the criticism also functioning as a explanation of what has been criticized (Macey 2000: 77). In a critique, the central aim is invariably the uncovering of questionable underpinning assumptions, hidden meanings/agendas and legitimating discourses, and the ideology which informs both theory and practice.

The term ‘**ideology**’ is very widely used in both Marxist tradition and in the social sciences as a whole. It is also used to describe the world-view or collective beliefs and attitudes of a class or social group. The French philosopher, Destat de Tracy described ideology as the study of ideas, their origins and their laws and believed that all ideas derived from physical sense-perceptions. Ideology was meant to be an analytical social science of ideas (cited in Macey 2000: 198).

The introduction of markets and managers has been a transformational device designed to restructure and reorient public sector provision. **New Managerialism** has a customer-oriented ethos and is concerned with efficiency, cost-effectiveness, competition and an emphasis on individual relations (O’ Brien and Down 2002: 112). In this new corporate culture certain policy trends are identifiable, including choice and rights of parents, school effectiveness, school improvement, teacher competence and accountability; and raising standards of achievement. The implications of **new managerialism** for education have been profound. The **new management** discourse in education emphasizes ‘the instrumental purposes of schooling –

raising standards and performance and is frequently articulated within a lexicon of enterprise, excellence, quality and effectiveness' (cited in O' Brien and Down 2002: 112).

The definition of **neo-liberalism** is captured in the following quote:

The central theme of the neo-liberal challenge in the welfare state is that market forces are to be preferred over state regulation as a means of allocating resources and distributing income and wealth. The primacy of markets is asserted not only as efficient and morally just, but as an absolute necessity for nations to thrive in an increasingly global economy.

Neo-liberalism calls upon governments to relinquish regulatory control over production, trade and investment, both domestically and across international borders, and to transfer as many state assets and functions as possible to private actors. It advocates restructuring government so that the remaining state operations will emulate private enterprise more closely.

(DuGay cited in Pieterse 2003: 7)

'**New Public Management**' is a slippery label. Generally, it is used to describe a 'management culture' and 'market-based ideology' that emphasizes the centrality of its citizens as well as accountability for results.

(<http://www1.worldbank.org/publicsector/civilservice/debate1.htm>)

NPM is obviously both an 'ideology' and a 'model' for many public sector organizations like schools. NPM advocates bemoan what they call the productivity collapse in public education, which is an ever-increasing educational cost with few gains in school performance and learner attainment. NPM advocates believe that productivity can be increased by using market related principles like setting performance standards and using performance measurement and incentive structures (Ghosal 2005: 14).

Ideas of **quality management** originated in industry and are now being used in the schools. The IQMS is a **quality management** system. It advocates a holistic and integrated approach to managing schools and the performance of the staff who work in them. The concept of **quality** is a broad one, including connotations of excellence and also has implications of achieving a standard that is then maintained. In the IQMS policy, quality is related to teacher performance, school performance and accountability. The

IQMS also uses performance standards to give substance to the abstract notion of quality. It attempts to measure quality (PM). It also has strategies of intervention to boost performance (DA) and enhance quality at individual and school level (WSD). Finally, it is also a mechanism for data collection to allow the Department of Education to evaluate and reward 'quality' performance. The relationship of **quality control, quality assurance and quality management** is explained in the following quote:

While the concept of quality may imply accountability to stakeholders, research does indicate that those responsible for improvement and quality in the schools are likely to be alienated by an imposition of quality control mechanisms. However, improvement in schools and elsewhere will probably be enhanced and encouraged by a system of quality assurance that involves and supports educators and other stakeholders in the schools (Coleman 2003: 151).

1.9 REVIEW OF LITERATURE

This study will commence with an indepth policy analysis of the Department of Education policy documents concerning teacher evaluation in South Africa. Some of the following policy documents will be examined: the *ELRC Resolution 8 of 1998* which gives us the core duties and responsibilities of the educator; the *Manual for Development Appraisal (ELRC 1999)* and the *IQMS Collective Agreement Number 8 of 2003*. The *South African Council for Educators Act (31 of 2000)* which provides a legal mandate for SACE to manage professional development activities and the newly proposed *National Framework for Teacher Education in South Africa (2005)* was also examined. An overview of all policy documents having a relationship to teacher and school evaluation has also been undertaken.

A library study of available texts on the evaluation of teachers and performance management in education was undertaken to assist in highlighting aspects requiring critical analysis and in the provisions of theoretical underpinnings. Important lessons can be gleaned from a review of literature that can help with evaluating the present policy of performance and quality management, the IQMS. The IQMS was introduced into South African schools in 2003. The only published article on IQMS the researcher has come

across is by Loock et al 2006. Therefore this doctoral thesis will be one of the first of its kind and hopefully it will fill the gaps in the research as well as offer a critical evaluation of the IQMS policy.

However, the idea of integrating individual and organizational performance is well document in the international research as well as in the literature of performance management in education and the business world. The researcher has drawn substantially from the international literature. Teacher evaluation has been effectively overviewed and reviewed in the most recent book on teacher evaluation, **Teacher Appraisal and Performance**, by Middlewood and Cardno (eds). The strengths and weaknesses of different models of teacher evaluation in countries such as New Zealand, UK, Japan etc. have been examined in the literature review. They offer valuable insights on how to approach this study. Teacher evaluation in these first world countries may offer some valuable lessons for the South African context.

The literature review will focus on the real or apparent tension between the use of the IQMS as a ‘technical’ accountability tool and its possible use as a means of promoting professional teacher development in schools. Critical Theory is the meta-theoretical framework within which this study is located and this implies that the study will be a critique of the IQMS and expose its ideological underpinnings and questionable assumptions. The IQMS is examined as a policy which exemplifies the key principles of the style of management which has earned itself the name of New Public Management.⁵ The guiding principles of Critical Management Studies with its humanistic orientation and people-development perspective will be used to critique the IQMS and its NPM underpinnings. Thrupp and Willmont’s book, **Education Management in Managerialist Times** has been of great value to the researcher.

1.10 OUTLINE OF CHAPTERS

Chapter One sets the scene for this thesis. It provides the purpose, scope and rationale for the study. It highlights the central issue of the study which alerts us to the apparent or real tension between accountability and the professional development of

⁵ The international thrust of education policy-making is important. This study is critical of the global neo-liberal restructuring of education. The researcher feels it is important to spell out the overtly managerialist nature of the IQMS and its (global) neo-liberal underpinnings.

teachers. It gives the focus of this study which is the Department of Education's newly legislated quality management policy, the IQMS. This chapter also outlines reasons for locating the study within the theoretical framework of NPM. Finally, critical questions have been formulated, some major issues surrounding quality and performance management in education have been sketched.

In Chapter Two, the study is grounded with a theoretical framework of the NPM which has become one of the dominant paradigms for public management across the world. The key conceptual questions raised by NPM and how it applies to quality and performance management will be discussed in this chapter. CMS, which is used to critique NPM, offers an alternative to mainstream management theory with a view to transform its application in the developing South African context. Chapter Two discusses professional development, accountability and professionalism. The IQMS policy is also critically evaluated. The literature review also focuses on the practices, techniques, tools, systems and philosophies aimed at evaluating teacher performance. An array of literature on quality management and performance management has been consulted from both the internal and local arena as a means of discussing performance management as a policy in schools. Quality management philosophies and practices in public schools in other countries offer a comparative perspective. Chapter two undertakes a critical evaluation of the various issues that are the focus of this study.

Chapter Three examines the research plan, design and methodology for the collection of both quantitative and qualitative data. It focuses on how the research design was planned and executed and discusses the data gathering tools. The sampling procedures to be employed and issues concerning validity as well as data analysis procedures are discussed.

Chapter Four examines the data collected and analyzes the findings for the purposes of answering the key critical questions. It uses CMS to analyze the data gathered on the IQMS. It presents the perceptions of teachers, trade union officials and officials of the provincial Department on the IQMS. It also supplies a comprehensive discussion of the main findings using both the qualitative and quantitative data and mixed methods of enquiry.

Chapter Five is the final chapter and it gives a summary of the main findings and conclusions of this study. Chapter five also consolidates and links the various arguments offered in the preceding chapters and provides answers to the critical questions. It is hoped that this study will be of benefit to policy makers in the Department of Education, the writer's colleagues in the teaching profession, to managers in schools and to future researchers on the IQMS as well as educationists interested in a 'critical' perspective.

CHAPTER TWO

2. LITERATURE REVIEW

2.1 INTRODUCTION

The previous chapter outlined the background and orientation to this study. This chapter commences by grounding this study in the field of critical theory and employs a critical perspective in line with the central argument of this thesis which revolves around the accountability versus professional development debate. The critical perspective used by the researcher is also favoured by distinguished authors on Education Management like Alvesson and Willmott (2003), Bottery (2000), Ball (2001), Clarke, Gewirtz and McLaughlin (2000), Gewirtz, Ball and Bowe (1995), Grey and Willmott (2005), Gunter (2001), Lauder and Watson (1999) and Trupp and Willmott (2003).

The theoretical framework of NPM is outlined and is followed by a critical discussion of the view that education in the current market dominated discourse is seen as a service to be sold or marketed to potential clients. What are the implications of this approach for quality management systems in education? What are the implications of this approach to education in a developing country characterized by high levels of poverty like South Africa? Critical Management Studies (CMS) is also defined and explored as an opposing approach to the dominating discourses in education management. Throughout this chapter, the literature on the chief concerns of the study is reviewed in order to critically discuss the main issues highlighted in the introductory chapter. There is also an examination of the literature on quality and performance management in public schools and an evaluation of the IQMS as a quality management policy in the South African

context. A brief discussion of teacher evaluation systems in the international context is also given.

2.2 GLOBALIZATION

Globalization has resulted in every organization (and schools have not been left untouched) being concerned about gaining the competitive edge. The search for the competitive edge demands experimentation in strategies, structures and control systems and these in themselves impel a reappraisal of the existing way of managing labour. The concurrent pool of ideas on managing labour appear to de-emphasize development and focus on flexibility, accountability and commitment. Weber almost a half century ago termed this ‘elective affinity’ (cited in Giddens 1971: 211). In other words perceived interests are seen to ‘fit’ with one set of ideas amongst a number of alternatives on offer. Thus we find that ‘the conceptual frameworks of schools have changed to adapt to the changing environment that schools operate in’ (Whitty, Power & Halpin 1998: 18-19). Schools are now involved in the ‘business’ of education.

South African policy is being increasingly influenced by the fact that South Africa is considered a leading light in the African continent and requires a resilient education system to meet the key challenges posed by the history of neglect and the continuously threatening global environment. We have come to accept that we are living in a world that requires continuous innovation and solutions. The digital world is knowledge-driven. Raising our education standards will promote our participation in the global arena. While the writer of this dissertation acknowledges the truth of this belief, she is of the firm belief that before this can happen, the development of human capital and adequate provision of material resources should be things that are taken for granted as they are in developed countries.

2.3 THEORITICAL AND ANALYTICAL FRAMEWORK

In this study, critical theory is the meta-theoretical framework which is used to critique the IQMS policy which is seen as a policy that exemplifies the key principles of a style of management known as New Managerialism and the New Public Management. These two models represent the ideological framework of this study. Critical Management Studies,

an approach to management, which is closely linked to Critical Theory (both these terms use the key word ‘critical’, is used to suggest an alternative perspective and approach to quality and performance management of teachers and the school.

2.3.1 NEW MANAGERIALISM

Since performance management and performance appraisal does feature in the literature of education management in these so-called managerialist times, the public service is now being characterized by ‘new managerialism’ (Trupp & Willmott 2003). New managerialism is a diffuse ideology which privileges the commercial models of organization and management practice and insists that these can and should be transplanted to public services. A number of studies have referred to New Public Management (NPM) as a manifestation of new managerialism (see, for example, Hood 1991; Dunleavy and Hood 1994; Clarke *et al* 2000). NPM also presumes that the performance of core activities can be made transparent on a continuous and sustainable basis through audits. The present global society is often referred to as ‘the audit society’.

In the 1980s neo-liberal texts, particularly the work of Hayek, and monetarist theories like those of Friedman were seen as the basis for social and economic policy making. A recent and very influential book which typifies and glorifies ‘market fundamentalism’ is **The Age of Turbulence** by Alan Greenspan. The core belief of neo-liberalism is that by giving free reign to market forces, more efficient economic outcomes will result. The neo-liberalism discourse is ‘a strong discourse because it has on its side those forces that dominate economic relationships such as financiers, the owners and managers of big corporations and government’ (Bourdieu 1998: 20).

One of the tendencies of contemporary Western society is the tendency under neo-liberalism to define social, economic and political issues as problems to be resolved through management. This has paved the way for the introduction of managerialism as a new mode of governance in the public sector. Managerialism is the adoption by the public sector of private sector management practices. Neo-liberalists are of the view that ‘the public sector is inefficient and ineffective and it is time that the principles of the market are allowed to operate’ (Turner & Hulme 1997: 18). In order to improve the efficiency and effectiveness of public services terms such as ‘excellence’, ‘increased competition’, ‘efficiency’, ‘accountability’, ‘devolution’ and ‘self-managing schools’

have been introduced (Mok 1999: 2). Governments have begun to transform the way public services are managed. New managers are now called upon to be ‘policy entrepreneurs who are highly motivated, resourceful and able to shift the frame of reference beyond established norms and procedures’ (Exworthy and Halford 1999: 6).

Flynn (1999) argues that the new managerialism embodies a number of different assumptions and values which are assumed to be unproblematic and include the idea of greater economic productivity, technological innovation, worker compliance and the manager’s freedom to manage (27). Equally, Ball argues that here the market is to the fore: image, hype and PR, and competition, diversification and income generation are prominent in the manager’s lexicon (Ball 1994: 67). There is a sense that public sector should move to a private-sector form of organization and face stringent accountability tests for some of the reasons outlined above (see Whitty et al 1998 and Ritzer 2000 for a more extended discussion on this).

In managerialism, styles of management display the following characteristics:

- Results oriented;
- Emphasizes increased efficiency and effectiveness;
- Rationalist in orientation;
- Values accountability;
- Has inbuilt strategies for evaluation, measurement or quantification of all activities;
- Has an uneasy relationship with values (e.g. equity, social justice);
- Presents itself as universally applicable in all contexts;
- Is based on the philosophy of instrumentalism or utilitarianism;

(Ngwenya 2005: 3)

Day and Klein (1987) distinguish between the political and managerial dimension of accountability. Political accountability is about those with delegated authority being answerable for their actions to the people. In contrast, managerial accountability is about making those with delegated authority for carrying out agreed tasks do these tasks according to agreed criteria of performance. Individual appraisal systems are a mechanism for assessing managerial performance against an agreed set of tasks. The IQMS is a perfect example of the managerial dimension of accountability. Managerial

accountability can be seen as more confined and bounded in nature than political forms of accountability.

2.3.2 THE PARADIGM SHIFT TO NEW PUBLIC MANAGEMENT

Given that the one significant dimension of the reconstruction of the welfare state has been the process of managerialism, the emergence of NPM is hardly a surprise. NPM refers to a shift to a more transparent and accountable public sector with a more effective control of work practices. Hood (1991); Dunleavy and Hood (1995); Clarke *et al* (2000); Fleish (2002) note that NPM is usually referred to as a distinctively different approach to the co-ordination of publicly provided services.

Although there are variations, typical characteristics ascribed to NPM include:

- attention to outputs and performance rather than inputs;
- the shift from large scale bureaucracies to quasi-independent agencies;
- the general stress on cost cutting and efficiency;
- rising labour discipline and resisting union demands;
- organizations being viewed as chains of low-thrust relations linked by contracts or contractual type processes;
- using competition to enable choice or exit by service users;
- decentralization of budgetary and personal authority to line managers.

(adapted from Thrupp and Wilmott 2003: 23)

In addition, Clarke *et al* (2000) distinguish between four overlapping but separate models of NPM. They identify what they call the ‘efficiency drive’; ‘downsizing and decentralization’; in ‘search of excellence’ and ‘public service orientation’ versions of New Public Management.

NPM, the ideological framework on which this study is based mirrors the apparent contradiction explained previously between accountability and development. It is, as discussed ‘a market-based ideology which has invaded public sector organizations previously infused with counter-cultural values but is also seen as a management hybrid with a continuing emphasis on core public service values, albeit expressed in a new way’ (Ferlie *et al* 2006: 9). Thus NPM is both a style of management and an ideology traceable to market-based capitalism.

As a purely market-based ideology, NPM will emphasize **accountability** via:

- value for money and efficiency gains,
- management by hierarchy,
- clear target setting and monitoring of performance,
- greater use of protocols as a means of assessing performance and
- a reduction of the self-regulating power of professions with a shift in power from professionals to management.

(adapted from Ferlie *et al* 2006: 11)

The other view of NPM rejects this highly rationalistic approach and in part represents the application in the public service of the human relations school of management theory which is linked to the humanistic management models which have shaped the organizational development tradition with an emphasis on **self-development and participation**. In this case emphasis will be on:

- organizational development and learning,
- recognition of organizational culture,
- more intensive training programmes,
- explicit communications strategy and
- strategic human resource function.

(adapted from Ferlie *et al* 2006: 14)

2.3.3 NEW MANAGERIALISM AND NPM IN EDUCATION

Within education it is possible to identify a new institutionalized culture which displays most if not all the trappings of NPM, ‘new managerialism’ and ‘corporate managerialism’. In various parts of the world education has been restructured and regulated following NPM principles. The dismantling of central educational bureaucracies, the devolution of education to schools, school-based management, enhanced parental choice, increased community involvement in schools have introduced a market element into education services. The term ‘quasi-markets’ is increasingly being used to characterize attempts to introduce market forces and private decision-making into education services (Fleisch 2002:162, Martin 2002: 130).

This is captured in the following quote:

For the new manager in education, good management involves the smooth and efficient implementation of aims set outside the school, within constraints also set outside the school. It is not the job of the new manager to question or criticize these aims and constraints. The new management discourse in education emphasizes the instrumental purposes of schooling – raising standards and performance as measured by examination results, levels of attendance and school-leaver destinations – and is frequently articulated within a lexicon of enterprise, excellence, quality and effectiveness (Gewirtz and Ball cited in O’Brein and Down 2002: 112).

The impact of NPM on schools typically involves:

- more open school enrolment policies intended to allow quasi-market competition;
- self-management;
- changes to teacher and school leader’s pay, condition and training;
- curriculum prescriptions;
- external evaluation of schools through inspection or review;
- an emphasis on testing, target-setting and performance management; and
- numerous interventions into ‘failing schools’. (Thrupp & Wilmott 2003: 37)

The focus of NPM is now more than ever on the ‘new class’ of public sector professional employees who staff the school and who must ensure its continued growth. This has given rise to the management of the performance of these employees.

One of the arguments of this study is that systemic education reform movements like neo-liberalism exert an important influence on teacher education and teachers. World-wide reform tendencies such as privatization and decentralization have produced a growing tendency towards the engineering of standards, quality control and accountability mechanisms. Formal and informal quality control and accountability mechanisms have been created or reinforced in order to secure compliance with globally determined standards of quality via teacher learning and practice. Examples of these are the development of new standards for recruiting and selecting teachers into the profession, re-designed curricula, new systems of accreditation and certification, incentives and rewards linked to performance, standards for primary and secondary education in subjects considered essential to compete in the global market and so on. Pressure for

accountability and ‘performativity’, etc. may have squeezed out important areas for teacher development. This study defines teacher development broadly, encompassing the teacher’s lifecycle and focusing on continuous professional development. Thus teacher education includes formal and informal initiatives as well as those used to provide pre-service education and on-going professional development.

South Africa has not been immune to the changes taking place internationally. Since the democratization of education in 1994 there have been various changes taking place consistent with the ideology of NPM. *The South African Schools Act 84 Of 1996* allows for schools to be decentralized with communities being given the power to participate in school governance through democratically elected School Governing Bodies who have the power to set user fees and appoint SGB paid educators in order to improve efficiency in service delivery and improve responsiveness to learner needs. The principal of a ‘self-reliant’ or ‘self-managing’ school is expected to play the role of the CEO, PRO and financial manager who is in competition with other schools for learners, engages in fund-raising, increases efficiency by doing more with less and is very result-orientated.

It would be fair to say all the points mentioned above have been felt by South African schools. Our focus being performance management and teacher evaluation, the present system of PM in South Africa, the IQMS with its unabashedly managerialist orientation is a performance measurement strategy designed to enhance the quality of education in schools framed by the discourses of the private sector, namely, accountability, performance standards, performance criteria, and financial incentives in the form of salary increases linked to pay and grade progression based on performativity. It is a quality assurance mechanism to the client that she is receiving a good educational equivalent for her outlay. The managerial task would involve maximizing the output of the human component. At school level it is aimed at changing the culture of the school to a performance culture.⁶

New managerialism, according to Bottery (2000), does not only feed back into the workings of the invariably minimalist state to influence the thoughts and actions of policy makers, it has also has damaging effects on society at large. He argues that it reduces first order social and moral values to second order. Such first order values include

⁶ The use of reculturing the school is championed in particular by Michael Fullan and parallels the rise of culturalism in business.

autonomy, care, tolerance, equality, respect and trust. First order values are regarded as an integral and primary feature of any human relationship. Managerialism in education is therefore anti-humanitarian:

Just as in business, where targets are set beyond the reachable, so are they increasingly being set in education. Stress is then caused by the pressure to achieve them (Bottery 2000: 68).

In essence, education has adopted most of the premises of new managerialism, many of its objectives and almost all its methods of delivering them. Competition, choice and performance remain the unchallenged totems of policy. It is interesting to note that the emphasis on compliance with quality management and other state-imposed policies has not supplanted the competitive model of separate self-managing schools with devolved budgets. Education remains outcomes-based. How these outcomes are achieved is of little concern. The skill of individual teachers is viewed as a kind of enterprise underpinned by performance-related pay. Quality and performance management systems like the IQMS focus school leadership on the core tasks of enhancing pupil progress through measurable criteria.

A critical examination of the IQMS policy has given rise to the following key concerns which have arisen due to its managerialist orientation:

- The growing compliance of teachers by promoting their compliance with reform;
- It promotes the decline of the teacher as a professional educator given the contention that making sure people are well trained then left to get on with the job is ruled out of contention;
- It is too technicist to take much account of the social dimension of education.
- It underplays the social context and assumes that failures are located in the institution and its staff;
- It is often anti-educational by not focusing enough on pedagogy and curriculum and by encouraging inappropriate links to business;
- It is often illusionary as it offers promises of autonomy for education managers but fails to address the problem of governments steering from the distance;
- It distracts from more important educational and social justice issues.

These concerns are expressed even in first world economies (see Trupp and Willmont 2003) so one would expect that in a developing state like South Africa with its differing socio-economic contexts these concerns will be exacerbated.

In fairness to the IQMS policy, one must acknowledge that some of the assumptions underpinning it are inherently positive and progressive, for example, teacher development and whole school development as well as professional growth and continuous improvement. The procedure manual for the IQMS states that evaluation is not **apart from** but **part of** the educational process. The IQMS also seeks to meet professional standards for sound quality management, including ‘propriety (ethical and legal)’, ‘utility (useable and effective)’, ‘feasibility (practical, efficient and cost effective)’, and ‘accuracy’, and promote the ‘individual professional growth of educator’s with development taking place within a Human Resource Development strategy and Skills Development’ (*IQMS Collective Agreement Number 8 of 2003: 1*). High standards and successful schools are worthy goals that one should be encouraged to pursue. However, one must acknowledge that the IQMS’ managerial orientation has resulted in a tension between its ‘developmental’ goals and ‘accountability’ and how this tension is managed will be an imperative for its success.

2.3.4 CRITICAL MANAGEMENT STUDIES

Critical Management Studies (CMS) offers a range of alternatives to mainstream management theory with a view to radically transform management practice. The core of CMS is its skepticism regarding the prevailing forms of management and organizations and the social injustices and environmental destructiveness that these managers and organizations reproduce.

The tradition of critical management studies goes back to humanistic critiques of bureaucracy and corporate capitalism as well as the tradition of research inspired by the labour process theory which highlights the exploitation of workers by employers (Grey & Willmott 2005). The focus of the CMS movement is reflected in the official domain statement of the CMS interest group (<http://aom.pace.edu/cms>):

Our shared belief is that the management of the modern firm
(and often of other types of organization too) is guided by a narrow goal –
profits -rather than the interests of society as a whole and that other goals –

justice, community, human development, ecological balance -
should be brought to bear on the governance of economic activity.

CMS proponents argue that so long as the market is the dominant mechanism for allocating resources, community and government influences are forced into a subordinate roles and that this subordination is reinforced by the 'financialization of contemporary capital'. Narrow goals like profit and in the case of service industries, 'performativity' are held above all other interests and the shared commitment of CMS participants is to free people from this domination (Froud, Johal, Leaver & Williams 2006).

What are the implications of this approach for quality and performance management in education? CMS proponents challenge the view embedded in neo-liberalism and managerialism that social relations in the work place are merely instrumental. In mainstream views of management, the task of management is to organize the factors of production, including human labour power in such a way that ensures their efficient and profitable application. Accordingly, people (now re-classified as **human resources**) are evaluated in terms of their effectiveness in maximizing outputs. Goals, such as improving working conditions or extending the scope for collective self-development and self-determination are not, therefore, justifiable as ends in themselves, but only insofar as they help improve performance or bestow legitimacy upon oppressive practices. This assumption is sometimes explicit in quality management systems which favour accountability but it is often implicit even in ethically-framed 'normative' versions like the IQMS.

CMS argues that under neo-liberalism, the instrumentalist approach to management and organization, the goal of profitability- or in not-for profit sectors like education, performance targets- take on a fetishized, naturalized quality (Alvesson and Willmott 2003). Ethical questions concerning the value of such ends are excluded or suppressed, or assumed to be resolved. Other concerns such as 'development issues and meaningful democracy are ignored or at best minimally accommodated by making token adjustments' (Ghoshal 2005: 14).

Much CMS analysis is concerned with showing that forms of knowledge that appears to

be neutral reflect and reinforce asymmetrical relations of power. An important tendency under CMS inspired by Foucault sees the indivisibility of power/knowledge relationship. On the Foucauldian understanding, power is not just a struggle between groups who have more or less of it; 'for Foucault, as for Gramsci, power is much more pervasive, and it is also a positive force and not merely negative' (Wray-Bliss 2005: 28). Power is what enables neo-liberalists to enable certain possibilities to become actualities in a way that excludes other possibilities. It would, for example focus managers on accountability and performativity rather than the alternatives of training and development. However, CMS argues that 'in the exercise of power is the constitution of the **other**, for example the critiques of managerialism upon which forms of analysis within CMS have been built' (Buraway & Wright 2002: 115).

Marxism appears in CMS in various guises but most notably as the foundation for the labour process theory. Marxism asserts the unity of interests of the capital classes in opposition to the working class. Labour markets are the means by which the capitalist class asserts its monopoly over workers. This brings into focus the exploitative role played by management practices and capitalist ideology. Work is not designed to express human needs and values but to maximize profit or to safeguard the privileges and control of managerial elites. There is a basic asymmetry of power embodied in the employment relation (Cohen 1978). Using key elements of Marxist theory, labour process theory (LPT) argues that market mechanisms alone cannot regulate the labour process and capitalist must actively control the labour process against potential worker resistance. LPT theory further argues 'that capitalist imperatives of labour control and cost reduction create an inbuilt tendency towards deskilling and degradation- fragmenting of jobs, reducing skill-requirements, and replacing worker autonomy with management systems' (Wray-Bliss 2005).

What are the implications of CMS for the IQMS. While acknowledging that it is difficult to ward off the effects of managerialism, CMS advocates the adoption of a critical stance towards it so that teachers do not become its victims (Alvesson and Willmott 2003). CMS also incorporates a postmodernist perspective towards the global changes occurring worldwide and suggests a hybrid system resulting in a compromise between opposing principles (Fournier and Grey 2000). In the case of the IQMS, it is suggested in this study

that there should be a balance between its accountability and development purpose and one should not over- shadow the other.

2.4 ACCOUNTABILITY, PROFESSIONAL DEVELOPMENT AND TEACHER PROFESSIONALISM

2.4.1 ACCOUNTABILITY IN EDUCATION

Accountability in education, especially in the current context of multiple reforms and restructuring is a rather muddled concept. The researcher is in agreement with the following statement:

One needs to only listen to the snippets of the current educational reforms to realize that ‘accountability’ has many meanings for political leaders, education officials, teachers, parents, community and business leaders, and the general public. Sometimes, accountability is used synonymously with ‘responsibility’. Other times, the term appears to refer to reporting to those with oversight authority or, more globally, to the general public; or to demonstrating compliance with established laws, rules, regulations or standards; or to distributing rewards and sanctions tied to results.

(Heim 1995: 1)

The need to be clear about what accountability means has never been more compelling. Currently, schools in South Africa have to respond effectively to the increasing demand for accountability in education. The IQMS is an ambitious strategy to improve quality and performance management in South Africa schools. The system integrates development appraisal, personnel evaluation and school evaluation. The IQMS is a **standards-based reform** focusing on the effectiveness of the school and the competency of its personnel. Again increased accountability seems inevitable.

Accountability is multi-faced. It involves responsibility, authority, evaluation and control. Teacher accountability may be taken to mean that the teacher demonstrates credible performance (i.e. at least a good as might be reasonable expected under the relevant conditions) that should be deemed sufficient. Control is exercised via the management of the process and the reward or sanction is conditional on credible performance.

The different types of accountability contribute to the ‘fluid’ and sometimes confusing nature of accountability encountered in practice. A brief summary of the types of accountability follows.

Bureaucratic accountability uses hierarchic structure and authoritative superior-subordinate relationships to enforce compliance with rules.

Legal accountability uses statutes to direct compliance and use of suits or injunctions to obtain redress for violations.

Professional accountability uses review by professional peers using the ‘standards of accepted practice’ within the profession.

Political accountability uses the processes of democratic control (elections, political action, public opinion) to influence and constrain the use of authority by elected officials.

Market-based accountability uses choice of providers within a (regulated) market to obtain best services and induce quality improvement among providers.

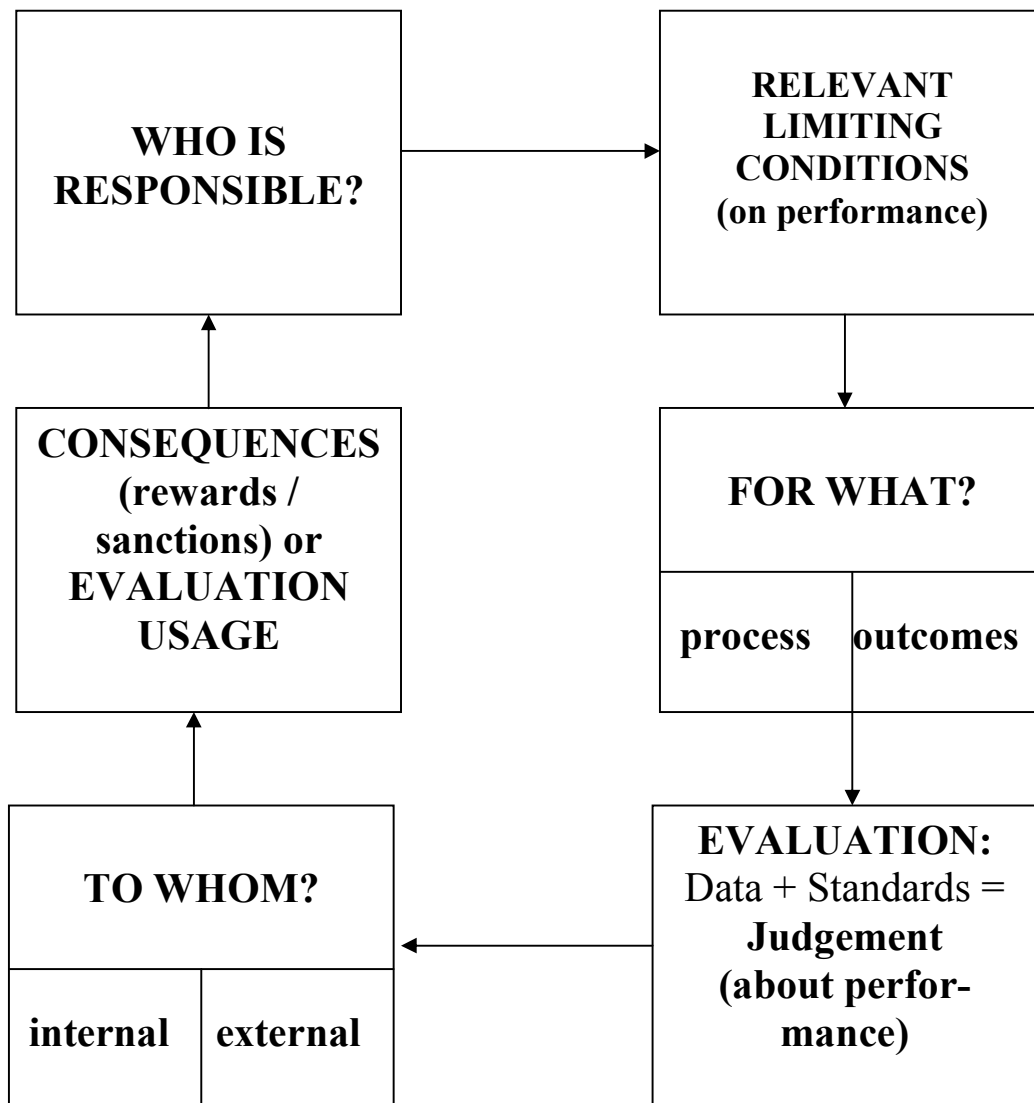
(adapted from Heim 1995: 2-4)

As any education official or school leader is well aware, all five sources of accountability expectations, sometimes conflicting, are simultaneously active.

A simple accountability question is: who is responsible for what to whom.

The following conceptual model for accountability is used in this study to define accountability in teacher performance management:

Figure 2.1 Accountability Model (Hein 1995: 6)



Different implications

This diagram is self-explanatory. However, seen from this abstract form of the accountability model, one has to remember that the different types of accountability expectations may generate different findings and even different expectations for follow-up even if the same data are used. Evaluations also lead to consequences in the form of rewards or sanctions.

2.4.2 PROFESSIONAL DEVELOPMENT

Professional development refers to skills and knowledge attained for both professional development and career advancements. Professional development encompasses all types of facilitated learning opportunities, ranging from tertiary degrees to formal coursework,

conferences and informal learning opportunities situated in practice. It has been described as **intensive** and collaborative, ideally incorporating an evaluative stage (Speck & Knipe 2005; Golding and Gray 2006).

A wide variety of people, such as teachers, health care professionals, lawyers etc. engage in professional development. Valid reasons for participating in professional development is given in the following quote:

Individuals may participate in professional development because of an interest in lifelong learning, a sense of moral obligation, to maintain and improve professional competence, enhance career progression, keep abreast of new technology and practice, or to comply with professional regulatory organizations.

(Speck & Knipe 2005: 27)

Professional development is a broad term, encompassing a range of people, interests and approaches. Professional development in education may include formal types of vocational training, perhaps graduate and post-graduate studies, leading to qualifications and credentials being granted. Professional development may also come in the form of pre-service or in-service professional development programmes. These programmes may be formal or informal, group or individualized. Individuals may pursue professional development programmes independently or programmes may be offered at schools and tertiary institutions. Professional development on the job may develop or enhance process skills, sometimes referred to as leadership skills, as well as task skills. Professional development opportunities can range from a single workshop to a semester long course.

Some examples of approaches to professional development include:

- **Consultation** – to assist an individual or group of individuals to clarify and address immediate concerns by following a problem-solving process.
- **Coaching** – to enhance a person's skill by providing a process of observation, reflection, and action.
- **Communities of Practice** – to improve professional practice by engaging in shared enquiry and learning with people who have a common goal.

- **Lesson Study** – to solve practical dilemmas related to intervention or instruction through participation with other professionals in systematically examining practice.
- **Mentoring** – to promote an individual's awareness and refinement of his or her own professional development by providing and recommending structured opportunities for reflection and observation.
- **Reflective Supervision** – to support, develop and ultimately evaluate performance of employees through a process of inquiry that encourages their understanding and articulation of the rationale for their own practices.
- **Technical Assistance** – to assist individuals and their organizations to improve by offering resources and information, supporting networking and change efforts (Jasper 2006: 25).

The writer is of the view that professional development is a vital component of the IQMS therefore time, effort and finances should be expended on it. To improve the skills and knowledge of our educators and promote lifelong learning, professional development should be a high priority on the education agenda of a developing country like South Africa.

2.4.3 ACCOUNTABILITY VERSUS PROFESSIONAL DEVELOPMENT

A contentious issue that has attracted much debate is whether performance management of teachers should be concerned with teacher development or is its chief concern the promotion of accountability. There is a strong belief that developing staff improves organizational effectiveness and individual performance and provides people with opportunities to develop competencies required to fulfill their current responsibilities. It involves performance review, career counseling, mentoring and providing feedback and is seen as fostering the skills and knowledge of people. Building capacity, the development of people, the empowerment of people, encouraging feelings of self-efficacy, motivation and initiative are very important in performance management. Styan (1988) argues further that the appraisal process must be kept separate from matters designed to address competence, grievance and discipline. Teacher and school evaluation should enhance performance, celebrate what is good and excellent and develop skills where required. Middlewood and Cardno (2001) present the other spectrum of

development appraisal. They see it as a 'soft' form of appraisal which achieves little and lacks public credibility.

Principals and governing bodies have expectations that the teacher is able to provide teaching for effective learning. Beyond the school, Educational Departments have a more general responsibility to see that the taxpayer's money is well spent on the best teaching staff possible. From the demand for accountability, it follows that procedures need to be put in to place to ensure these demands are met.

At national level, this may consist of policies being introduced with an emphasis on particular outcomes which the teacher and school need to demonstrate. Behaviours are prescribed and performance must be monitored using key performance indicators. To be met, these objectives must be clearly specifiable, objectively measurable and easily evaluated. This would require designated staff, (managers) to make such observances and check such lists as are required of them to make recommendations about a teacher's performance. It may also entail scoring and tallying of scores. This means that performance management must be 'empirically based, strictly applied, tightly administered and publicly transparent' (Clark et al 2000). Needless to say, this approach to both performance and quality management is patently rationalist and positivist in orientation.

Clark *et al* (2000: 71) have argued that the concept of teacher performance upon which the management of teachers is based is deeply flawed and the whole approach should be rejected, its management included. This reasoning is based on the fact that it is ethically troubling that social context and the nature of the task is not considered and that a single model of management is applied to all school activity. Using CMS principles, the following objections against managerialist quality management systems in education can be raised:

- The behaviour specified in objectives against which it is judged cannot measure the full range and depth of teaching abilities possessed by teachers.
- The complex, abstract and conceptual thought that shapes a teacher's professional practice may never be observed behaviourally nor inferred from behaviour yet is constitutive of all a teacher engages in professionally,
- Teaching is also a moral and political and educational activity

- The system is imposed on teachers and teachers are not given autonomy to take professional responsibility for their conduct resulting in a deprofessionalisation of the teaching profession.

It must be remembered that demands for a tighter system of accountability often come from some bureaucratic central authority rather than teachers themselves, therefore it can be viewed as an imposition on teachers. In short it will serve the interests of government ministers rather than the professional interests of teachers who want to address the educational needs of their learners. This study advocates two ways of managing teacher performance using the principles of CMS. The first way would be to accept what has been laid down and try to apply it in an ethically acceptable way to foster professional development and professional growth and improvement. The second way would be to call the model for managing performance into question and to replace it with a more ethically acceptable framework for enhancing teacher's teaching and learner's learning. In other words, is the managerial model acceptable on ethical grounds and if it is not acceptable then it ought to be replaced by one built on educational ideal. An ethical model of managing performance will recognize that teaching is a public good as well as a moral and educational activity.

One can argue that what constituted an education ideal is also subject to debate as is the notion of school quality. Therefore this study proposes that the performance management system be a combination of accountability and teacher professional development.. Fiddler (1998) reiterates this position stating that 'performance management should combine reviewing of the past year's work (evaluation) with the planning, training and setting targets for the coming year (development)' (Fiddler and Cooper 1998). However, there is no scheme of teacher evaluation whether a purely developmental one, an accountability focused one or a mixed one that does not effect professional growth. Therefore, the author of this thesis argues that professional development should be the ultimate purpose of teacher evaluation. Zhang (2005) states:

The purpose of evaluation is not to prove but to improve (23).

A further suggestion to policy makers and implementers has to be made. It is very easy to be swayed towards accountability in a quality management system proposing development. In the design of a performance management system it is important to be

clear about the extent to which such a scheme would be evaluative and the extent to which it would be developmental. Francis Fukuyama (2004) reminds us of the key differences between the private and the public sector with regard to monitoring employee performance:

Monitoring agent behaviour and holding agents accountable is particularly difficult in the public sector. Public sector organizations produce primarily services, and service sector productivity is inherently hard to measure. The problem of monitoring and accountability is bad enough in private sector organizations, where there are at least profitability benchmarks for measuring outputs, but it becomes virtually impossible to solve for many types of public sector outputs. If the latter cannot be measured accurately, there can ultimately be no formal mechanism for delivering transparency and accountability (75).

2.4.4 TEACHER PROFESSIONALISM

The major strength of IQMS is that it seeks to develop accountability among educators, promotes a partnership approach to school practices and development but a 'sense of ownership' can only come if it does not seriously compromise educators' democratic and professional rights, including the right to professional development.

Teachers are beginning to view evaluations systems like the IQMS as an attempt by government to control their work in the wake of globalization and the accompanying discourse of managerialism. Is the teaching profession in South Africa being professionalized or deprofessionalised? Underlying this study is the view that professionalism, like the IQMS, is not all or nothing, but a matter of degree. Despite contestation as to what the notion of teacher professionalism is about, there is general agreement that the notions of professional autonomy, accountability, knowledge and professional ethics are central elements of professionalism. (Ozga 1995: 58)

There are disagreements to tying accountability to the notion of autonomy. Autonomy is seen in this study as the ability to make professional decisions against the needs of those served by the profession and this conception of autonomy presupposes accountability. However, one has to make a distinction between professional accountability and bureaucratic accountability. Whilst professional accountability treats teachers as

professionals who are able to make autonomous professional decisions about what to teach and how to teach, bureaucratic accountability treats teachers as mere state employees who follow the policies and procedures even when such policies impinge on the right of the teachers to make professional decisions. Bureaucracies tend to view teacher autonomy as opposed to accountability (Eraut 1994: 302).

These are some of the emerging trends in teacher professionalism:

- The teaching profession seems to be increasingly deprofessionalised internationally as the demand for bureaucratic accountability increases and teacher autonomy is undermined. The accountability regimes have been shown to focus on preparing learners for tests and focus on activities that are rewarded in terms of accountability regimes. This undermines the educative authority of teachers as well as the value of education itself. The professional needs of teachers are ignored.
- There is an increased intensification of teacher's work associated with increased paperwork linked to accountability regimes which are managerial in nature. Intensification of work is also linked to cost-cutting which is in line with the new global political economy. Intensification of work results in teachers not having enough time to engage in continuous professional development.
- A major cause of deprofessionalism is deskilling by separating the conception of teachers' work from its implementation. This is manifested in curriculum formation been done by bureaucracies rather than by teachers or with teachers. It is also manifested by the technologising of teaching by curriculum packages. Some authors have termed this reduction of teacher's control of their work 'proleteriatization' (Ogza 1995).

These deprofessionalising factors are also manifested in the South African context (Kaabwe 2003: 97-99). This study examines the perception of teachers on professionalism based on the premise that the IQMS may have the potential to undermine professionalism in education if it is used as a 'tool to control teachers and their work'. Gilmour (2001: 4) argues that recent educational reforms in South Africa have great **intention** but are also **in tension** with the contextual realities.

On the positive side, South Africa has seen the establishment of bodies like the South African Council of Educators (SACE) and the Education and Labour Relations Council which were established to create a platform for teachers to participate in policy-making. Teacher organizations are represented in these two structures. SACE has three main responsibilities, namely: professional development of teachers, registration of teachers and the regulation of teachers through the enforcement of a Code of Conduct.

SACE seems to have focused on the latter two activities as opposed to its professional development role which should be its main priority (Motala 1998).⁷ SACE has limited capacity to provide teacher professional development both in terms of human and monetary resources. SACE has come to be viewed by most as merely serving a rhetoric purpose rather than its intended regulatory and development purpose. However, on the international arena, the power of teacher councils to contribute to professional development of teachers and policy matters has increased greatly and this augurs well for teacher autonomy and hence professionalism. At present policy makers are reviewing the role of SACE.

The Norms and Standards for Educators (NSE) which defines the roles and duties of educators and the Integrated quality Management System (IQMS) which integrates Developmental Appraisal (DA), Performance Measurement (PM) and Whole-school evaluation (WSE) are two policies that resulted from negotiations between teacher organizations and the government. The input of teachers into these policies are questionable, however, because various studies have shown that not only are South African teachers poorly trained, but they also do not see themselves as policy formulators.⁸ But more to the point of this study, these policies are in tension with the reality on the ground where teachers are inadequately prepared and do not conceptualize themselves in the sophisticated terms reflected in these policies (Khoza and Motala 1999).

The IQMS policy with its impressive framework has not been backed by a comprehensive plan on how it is to be implemented, especially with regard to its

⁷ The South African Council for Educators Act (31 of 2000) Section 5B provides a legal mandate for SACE to manage professional development activities.

⁸ Manganyi 2001.

professional development initiatives. Secondly, the political and socio-economic context in which it is formulated and implemented is also influenced by the dominant discourse of cost-cutting and managerialism. In such an environment this means that the amount of resources available to teachers for professional development is limited.

Development initiatives fall on the wayside as bureaucratic accountability tends to be emphasized as opposed to professional accountability. Bureaucratic accountability has been shown to be in contradiction with teacher autonomy.

2.5 QUALITY AND PERFORMANCE MANAGEMENT IN EDUCATION

The writer has done an extensive review of all policy documents related to quality and performance management in South Africa including the policy under discussion, the IQMS. Both South African literature and international literature on teacher and school evaluation were consulted to offer a comprehensive and critical perspective on quality and performance management systems in education, locally as well as in the international context.

2.5.1 PERFORMANACE MANAGEMENT WITHIN THE HUMAN RESOURCE MANAGEMENT PARADIGM

Human Resource theorists classify approaches to HR policies and practices between two major paradigms of HRM: the 'hard' and 'soft' approach. These two approaches have not remained static but have evolved due to the changes in the world of work, technological development, industrialization and mechanization and the changing forms of economic trade patterns. The 'hard' version of HRM can be interpreted as emphasizing the quantitative, calculative and rationalist business strategy aspects. From a neo-liberal point of view this would appear to be the 'rational' choice for organizations as the economic factor is the main consideration here and the rationale is that such HRM policies will lead to increased profits or an improvement in service delivery as the case may be (Loock *et al* 2006).

The 'soft' versions of HRM would emphasize communication, motivation and leadership and is development-driven. It stresses that a whole range of human resource activities including training and career development is appropriate for the organization. The remuneration dimension is not seen as dominating this process. Result-driven HR policies (hard approach) tends to use performance payment systems to change

organizational behaviour and to stress accountability. The first approach is dominant in most countries whilst the second approach is only undertaken by a minority (Institute of Personnel Management 1992: 53).

2.5.2 PERSPECTIVES ON PERFORMANCE MANAGEMENT AND TEACHER EVALUATION

One of the things that writers on performance management and teacher evaluation do agree on is that it is difficult to define. Nonetheless, it is possible to discern three main perspectives from the literature reviewed. These perspectives are:

- performance management is a tool for managing an organization's performance
- performance management is a system for managing employee performance
- performance management is a tool for integrating the management of the organization with employee performance. (Williams 2002, Lockett 1999)

The IQMS appears to be compatible with this definition as it is concerned with the management of performance at all levels including organizational (school) and individual (educator) levels.

Related to the definition of performance evaluation is the theme of the nature of performance. In other words, what is performance? For ease of illustration let us confine ourselves to two extremes –organization performance and individual performance. At the organizational level a goal-oriented perspective seems to be dominant. The same can be said to apply to individual performance, which in recent times is primarily seen in terms of results. Defining individual performance must be one of the key issues in performance evaluation and is closely related to the question of what causes good performance. What is evaluation for especially in the management of an individual's performance? Teacher evaluation has in it many elements that remain controversial like the balance between its development and reward purposes. What is in it for the teacher? Where do job satisfaction, teacher well-being and the like fit within evaluation systems? The following quote sums up this discussion:

The concept of performance is elusive and complex; the notion of performance management is problematic, almost an oxymoron; management implies control and structure rather than motivation and inspiration (West-Burnham 2001: 20).

The weight of the opinion among writers views performance evaluation as essentially employee-centered (Williams 2002, Middlewood 2003, Mestry 1999). Its aim is to harness the contribution of individual employee performance to organizational performance. Thus at the heart of any evaluation scheme one would find a cycle of activity which includes policies and procedures for some of reviewing, managing, assessing, directing, development and rewarding.

There are two forms of teacher evaluation: summative and formative. Summative evaluation has essentially been concerned with inspections and assessments resulting in judgments being made and scores been tallied. People are 'weighed' up against bureaucratic requirements, standards, norms and conditions. Summative assessment has a 'formal label' attached to it, which requires those involved to complete certain statutory documents and reports, and the fulfillment of certain obligatory criteria. Formative evaluation is directed at improving teacher quality through a process of professional 'empowerment'.

Formative systems of performance management favour development whilst summative systems favour accountability. Internationally accountability is one of the requirements of democratic practice, and is demanded in all spheres of public life: social, economic and political. Accordingly, the introduction of accountability among educators is being viewed as one of the key contributors in any performance management system. The literature review shows that performance management must serve two purposes: to make the teacher accountable by measuring her performance against certain requirements and - to develop and improve teachers. Inevitably there is tension between promoting professional accountability and promoting professional autonomy. The rationale for this study is based on the argument that combining the professional development of teachers with improved service delivery (of both teaching practice and education management) is that performance management should serve both purposes.

However, summative evaluation should follow only after a teacher has undergone development programmes. Thus the two approaches can complement each other. If teaching and learning is the core activity in any school, then it is a given that teachers will have to be appraised in the classroom, doing their jobs. Classroom observation says something about the teacher regarding teacher planning, instructional methods,

teacher assessment etc. However, a word of caution, the evaluation should not concentrate on the observation that the un-observable aspects of teaching are ignored. Classroom observation also forms part of teacher evaluation which according to Turner & Cliff (1999: 45) ‘examines the product but ignores the process and this may result in bias on the part of the observer in the interpretation of the teacher’s action’. This is also one of the arguments against rating teachers on classroom observation alone even if they are rated according to criteria set in policy documents.

Conveying of feedback is an important element of performance management. It should take place as soon as observation has taken place. Problems, situations and conditions which prevent achievement of key criteria can be highlighted and tackled. The school will benefit in the process – the appraisal process makes the teacher’s problems the appraiser’s problem too and by being aware of it, it puts the appraiser in a better position to advise, assist and support.

Murphy and Cleveland (1995: 34)) argue that giving feedback, even when it is totally positive requires an appropriate time, place and relationship. Time needs to be set aside for the whole procedure to be carried out emphatically and professionally. The recipients of feedback feel very vulnerable because they know that their professional skills are being judged. Therefore, receiving feedback may turn out to be a fraught experience. The appraisal serves a dual purpose to monitor and judge on one hand and support and develop, on the other. There is bound to be tension between these two roles. What happens if there is a gap between self and appraiser’s perception of performance. Giving and receiving feedback require ‘high emotional intelligence’ (Locke and Latham 1990: 67).

Performance management systems do not have much to say about what is to be done about poor performance. The cause of poor performance is often located within the organization itself. Systems of accountability ignore contexts and treat all teachers as equal. Their solution to poor performance is often punitive, for example the withholding of rewards. In the case of poor performance, the development approach finds favour. It tackles situational or motivational factors affecting performance and uses a coaching approach.

According to Bradbury (2001: 54), one of the ways to improve performance is through target-setting. On the basis of observation and feedback it should be possible to agree on: the current level of performance; the desirable level of performance and the strategy to move from the current level to the desired level (Bradbury 2001: 52). It is recommended in the literature that the targets should be based on professional development and whole school development.

Reward within the context of performance management typically means performance-related pay also referred to as merit pay or appraisal-related pay. Performance-related pay (PRP) is 'based on some form of assessment and often involves payment integrated into the basic salary' (Kessler 1994: 466-7). Performance related pay requires that performance criteria for measurement be clearly defined. Secondly, there would be need to distinguish between performance that is desired and that which is not – and the clarity of the definition would seem to be a precondition for accuracy of measurement. PRP is an accountability tool as it links effort with performance and performance with reward. Authors like Tomlinson (1998) have argued that PRP results in an improvement in performance. He contends that without it the practice of performance management will not flourish.

Thompson (1993) based on his employee surveys in three schools states that the benefits most often claimed for performance related pay are not met in practice. It does not motivate even those with high ratings and may do more to demotivate. Employees were unclear about whether it rewards fairly and there is no evidence to suggest that it can lead to professional and school improvement. However, it may serve a coercive purpose of ensuring compliance with policy. Williams (2002:191) quotes a recent survey into performance related pay for school teachers in the UK. The survey indicated that over half of the respondents believed that the system is intended to get more work done. And two thirds believed that it is a device for avoiding paying more money to all teachers in terms of salary increases. Thus decisions about PRP, especially if they are perceived as unfair, can result in lower morale, lowered job performance, withdrawal behaviour, decreased co-operation with managers and reduced work quality.

The IQMS is linked to rewards in the form of pay and grade progression. Reward within the context of a quality management system like the IQMS is based on performance measurement. Performance related pay is an accountability tool as it links effort with performance and performance with reward. The implications of linking performance to pay may have far reaching consequences for a developing country like South Africa. The surveys quoted above show the adverse effects of linking pay to performance like, for example lower teacher morale, intensification of workload, reduced work quality and teaching to the test. PRP may also serve a coercive purpose of ensuring compliance with policy. Individual teachers would be encouraged to compete with each other for the rewards of such compliance. The traditions of cooperation and collegiality will be hard to sustain. This social model will not be lost upon learners nor on society (Merson 2001 cited in O'Brein and Down 2002: 113). PRP could also make PM the most important aspect of the IQMS and other noble goals like professional teacher development would fall in the wayside.

2.5.3 DILEMMAS IN TEACHER EVALUATION

Performance evaluation of teachers at its best can be one of the most satisfying, supportive and beneficial experiences for those engaged in it. At its worst, it can be a threatening and even destructive tool for control and compliance. Somewhere in between these two extremes it may even become merely a formal, technical tool with little or no commitment to its potential as a vehicle for professional dialogue and improving performance. Alternatively it may serve a highly symbolic goal, endorsed by educational authorities but not implemented in any way that actually impacts on improving performance (Down et al 1999: Middlewood 2001).

There are a number of reasons why teacher evaluation is difficult for those who participate in the process. Cardno states:

It challenges those engaged in examining and improving performance because this activity is a complex and often conflicted arena in which dilemmas are present (2001: 144)

The literature reviewed in this study show that performance management has diverse goals, multiple purposes, values that are at variance, and conflicting expectations. One such dilemma is 'the conflict between individual needs and organizational demands'.

Another dilemma is ‘the tension between judging teacher performance and teacher development initiatives’ (Cardno 2001: 145).

To these dilemmas must be added a number of conceptual issues:

- Is the process to be formative or summative?
- Should it include rewards and sanctions?
- Who guarantees the integrity of the process?
- What are the implications in terms of resources – notably time?
- Is the process related to professional development and learning?
- Are the criteria used credible, appropriate, valid, capable of generating objective data and widely accepted?

(adapted from Cardno 2001: 145: West-Burnham 2001: 19)

One controversy in teacher performance evaluation relates to the question: who is accountable? While some policymakers seek to hold individual teachers responsible, other decisionmakers as well as educators argue that a system of individual accountability creates unhealthy competition among teachers and undermines collegiality –especially if it is linked to rewards and sanctions. Performance management can also be linked to student achievement. Some policymakers hold individual teachers accountable for student achievement. An alternate view is that accountability for student achievement should be extended to district officials and state policymakers who are responsible for providing adequate education.

<http://www.ecs.org/html/issue.asp?issueid>

2.6 TEACHER EVALUATION IN THE INTERNATIONAL ARENA

Literature on models of teacher evaluation used in the international arena is critically discussed to provide a macro perspective on the topic under discussion. It is also used to gauge whether forms of appraisal used in developed countries are appropriate for the South African context.

In a number of countries, for example, UK, New Zealand, Israel and Singapore there are formal performance management schemes and teachers’ career structures are formalized in the sense that progression to the next phase depends on

some sort of assessment. The practice of teacher evaluation varies from country to country. In some cases it is carried out by head teachers, in others by line managers or by external inspectors and supervisors.

The OFSTED method of inspection used in the UK is an outcomes-based model of inspection done by a non-ministerial government department. Basically the two major outcomes are the school's results and the pupils' achievement. After the inspection feedback is provided to each teacher, to the head teacher and to the school board. A detailed inspection report is provided to the school with a summary report to each school for all parents. In some cases, the inspectors will have to report that the school is underachieving or has some more serious weaknesses and requires special measures. An action plan has to be approved by the Secretary of State and the school has two years to become acceptable. A school may have to close if it is unsuccessful after the intervention (OFSTED 2000:118).

Teacher performance and its management have been translated into practice for New Zealand teachers by two autonomous bodies of the state. The Education Review Office (ERO) has set the required performance expected of teachers while the Ministry of Education has made explicit the requirements for the management of teacher performance.. Clark (1997) has shown how the approaches in spite of being set by two different organizations dovetail quite well.

The ERO report, 'The Capable Teacher' (ERO 1998: 3) states:

Performance can be defined as the results actually achieved by a particular teacher within his or her individual performance agreement with the employer, as appraised by the employer.....
... The performance of the teacher in the job should be assessed through performance criteria and expected results specified in the performance agreement.

The question arises: how does the Ministry of Education in New Zealand define a 'capable teacher'? The ERO sought to operationalise its definition in terms of teacher competencies and capabilities that a teacher needs to bring to his/her job to fulfill the required functions. Thus core competencies are linked to minimum standards of what a teacher should know and do. Core competencies are generic enough to apply to any teacher in any school. Core competencies may assist in the assessment of a teacher but

this in itself is not sufficient for performance evaluation. These should be measured against performance criteria and expected results. The ERO specifies a set of 100 behaviours that teachers are expected to demonstrate grouped under four headings: professional knowledge (25); professional practice (38); professional relationships (20) and professional leadership (17).

After examining the framework of managing teacher performance in the UK and New Zealand a number of issues come to the fore which could also apply to other countries that use similar models for managing teacher performance. These models, with their general mandatory frameworks, use the top-down strategy and focus on accountability, measurement and results. Furthermore, both these systems have financial incentives attached to them. It is clear that a narrow utilitarian approach to accountability drives the management of teacher performance. It is governed by economic rationality with clear definitions of professional expectations and measures of observable behaviour.

The point to be made is that teaching cannot be reduced to that which is behaviorally specifiable, observable and measurable. The reason for this is simple. Behaviour traits can be displayed in a vast number of ways on different occasions under a variety of of conditions generating multiple interpretations depending on who is observing them. The other point is that principals and/or senior staff are the managers of the appraisal process while teachers have become the providers of the specified services and it is the responsibility of the former to monitor the latter. There is also the possibility that those in power/positions of authority can use their power to impose on those subject under their authority, a method of control which is presented to the latter as being in their best interest when clearly this is far from the case (Clarke 1997: 109).

By contrast, in Japan, performance management focuses on advice from ‘master teachers’ or visiting supervisors but there is no formal assessment as such. A requirement is that teachers rotate to demographically different areas which roughly correspond to major socio-economic divisions. Lewis (1995: 23) notes that the status and prestige given to people who teach is high in comparison to other jobs. It appears that there is no need for a national appraisal scheme to manage performance in this case as teachers are regarded as high status employees and there is satisfaction with the way this high status is achieved and maintained. Reynolds and Farrel (1996: 54-57) discuss

the high status of teachers in Pacific Rim societies as one key factors in the superior educational achievement of these learners in East Asia. In these countries, religious and cultural traditions place a high value on learning (Middlewood and Cardno 2001:185).

The criticism of performance management systems employed in education in countries like the UK and New Zealand must not be taken to be a rejection of accountability which the earlier arguments have shown is a legitimate expectation of teachers but what one has to object to is when accountability does not have as its central concern the educational ideal of the enhancement of teaching and learning and the example of Japan demonstrates that alternatives can work.

2.7 THE SOUTH AFRICAN CONTEXT: THE IQMS

2.7.1 POLICY ANALYSIS

In order to critically evaluate the IQMS policy it is necessary to ask the question: what are policies? According to Ranson (1995:440), policies are statements typically expressed both in utterance and in textual form. They have a distinctive and formal purpose for organizations and governments to codify and publicize the values which are to inform future practice and thus encapsulate prescriptions for reform. Thus policies aim to systematically transform taken for granted assumptions and practices according to ideal values. They also challenge the traditions and practices of organizations and can generate conflict.

The philosophy underpinning the IQMS is based upon the fundamental belief that the purposes of Quality Management are fivefold:

- To determine competence;
- To assess strengths and areas for development
- To ensure support and opportunities for development to assure continuous growth
- To promote accountability; and
- To monitor an institution's overall effectiveness (*IQMS Collective Agreement Number 8 of 2003*).

The IQMS represents formal statements of action that seek to address the question of

competence in the form of performance standards and the assessment of these standards according to set criteria. The accountability aspect is addressed, for teacher performance through performance measurement and for school effectiveness through whole school evaluation. Both these aspects have a rating scale attached to them. Assessing a teacher's performance begs the question, what is 'good' teaching or 'effective' teaching and measuring performance can be very subjective. The IQMS appears to have discrete steps with accountability appearing to come lower in the ranking according to the above purposes of the IQMS. In practice, however, policy does not take place in a series of distinct activities but is experienced as a continuously interactive process (De Clerq 1997: 6). The researcher's concern revolves around the strong possibility that in keeping with the international trends, accountability will move up the ranks and this may result in a conflict between support and development for improvement and accountability as different interest groups struggle over purposes and resources.

It is important to understand that policies are ideological texts which have been constructed within a particular context. An ideology may be used to change or defend an existing socio-political order. Stilwell states that:

Ideologies are systems of belief which embody particular value systems about the economy and society and commonly give legitimacy to a particular socio-economic order.

(Stilwell 2002: 389).

For example, the neo-liberal ideology, which has currently gained ground in South Africa is used as a justification for 'free market' capitalism.

2.7.2 HISTORICAL BACKGROUND

Christie (1985); Kallaway (1984); NKomo (1990); Unterhalter *et al* (1991) give an in depth analysis of the inequalities and injustices of the apartheid era. Appraisal practices in the various departments varied considerably. With black teachers, the experience of appraisal was problematic. As a result they rejected the system outright and subject advisors and inspectors were forced to suspend their activities. Methods of appraisal, processes of appraisal, the unchecked power that inspectors yield, the incompetence of assessors, problems with evaluation criteria and secrecy were some of the factors that

impacted negatively on the state of teacher evaluation. Beardale (1995); Thurlow (1993); Waghid (1996) examined the old South African system of education and found it to be inspectorial and bureaucratic, hierarchical and authoritarian in character. It was not concerned with development. The most comprehensive commentaries are found in two publications of the Education Policy Unit of Witwatersrand, Chetty et al (1993) and Mokgalane *et al* (1997).

It is against this background that the South African Democratic Teacher's Union (Sadtu) approached the EPU of the University of Witwaterand to develop an alternative system of teacher appraisal. The Development Appraisal System for Educators (DAS) was devised and its main objective was to develop and support teachers. Thurlow with Ramnarain (2001) argue that one of the major issues in DAS was the total lack of accountability, therefore DAS is considered to be a soft option. How to create a balance between the development and accountability aspects of performance management is one of the main challenges facing the South African education system. The IQMS aims to address this.

An agreement was reached by the ELRC (*IQMS Resolution 8 of 2003*) to integrate the existing programmes on quality management in education. These were DAS (*Resolution 4 of 1998*), the Performance Measurement System that was agreed on in April 2003 (*Resolution 1 of 2003*) and Whole-School Evaluation (WSE).

2.7.3 PURPOSES OF THE IQMS

The IQMS is an integrated quality management system that consists of three programmes which are aimed at enhancing and monitoring the performance of the education system. These are:

- Development Appraisal (DA): To appraise individual educators in a transparent way with a view to determining areas of strength and weakness and to draw up programmes for individual development. (formative evaluation)
- Performance Management (PM): To evaluate individual teachers for salary progression, affirmation of appointments and reward and incentives (summative evaluation).
- Whole-school evaluation (WSE): To evaluate the overall effectiveness of a school as well as the quality of teaching and learning (systems evaluation).

(Collective Agreement 8 of 2003: 7-8)

These three programmes are to be implemented in an integrated way to ensure optimal effectiveness and co-ordination. WSE is an external process that requires supervisors to use a range of data indicators to make evaluative judgments rather than simply provide descriptions of what happens in schools. It presupposes that supervisors are trained to fulfill these functions.

These three aspects of IQMS and how they are co-ordinated are shown in the diagram below:

Table 2.1

Integrated Quality Management Systems
(Internal and External evaluation)

DAS	Whole-school evaluation	Performance Measurement
Internal appraisal	External Evaluation	Internal evaluation
Development	Accountability	Determines pay and grade Progression
Personal Growth Plan	School Improvement Plan	Composite score sheets

(Collective Agreement 8 of 2003)

The IQMS document does not state the extent to which its scheme will be developmental and the extent to which it would focus on accountability. However, it does make a clear demarcation between these two aspects with two of its three purposes being accountability. DA is supposed to be purely developmental. Contextual factors have been incorporated into this instrument but it is made clear that the assessment of contextual factors is intended to assess not only their effect on performance, but also the manner in which the educator addresses these contextual issues and the onus is on how the educator has attempted to overcome negative influences in his/her teaching. Thus accountability features strongly in this instrument.

The point about the purpose of educator evaluation that has already been alluded to is

that its real character or essence lies in the way the system is used. The main aim should be the professional development of the educator rather than surveillance and control to ensure teachers' compliance and increased productivity. Professional development is best served by using formative evaluation that takes place on a continuous basis so that developmental opportunities are created. Data from this formative evaluation can then be used to reach a summative conclusion. The IQMS provides ample opportunity for both the above suggestions (see *IQMS Manual 2005 Section B; 21-30*). However, there could be a danger that the formative aspects of teacher evaluation will be neglected in the implementation of the IQMS as the time frames between the formative and summative assessment appear to be too short.

2.7.3.1 DETERMINING EDUCATOR EFFECTIVENESS

The IQMS has come to be viewed as mechanism to determine teacher effectiveness.⁹ The discussion below focuses on this assertion and questions whether the IQMS' support mechanisms have become merely an add-on. The IQMS system contains a performance measuring instrument and consists of two parts. One part is made up of four performance standards used for the observation of four areas of educators in practice. The other part made up of eight performance standards is related to aspects for evaluation that fall outside the classroom. In the IQMS system each of the performance standards includes a number of criteria. Descriptors for each criteria is provided. For example, under the heading 'positive learning climate' the first criteria 'learning space' is circumscribed by four descriptors that vary from Unacceptable to Outstanding.

These descriptors come with a rating scale, namely:

- Rating 1: Unacceptable. The level of performance does not meet minimum expectations and requires urgent intervention and support.
- Rating 2: Satisfies minimum requirement. The level of performance is in line with minimum expectations but development and support are required.
- Rating 3: Good. Performance is good and meets expectations, but some areas are still in need of development and support.

⁹ For a complete discussion of teacher evaluation and its implications for the management of teacher competence see Mestry 1999.

- Rating 4: Outstanding; Performance is outstanding and exceeds expectations. Although performance is excellent, continuous self-development and improvement are advised.

Every criteria has these four descriptors. The evaluator must work within these prescribed parameters. Scores and appropriate percentages are provided by the following tables. For educators (Level 1) the head of department does the evaluation. For Heads of Department the Deputy Principal or Principal does the evaluation while the Deputy is evaluated by the principal. A principal is assessed by regional/district or area manager or his or her delegate. Thus evaluation follows a hierarchical pattern. For purposes of illustration on the scoring, the score sheet for Level 1 educators is shown in table 2.2. Similar scoring sheets are available for level 2, 3 and 4 educators.¹⁰

Table 2.2 Composite score sheet for level 1 educators.¹¹

Performance standards	Maximum	Actual Score
Creation of a positive learning environment	16	
Knowledge of curriculum and learning progression	16	
Lesson planning, presentation and presentation	16	
Learner assessment	16	
Professional development in the field of work/ career and participation in professional bodies	16	
Human relationship and contribution to school development	16	

¹⁰ A complete explanation on the processes of the IQMS policy and WSE is given in Annexure G. WSE is part of an overall Quality Assurance plan known as the IQMS but its processes and procedures are taken from the Whole School Evaluation policy.

¹¹ Examples of score sheets and the various criteria used for the other levels of educators are given in the IQMS policy document.

Extra-curricular and co-curricular participation	16	
Total score	112	

Table 2.3 gives the various percentages that an educator can obtain in her evaluation.

Table 2.3

Percentage	Raw Scores
	Level 1
100	112
90	101
80	90
70	78
60	67
50	56
40	45
30	34
20	22
10	11
0	0

To qualify for salary progression an educator needs to obtain 56(2)

To qualify for grade progression the educator needs to obtain 78(3)

What percentage constitutes each level of performance?

- Rating 1: Unacceptable –below 50% (56)
- Rating 2: Satisfies minimum requirements 50% and over (56)
- Rating 3: Good 70% and over (78)
- Rating 4: Outstanding 85% and over.

The performance measurement instrument appears to be designed according to a performance-anchored grading scale. As such it suffers from the same shortcomings; the most noticeable of which is the scale that is used (Looock *et al* 2006: 81).

Furthermore, it can be argued that unacceptable and outstanding are hardly logical opposites of each other and hence the scale is not acceptable to start with. More disconcerting is the fact that the criteria are probably never equal but the same rating is made for each one. Diversity (one of the criteria under performance standard, creation of a positive learning environment is given an equal rating to organization of learning space to enable the effective use of teaching resources and encourages learners to be productively engaged in individual and co-operative learning. Learner Involvement and Discipline (Criteria 2 and 3 under performance standard once again overlaps with criteria 1 yet all are given an equal rating. Diversity again is defined as the educator promoting respect for individuality and diversity. It raises the question: what exactly is diversity? The first four performance standards deal with classroom practice. The performance standards that follow although they are part of the educator's environment, emphasize the administrative tasks that are required of an educator.

The paradigm used in the IQMS appears to be educator-centered with its focus on what the educator should do. Educational studies have revealed that learners play a big role in the successful outcomes of education. The IQMS ignores this. It raises doubt about what the real purpose of the design of the instrument. It appears to have been designed in such a way that the subjective elements of human decision-making are worked out of the management of the system. By attempting to make the instrument person-proof, one falls into the trap of being subservient to the evaluation system and hence to bureaucratic accountability which seeks to ensure that educators measure up to some predetermined uniform standard. Professional accountability, which implies a consistent improvement in practice, disappears and growth does not occur (Sergiovanni & Starratt 1993: 204).

However, even if policy-makers design the evaluation system to be person-proof, raters or evaluators may still vary in their ratings. Bias and relationships with the person being evaluated may result in widely differing scores. In fact most evaluations are

‘cumbersome with simplistic rating scores and vast amounts of red tape and paperwork which can make evaluation an ordeal’ (Spangenberg 1994: 6).

The new Occupation Specific Dispensation (OSD) tabled by the Department of Education at the ELRC, aims to improve the remuneration, progression opportunities and career path options of all educators. It will be finalized once an agreement is reached with teacher unions. The new system requires that educators entering the profession be fully qualified with at least a four-year qualification, (REQV14). There are quite a number of educators presently in the system who may not meet the new qualification benchmark. The motivation for the department’s proposal appears to be: lack of progression, recruitment and retention of educators, career path development, performance assessment and recognition of qualifications and experience. However, what is important for this study is that performance evaluation and its management becomes crucial. Assessment is based on accountability with is emphasis on obtaining competences and rating scores.

Educators can progress up to 3% every second year based on a ‘satisfactory’ performance. Educators and teaching and learning specialists and Heads of Department qualify for accelerated progression based on performances of ‘good’ (additional 3%) and ‘outstanding’ (additional 6%). Deputy Principal and Principals and other office-based educators will qualify for an annual performance reward ranging from 5% to 14% of their total package. Two years ago when the IQMS started, R4, 2 billion was committed for accelerated progression, performance rewards and incentives. In February of 2007, R2-billion for the 2008/9 and R4-billion for the 2009/10 financial year was allocated.

One should not be fooled into thinking that the IQMS will retain its developmental focus in the light of this new evidence. The wheel has been turned in favour of accountability with its rigid demand to achieve standards linked to financial rewards. It is interesting to note that UNESCO estimates that by 2015, 18-million new teachers will be required – four million in Africa alone (The Teacher 2007: 28). The challenge must be seen as more than one of numbers. The quality of teachers and teaching is also essential to learning outcomes. This implies a well-trained teaching force and systems to support teachers in the classroom as well as their continued professional development.

The policy goals of IQMS recommend this. Recommendations are not enough. At present the only money allocated to teacher development are in the form of bursaries. No money has been allocated to teacher development on school sites. There is a serious gap in information about teachers and their teaching. Although current comparative data bases are weak, the EMIS data does reveal that we have a number of untrained, poorly trained or under-qualified teachers. A large number of teachers have left the system sometimes only after a few years of service (The Teacher: 2007: 28). While the IQMS monitors progress towards achieving educational goals, it needs to support and build structures of development for achieving quality education for its people and this means both educators and learners. In-service training, teacher training and development, engaging teachers in key education decisions through effective social dialogue and other influences on teacher' practice in the classroom will perhaps have a greater impact than financial incentives alone.

The IQMS document goes into great detail with respect to the implementation of the evaluation instruments. The function of development rests with a school's SDT (Staff Development Team) made up of the principal, senior management and educators. The SDT team together with the SMT (Staff Management Team) must monitor the process of developmental appraisal, mentoring and support given by the educator's personal Development Support Group (DSG). The SDT and the SMT must develop the school's own School Improvement Plan (SIP) incorporating strategic objectives of the strategic plan of the department with the Personal Growth Plans (PGPs) of individual educators. The SIP must set targets and time frames for school improvement using the whole-school evaluation instruments and must monitor and measure progress towards these targets.

SMTs from different schools must submit SIPs and report on their planning to enable the regional/district office to co-ordinate the provision of in-service training (INSET) and other programmes that are aligned to the needs identified by schools.¹² This is good but seems overly bureaucratic and could lead to much red tape and paperwork. Once again this gives rise to the fear that the measuring instrument is being elevated to the most important aspect of the evaluation process. Institutional procedures may become

¹² At present it seems as if professional development activities organized by District and Provincial Departments based on SIPs submitted by SMTs of various schools have not taken place. The 'quality chain' linking the various structures in the education system does not seem to function effectively.

more important than serving human beings. It would be a pity if the IQMS document is used to control the work of teachers when following the procedures outlined.

Another factor that could cripple developmental aspects of the IQMS is the lack of capacity throughout the education system, including regional staff, district staff and staff in schools.¹³ If people in authority themselves lack skills, what skills and knowledge are they going to impart to others. This factor alone can cause the IQMS system to lose its credibility. It raises questions about the selection and appointment of personnel. It can also lead to the fabrication of scores to meet the demands for external accountability.

2.8 CONCLUSION

This chapter has attempted to provide critical comments on the discourse of Neo-liberalism and New Managerialism. CMS is used as a contradictory discourse to oppose some of the assumptions for education under New Managerialism and NPM. An examination of local and international literature on teacher evaluation was undertaken and proves that teacher evaluation is affected by the global political economy that is driven by accountability. The IQMS policy document is also critiqued. This chapter has also attempted to define the purposes of performance management. Some comments were made on teacher assessment prior to 1994. This was followed by an evaluation of the implicit and explicit assumptions of the IQMS and the tension between its development purpose and its accountability purpose. Related to this debate, the issue of teacher professionalism and teacher autonomy was raised and discussed.

The next chapter deals with the methodology involved in data collection.

¹³ South African education policy review conducted by Chisholm, Motala and Vally 2003.

CHAPTER THREE

3. RESEARCH DESIGN AND METHODOLOGY

3.1 INTRODUCTION

The previous chapter focused on the theoretical and analytical framework as well as on the literature review. The focus of this chapter is on a discussion of the methodological approach and methods employed to collect data, namely, the two questionnaires administered concurrently to 300 educators and 25 principals in the province of KZN, subsequent interviews with departmental officials and major teacher trade unions and document analysis. These research instruments were used to investigate not only the practice of teacher evaluation but also educators', departmental officials' and teacher trade union officials' perceptions of the IQMS in relation to professional development and accountability. The documents collected for analysis included policies and manuals pertaining to the IQMS at school level. Issues regarding the construction and design of the questionnaire, piloting of it and the sampling framework as well as the techniques involved in data analysis are presented. The interview schedules which are a secondary data gathering tool is then presented with a specific focus on the rationale for the interviews and techniques involved in the analysis of interview data. The chapter then concludes with a brief account on the document study.

3.2 EDUCATIONAL ENQUIRY

Educational enquiry involves the entire process of conducting educational research and investigations from the initial states of thinking about research questions to developing a project and choosing particular methodologies and methods. What constitutes research in education? Cochran-Smith (2002: 4) states:

To be scientific, the design must allow direct, empirical investigation of an important question, account for the context in which the study is carried out, align with a conceptual framework, reflect careful and thorough reasoning , and disclose results to encourage debate.

The researcher attempts to comply with these requirements. However, even a brief foray into the literature of teacher evaluation demonstrates that this is a contentious area that provokes much debate.

One useful way forward for the researcher was to give a truthful interpretation of data gathered and try to be as objective and neutral as possible. One must not fail to recognize, however, that any analysis is likely to be influenced by the frames of reference of the researcher. For example, CMS perspectives question the ‘neutral’ claims of many previously scientific approaches (Cohen et al: 2000). The researcher was also mindful of the fact that qualitative approaches arose out of the direct result of dissatisfaction with quantitative techniques, which seemed inadequate to explore the complexity of social situations. ‘To put the point pithily, neither subjectivity nor objectivity has an exclusive stranglehold on truth’ (Phillips 2003: 61). Yet in terms of **ethical considerations**, the researcher chooses to recognize, as suggested by Phillips, the difference between a ‘biased or personally loaded viewpoint’ as opposed to one ‘supported by carefully gathered evidence’.

The research prior to the presentation of this dissertation was primarily an ex facto analysis. The writer’s own experience and involvement in the assessment of teacher evaluation through her employment and related activities helped to define the problem area. The role of the practitioner-researcher itself raises some ethical considerations. Robson (2002: 534) defines a practitioner-researcher as ‘someone who holds down a job in some particular area and is, at the same time, involved in carrying out systematic enquiry which is relevant to the job’. Robson compares practitioner-researchers with ‘outside’ researchers in terms of advantages and disadvantages (see Appendix B of Robson: 2002). One disadvantage identified is that of ‘insider problems’. The insider may have preconceptions about issues and/or solutions. To avoid ethical dilemmas, the writer of this thesis has decided to take cognizance of Robson’s viewpoint with regard to ‘insider problems’.

3.3 THEORITICAL AND ANALYTICAL FRAMEWORK AND DATA ANALYSIS

3.3.1 CRITICAL THEORY

Critical theory is used as the meta-theoretical framework of this study. Critical theory can refer to a whole range of theories which take a critical view of society and the human science or which seek to explain the emergence of their 'objects of knowledge'. It also refers to the major strand in the work of the FRANKFURT SCHOOL. HABERMAS is critical theory's most important contemporary spokesman. Habermas describes critical theory as a theory that provides 'a guide for human action, is inherently emancipatory, has cognitive content and unlike a scientific theory is self-conscious, self-critical and non-objectifying' (cited in Macey 2000: 74). Critical theory often takes 'the form of a CRITIQUE of ideology that seeks to explain why social agents accept or consent to systems of collective representations that do not serve their objective interests but legitimate the existing power structure' (Macey 2000: 74).

Critical theory warns of the danger that scientific theory can be perverted into a subjective reason which defines rationality purely in terms of consumer needs defined not by actual needs but by the 'false' needs determined by the workings of a consumer society. This modern industrial society may have such an ideological control over its subjects that they may be quite literally unaware of their exploitation, frustration and unhappiness (see Trupp and Willmott 2003). The goal of critical theory is 'to preclude the emergence of such a society by demonstrating that a transition to a freer and more fulfilling society is theoretically possible and the existing state of society **ought** to be transformed' (Macey 2000: 75).

Critical theorists, inside the educational field and out, link their accounts of oppression and hegemony to positivism as a method of social science. What is positivism and why is it the object of critique?

Endress (1997) refers to positivism as:

Scientific investigation, whether of social or nonsocial phenomena, aims at the discovery of lawlike generalizations that can function as premises in deductive explanations and predictions (1).

Endres argues that positivism fails to take into account social context and that its methods are disassociated from the social interests that motivate it. He also argues that

its focus on rationality is too narrow, excluding normative and metaphysical beliefs, attitudes and beliefs. Thus critical theory has a more ambitious project than traditional science: it must move beyond 'methodology' to provide standards for the critique of values and norms as well as facts. He explains that the infatuation with positivism in education has led to the failure of educators and researchers to acknowledge the relationship of knowledge to power and to understand the social-historical context of schooling (1997: 3-4).

In this study, critical theory is the meta-theoretical framework which is used to critique the IQMS policy which is seen as a policy that exemplifies the key principles of a style of management known as New Managerialism and the New Public Management. These two models represent the ideological framework of this study. Critical Management Studies, an approach to management, which is closely linked to Critical Theory (both these terms use the key word 'critical', is used to suggest an alternative perspective and approach to quality and performance management of teachers and the school.

It is questionable whether there are any specifically 'critical methods' of research. Critical Management Studies is used because it embraces a number of epistemologies and these are compatible with very diverse research methods –quantitative as well as qualitative. CMS has addressed both conceptual and empirical concerns, often simultaneously as it uses different theories and methodologies to investigate and illuminate a vast range of topics. However, a number of pointers for the development of CMS point to the fact that it can offer an important antidote to the managerialization of the world (Alvesson and Deetz 2000: 3).

This study uses approaches associated with CMS and the 'critical stance' it advocates to evaluate the IQMS and its NPM underpinnings. NPM is obviously both an ideology and a 'model' for many public sector organizations like schools. NPM advocates bemoan what they call the productivity collapse in public education that is an ever-increasing educational cost with few gains in school performance and learner attainment. NPM advocates believe that productivity can be increased by using market-related principles like setting performance standards and using performance measurements and incentive structures. The IQMS is a practical manifestation of the principles and assumptions underpinning NPM.

An analysis of the data would be undertaken to see if the IQMS is being used merely as an accountability/audit tool. Are its managerial and measurement aspects being emphasized and are its professional development aspects being undermined and neglected? This study critically explores whether in these managerialist times, South Africa has followed suit with the rest of the developed world and attempted to build the inequitable, reductionist and inauthentic ‘managerial school’ (Gewirtz 2002) and ‘performing school’ (Husbands 2001).

This study argues that if this is the case then we are barking up the wrong tree and we need to acknowledge the fact that South Africa needs a teacher evaluation policy which is genuinely developmental, taking into account both the professional development needs of the teachers and the socio-economic context in which schools are located; such an approach would be more committed to social justice and teacher development. CMS and the ‘critical stance’ it advocates will be used to reflect on the question of whether the pursuit of accountability in education leads to misguided mechanistic practices and measurement attempts that distort both the character and the purpose of education. This is what an analysis of the data is meant to uncover.

3.4 METHODOLOGICAL APPROACH

Policy analysis is a form of enquiry which provides either the informational base upon which policy is constructed, or the critical examination of existing policies. The former is termed analysis for policy while the latter is called analysis of policy and is concerned with:

- analysis of policy determination and its effects, which examines the inputs and transformational processes operating upon the constructs of such policies as well as the impact and consequences of such policies,
- analysis of policy content, which examines the values, assumptions and ideologies underpinning the policy process. (Taylor *et al.* 1997:36)

Adopting the latter approach, the thrust of this study is the analysis of policy with regard to the performance management of educators as stated in the policy on teacher evaluation, the Integrated Quality Management System for South Africa Schools (IQMS).

The research focuses on how the IQMS is managed at the school level and questions formulated critically determine the IQMS' potentiality to evaluate and enhance educator performance. The main objective was to determine whether the IQMS is being complied with perfunctorily as an 'accountability tool' or seen as a useful professional development strategy and has been accepted as such by educators.

Interviews with Department officials and educator unions are used to elicit views on the IQMS. It has been decided to use semi-structured interviews so that there is a clear focus yet the interviewee will not feel restricted in responding to questions. The research combines both quantitative and qualitative approaches to social research. Quantitative responses will relate to the mechanics of the operation of the IQMS and solicit views of principals and educators on their perception of the IQMS. Open-ended questions designed to encourage qualitative responses are also used. Issues raised in the critical questions; namely, the assumptions underpinning the IQMS, the emphasis on accountability and teacher competence, and professional development and school effectiveness and improvement are also raised.

The researcher will briefly address the following questions:-

- What are quantitative methods?
- What are the ingredients of qualitative methods?

In simple terms, in quantitative methods of research, we use numbers and in qualitative methods of research, we use words to describe outcomes.

Quantitative research methods were originally developed in the natural sciences to study natural phenomena. However, quantitative methods are now well accepted in the social sciences and education. As part of the research, the researcher looks for certain characteristics (variables) and shows something interesting about how they are distributed within a certain population. A variable needs to be measured for quantitative analysis (Berry 2005: 3). Data on various variables in this study are collected through a questionnaire. Education research has moved away from the numbers approach in recent years. However, the use of numbers can be a very useful tool. With the use of sophisticated software packages such as SPSS it is relatively easy to deal with the computation side of things and it is possible to come up with numerous tables and charts almost instantly once ones data is installed.

Qualitative research methods were developed in the social sciences to enable researchers to study social and cultural phenomenon. Qualitative researchers argue that research must be conducted in the setting where all the contextual variables are operating. Qualitative researchers are interested in how people make sense of their world. The qualitative researcher is the primary instrument for data collection and analysis. Data is mediated through this human instrument, rather than through inventories, questionnaires or machines. The process of qualitative research is inductive in that:

The researcher builds abstractions, concepts, hypotheses and theories from details. Qualitative researchers argue that the ‘objective’ scientist, by coding and standardizing, may destroy valuable data while imposing his/her world on the subjects.

<http://www.statsoft.com/textbook/stathome.html>

Mixed Methods Research is used in this study to combine the two methods of research. The researcher decided that a combination of methods is appropriate for this study as it may help to ‘ask and answer differently conceived or separate questions; answer questions about connecting parts, segments or layers of a social whole and provide for a close-up illustration of a bigger picture’ (Mason 2006). Mixing methods also help to achieve accurate measurement through triangulation. **Triangulation** is defined in the following way:

It is the application and combination of several research methodologies in the study of the same phenomenon. It can be employed in both (validation and qualitative(inquiry)studies. It helps to overcome the biases, weaknesses and problems that come from single method, single-observer, single-theory studies.

<http://www.geocites.com/zulkardi3.html>

The questionnaires used in this study are primarily a quantitative instrument but it includes a qualitative element in the use of open-ended questions. The interviews draw on qualitative methods. Brannen (2005: 8) suggests that mixed methods of research be considered in ‘the context of justification’, that is, during the analysis and interpretation of data and this suggestion has been adopted in the analysis of the data in this study.

To obtain data on the issues related to the critical questions formulated in chapter one

which centre around the opposing issues of accountability and professional teacher development, the researcher chose to use both the qualitative and the quantitative paradigms in order to investigate and address the research questions. Quantitative research is used when attempts are made to collect data that can be presented in the form of numbers and which represents some measurement or the other. This approach is generally used when breadth is required. Qualitative data on the other hand, 'allows the researcher to work with the raw data, to explore the nature of the stories people tell or the way they behave, to look at the different perspectives, understandings and interpretations of social situations in which they participate' (Ross in Carter and Cathryn 1997:39). This approach is used when depth is required. Furthermore, these two approaches are not mutually exclusive and can be combined. By combining these two methods a form of triangulation results which enhances the validity of one's study (Remenyi *et al* 1998:192).

Triangulation is a powerful means of demonstrating concurrent validity, particularly in quantitative research. **Validity** is defined as the best available approximation to the truth or falsity of a given inference, proposition or conclusion. The real difference between validity and reliability (both are necessary in research) is mostly a matter of definition. **Reliability** estimates the *consistency* of measurement while validity refers to the *accuracy* of measurement (Mason 2006: 12). It has been observed that research methods acts as a filter through which the environment is selectively experienced. They are never atheoretical or neutral in representing the world of experience. Exclusive reliance on one method or approach may bias or distort the researcher's perspective on what she is investigating.

Creswell (1994:175) advances the following additional reasons for combining methods in a single study:

- Complimentary, in that overlapping and different facets of a phenomenon may emerge (e.g. Peeling the layers of an onion);
- Developmentally, wherein the first method is used sequentially to help inform the second method;
- Initiation, wherein contradictions and fresh perspectives emerge; and
- Expansion, wherein mixed methods add scope and breadth to a study.

The rationale for using a strategy of combining two or more methods is well documented in the literature on research methods as the flaws of one method are often the strengths of the other so deficiencies in a particular method may be overcome. Moreover, a study using both methods is ‘fuller and more comprehensive’ (Neuman 2000: 125).

Thus in keeping with this reasoning, the researcher has decided to use a multi-method approach to this study. The researcher needed to investigate whether the use of the IQMS in schools has been structured around the broad and desirable aims of personnel improvement and staff development which would offer much to the present South African teaching profession or is there a ‘hidden agenda’ of using the IQMS as a tool for accountability to check on teacher performance and improve school efficiency. To do a fine policy analysis of the IQMS policy and for purposes of data collection, this study has combined the following methods:

- Questionnaires (quantitative and qualitative)
- Interviews (qualitative)
- Document study (qualitative)

Comparing the respondents’ views in the questionnaire and interviews with the document study, especially the *IQMS Manual* (2005), will hopefully reveal whether the demands of this new performance management system¹⁴ exceeds the performance skills of the majority of educators in South Africa. If this is found to be the case then obviously there would be a greater need to develop educator effectiveness, improve teacher competence and promote professional development than to judge the quality of an educator’s work performance.

3.5 THE QUESTIONNAIRE

The researcher used the questionnaire as the chief data gathering tool for the following reasons:

- The instrument was designed to provide information about what educators and managers in the school regard as the purpose of IQMS. The researcher starts from the premise that the purpose of educational evaluation is to improve the education

¹⁴ In terms of the minimum performance standards given in the IQMS policy.

process.¹⁵ and develop teachers professionally. Information elicited by means of the questionnaire could shed light on whether there are cases where the evaluation is not being used to assist the educator to improve competence and in continuing professional development.

- Closely related to the questions regarding the purpose and intended impact of the evaluation are questions related to the constraints that are likely to be imposed upon it. Are the results of the evaluation likely to be worth the resources expended upon it? Could more productive results be obtained if we altered evaluation procedures? How likely is it that the results of the evaluation will be ignored? Included in the questionnaire are questions designed to elicit appropriate answers to all these rather wide-ranging and broad aspects of inquiry. These questions will, hopefully, answer the first critical question given in chapter one.
- As principals can testify, evaluation and its various manifestations can become one of the major sources of tension in today's schools. This questionnaire aims to examine the perceptions of educators involved in the process of the IQMS and solicit their views. Here the researcher's concern is whether the IQMS is functioning in such a way as to maximize individual success and professional growth. Does it effectively diagnose educators' development needs? How effective is the Development Support Group (DSG) and the school development programme? These questions have a bearing on critical question three.
- This questionnaire also seeks to elicit views from principals about whether the school is using the IQMS for formative purposes like addressing and eradicating weaknesses in teacher competence and for school improvement or is the IQMS just an accountability tool linked to summative evaluations and pay awards. These aspects relate to critical question two.

The questionnaire takes the form of a survey. Surveys are attractive as a means of gathering data for the following reasons:

- They are efficient in cost benefit terms than would be a study of the whole population (Cox 1996: 3).

¹⁵ This is also stated as one of the chief purposes of IQMS in the IQMS policy.

- They are efficient in terms of time as it would take too long and require too many researchers to contact the whole population. (Anderson 1990:195)
- They enable the researcher to collect information from a small group or a subset of the population so that the knowledge gained is representative of the whole population (Cohen, Manion and Morrison 2001: 195).
- They are the best way to obtain data on attitudes, feelings, reactions and views of people (Leedy in Booyens 2003: 127).

These attractions have to be counterbalanced by the time taken to develop, pilot and refine the questionnaire, by the limited scope of the data collected and the possible limited flexibility of the response. The use of qualitative data for interpretative analysis will also be used to avoid a ‘thin description of simply reported facts independent of intentions/circumstances’ (Prasad 2005: 103).

3.5.1 CONSTRUCTION AND DESIGN OF THE QUESTIONNAIRE

In constructing the questionnaire the researcher was mindful of the literature review which seems to be highly critical of the dualistic nature of performance evaluation. On one hand, teacher evaluation systems have an employee bias and emphasize professional development: on the other hand, performance evaluation systems in the public sector under the immense influence of NPM with its emphasis on ‘value for money’ based on a market capitalism, and a style of management known as new managerialism stress accountability in the public service. Thus the central aim of this thesis is to explore the tension between **accountability** and **professional development**.

Pansegrouw (1982) states that performance appraisal is a single event with two objectives, namely, **performance evaluation** and **coaching and development**.

There are inherent problems that can be encountered when the evaluator is both ‘judge’ and ‘counselor’. To throw some light on the inherent problems associated with the IQMS, the questionnaire had to be designed in a specific way so has to solicit a response on the tension that could arise between accountability and professional development in teacher evaluations and obtain from educators their perceptions of what they would regard as the true purpose of teacher evaluation.

The appearance of the questionnaire is important. It must look interesting and

uncomplicated. A poor questionnaire may result in low response rates, unreliable information or invalid data, or inadequate and inappropriate information. Quality questionnaires require well-worded questions, clear responses and attractive layouts (O'Sullivan and Rassel 1999: 230; Verma and Mallick 1999: 12).

The researcher has endeavoured to design an instrument characterized by clarity of wording and simplicity of design. Emboldening will also be used to draw the respondents notice to significant features. Further attempts have been made to make the instructions as unambiguous as possible so that respondents know exactly what is required of them.

The researcher found it necessary, in the interest of clarity and logic to break down the questionnaire into subsections with section headings. The practice of sectionalizing and sub-lettering is a technique used for grouping together questions to do with a specific issue (Cohen, Manion and Morrison 2001: 259).

Finally, the researcher arranged the questionnaire in such a way as to maximize co-operation by including questions of general interest. Cohen, Manion and Morrison state:

Attitude questions should be dispersed throughout the schedule to allow respondents to air their views rather than merely describe their behaviour. Such questions relieve boredom and frustration as well as provide valuable information in the process (2001: 259).

The questionnaire employed in this study uses both closed-ended questions and open-ended questions. Closed questions prescribe the range of responses from which the respondent chooses. They are quick to complete and straightforward to code using computer analysis. Open questions, on the other hand, enable respondents to write 'a free response, to explain and qualify their responses and avoid the limitations of preset categories of responses' (Wilson and McLean 1994: 21). However, it is the open-ended questions that are of vital importance as they would be a means to the respondent to voice his/her opinion on the chief concerns of this study which debates the issue of whether the IQMS is an accountability tool used to police teachers or if it is as envisaged, an instrument for professional development.

The IQMS, as is any scheme which attempts to evaluate the work of professionals, is a sensitive topic, therefore the designer of the questionnaire had to take this into consideration in terms of how the respondents may respond to the questions asked. Therefore, the sequencing of the questions was important as early questions had to set the tone and the mindset of the respondents to the later questions.

Hence the sequence of this questionnaire is as follows:

- Commences with unthreatening factual information which will give the researcher nominal data,
- Moves to closed questions,
- To move to open-ended questions that seek responses on attitudes, opinions, perceptions and views together with reason for the responses given

(Cohen, Manion, Morrison 2001: 257)

With this in mind the questionnaire was divided into the following sections:

Section A: Biographical and General Information

Section B: Performance Evaluation

Section C: Professional development

Section D: Accountability

Section E: General Comments

The questionnaire is designed to elicit responses to the critical questions in this study. The questionnaire uses questions requiring a yes/no response especially with regard to personal attributes, for example, 'gender', and this was processed using the chi-square statistic. Multiple choice questions were used where the range of responses could be used to capture the likely range of responses to given statements. Anchor statements were provided to allow a degree of discrimination in response. The chi-square statistic and cross-tabulations were used to interpret data. Section A-E of the questionnaire has questions which also require a categorical response, rank order response or a scaled response (Burgess 2001: 45).

Rating scales are widely used in research as they combine the opportunity for flexible response with the ability to determine frequencies, correlations and other forms of quantitative analysis. They afford the researcher the freedom to fuse measurement with

opinion, quantity and quality. For instance, a Likert scale provides a range of responses to a given question or statement for example:

Statement

1 = strongly disagree

2 =disagree

3 =neither agree or disagree

4 =agree

5 =strongly agree

The Likert scale is easy to construct and simple to use and measures the strength and direction of an individual's response. However, its major disadvantage 'is its inability to explain a single score' (Zikmund 1994: 372).

The open-ended questions invite a personal, honest comment from the respondent in addition to ticking numbers and boxes. The researcher hopes it will contain the 'gems' of information that otherwise would not have been caught in the questionnaires which , essentially seeks to elicit quantifiable information. The limitation of the open-ended question is that it carries with it the problem of interpretation. However, it also presents a window of opportunity to shed light on the issue of whether the IQMS has been used at school level to ensure achieving minimum standards in teaching or is it an evaluation procedure which can shed light for the teacher on areas which can be improved or developed. It would also centre on the debate in this study regarding whether the IQMS' summative and accountability demands can be reconciled successfully with its formative and professional development functions.

3.5.2 MEASUREMENT

With regard to measurement, questionnaire responses were quantified by assigning numbers to the responses. Measurement can be defined as allocating numbers to objects or events according to certain rules. Measurement can be done at different levels depending on the nature of the measurement.

The following discussion of measurement levels are taken from Uys (2003: 118-120) and Johnson (1977: 44):

- **Nominal Measurement Level:** People can be divided into different mutually exclusive categories according to this measurement. The people within a particular category are then similar to one another according to the characteristic that is measured and differ from those who are placed in another category. Nominal data are analyzed by counting measures, for example frequency distributions and two-way tables. In this study this was done for the different levels of educators used in the survey as well as for the different types or categories of schools.
- **Ordinal Measurement Level:** Ordinal scales are used when the respondent is asked for responses in the form of a ranking order. The evidence is again put into categories and the numbers assigned indicate the ordering of the categories. Each successive category thus has more of the relevant characteristic than previous category. Respondents in this study were given statements and asked to rank them from most important to least important on a scale of 1 – 5.
- **Interval Measurement Level:** The interval scale has equal intervals, but an arbitrary zero point. Numbers are allocated in such a way that the distance between the numbers corresponds to the difference in the degree to which the characteristic is present. In addition to the fact that the measurement and the ranking of the measurements are distinguishable, interval measurements thus also have the characteristic of equal intervals. The interval measurement level was used in this study to show the number of respondents with similar or differing viewpoints and to measure the degree of agreement or disagreement.
- **Ratio Measurement Level:** The most sophisticated level of measurement is the ratio scale. This scale has equal intervals and a true zero point. In this case, the amount indicated by the numbers corresponds to the particular value that is present. An absolute zero value means that the zero represents the total absence of the variable. This scale was used in the study to give the percentage response to a question.

All the above categories are used in this study. However, the researcher does not intend to provide sophisticated statistical evidence but to establish general trends in attitude towards the underpinning assumptions of the IQMS policy and the perceptions of managers and educators towards performance evaluation and its management.

Some questions sought to measure the extent of agreement or otherwise among respondents in terms of given statements about the IQMS system. Some questions enunciated a problem area which had emerged in previous examples of teacher opinion on performance evaluation in the literature reviewed. The final questions were completely open and invited general comment on the topic of research. Tables, graphs and short summaries are presented in the data analysis chapter.

3.5.3 PRE-TESTING AND VALIDATION OF THE QUESTIONNAIRE

The IQMS has a jargon of its own therefore the researcher had to take systematic soundings of educator's opinions and comments. In spite of the problems associated with the questionnaire method, it was particularly suitable for research on the IQMS as the respondents were able to understand the subtleties of the terminology and having tried to implement the IQMS for three years, made ideal targets for enquiries of this type. While educators may not know the ideological stance of the NPM and New Managerialism, they have seen, for example, the effects of marketization and corporate culture on schools and have been part of the changes that have emerged in the public sector. Some of these changes have been the increased emphasis of doing more with less, the use of comparative performance indicators and the development of enhanced cost, information and audit systems and performance being assessed more openly and being subject to tight central control (Trupp and Willmott 2003). Some of these changes stem from the fact that South African schools have become 'self-managing' (*South African Schools Act of 1996*). Thus the researcher was able to elicit good responses on the issue of accountability versus professional development.

Demands for accountability through the use of performance management has been said to have undermined teacher professionalism. The public service has traditionally been seen as a highly professionalized setting. Ferlie *et al* (2006) point to the erosion of autonomy within the public sector which was previously a highly professionalized sector. If the IQMS is an imposed monitoring system it will perhaps also aid in deprofessionalizing the teaching profession. Principals will be asked to respond to questions on whether the role of professionals has changed in the public sector. Some critics of NPM have argued that the increased power of managers and markets has disadvantaged professionals. One of the questions relates to this issue and will perhaps provide a more nuanced interpretation pointing to the possibility of professional gains and losses.

To identify and correct as many problems as possible, it is important to pretest the questionnaire. Booysens (2003) contends that this is a non-negotiable aspect of questionnaire design (140). It is possible that important questions may not be asked, terms may be poorly defined and information may be unavailable etc. Thus to ensure validity of the questionnaire as a measuring instrument, a pilot test of the questionnaire was conducted.

The researcher used two questionnaires: one for the principal together with the staff development team and one for the educators in the school. The first questionnaire was piloted to a group of six principals in the Umlazi District of the eThekweni Region of KZN Department of Education. The other questionnaire was piloted on 10 educators from the researcher's own school. The intention was to check the clarity of the questionnaire items, instructions and layout and to eliminate ambiguities or difficulties in wording.

The pilot study established that the questionnaire was understood by the respondents and their responses showed enough variation for the envisaged analysis to be conducted. The respondents were questioned verbally a few days after the completion of the questionnaire. It was established that the questionnaire was able to hold their interest, the level of the language was understood and completion of the questionnaire was not time-consuming. Revisions were made on the basis of the replies that were received.

3.6 SAMPLING FRAMEWORK

IQMS is a policy that every public school is legally bound to follow. To ensure that evaluation is taking place the National Department of Education has incorporated lines of accountability in the IQMS document which starts with the individual educator and the Development Support Group and moves to the School Management Team and to the district and regional personnel. Furthermore, each stage of IQMS requires the collection and submission of documents. The researcher therefore has at her disposal the entire educator fraternity in KZN.

Sampling is employed when the researcher is interested in a large population or group,

but does not have the time or the financial resources to study the entire group. Therefore the educational population is defined and a sample is selected from the defined group. The sample is studied and the results generalized to the population (Cohen et al 2000).

3.6.1 DEFINING THE POPULATION

According to Anderson (1990: 156) the first task is to define the group of interest or the target population since the purpose of sampling is to generalize this target population and this cannot be done unless the target population is fully described.

The target population for the purposes of this study is public schools in the province of KwaZulu-Natal. A public school is defined in the South African School's Act (84 of 1996) as a school established by the Member of the Executive Council (MEC) from the funds appropriated for this purpose by the provincial legislature. This is a relatively small sample so the researcher has stratified the population list and will choose selectively from this stratified list.

All schools in South Africa are legally bound to do the IQMS and teacher evaluation. However, the Department only monitors schools in the public service. There are basically two types of public schools, primary and secondary and the researcher has to select from both these groups. The situation of the school, either in a rural or urban environment, is also a factor in the research and the socio-economic status of the school (whether the school is advantaged or disadvantaged in terms of funding and resources) is taken into consideration.

The reason for including both primary and secondary schools: rural and urban schools; and advantaged and disadvantaged schools is simple:

- Firstly, this diversity will reveal whether teacher evaluation is being carried out according to the principles of the IQMS. These principles are given in the IQMS Manual 2005.
- Secondly, to see how staff development is done in schools which are poorly resourced as one would presuppose there is a dire need for professional development in such schools. Hopefully the data from these schools will uncover and expose the ideological underpinnings of the IQMS and its questionable assumptions related to quality and performance management which teachers,

District managers and other Departmental officials may not be aware of or have been ignoring. The preamble to the *IQMS Collective Agreement 8 of 2003: 7*) states that the Department has the responsibility of providing facilities and resources to support learning and teaching.

The KwaZulu-Natal Management and Information Systems Directorate was contacted to establish the number of schools in the province and the number of educators employed in the province. A list of the data required was emailed to the researcher.

3.6.2 DRAWING THE SAMPLE

According to Cohen, Manion and Morrison (2001: 99) one must decide whether to use a probability or a non-probability sample in the development of a sample.

A probability sample is useful if the researcher wishes to be able to make generalizations, because it seeks representativeness of the wider population. This form of sampling is popular in randomized controlled trials. On the other hand the non-probability sampling deliberately avoids representing the wider population but instead selects certain groups, a particular named section of the wider population. A probability sample will have less risk of bias than a non-probability sample which being under-representative of the whole population may demonstrate skewness or bias.

More specifically the researcher adopted the stratified systematic sampling technique. A stratified random sample is a useful blend of randomization and categorization thus enabling both a quantitative and qualitative piece of research to be undertaken (Babbie: 2001:201). The advantages are twofold:

- A quantitative piece of research will be able to use analytical and inferential statistics.
- A qualitative piece of research will be able to target those groups in institutions or clusters of participants who will be able to be approached to participate in the research (Cohen, Manion and Morrison 2001:101).

Stratified sampling, according to sampling theory is a method of obtaining a greater degree of representativeness by decreasing the degree of sampling error by two factors in the sample design. The other factor with regard to sampling theory is that stratified sampling allows the researcher to 'organize the population into homogenous subsets with

sufficient heterogeneity between the subsets and to select the appropriate number of elements from each' (Babbie 2001: 201).

The choice of stratification variables should be related to variables the researcher wants to represent in the data. In selecting elements from the population, a systematic sampling strategy was used. This involved selecting schools from a list in a systematic manner rather than in a random manner. The researcher decided how frequently to make systematic selection by a simple statistic – the total number of the wider population being represented divided by the sample size required:

$$\text{Frequency interval} = \frac{\text{the total number of the wider population}}{\text{the required number in the sample}}$$

In this study, the researcher considered geographical location of schools an important stratification variable. In KwaZulu-Natal, public schools are grouped into regions and districts.

3.6.2.1 SAMPLE SIZE

A question that plagues researchers is how large their samples for the research should be. From the literature reviewed by the researcher on sample size, it can be noted that there is no correct clear-cut answer, for the correct sample size depends on the purpose of the study and the nature of the population under scrutiny. Anderson (1990) states that sampling size is a matter of judgment as well as mathematical precision.

Accordingly Cohen et al (2001: 93) give the following advice regarding sample size:

- The researcher must obtain a minimum sample size that will accurately target the population being targeted.
- For populations of equal size, the greater the heterogeneity on a particular variable, the larger the sample that is needed.
- To the extent that a sample fails to represent accurately the population involved, there is sampling error. The more precision required, the greater the sampling size requirement.
- Confidence level – the law of statistics deal in probabilities which means that although a sample can reflect the target population, different samples will vary

from one another. The larger the sample, the more alike on average it will be to other such samples that can be drawn.

Furthermore, Borg and Gall (1979: 194-195) advocate that in survey research there should be no fewer than 100 cases in a major subgroup and twenty to fifty in a minor subgroup. Anderson (1990: 199) states that it is a statistical fact that the size of the sample and not the proportion of the population is the major determinant of precision. Thus one can have a small sample and an infinitely large population and still get acceptable results. In general, the major gains in precision are made steadily as sample size increase to 150 or 200.

Cohen, Mahon and Morrison (2001: 95) developed a table showing sample size, confidence levels and sampling error.

Table 3.1: Table for determining sample size from a given population.

Size of total population	Sampling error of 5% with a confidence level of 95% Size of sample population	Sampling error of 1% with a confidence level of 99% Size of sample population
50	44	50
100	79	99
200	132	196
500	217	476
1000	278	907
2000	322	1,661
5000	357	3,311
10000	370	4,950
20000	377	6,578
50000	381	8,195
100000	383	8,926

(adapted)

Taking cognizance of Gilham (2000:14) and the comments made by Borg and Gall (1979), the researcher arrived at the conclusion that a typical response rate to a questionnaire is between 30% to 50% on a sample size of 300 based on a sample of approximately 7000 schools. The researcher was able to obtain the number of public schools and the number of educators from the KZN EMIS database. A proportional selection of schools from the regions was selected.

To determine the number of ordinary public schools to be sampled in the region the following formula was used:

$$\text{Proportion of schools in Region} = \frac{\text{No. of schools in Region}}{\text{Total No. of schools in Region}}$$

The proportion obtained was then multiplied by the number of ordinary public schools sampled in the respective region. To obtain the final sample additional factors were also considered.

The researcher looked at resourced and under-resourced schools as well as the size of the school staff. Secondary Schools with less than 30 educators were rejected as were primary schools with less than 20 educators. It was also decided to select schools on a proportional basis giving the researcher 40% primary schools and 60% secondary schools as secondary schools incorporate both the General and Further Education and Training phases. A separate questionnaire was administered to the principals and the staff development team of selected schools to gauge the part played by management in the IQMS.

3.6.2.2 SELECTION OF SCHOOLS

In order to determine the schools that will be selected as part of the sample, the researcher emailed to the KZN EMIS Directorate and requested copies of lists of ordinary public schools together with their postal addresses arranged according to regions. This constituted the sampling frame. One can decide how frequently to make systematic sample by using a simple formula – the total number of the wider population being

represented divided by the sample size required:

$F = N/Sn$ where:

- F = frequency interval.
- N = the total number of the wider population. (Box 4.1)
- Sn = the required number of the sample.

The researcher was working with 1400 educators. By looking at the table of sample size one can see that 300 educators are required to be in the sample. Hence the frequency interval is:

$$\begin{aligned} &1400/303 \\ &= 4,62 \end{aligned}$$

Hence the researcher picked out every fifth school in the list of alphabetically arranged public schools in each regions. Calder (1979: 90) suggests that in probability sampling every person should have an equal chance of being selected. However, if every fifth name is selected this means that every person does not have an equal chance to be selected. To minimize this problem, the researcher decided that the initial listing will be selected randomly and the starting point for systematic sampling is similarly selected randomly.

3.6.3 ADMINISTERING THE QUESTIONNAIRE AND SECURING PERMISSION

Prior to the distribution of the questionnaire, permission had to be sought from the Department of Education for administering the questionnaire at schools falling under their jurisdiction. The researcher wrote to the head office of the KZN DEC (see Annexure A) requesting permission to conduct research at public secondary schools falling under its jurisdiction. Permission was granted by the Research, Strategy, Policy Development and EMIS Directorate (see Annexure B)

3.6.3.1 DISTRIBUTION OF QUESTIONNAIRES

All 305 questionnaires were mailed to the principals of the schools sampled. A one page covering letter and a letter requesting respondents to participate (Annexure A2 and A3), together with the questionnaire, were enclosed which elucidated the following:

- an explanation of the purpose of the research questionnaire,
- an assurance that responses will be treated in the strictest of confidence,
- an ethical clearance certificate,
- Return particulars. Self addressed envelopes were enclosed for the return of questionnaires. However, it was also necessary that return particulars be included,
- If the respondent needed to contact the research for queries or questions, the researcher supplied her contact information,
- The need for a prompt reply.

In terms of ethical consideration, respondents were informed that this study will be used for research purposes only. There was no compulsion to respond and anonymity was assured in all cases.

3.6.4 ANALYSIS OF DATA

The data was analyzed by using a computer based analysis system (SPSS) to obtain both descriptive and inferential statistics (Tesch 1990: 12).

3.6.4.1 DESCRIPTIVE STATISTICS

Any approach that attempts to describe data might be referred to as a descriptive method. The simplest quantitative description reports the data in a raw form. As the description gets more sophisticated, the researcher groups the data and presents it in the form of tables and figures that will provide information to describe a set of factors in a situation. This is done through ordering and manipulation of the raw data collected (Anderson, 1990: 100). The most popular tools of descriptive statistics include frequency distributions, measures of central tendency and measures of variability (Johnson 1977: 2).

INFERENTIAL STATISTICS

For clarity, researchers place great emphasis in following a sequence of steps:

- Step 1: Establish units of analysis indicating how these units are similar to and different from each other.
- Step 2: Create a domain analysis.
- Step 3: Establish linkages and relationships between domains.
- Step 4: Make speculative inferences.

(adapted from Cohen, Manion and Morrison 2001: 148)

Further, researchers would like to draw conclusions about a much larger population from results obtained by studying the sample group. To do all this, the researcher needs to use inferential statistical techniques. Some of the popular inferential statistical tests used in the analysis of data in this study are the T-test, Chi square test and Kendall's coefficient of concordance (agreement). Qualitative data will also be grouped into themes and descriptions. This will be used to compare statements made in the IQMS policy with the reality of what occurs in the organizational context.

3.7 INTERVIEWS

3.7.1 RATIONALE FOR THE USE OF INTERVIEWS

In order to triangulate the data obtained from the questionnaire and to get greater depth to the issues surrounding IQMS, the researcher considered interviews to be the ideal data gathering tool. Qualitative and quantitative researchers alike define problems, select research designs and develop methodologies, collect, analyze and interpret data, and report findings. There is, however, one significant difference between the two approaches. In qualitative research, the researcher is the principal data collection instrument; whereas in quantitative research, scientifically designed data collection tools are developed as in this case, the survey. However, regardless of how one chooses to collect the data, it is important that the researcher try to understand phenomena and interpret the social reality from two perspectives. Thus the use of interviews helped the researcher to gather more information on items in the questionnaire which required closer scrutiny. One positive feature of interviews is the richness and vividness of the data that turns up (Gilham 2000: 10).

The interview is defined by Anderson (1990: 190) as ‘a specialized form of communication between people for a specific purpose associated with some agreed subject matter’. It is a highly purposeful task that goes beyond mere conversation. Furthermore, the interviewer can clarify questions and probe the answers of the respondent. The teacher unions liaise with both government officials and educators therefore, the researcher hopes to gain from them some insights into whether the IQMS benefits educators and enhances their professional development. The possible use of the IQMS to emphasize accountability and control the work of teachers also comes under scrutiny.

3.7.2 INTERVIEW INFORMANTS

Two sets of interviews were conducted. The first set of interviews was conducted with government officials from the National and Provincial Department of Education. The second set of interviews was conducted with three union officials who are provincial representatives serving on the staffing committee of the KZN ELRC.

3.7.3 SELECTION OF INFORMANTS

In selecting the informants for the interview, the researcher used purposive sampling. This type of sample does not pretend to represent the wider population; it is deliberately selective and biased (Cohen, Manion and Morrison 2001: 104).

The people to be included in the sample were handpicked on the basis of their involvement in IQMS. The following were chosen:

- Regional Chief Education Specialists involved in the IQMS were selected from the Department of Education;
- The regional director of IQMS (KZN);
- Three SEMs (Superintendents of Education Management) from the eThekwinini region who supervise the IQMS at school level. Convenience sample was used to select the three SEMS. A convenience sample is a sample that is easy for the researcher to reach. However, each SEM represents a different district in the eThekwinini Region.

In terms of the selection of the union officials, three provincial negotiators serving on the ELRC IQMS committee were chosen – one each from the South African Democratic Teachers' Union (SADTU), the Association of Professional Educator of KwaZulu-Natal (APEK) and the National African Teacher's Union (NATU). As every school could not be represented in the sample, the SEMS would be able to give a more indepth picture of schools in their respective areas while the teacher trade unions would reflect the voice of their entire membership.

3.7.4 NATURE OF INTERVIEWS

Kvale (1996: 11) regards an interview as an interchange of views between two or more people on a topic of mutual interest with the purpose of using this human interaction for knowledge production. Interviews enable participants to discuss their interpretations of situations and to express their point of view. The main advantage of the interview is that it enables the interviewer to clarify the questions and probe the answers of the respondent, providing more complete information than would be available in written form (Betram 2003: 20).

There are two types of interviews: the structured and the unstructured. The researcher is of the view that the use of structured interviews will be too restrictive. A rigid interview schedule would have to be adhered to strictly without the freedom for elaboration or

reformulation. Given this limitation, the researcher opted for the semi-structured and the unstructured interviews as data gathering tools in order to obtain depth on the issues of the IQMS. A semi-structured interview was used in interviewing departmental officials. A set of questions was developed (see Annexure E). Unstructured interviews were used in interviewing the three union officials.

3.7.5 TRAILING OF INTERVIEW QUESTIONS

Possible interview questions for the semi -structured interview were trailed with senior members of the management staff at a secondary school. This enabled the interviewer to get a feel of the interview process, to rephrase questions and to determine key questions.

3.7.6 ETHICAL CONSIDERATIONS

The informants were briefed in advance on the purpose of the study and were assured that any information provided by them will be used solely for the purposes of research. Both confidentiality and anonymity was assured. They were also allowed to withdraw from the research at any time if they so desired.

3.7.7 ANALYSIS OF INTERVIEW DATA

All interviews were audio recorded. Each interview was transcribed verbatim with some minor editing taking place for readability reasons. A qualitative content analysis was then undertaken by identifying key substantive points and grouping them into themes and categories.

3.8 DOCUMENT STUDIES

In order to answer the critical questions the researcher engaged in an in depth study of the IQMS policy documents: IQMS Collective Agreement 8 of 2003 and the IQMS Manual 2005. The following documents were also studied:

- Norms and Standards for Educators;
- The Code of Conduct for Educators;
- Roles and Responsibilities for Educators; and
- The Skills Development Act.

The tenets of the Norms and Standards for educators have informed the development of a single instrument for evaluating the performance of institution-based educators (*IQMS Collective Agreement 8 of 2003: 8*). In analyzing the contents of the above documents, the researcher integrated the salient points of these documents into the literature review and then went on to provide a critical review of these documents and other relevant education policy documents and education legislation in relation to the IQMS. This was done in line with the aim of the study to undertake a critical analysis of the IQMS as policy.

In interpreting the IQMS policy documents the aim was to:

- uncover hidden meanings with regard to the real and apparent purposes of the IQMS and its three programmes DA, PM and WSE;
- uncover contradictions especially between the use of the IQMS instrument for professional development and its use for performance measurement linked to rating scales, ‘performativity’, accountability and financial rewards;
- examine the hidden meaning of particular words and phrases in relation to their use with regard to performance standards and performance criteria and the intention to keep the three **separate** purposes of DA; PM and WSE **intact**;
- but, primarily the purpose of document analysis was to uncover the ideological underpinnings of the IQMS. NPM and New Managerialism were identified as having an influential impact on the underpinnings of the IQMS policy. The Senior Management Team, which consists of the principal, deputy principal and education specialists (heads of department), is required to ensure that the school is operating efficiently and effectively (*IQMS Collective Agreement 8 of 2003: 8*). The final monitoring agent of the ‘performing school’ and ‘performing teachers’ is the Department of Education.

3.9 CONCLUSION

This chapter provides a justification for the research design selected. The next chapter deals with the analysis of data.

CHAPTER FOUR

4. DATA PRESENTATION AND ANALYSIS

4.1 INTRODUCTION

The previous chapter outlined the research design and methodology employed in this study. This chapter focuses on the presentation, analysis and discussion of the data gathered by means of 30 survey questionnaires to principals and 300 survey questionnaires to educators in KZN as well as interviews with senior education managers and union officials. The central aim underpinning the chosen methodology and the choice of research instruments was to address the following three research questions outlined in chapter one, namely:

- To what extent are the assumptions underpinning IQMS justifiable?
- To what extent does IQMS promote accountability and determine teacher competence?
- Does IQMS facilitate professional development and school improvement?

The largely quantitative data from the two questionnaires are presented and analyzed. The questionnaire allow for open-ended responses and this allows the researcher to merge the quantitative and qualitative data. This is then followed by the presentation and analysis of the qualitative data obtained through interviews. An analysis and discussion of both questionnaires and interview data follow formulated in terms of the analytical framework outlined in Chapter 2 using a thematic approach. A summary of the main findings from the data is integrated into a section entitled, 'Emerging trends and patterns'. With regard to policy analysis, the document study as well as the critical concerns of the study, namely, the tension between accountability and professional development, an account of emerging trends and patterns from the literature review together with the main findings are presented.

Data presentation and analysis in this chapter are guided by the central aim of this study which is to examine the tension between the IQMS as a tool for monitoring accountability on the one hand and its role of enhancing teacher professional development. [It should be borne in mind that the two are not mutually exclusive.]

4.1.1 PRESENTATION OF QUANTITATIVE DATA

In presenting the quantitative data, the researcher has made use of both descriptive and inferential statistics. In order to make the data more comprehensible, the data are organized and summarized using frequency distributions and bar graphs followed by a factual description of the data. In certain instances, inferential statistical techniques are used to show links between questions and relate responses in Annexure C and D.

4.1.2 PRESENTATION OF QUALITATIVE DATA

The qualitative data presented below was gathered from open-ended questions in questionnaires as well as semi-structured interviews conducted with national, provincial and district department officials. The interviews are used as a secondary data gathering tool in order to triangulate the data gathered by means of the questionnaires as well as to provide ‘thick description’ of both the underpinning principles of the IQMS and the way its is implemented in schools. The thick description alluded to here refers to impressions, perceptions, views and opinions of the informants interviewed in this project.

The data gathered is presented thematically using verbatim quotation in order to ensure that the voices of the informants and not just that of the researcher are heard. Further, when informants made similar points the data are quantified. The identity of the informant is protected, however, and with regard to principals and educators the nature of the institution where the informant is based is given.

4.1.3 ISSUES UNDERPINNING THE DATA ANALYSIS

Neo-liberal texts, particularly the work of Hayek and monetarist theorist like Friedman herald the origins of the neo-liberal conspectus. The underpinnings of the neo-liberal project was to inject the competitive nature of ‘the market’ into what is seen as a stifling , inefficient and expensive public sector (Thrupp and Willmott 2003:15). This study focuses on the social ontology that underpins the quazi-marketization of education and offers the argument that a contradiction underpins all education policies that have readily adopted the rhetoric of the so-called free market.

The attitude towards the evaluation of educators is significantly influenced by the national government. This attitude may be influenced by the economic context and the

drive for efficiency. There could be a resultant tension between accountability and professional development in the IQMS policy and this is what an analysis of the data is meant to uncover.

The other point to be made, using an argument from Critical Theory, is that Hayek takes to task the socialist vision of a collectively planned and advanced economy and says this is a fatal conceit. Yet for Marx any good order must be a product of conscious collective purpose. Hayek adopts the extreme counter-position to Marx.¹⁶ The market must be given a free reign and one must not intervene. This study argues that this cannot be and among other things problems and situations that can be confronted and addressed or removed (ecological problems, poverty, people development and so on) would be ignored. This is one of the main concerns in the debate on the accountability versus the development purpose of teacher evaluation. If the IQMS is used to underscore accountability, it may ignore teacher development and other formative aspects of appraisal.

Clarke *et al.* (2000) argue that a central issue in the managerialization of public services has been the concerted effort to displace and subordinate the claims of professionalism. It can no longer be assumed that professionals know best; rather it seeks to legitimize and seeks to extend the 'right to manage' and is sometimes composed of discourses that present distinctive versions of 'how to manage' (9).

Whether the IQMS which embodies some of the principles of managerialism displaces teacher professionalism is also under examination in this study. The argument being put forward in this study is that the natural home of managerialism is the corporate capitalist organization and not the school. The IQMS with its supposedly mechanistic orientation should not aim be a teacher evaluation system that is inextricably underpinned by managerialism but should be redefined under more socially and politically informed lines.

NPM tends to occlude complex social, economic and political changes and focus on activity and occupation. A typical characteristic of NPM is to give attention to outputs and performance rather than inputs. Performance management presumes that the performance of activities can be made transparent to the public's gaze on a continuous

¹⁶ Alvesson and Deetz 2000 offer a comparison of the differences in the ideology of Hayek with his emphasis on market capitalism and the Marxist vision of 'collective purpose'.

and sustainable basis through audit. Information of the workings of an organization is provided by the objectification of performance through the use of performance measurement. IQMS is a system which reinforces performance management by linking teachers' pay to performance. CMS counter-poses the use of NPM in education. This study uses CMS as a critical guide to challenge social inequality or the market and managerial reform as they are reflected in South African educational policies like the performance-orientated IQMS policy. This is done through detailed analyses of the data presented.

4.2 DATA ANALYSIS OF RESPONSES TO THE IQMS: QUESTIONNAIRES

4.2.1 Questionnaires

The data analysis is based on the responses to 2 questionnaires. The questionnaire in annexure D (consisting of 4 sections) was answered by 186 educators at 5 different post levels. This included principals (post level 1 and 2); deputy principals (post level 3); heads of department (post level 4) and teachers (post level 1).

In discussing the findings the researchers has attempted to blend the quantitative and qualitative data.

4.2.2 Biographical and general information (annexure D)

Table 4.1 – Current post level

		Frequency	Percent
Valid	PL 1	147	79.0
	PL 2	20	10.8
	PL 3	12	6.5
	PL 4	4	2.2
	PL 5	3	1.6
	Total	186	100.0

The majority of the respondents (79%) are unpromoted post level one educators. 21% of the respondents occupy management posts. Post level 2 respondents are Heads of Department and post level 3 are deputy principles. Post level 4 and 5 are principals.

Opinions gathered have not been biased or limited to senior staff as 'a number of surveys

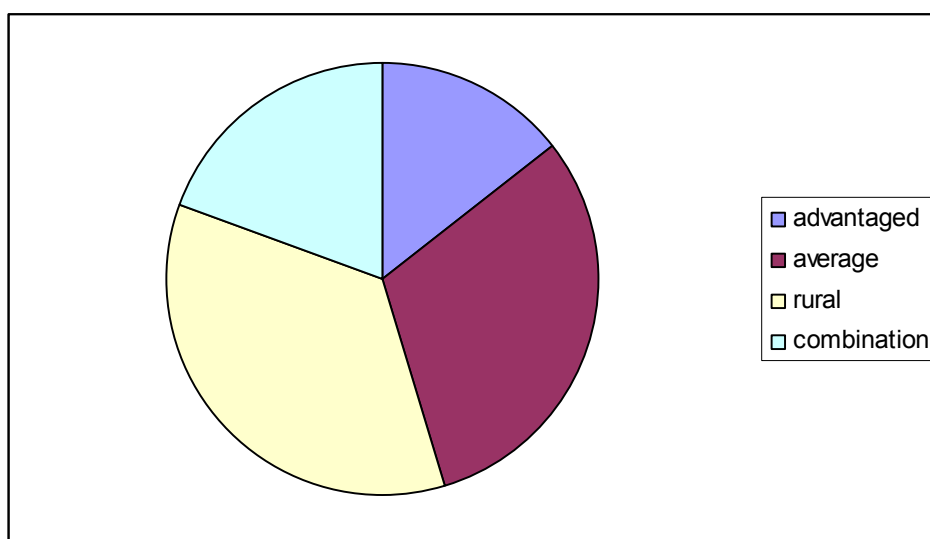
have shown that middle and lower-level staff are often more critical of reforms than their bosses' (Pollitt: 2000 : 187). The researcher is satisfied that there are sufficient respondents from all post levels.

Table 4.2 – Type of school

		Frequency	Percent
Valid	Advantaged	27	14.5
	Average	57	30.6
	Rural	66	35.5
	combination	36	19.4
	Total	186	100.0

A fair distribution of schools from the various districts in KZN has been taken based on location as well as socio-economic status. Approximately 14.5% of the sample is advantaged schools; 31% are average schools; 36% are rural schools and 19% are combination type schools. This is also shown in a diagrammatical representation (Figure 4.2). The socio-economic status of the school is related to location because schools located in urban and suburban areas are mostly advantaged former white schools. Black schools are mostly in rural areas. Races were distributed according to areas under the Group Areas Act during apartheid days and these inequalities still exist today although the Government has attempted to address these inequalities.

Figure 4.2 – Type of school



Schools less than 51 km from the city centre include advantaged, average and combination-type schools. Advantaged schools are schools that are privileged in terms of physical and human resources. These schools are situated in urban areas and include former Model C schools¹⁷ and Section 21 schools. Average schools have adequate resources. Rural schools are schools located within a radius of more than 51 km from the city centre. Many of these schools have underqualified and unqualified staff and inadequate resources. Combination schools have learners from urban and rural areas as well as a fair number of qualified staff (KZN EMIS 2003). A fair distribution of schools responded to the questionnaire. The type of school is an important factor in evaluating how IQMS principles are realized. CMS argues that performance evaluation policies can reinforce established class and social inequalities and often ignores or views as pathological the context under which disadvantaged schools work.

4.2.3 Performance evaluation (annexure D)

4.2.3.1 Responses to individual questions

Table 4.3: In favour of being evaluated.

b1

		Frequency	Valid Percent
Valid	Yes	147	80.3
	No	36	19.7
	Total	183	100.0
Missing	System	3	
Total		186	

80% of the respondents were in favour of being evaluated. Almost 20% percent were against the use of the IQMS instrument. These teachers mostly came from advantaged schools where a high status is placed on their professionalism. These teachers who favour autonomy are highly qualified and feel they should be left to get on with the job.

¹⁷ These schools are the former 'white' schools that existed in the apartheid era and are advantaged in terms of human and financial resources.

On the other hand, 80% of teachers welcomed the IQMS as a policy that will promote professional development and improve teacher competence.

The advocacy campaign used in the IQMS viewed via the lenses of Critical Management Studies show how discourses of the market sell, legitimize and enforce policy. IQMS is promoted as a win-win policy simultaneously serving teachers' development needs and promoting accountability in the teaching profession. Critical research such as this study seeks to uncover the assumptions underpinning the IQMS policy and see whether it is embedded in broader patterns of relations of dominations, relations which operate to narrow and compromise laudable aims of development and professionalism (see Procter & Mueller, 2000; Batt & Doellgast, 2006).

Table 4.4 – Received support and assistance from DSG

b2

		Frequency	Valid Percent
Valid	Yes	147	79.9
	No	37	20.1
	Total	184	100.0
Missing	System	2	
Total		186	

Table 4.3 and 4.4 prove that 80% of teachers are happy to be evaluated and eager to receive support and assistance from their DSG. This indicates that teachers support the developmental aspect of IQMS and it also presupposes that there is a **need** for development.

However, the CMS argument is that developing teachers should not **simply** prepare them to take their place in efforts to improve the school's performance. This vision of the IQMS will marginalize efforts to equip teachers to think critically about issues of public good and ignores the fact that managers and teachers often may find themselves tugged in competing directions by their loyalties to various stakeholders and

their personal commitment to values other than performativity. Whereas the IQMS proposes an almost technocratic approach to improving teacher competence via various performance criteria, CMS encourages a broader, more questioning approach that aims to provide a wider range of ways of understanding and evaluating teaching and the business of developing and managing people (Zald 2002: 19).

Table 4.5 - 4.8 is used to gauge whether respondents are familiar with the workings of the IQMS and should be able to provide sound commentary on whether it is used as an accountability tool instead of fulfilling its intention of promoting professional development. Most of the respondents said that they have implemented and understood IQMS.

Table 4.5 – Good understanding of the IQMS document

		Frequency	Valid Percent
Valid	Yes	157	86.3
	No	25	13.7
	Total	182	100.0
Missing	System	4	
Total		186	

b3

The majority of the respondents felt that they understood the IQMS policy. Approximately 13.7% felt it was a complex policy with complicated performance standards and sub-categories. Some respondents stated that the IQMS discourse needs to be simplified to suit the needs of implementers for whom English is often a second language¹⁸.

¹⁸ Afrikaans-speaking teachers have taken the incentive to translate the document into Afrikaans. There is no translation in the African languages. South Africa has eleven official languages.

4.6 – Performance criteria clear and specific

b4

		Frequency	Valid Percent
Valid	Yes	134	73.6
	No	48	26.4
	Total	182	100.0
Missing	System	4	
Total		186	

It is interesting to note that double the number of teachers (26%) to those who found the IQMS document complex said that the performance criteria were not specific or clear. This may be an expected reaction because the same score is given to every criteria.¹⁹ Respondents felt that some of the performance criteria were ambiguous and there was overlap. Respondents had no choice except to follow the IQMS document strictly. However, it would appear that policy makers simply gloss over contradictory implications and educational organizations simply have to ‘shut up’ and ‘put up’.²⁰

Table 4.7 examines data related to one of the main purposes of the IQMS, professional teacher development.

Table 4.7 – Evaluated for professional development purposes

b5.1

		Frequency	Valid Percent
Valid	Yes	169	93.4
	No	12	6.6
	Total	181	100.0
Missing	System	5	
Total		186	

¹⁹ A discussion of the performance criteria used in the assessment of teachers in the IQMS instrument is given in the literature review.

²⁰ According to the Basic Conditions of Employment Act No. 75 of 1997 employees have to implement policies imposed by legislation. The fact that performance criterion have rating scores and is linked to pay rewards also enforces compliance.

Approximately 93% of educators were evaluated for professional development purposes. However, the first professional development evaluation is the baseline evaluation and consequently the summative assessment for the year becomes the professional development assessment for the following year. There is a danger implicit in such an arrangement as it can give more importance to summative assessment procedures and result in professional development activities being curtailed.

The use of ‘critical’ in CMS signifies more than an endorsement of the standard norms of scientific skepticism or the general value of ‘critical thinking’. It also signifies more than a focus on issues that are pivotal rather than marginal. The professional development of teachers is a pivotal issue in South African education (see the Report on Teacher Development 2005) and it should not be marginalized in favour of summative procedures and accountability measures linked to rewards in the name of ‘performance’.

Besides Development Appraisal (DA), the IQMS is also used for performance measurement (PM). Table 4.8 provides data on the implementation of PM.

Table 4.8 – Evaluated for performance measurement purposes

b5.2

		Frequency	Valid Percent
Valid	Yes	172	96.1
	No	7	3.9
	Total	179	100.0
Missing		7	
Total		186	

Almost all educators (96.1%) have been evaluated for performance measurement purposes and this is not surprising as performance measurement is linked to pay progression. It is interesting to note, however, that some educators have managed to escape the system (3.9% in this study). The IQMS, in a policy climate dominated by managerialism, is enforced by the use of performance-related pay.

Tables 4.9- 4.16a provides data relating to the critical questions of the study that focuses on whether the IQMS improves teacher competence by identifying teachers’ strengths

and weaknesses. This, according to the policy is one of its main goals. It also examines whether the IQMS provides benefits in terms of an educator's professional development. The issue of whether assistance provided by DSGs improves teaching and learning also comes under scrutiny. The role played by the DSG is central to the performance appraisal of teachers and hence to their professional development. All these issues revolve around the principles of the IQMS as set down in the IQMS manual. Table 4.9 is used to gauge whether the use of the IQMS is a good indicator of a teacher's strength as a classroom practitioners and can indicate weakness that need to be eradicated.

Table 4.9 – IQMS has given a good indication of strengths and weaknesses

b6

		Frequency	Valid Percent
Valid	Yes	140	76.9
	No	42	23.1
	Total	182	100.0
Missing	System	4	
Total		186	

Over 75% of the respondents agree that the IQMS has been able to identify their strengths and weaknesses as educators. The point is, can the procedures of the IQMS develop these strengths and eradicate these weaknesses. However, the researcher is under the impression that teachers' responses appear to be guarded. The unreliability of information gathered by the questionnaire method of surveying opinion is well known to be hazardous as the questionnaire is not a scientific instrument. It is an easy and rapid method of 'obtaining information or non-information' one never knows which (Cohen, Manion and Morrison 2001). This has to be taken into account in the analysis of the data. However, the literature review on teacher evaluation is adamant about improving the effectiveness of work performance by the setting of combined improvement goals and making sure that the teacher receives the necessary training to overcome weaknesses in teaching.

Table 4.10 – IQMS benefits teachers

b7

		Frequency	Valid Percent
Valid	1	18	10.1
	2	26	14.6
	3	99	55.6
	4	21	11.8
	5	14	7.9
	Total	178	100.0
Missing	System	8	
Total		186	

Average score = 2.93

The responses are fairly evenly divided between agree and disagree. The majority of the respondents rate the benefits of the IQMS on a scale of 1-5 as a 3. This is an average score. One can safely assume that IQMS as an evaluation system should be used to develop a wide range of teaching and managing skills and facilitate the deep learning of teachers before it can be regarded as beneficial to teachers and managers. The previous discussion in the literature review has highlighted the fact that professional development is best served by using formative evaluation that takes place on a continuous basis. Respondents in this survey have expressed their disappointment that the IQMS is a one-off event in their schools.

Table 4.11 – IQMS resulted in improvement in teaching and learning

b8

		Frequency	Valid Percent
Valid	1	14	7.8
	2	22	12.3
	3	71	39.7
	4	39	21.8
	5	33	18.4
	Total	179	100.0
Missing	System	7	
Total		186	

Average score =3.31

Answers are slightly biased towards disagree. Almost 80% of the respondents have given it a rating of 3 or below. This is indeed a worrying factor as one of the main purposes of the IQMS is to improve teaching and learning. The purpose of whole-school evaluation is school improvement.²¹ There are a number of factors that influence teaching and learning in South African schools. Media reports mention crime, teenage pregnancy, drugs, poor discipline etc. Looock *et al* (2006) describe the IQMS as being educator-based. This shifts the responsibility for learner achievement onto the teacher's shoulders.

The question arises are the true purposes of the IQMS being thwarted in favour of controlling and judging teachers in the name of accountability. It also makes an argument that practitioners felt that they needed help with improving teaching and learning at their schools. Educators expressed a need for guidance and direction in their teaching. Some educators mentioned that the IQMS did not have a positive effect on their professional development in their open-ended responses. Accountability measures do not appear to work especially with schools that experience the effects of social disadvantage. The IQMS policy underplays the impact of social inequality on teacher development and school improvement.

Relationships between performance evaluation variables

Table 4. 12 – Assistance (b₂) versus indication of strengths and weaknesses (b₆)

		B6		Total
		Yes	No	Yes
b2	Yes	124	21	145
	No	15	21	36
Total		139	42	181

Chi-square = 31.120 with a p-value of 0.000.

²¹ The IQMS policy makes provision for the educators to have a Personal Growth Plan (PGP) and for schools to have a School Improvement Plan (SIP). Teachers and schools are asked to critically reflect on their performance and satisfy the minimum criteria given in the IQMS policy in order to improve teaching and learning in their schools.

Those who stated that they received assistance from their DSG have a much better indication of their strengths and weaknesses than those who did not receive assistance. Unfortunately, the data reveals that a negligible number of respondents received assistance. Some teachers stated that the data from teacher evaluation is not used to communicate with teachers ‘how well they have done or are doing with their teaching work’. Apart from being used to give feedback and guidance to teachers the data from teacher evaluation could also be used for professional development.

At this point it should be mentioned that respondents felt that the competences of the DSG team is vital in the implementation process of the IQMS. Some of the competencies mentioned were good interpersonal skills, personal integrity, providing constructive criticism and having credibility both as an evaluator and a developer of programmes for professional teacher development. Accountability only featured in the form of addressing poor performances in cases where it was deemed necessary.

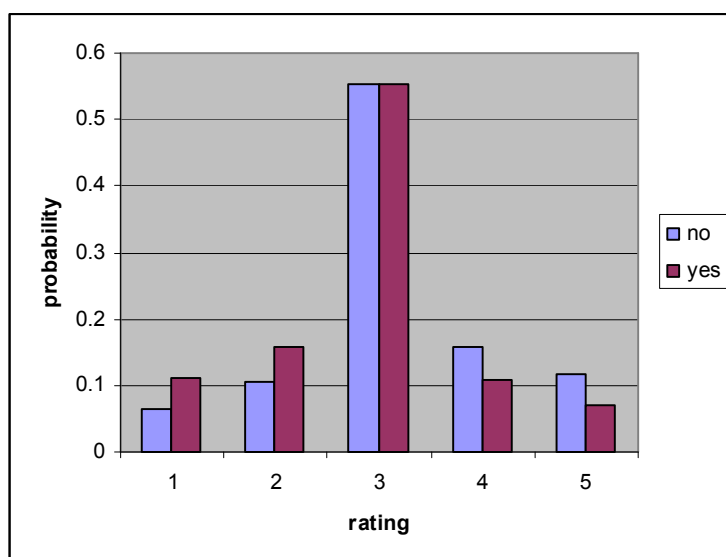
Table 4.13 examines whether assistance by the DSG resulted in benefits to teacher.

Table 4.13 – Assistance (b_2) versus benefit to teachers (b_7)

		b_7					Total
		1	2	3	4	5	1
B2	Yes	16	23	75	16	10	140
	No	2	3	23	5	4	37
Total		18	26	98	21	14	177

The graph shown below was obtained by fitting an ordinal regression with b_7 as dependent variable and b_2 as independent variable to the data.

Figure 4.13 – Probabilities for different ratings of b_7 by using b_2



There is some indication that those who did not receive assistance from their DSG disagree more (agree less) on benefits to teachers than those who did receive assistance. The graph shows slightly larger probabilities for b2 = 'yes' at ratings 1 and 2 and slightly smaller ones at ratings 4 and 5. Receiving assistance from their DSG is regarded positively by teachers. It can be argued that in these schools summative procedures have gained ground and performance measurement is being given prominence. These schools merely fulfill the external demands of the IQMS policy.

Table 4.14 – Assistance (b₂) versus improvement in teaching and learning (b₈)

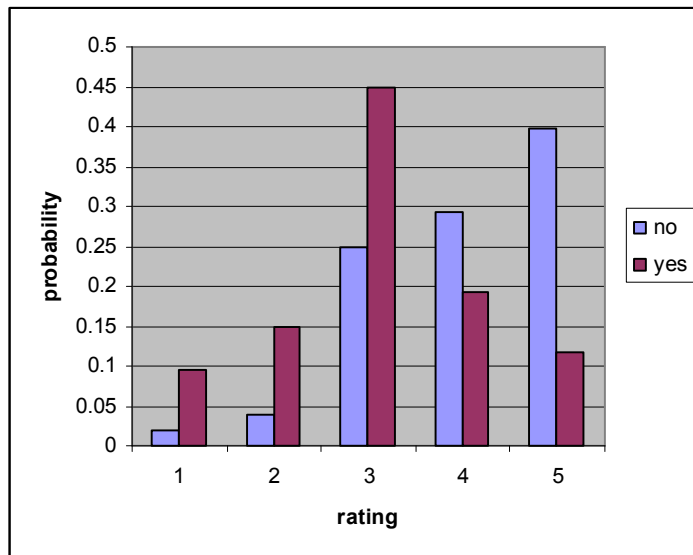
		b8					Total
		1	2	3	4	5	1
b2	Yes	14	22	62	21	22	141
	No	0	0	8	18	11	37
Total		14	22	70	39	33	178

Kendall's Tau = 0.335 with a p-value of 0.000.

This indicates that teacher's perceptions are that assistance can lead to an improvement in teaching and learning. Teachers regard professional development through mentoring.

coaching and professional development activities as vital. Continuous Professional Development (CPD) is regarded as a laudable aim. 141 of the 178 teachers agree that the IQMS if used for its primary DA purpose can improve teaching and learning in schools. This is depicted in Figure 4.14.

Figure 4.14 – Probabilities for different ratings of b_8 by using b_2



The graph reveals that support from the DSG is an important factor in determining perceptions on benefits to teachers and improvements in teaching and learning. The presence of such support clearly has a positive effect on these perceptions. ‘Yes’ responses overshadow ‘No’ responses at ratings of 1, 2 and 3.

The researcher feels that the IQMS is potentially a progressive and positive approach to teacher evaluation. However, in a country like South Africa, with its deep inequalities, the sad irony is that best-trained and well-resourced teachers and schools can constructively follow its strategies. Other types of schools have found the IQMS to be a burden and a disappointment.²²

Table 4. 15 deals with the perception of teachers from different types of schools and makes a comparison between them.

²² This assertion is supported by Duncan Hindle, director-general in the national Department of Education (The Teacher 2008: Volume 13)

Table 4. 15 – Assistance (b₂) versus school type

		School				Total
		Advantaged	Average	Rural	Combination	
b2	Yes	14	49	56	28	147
	No	13	7	10	7	37
Total		27	56	66	35	184

Chi-square = 16.241 with a p-value of 0.001.

Advantaged schools receive less assistance from DSGs than schools that are less advantaged. These schools have the most number of qualified and experienced staff. These schools persevere with professional autonomy as the expertise of their educators is recognized. However, these schools are marketed aggressively and are further advantaged because they attract middle class learners. These schools have less pressured discipline systems with higher levels of learner compliance and are able to support a more academic school programme. Their management has fewer staff, marketing and fundraising problems and more time to organize and manage their schools than their working class counterparts. A critique of NPM is that it commodifies education which permits people with sufficient money to buy educational services without any justification to others who have equal, if not more, need for them.²³

Table 4.16a – Type of school versus improvement in teaching and learning (b₈)

		School				Total
		Advantaged	Average	Rural	Combination	
b8	1	0	2	10	2	14
	2	0	10	6	6	22
	3	3	20	33	15	71
	4	16	15	5	3	39
	5	8	9	7	9	33
Total		27	56	61	35	179

²³ For a complete discussion on the sociological roots of inequality and the polarization of schools as a result of the quazi-marketization of schools refer to Gewitz et al (1995) and Lauder et al (1999).

Chi-square = 54.732 with a p-value of 0.000.

Table 4.16b – Mean improvement scores for schools

School	Mean
Advantaged	4.19
Average	3.34
Rural	2.89
Combination	3.31

Advantaged schools agree less on improved teaching and learning through the IQMS. The other types of school agree that the IQMS has the potential to improve teaching and learning. The performance standards of the IQMS support better teaching and management and reward it. This brings to mind the educational vulnerability of the other types of schools, who agree that the IQMS can improve teaching and learning in their schools but because of poverty, context, educational qualifications of their staff or the lack of it and lack of attainment of their learners are unable to fulfill its demands.

The IQMS appears to be socially blinkered holding out little hope for ‘deprived’ schools. There is only the thinnest discussion on this when context is incorporated into the performance criteria. Therefore the IQMS should be critiqued for its managerial concept of ‘ensuring compliance’ and assuming that policy can be regulated so that a single solution can be implemented by all.

Marxism asserts the unity of the interests of the capitalist class in opposition to the working class (Cohen 1978) . Marxism is a useful platform to study how a system like the IQMS further disadvantages ‘working class’ schools and privileges ‘elite schools’ which have financial and human resource power to fulfill its strategies. Gramsci influenced by Marx developed a sophisticated account of hegemony to show how class structuring affects civil society (Carroll and Carson 2003: 76). The challenge for South African schools would be to break class barriers using a system of evaluation that will develop its chief resource, teachers in all schools. It is a huge challenge but necessary given the inequalities of the past. The point is that the IQMS in its present form does not

have any inbuilt mechanism to do this and should be used in conjunction with a teacher development policy that addresses class inequalities.

The IQMS has both formative and summative purposes. The researcher is of the view than under the influence of NPM, summative aspects of teacher assessment have overtaken formative procedures geared towards the professional enrichment of teachers. It remains to be seen whether the data gathered in the questionnaires support this assertion.

Table 4.17 – Formative assessment (b_{5.1}) versus summative assessment (b_{5.2})

		b5.2		Total
		Yes	No	Yes
b5.1	Yes	163	3	166
	No	8	4	12
Total		171	7	178

Chi-square = 29.441 with a p-value of 0.000.

Almost everyone who was evaluated for professional development purposes (formative assessment) was also evaluated for performance measurement purposes (summative assessment). It appears that most schools that did DA felt that their educators benefited professionally. However, ironically it is advantaged schools who do not feel that the IQMS benefits them in anyway despite having the financial resources to institute teacher development programmes. This could be because they perceive the IQMS primarily as a developmental tool and since they have ‘qualified staff and a high experience of school success’(Respondent from an advantaged school), teacher evaluation is done purely for performance measurement purposes in order to move over salary bars.

The literature review states that there is evidence to suggest how increased emphases on assessment against narrow criteria – whether through inspection, review or performance management encourages teachers to teach to the test.²⁴ Helsby (1999) discusses how ever-present accountability demands have brought a focus on summative demands. This

²⁴ Middlewood and Cardno 2001.

focus may have changed the focus of educators to the academic rather than pastoral and could be detrimental to comprehensive education.

Summative assessment under the IQMS is done by managers. In the sphere of management, the common assumption is that someone has to be in charge and that managers are experts by virtue of their education and training so they can make important decisions on the performance of employees. CMS questions the self-evidence of such assumptions. CMS research portrays current management practices as institutionalized yet precarious, outcomes of struggles between those who have mobilized resources to impose practices and others who have lacked the resources to mount an effective challenge and thereby establish an alternative. CMS questions the value of education, the taken-for-granted assumptions about what is good teaching etc. and radicalizes neo-institutional theory (e.g. Benavot, Cha, Kamens, Meyer and Wong, 1991 on schooling).

This would serve to challenge the place, purpose and principles of summative assessment and quantitative processes in the field of education. Respondents in this study have expressed their dissatisfaction with DA which is supposed to be a transparent, formative exercise in professional development being integrated with PM which relates to salary progression, affirmation of appointments and rewards and incentives. The general view on teacher assessments was that they are not reliable means of measuring performance.

4.2.4 Professional development (annexure D)

These questions determine whether activities related to professional development follow evaluation. The extent to which development and training needs are met will depend on the perception of which is given greater weight, professional development (DA) or accountability (PM). The data analysis reveals that many teachers felt pressurized by the often competing demands of government initiatives and strategies. The demands of accountability prevent many schools from concentrating on the issues and concerns of most importance to their schools, in their particular context. Many schools were not able to harness the energy of a reform policy like the IQMS and align it with their internal priorities.

4.2.4.1 Responses to individual questions.

Table 4.18 – Feedback from evaluators on job performance

		Frequency	Valid Percent
Valid	Yes	123	66.8
	No	61	33.2
	Total	184	100.0
Missing	System	2	
Total		186	

Approximately 67% received feedback from evaluations.

Table 4.19 – How much feedback from evaluation?

		Frequency	Valid Percent
Valid	A great deal	24	13.0
	Moderate	101	54.9
	little or none	59	32.1
	Total	184	100.0
Missing	System	2	
Total		186	

Although 67% of educators did get feedback from evaluation; 87% felt that there was moderate, little or no feedback. This augurs poorly for the professional development purpose of IQMS as feedback is the first step to determine professional development needs.

Tables 4.20-4.24 reveal that follow-up activities after teacher evaluation takes place is receiving average to no attention. This augurs poorly for the purposes of the IQMS and its intention to train and equip teachers with the necessary skills and competences.

The following tables provide data on training and professional development and whether the processes of the IQMS have led to an improvement of teaching and learning. Table 4.20 reveals that approximately 55% of respondents discussed their training/development

needs with their DSG but only 45% engaged in follow-up activities to improve their performance.

Table 4. 20 – Training/development needs discussed

		Frequency	Valid Percent
Valid	Yes	102	55.7
	No	81	44.3
	Total	183	100.0
Missing	System	3	
Total		186	

Table 4.21 – Follow-up actions to improve performance

		Frequency	Valid Percent
Valid	Yes	81	44.8
	No	100	55.2
	Total	181	100.0
Missing	System	5	
Total		186	

Table 4.22 – Impact of the IQMS on professional development and improvement as educator.

		Frequency	Valid Percent	Cumulative Percent
Valid	80-100	10	5.5	5.5
	70-79	32	17.6	23.1
	60-69	45	24.7	47.8
	50-59	33	18.1	65.9

	40-49	29	15.9	81.9
	30-39	11	6.0	87.9
	20-29	12	6.6	94.5
	0-19	10	5.5	100.0
	Total	182	100.0	
Missing	System	4		
Total		186		

Estimated mean = 55.16. Only 5% of respondents said that IQMS had an 80% impact on their development and improvement as educators.

Clearly this has implications for practitioners. The IQMS does not appear to be a genuinely educational policy promoting professional development and improvement. This raises concerns about managerialist politics and makes the argument that ‘high stakes’ managerial accountability measures will not work in the South African context because teachers need help not admonition. Respondents stated that they needed capacity building to fulfill the requirements of the IQMS.

The IQMS is about apparent national improvements in school performance and classroom teaching. However, if schools and teachers are placed under ‘performative’ pressures than the whole idea of schools as learning organizations and teachers engaging in lifelong learning is lost.

Performance management policies like the IQMS link dual goals of pressure in the name of accountability and support in the name of development. It needs to be pointed out that pressure has important costs and is in tension with nurturing professional learning. However, the researcher has no problem with the building of capacity of teachers as part of a coherent national policy like the newly proposed National Policy Framework for Teacher Education and Development. Professional Development has long been recognized as an integral part of the ‘core duties and responsibilities’ of school-based educators employed by Provincial Education Departments (ELRC Resolution No. 7 and 8 of 1998). Principals are required to take responsibility for the development of staff training programmes.

4.2.4.2 Relationships between professional development variables

Table 23 – Feedback (c₉) versus amount of feedback (c₁₀) from evaluation

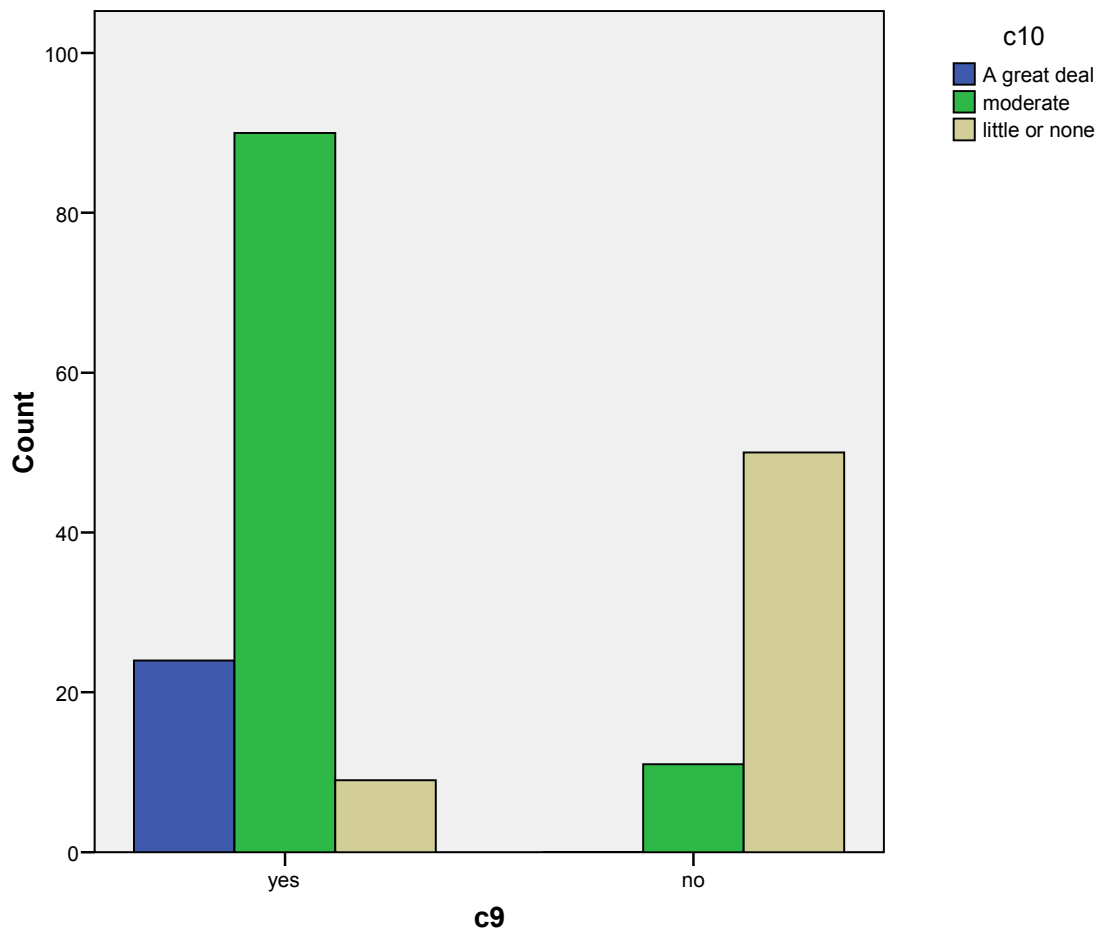
		C9		Total
		Yes	No	Yes
C10	A great deal	24	0	24
	Moderate	90	11	101
	little or none	9	50	59
Total		123	61	184

Chi-square = 105.354 with a p-value of 0.000.

59 of the 184 respondents received little of no feedback from their evaluation while 101 of the 184 respondents received moderate feedback. Feedback from appraisal is an important aspect of teacher evaluation systems in the context of performance management and identifies areas for professional development (Bell 1988: Fitzgerald 2001).

Figure 4.23 - Feedback (c₉) versus amount of feedback

(c₁₀)



The vast majority (90 of 123 = 73%) of those who answered “yes” to c₉ reported moderate feedback. Over 80% (50 out of 61) of those who answered “no” to c₉ reported little or no feedback. While quantitative aspects of the IQMS are followed, the qualitative aspects of feedback, teacher development and other improvement strategies appear to be neglected. The researcher speculates that this comes has no surprise as the intensification of workloads and the divisive effects of performance-related pay may lead to the decline of nurturing professional learning organizations.

Table 4.24 – Discussion of training/development (c_{12.1}) needs versus follow-up actions (c_{12.2}) to improve performance

		c12.2		Total
		Yes	No	Yes
c12.1	Yes	78	24	102
	No	3	76	79
Total		81	100	181

Chi-square = 95.097 with a p-value of 0.000.

In most of the cases (154 out of 181 = 85%) either discussion of training/development and follow-up actions both happen or neither happen. A further explanation of this split in answers can be seen from the tables below.

Table 4.25 – Discussion (c_{12.1}), follow-up actions (c_{12.2}) and school type

School			c12.2		Total
			yes	No	Yes
Advantaged	c12.1	Yes	6	0	6
		No	0	20	20
	Total		6	20	26
Average	c12.1	Yes	14	8	22
		No	2	31	33
	Total		16	39	55
Rural	c12.1	Yes	41	11	52
		No	0	12	12
	Total		41	23	64
Combination	c12.1	Yes	17	5	22
		No	1	13	14
	Total		18	18	36

Table 4.25 shows that the more (less) advantaged a school the more (less) the ratio of ‘no/no’ to ‘yes/yes’ responses increase. This means that the more advantaged a school,

the more likely it is that it will plan follow-up actions. Table 4.25 shows that schools that are not advantaged are more likely (than advantaged ones) to discuss training needs and not plan follow-up actions. One can speculate that this is because they lack the professional expertise and resources to plan and execute professional development activities irrespective of recognizing that their educators need training and development.

CMS proponents will argue that the IQMS articulates such class divisions and structures of dominations in which ‘superior schools’ shine and ‘inferior schools’ sink further into the mire. As long as the market is the dominant mechanism for allocating resources, community and government influences are forced into a subordinate role. This subordination is reinforced when narrow goals like performativity supersede the interests of society as a whole and other goals like social justice, community and human development are marginalized. (<http://aom.pace.edu/cms>)

Table 4.26 – Mean of impact of the IQMS for type of school

School	Mean
Advantaged	44.3148
Average	53.3182
Rural	60.9063
Combination	55.8889
Total	55.1593

Performing an analysis of variance shows that the means for the different schools are not all equal ($F = 5.231$ with $p\text{-value} = 0.002$). The Duncan tests show that the mean for advantaged schools is less than that for the other 3 types of schools ($p\text{-value} = 0.086$ or less). Educators from these schools rate the impact of IQMS lower than those from the other 3 types. This shows that educators from advantaged schools use the IQMS mainly for performance measurement purposes. Market mechanisms dominate as these schools compete with each other for learners who have the buying power to seek a more ‘privileged’ education.

Tables 4.27-4.28b deal with the critical question of whether the IQMS has achieved its stated purposes. The purposes of the IQMS were listed in the questionnaire provided and schools had to rate them on a scale of 1- 6. These choices reveal teachers' perceptions on the real purposes of the IQMS.

Table 4.27 – Mean rank of purposes of the IQMS

Purpose	mean rank	Importance
Enhanced teaching and learning	2.89	1
Increased commitment to development returns	3.08	2
Clarify performance requirements	3.27	3
Improved skills and knowledge	3.39	4
Increased accountability	3.47	5
Improve whole-school development	3.79	6

Educators perceive the main purposes of IQMS to be enhanced teaching and learning and increased professional development. Accountability is given a rating of 5 which ranks it quite low in the eyes of educators and whole-school development is given the lowest ranking.

Ironically, educators' perception of the purpose of the IQMS differs from the reality on the ground which shows a misalignment between its three purposes, DA, PM and WSE. This study reveals that professional development activities are regarded as an add-on even when the school has submitted a school improvement plan. Improved whole-school development is given the lowest ranking. The study reveals that the IQMS is more interventionist, and considerably more managerialist with outcomes as the focus and an emphasis on achieving externally determined performance standards.

Table 4.28a shows how the different types of schools regard the purposes of the IQMS. The seven purposes given in the questionnaire have been extracted from the IQMS document and reveal the policy's philosophical vision for implementing performance management in schools.

Table 4.28a – Mean rank comparisons of purposes of the IQMS for type of school

Purpose	Ranks			
	adv.	Avr.	Com.	rur.
Enhanced teaching and learning	2	1	1	1
Increased commitment to development returns	1	2	5.5	5
Clarify performance requirements	4	3	4	3
Improved skills and knowledge	5	5	3	2
Increased accountability	3	4	2	6
Improve whole-school development	6	6	5.5	4

The entries of 5.5 under combined schools indicate a tie in average ranks.

adv. – advantaged schools

avr. – average schools

com. – combined schools

rur. – rural schools

Kendall's coefficient of concordance (agreement) of the average ranks of 4 types of school shows a value of $s = 139.5$. This is not quite significant at the 5% level of significance (cut-off value is 143.3), but sufficiently close to suggest some disagreement amongst the school types. Table 28a suggests that the main differences among the ranks occur with purposes 1 (improved skills and knowledge), 2 (increased accountability) and 3 (increased commitment to development returns). The differences between the different types of schools are given in table 4.28b.

Table 4.28b – Differences in ranking for school types

Purpose	Type of difference
Improved skills and knowledge	Advanced and average schools rate it lower than combined and rural schools.
Increased accountability	Rural schools rate it lower than the other 3 types of school.
Increased commitment to development returns	Advanced and average schools rate it higher than combined and rural schools.

Rural schools especially are in disagreement with the focus on accountability in the IQMS as they rate it the lowest. Nor are they concerned with improving their skills and knowledge which they do not have in the first place. They are more interested in the professional development of their teachers and **acquiring** skills and knowledge. Many teachers from rural and township schools have actually asked in their responses for the IQMS to be a ‘cultivating system’ with experienced teachers acting as mentors to younger teachers. This is at the school level. At the district level, some teachers mention the need to set up a development fund and other supports such as supervisor-mentor and subsidization for transport fares and book expense when engaging in professional development activities outside school.

NPM with its neo-liberal rhetoric may ignore the social dimension of reform and hence the plight of these schools as its policies (like the IQMS) focuses on outcomes. The IQMS policy exhibits a similar tension to the accountability versus teacher development issue which features in the international literature on performance management in the public service by promoting the importance of context while presenting a largely decontextualised policy. One way to interpret this is to say that policy makers are only paying lip service to context. However, it could also be possible that policy writers have yet to find ways out of generic discourses which have dominated education policy for so long.

4.2.5 Accountability (annexure D)

As accountability is the other side of the coin in the IQMS, the following analysis examines the performance measurement aspect of the IQMS concerned with ‘quality’, ‘standards’ and ‘performity’ linked to incentives. This study examines the possibility that a neo-liberal agenda is driving South African educational policy with its emphasis being bureaucratic and managerial forms of accountability.

4.2.5.1 Responses to individual questions

Table 4.29 – Evaluator is using consistent standards

		Frequency	Valid Percent
Valid	1	23	13.5
	2	34	20.0
	3	59	34.7
	4	35	20.6
	5	19	11.2
	Total	170	100.0
Missing	System	16	
Total		186	

Over 55% of respondents rated consistency in standards either a 3 or 4 on a scale of 1-5. This is an average response. Although IQMS aims to ‘weigh’ teachers on a rating scale according to set performance standards, teacher evaluation is still fundamentally a ‘human’ activity and therefore subjective. If it is linked to incentives and rewards, the respondents preferred more objectivity. They were against biased judgements of any form.

Table 4.30 – Happy with rating scale

Valid	Yes	119	66.9
	No	59	33.1
	Total	178	100.0
Missing	System	8	
Total		186	

66.9% are happy with the rating scale. However, comments were made by the respondents that the use of a five point rating scale will give a better range of allotting scores.²⁵ One teacher mentioned in the open-ended response that the ranking according to the rating scale did not motivate teachers to take action to improve. The evaluation

²⁵ The IQMS uses a four point rating score.

results determine whether or not and to what extent they receive the material benefits. As one teacher said:

The IQMS is linked to material benefits teachers get.

Table 4.31 – Accountability versus professional development

		Frequency	Valid Percent
Valid	Accountability	50	34.2
	professional development	55	37.7
	Both	41	28.1
	Total	146	100.0
Missing	System	40	
Total		186	

Chi-square = 28.581 with a p-value of 0.000.

The respondents that are not happy with the rating scale disagree more with consistency in standards than those who are happy with it. The scales are tipped slightly in favour of professional development. One would have expected a better response. The type of school may have a bearing on this response. However, the researcher is in agreement with Mentor et al. (1997) who argue that new managerial discourse ‘manufactures consent’ to reform and suggest that this makes it increasingly difficult for teachers to talk about loss of control over teaching, and leads to under-reporting by researchers of feelings of alienation and deskilling. They point to the gap between the ‘model of the responsible, accountable professional on public display and the private experience of bitterness, anxiety and overload’ (Mentor et al. 1997: 115 quoted in Trupp and Willmott 2001: 42)

Table 4.32 – Accountability/professional development and type of school

		D5			Total
		Accountability	professional development	Both	
School	advantaged	14	8	3	25
	Average	15	13	16	44
	Rural	14	23	10	47
	combination	7	11	12	30
Total		50	55	41	146

Chi-square = 13.016 with a p-value of 0.043.

The data reveal the following:

- Respondents from advantaged schools favour accountability over professional development.
- Respondents from average schools are more or less evenly divided between accountability and professional development.
- Respondents from rural schools and combination schools favour professional development over accountability.
- There is strong support for both accountability and professional development among respondents from the non-advantaged schools.

South Africa has a greater number of rural and combination schools than advantaged and average schools in the public service (EMIS 2003). Hence one can assume that in the South African context, professional development is far more important than accountability. If the IQMS is not seen as a fully endorsed and credible professional development tool then needless to say the professional and personal growth of teachers would be stunted and this could tarnish the integrity of our education system.

CMS proponent would agree as CMS challenges the view, so deeply embedded in mainstream studies of management, that the value of social relationships in the workplace is essentially instrumental. For this study this assumption is critiqued as ‘performativity’. According to NPM, the task of management is to organize factors of production including human labour in a way that ensures their efficient and effective application. Accordingly people like teachers are reclassified as ‘human resources’ and organizational

arrangements are studied in terms of maximizing outputs. Goals such as improving working conditions or extending the scope for collective self-development and self-determination are not justifiable as ends in themselves but only used if they help improve performance or bestow legitimacy upon oppressive practices like performance measurement and accountability. This practice is sometimes explicit, for example in the use of league tables of examination results in the UK and sometimes they are implicit in ethically-framed, ‘normative’ versions like the IQMS.

At present the national Department of Education is seriously considering moves to link teacher performance to examination results.²⁶ All action will then be evaluated under the norms of instrumental means-ends rationality. Such instrumentalism would mean that concerns like professional development and meaningful democracy in the workplace could be ignored or at best be accommodated by token adjustments. Welfare-related concerns may give way to ‘performativity’ concerns.

4.2.6 Biographical and general information (annexure C)

Annexure C is dealt with separately as it was administered to principals only. It relates the IQMS processes to the area of performance management and gauges whether principals as managers see it as worthwhile tool to evaluate educators and schools and help in professional and whole-school improvement.

Table 4.33 – Years of experience as principal

		Frequency	Valid Percent	Cumulative Percent
Valid	0-3	5	20.0	20.0
	4-6	2	8.0	28.0
	7-9	6	24.0	52.0
	10 and over	12	48.0	100.0
	Total	25	100.0	

Estimated mean = 7.9 years. Almost 50% of the principals have over 10 years in this post.

²⁶ There are also moves in the pipeline to revive the inspectorate by introducing the National Education and Evaluation Unit, a new school inspection body due to start operating next year (The Teacher 2008: 2)

cxliv

Table 4.34 – Gender (principal)

		Frequency	Valid Percent
Valid	Male	15	60.0
	Female	10	40.0
	Total	25	100.0

KZN has more male than female principals. The researcher had to build gender into her sample to get at least 10 female principals.²⁷

Table 4.35 – Geographical location of school away from city centre.

		Frequency	Valid Percent	Cumulative Percent
Valid	0-20	8	32.0	32.0
	21-50	6	24.0	56.0
	51+	11	44.0	100.0
	Total	25	100.0	

A fair selection of schools from all areas was taken in the sample in order to make it representative of the UKZN province.

Table 4.36 – Socio-economic status of community

		Frequency	Valid Percent
Valid	Advantaged	2	8.0
	Average	7	28.0
	Disadvantaged	13	52.0
	Combination of above	3	12.0
	Total	25	100.0

Half of the respondents (50%) come from disadvantaged schools.

²⁷ Gunter (2001) and Blackmore (1999) state that female principals are more likely to argue that school-based policies and practices and school leaders must address issues of equity, diversity, fairness and professional development.

The socio-economic status of the school was an important factor in the research in order to demonstrate that a generic policy like IQMS is not suitable in all social contexts.

Figure 4.37 – Number of educators in school

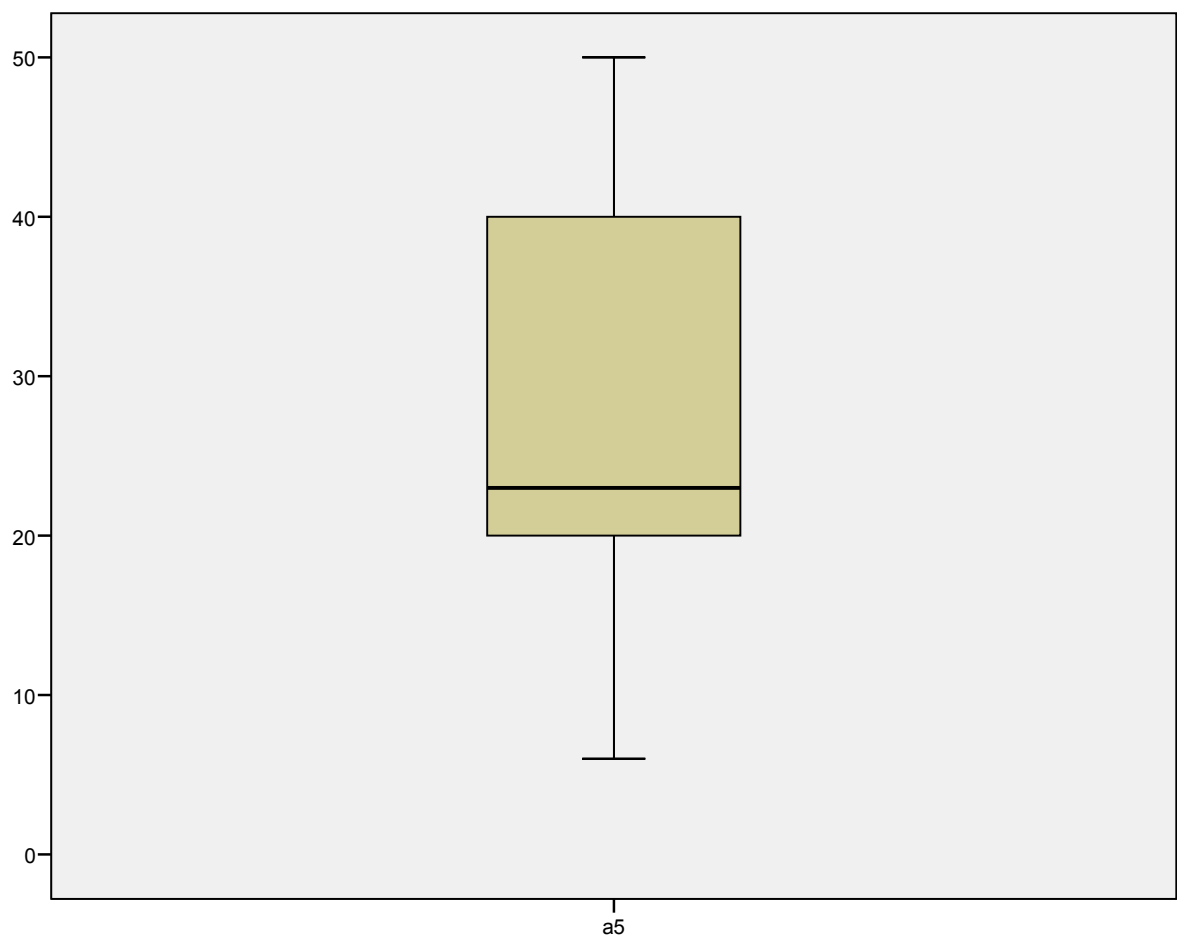
(a) Stem-and-Leaf Plot

Frequency	Stem &	Leaf
1.00	0 .	6
5.00	1 .	00568
7.00	2 .	0011333
4.00	3 .	0177
7.00	4 .	0000558
1.00	5 .	0

Stem width: 10

Each leaf: 1 case(s)

(b) Box-and-whisker plot



The highest number of educators came from disadvantaged communities.

The sample was a fair representation of teachers from all types of schools. However, almost 50% of teachers came from disadvantaged schools. This is because KZN has a greater number of schools that fall into this category (KZN EMIS 2003).

Many South African teachers are underqualified and unqualified especially in the rural areas and the demand for upgrading and professional development is very high especially among black teachers²⁸. The education system remains highly stratified with two systems still in place and inequality being perpetuated. These schools are entrenched into the survivalist second economy (Bloch 2008: 6).

A key theme in CMS is that the working class is disempowered by modern capitalist systems of evaluation like the IQMS, unless, of course, if its DA purpose is given priority. CMS proposes that this can be done through collaboration instead of competition. Competition for performance-based pay, for example, will result in a divide and rule mentality. Collaboration between managers and peers will enhance teacher development. Critics of CMS may argue that this is some kind of Marxian idealism. However, this argument is used as a counterforce in this study to the IQMS system which seeks to legitimize the technocratic administration of modern, advantaged economies into a second world economy like South Africa.

4.2.7 IQMS (annexure C)

Tables 4.38- 4.43b examine implementation issues. It is interesting to note that principals do not take ownership of the IQMS as they feel they were not consulted on its design nor were they given adequate training. Many principles (60%) commented that the national department has used a top-down approach when it came to IQMS hence it is perceived as an accountability tool –an audit of the educators’ and schools’ performance. It is designed to check on performance and to control. However, educators have managed to beat the system as can be seen by the number of educators who qualify for its incentives (over 80%). This would imply that scores are being fabricated as earlier evidence in this

²⁸ EMIS data (March 2005) indicates that currently 11% of teachers are below REQV 13, 39% are at REQV 13, and 50% are above REQV 13.

study showed that over 65% of educators felt they needed professional development and 55% stated that they lacked knowledge and skills to meet the performance criteria given in the IQMS policy.

Table 4.38 – Consulted on design of the IQMS

		Frequency	Valid Percent
Valid	Yes	7	28.0
	No	18	72.0
	Total	25	100.0

The majority of the principals were not consulted on the design of the IQMS (72%) Using Foucault's discourses on power, CMS argues that power should be dispersed rather than centralized, and therefore the assumption of controlling teachers may not only be simply fanciful but also dangerous. Principals were disgruntled by the subjection to instrumental organizational regimes and the policies they use to engender such subjection. Hence the fabrication of scores can be seen as a means to rebel against repressive use of power.

Table 4.39 – How were you informed of the IQMS?

		Frequency	Valid Percent
Valid	Department officials	15	60.0
	Circulars	2	8.0
	Officials, circulars	4	16.0
	Officials, circulars, union	3	12.0
	Officials, circulars, others	1	4.0
	Total	25	100.0

The majority were informed by departmental officials.

Table 4.40 – Rating of training to prepare educators for implementation of the IQMS

		Frequency	Valid Percent
Valid	more than adequate	1	4.0
	Adequate	4	16.0
	Mediocre	7	28.0
	not very adequate	12	48.0
	Useless	1	4.0
	Total	25	100.0

Mean = 3.32 i.e. worse than mediocre.

It appears that the principals were not satisfied with the training they received and 80% rated the training as mediocre and below. Principals expressed the view that training for the IQMS was fast-tracked.

Table 4.41 – The IQMS easy to implement?

		Frequency	Valid Percent	Cumulative Percent
Valid	2	3	12.5	12.5
	3	8	33.3	45.8
	4	8	33.3	79.2
	5	5	20.8	100.0
	Total	24	100.0	
Missing	System	1		
Total		25		

Mean = 3.625 i.e. towards disagree.

Once again principals found difficulty with implementation. This is expected given the earlier evidence. Implementation is a term that is problematic as policies are not simply implemented. They are changed, struggled with, modified, subverted and so on as this study also reveals. However, as Trupp and Willmott (2003: 112) point out, this process is of little interest to politicians because of the lengthy timeline.

Table 42 – School improvement plan (SIP)

		Frequency	Valid Percent
Valid	Yes	20	80.0
	No	5	20.0
	Total	25	100.0

Principals appear to be committed to improving their schools and have SIPs. The researcher called on schools to view some SIPs. Many of them focused on the improvement of infrastructure and purchasing of textbooks and computers etc. They did not prioritize staff development activities. This could be because it is easier to make changes to school organization and infrastructure than to classroom practice (Gray 2001: 19).

Table 4.43a – Able to follow strategies

		Frequency	Valid Percent
Valid	Yes	13	52.0
	No	12	48.0
	Total	25	100.0

Financial constraints and other factors resulted in just over 50% of schools fulfilling their WSD needs. Gray's main concern is that policy makers have a too restricted view of what school improvement involves. He points to schools adopting a 'quick fix' tactical approach rather than a longer-term capacity-building approach to school improvement and notes the links between this and 'performativity' as schools play the 'improvement game'. He also notes the constraints of context and argues that it is more difficult for schools serving disadvantaged areas to make progress on many of the performance indicators in Whole-school evaluation policies (like the IQMS, for example) (Gray 2001: 32-39)

Table 4.43b – Reasons for not being able to follow strategies

The reasons given by respondents were grouped using a thematic approach.

Reason	Number
Lack of finance	3
Labour unrest (strike)	3
No assistance	2
No resources	2
Difficult to implement	2
Paper work	1
No time	1

A major teachers' strike took place in 2007 and schools were closed for approximately six weeks. The strike and financial constraints were cited as the main reasons for lack of teacher professional development. Labour Process Theory (LPT) argues that market mechanisms alone cannot control the labour process and capitalists must actively control the labour process against worker resistance. NPM favours labour control and cost reduction. LPT states that such imperatives create a built-in tendency towards deskilling and degradation – fragmenting jobs, reducing skill requirements and replacing worker autonomy with management systems.²⁹ Unfortunately, teacher strikes in South Africa have seldom been about improving teacher's working conditions and skills or preserving teacher autonomy and professionalism rather they have translated into demands for higher wages.

Table 4.44 – School identified for external Whole School Evaluation (WSE)

		Frequency	Valid Percent
Valid	Yes	6	24.0
	No	19	76.0
	Total	25	100.0

External WSE has taken place at 2 of the schools. Other schools in the sample have been identified by the provincial department for WSE but it did not take place for some reason.

²⁹ See Alvesson and Willmott 2003.

Table 4.45 – Workshops on weak areas held

		Frequency	Valid Percent
Valid	Yes	6	24.0
	No	19	76.0
	Total	25	100.0

76% of the principals have not done anything about teachers who were underperforming and teachers who may have needed development in weak areas. Staff development workshops, however, featured in their SIPs, but there was a failure to implement these workshops.

The data that follow examine grade and pay progression, the two financial incentives provided to teachers who perform well. In the IQMS policy, this is the type of performance-related pay that an educator receives after performance measurement has taken place.

Table 4.46 – Percentage educators qualified for pay progression

		Frequency	Valid Percent	Cumulative Percent
Valid	30-50%	2	8.0	8.0
	50-70%	3	12.0	20.0
	70-80%	3	12.0	32.0
	80-100%	17	68.0	100.0
	Total	25	100.0	

Estimated mean percentage = 80.6

Ironically, over 80% of educators have qualified for pay incentives linked to the IQMS and almost 50% have received grade progression. This appears to belie the assertion that there is a need to improve teacher competence or it could point to the fact that the degree of fabrication is greater than can be anticipated.

Table 4.47 – Percentage of educators who qualified for grade progression

		Frequency	Valid Percent	Cumulative Percent
Valid	below 30	6	28.6	28.6
	30-50	4	19.0	47.6
	50-70	6	28.6	76.2
	70-80	2	9.5	85.7
	80-100	3	14.3	100.0
	Total	21	100.0	
Missing	System	4		
Total		25		

Estimated mean percentage = 49. Almost 50% qualified for grade progression.

Table 4.48 – The IQMS incentives effective in motivating improvement

		Frequency	Valid Percent
Valid	Yes	5	20.8
	No	19	79.2
	Total	24	100.0
Missing	System	1	
Total		25	

Principals did not agree that the incentives given motivated teachers to improve. This calls into question the value of linking performance to pay. CMS will argue that it serves to exploit workers and extract surplus labour from them. In this sense work is not designed to express human needs and values but to maximize profit or safeguard the privilege and control on managerial elites. The limitations of market mechanisms like performance-related pay impose unacceptable costs on communities and nature (Marchington, Grimshaw, Rubery and Willmott 2005). Diversity and the valuing of all kinds of teaching activity and beliefs are marginalized and devalued by ‘best practices’ and it can be argued that IQMS with its performance standards linked to performance-related pay is a hypermodern instrument of ‘best practice’.

Post modernism brings to our attention the limits of modernist ambition to control every contingency. Policies that control every facet of education right down to what and how a

teacher should teach in a classroom would be rejected by CMS. The minimum requirements given in the IQMS performance criteria encourage ‘teaching to the test’ in order to fulfill these criteria. The educator’s personal view on teaching practices, the context in which she teaches and the ability of learners as a determinant of performance falls by the wayside

Table 4.49 – IQMS led to greater teacher competence

		Frequency	Valid Percent	Cumulative Percent
Valid	1	1	4.5	4.5
	2	1	4.5	9.1
	3	5	22.7	31.8
	4	10	45.5	77.3
	5	5	22.7	100.0
	Total	22	100.0	
Missing	System	3		
Total		25		

mean = 3.77 i.e. towards disagree.

The fact that the IQMS has not led to an improvement in teacher competence is to be expected as attempts to develop teachers, build strengths and eradicate weaknesses are not being made in the first place.

Table 4.50 – IQMS increased accountability

		Frequency	Valid Percent	Cumulative Percent
Valid	1	2	9.1	9.1
	3	6	27.3	36.4
	4	7	31.8	68.2
	5	7	31.8	100.0
	Total	22	100.0	
Missing	System	3		
Total		25		

Mean = 3.77 i.e. towards disagree.

While over 68% appear to think that IQMS does not increase accountability, over 80%

have achieved pay progression which means that performance measurement activities have taken place or - have they? One can speculate that IQMS has become a form filling exercise with no real clout. The National Education Department appears to be aware of this problem and they are in the process of setting up an inspectorate to oversee the IQMS. This appears to have the semblance of an authoritative, bureaucratic agenda aimed at increasing accountability. However, what can be gleaned from the analysis of the data is that accountability plus incentives do not necessarily lead to results. Increased accountability is a given in the IQMS policy. However, it comes as no surprise that procedures/techniques that are intended to make schools accountable paradoxically encourage manipulation and fabrication.

Labour Process Theory uses the key elements of Marxist theory to argue that a variety of managerial strategies are used to control workers and many of these fall under the umbrella of accountability (Wray-Bliss 2005). Some of these strategies can be recognized in the IQMS policy, for example, work intensification, skill polarization and efforts to make teachers feel responsible for the productivity of their students. LPT displays a deep skepticism to arguments that assert upgrading trends like improving competence and skills without paying attention to the host of factors: contexts, ideologies and histories that impact upon such 'new paradigms' (Littler 1982: 17).

It is interesting to note that principals do not feel that the IQMS increases teacher competence, nor does it lead to greater accountability. Principals said:

IQMS does not lead to improvements in school performance or classroom practices. We continue to live with the legacies of apartheid, social inequalities and social deprivation.

Many of the schools surveyed in this study do not have school improvement plans and have not been able to follow the strategies in the IQMS manual. Workshops to enhance professional development based on needs of educators have not taken place in many cases. One can speculate that the formulation of school improvement plans and other aspects of the IQMS require high level skills and many principals do not have these skills.

It is not surprising that many of the principals do not feel at ease with the IQMS policy.

One principal said it was ‘all about accountability’ and a sense of ‘more work, less trust’. Many principals (73%) expressed anger and frustration at the bureaucracy overload and a general fed-up-ness with the barrage of new policy confronting them.

4.2.8 Links between annexure C and annexure D replies

The mean impact of the IQMS on professional development and improvement as an educator is 55.16 (see table 4.25). The mean competence rating (see table 4.49) on a scale 1 to 5 (1 – strongly agree, 5 – strongly disagree) is 3.77. This suggests that the impact of the IQMS is not rated very highly by the respondents (average at best). This is confirmed by the results shown in table 4.36 where the IQMS is perceived as much an accountability tool as well as a professional development tool yet it is not being used for the professional development of educators. Principals (especially from advantaged schools) who perceive it as an accountability tool regard themselves as representatives of the Department of Education and make claims of ‘behaving in a businesslike way’.

Both teachers and principals agree that the IQMS has the potentiality to provide teachers with meaningful appraisals that encourage professional learning and growth. However, opportunities for additional support and professional development are not being provided by many schools as the IQMS is being used for summative purposes.

4.3 ANNEXURE C AND D: OPEN-ENDED RESPONSES

The qualitative aspects of the research have been arranged according to themes focusing on the critical questions. Critical management studies (CMS) will be used to critique the IQMS and its NPM and managerial assumptions.

4.3.1 NEW PUBLIC MANAGEMENT, NEW MANAGERIALISM AND THE IQMS

It appears that a ‘market solution’ to policy currently hold policy makers in its thrall (Bottery 2000: 6). It is argued that there are practices from the private sector and business that the public education sector could do well to take note of. This has manifested itself in a number of ways. One is through the use of New Public Management (NPM). NPM is characterized by a more direct and assertive management and the use of private sector practices (Thrupp & Willmott 2003: 12). The use of NPM in public sector has consolidated globally and such consolidation is inextricably bound up

with the continued acceptance of quasi-market mechanisms and the increased emphasis on performance management in order to enhance national competitiveness.

Education policies therefore are openly technical-rationalist, economic and reductionist and provide no reasons why education might be good other than its economic usefulness (Bottery 2000: 19). This brings us to the main argument of this study, namely the tension between professional development and accountability and how professional development may be undermined by marketization and new managerialism. We see an increased emphasis on ‘doing more with less’, information and audit systems and the use of comparative performance standards (such as the performance standards used in the IQMS to judge performance).

4.3.2 CRITICAL MANAGEMENT STUDIES AND THE IQMS

CMS sees NPM as a market-based ideology invading public sector organizations previously infused with counter-cultural values. It advocates a critical stance to NPM and proposes a management hybrid with a continuing emphasis on core public sector values. Drawing on sociologically and politically orientated educational research (Marxism, critical theory, post-modernism, critical realism etc.), advocates of this ideology hold that schools play a key role in perpetuating social inequality through reproducing the values and ideologies of the dominant social groups (for example, middle class) and the status ranking of the existing social structure.

From this understanding, the problems faced by schools are often seen as deeply rooted in their social contexts. As a result those holding critical perspectives tend to be much less convinced that technical, market-based solutions hold the answers to educational problems. This study attempts to use CMS to show that the IQMS is too technicist and too generic to take much account of the social dimensions facing South Africa’s education system and, in particular, its educators.

4.3.3 ACCOUNTABILITY VERSUS DEVELOPMENT

This debate highlights the fact that in the South African context, the use of the IQMS has actually intensified managerialism in education. Imperatives to schools to respond rapidly to imposed changes from the national Department of Education has markedly increased. The introduction of IQMS from 2003 reflects the increased interest in the quality,

effectiveness and measured improvements of schools. Indeed the emphasis on performance may have supplanted the need to improve the skill of individual educators in South Africa through professional development. This study reveals that the vast number of educators would prefer it if the IQMS focused on professional development. 60% of the respondents agreed that IQMS should be used for professional development.

The views of the majority can be summed in the following quotes:

With greater development of educators as the rationale behind IQMS, more educators will be willing to take ownership of IQMS. The IQMS, if instituted in a careful and sensitive manner, can be a useful tool to improve the teaching profession. It should be used for professional development.

(Principal of an urban school)

Other principals agreed stating:

The fact that a peer is involved makes it abundantly clear that the instrument cannot be used for accountability. Principals and Deputy Principals are excluded from the process. It should be used to develop the educator, that is if it is correctly applied.

(Principal of a combination-type school)

No. Professional development is neglected. If IQMS was used to develop staff professionally all areas of weaknesses will be recognized and through available assistance be eradicated. Accountability will then be part of professional development.

(Principal of a rural school)

Principals in general are in agreement that because the IQMS is perceived by educators as an accountability tool with an emphasis on performance measures and performance-related pay, there is a lot of fabrication taking place to reach the expected scores and to window-dress. There is also a lot of collusion between colleagues. Educators appear to be aware that evaluation as a way of auditing achievement and checking improvement is now high on the political agenda and are finding means to safe-guard their own interests.

Over half the respondents stated that IQMS should not be linked to incentives as

linking it to incentives will marginalize its professional development purpose and increase accountability by stressing performance measurement activities. Many principals echoed the sentiments of this principal from an urban school:

No. For rewards/incentives to be fairly administered you need a system that objectively measures performances. IQMS should not be linked to performance-related pay as this increases competition between educators and they may be less willing to help each other improve. It is better to reward long service.

Having examined the data, the question of whether the IQMS leads to misguided practices and measurement attempts that distort its principles and purposes is raised . Principals and educator have shown a growing concern about the impact of the IQMS and the ways it may skew the focus on professional development. It appears that accountability and professional development cannot be combined beneficially. Professional development is more likely to be a ‘bolted onto’ exercise rather than an ‘integrated’ part of IQMS. The perception of teachers is that the professional development aspect of the IQMS (DA) is hijacked in favour of performance measurement.

This is ironic as professional development is potentially an important strategy for achieving higher standards. However, it remains a matter of debate how far improvement and development can be ‘evaluated into’ schools. The researcher is of the view that there are processes that need to be followed in the implementation of the IQMS that will ensure professional development and that changes made to the IQMS policy may be deemed necessary for the appropriate pursuit of improving teaching and learning.

Perhaps one needs to dig a little deeper as to why the emphasis on accountability in our education system should be so strong. South African schools have adopted some of the characteristics of the culture of the private sector and are being viewed differently from the welfare state agencies they have replaced. Therefore, accountability and results appear to matter more than improved performance. It is necessary to clarify the type of accountability the flourishes under the IQMS. It is a sort of managerial accountability. Educators are required to carry out agreed tasks according to agreed criteria of performance. Audit will be a good example of a mechanism designed to ensure such

managerial accountability in which quantified forms of control have increasingly replaced more traditional forms of control such as informal professional dialogue. Individual appraisal offers another lever for assessing performance against an agreed set of tasks.

CMS proponents will argue that the dominance of managerialism in the IQMS policy which tends toward ensuring compliance, accountability through performance measurement and audit is harmful especially for the developing South African context, if not for any country, as it fails to challenge existing inequalities and chimes with managerialist policies that further intensify existing inequality. South African schools have maintained egregious inequalities although some attempts have been made to address these. These inequalities, as well as inefficiencies, have been widely condemned but seldom corrected. Schools with the most disadvantaged and difficult students are also schools that are disproportionately staffed by inexperienced and unqualified teachers.

4.3.4 THE IQMS AND TEACHER COMPETENCE

88% of the principals felt that IQMS did not lead to improved teacher performance and competence.³⁰ However, almost 67% agreed that it had the potentiality to improve the performance of educators if it was implemented properly and if it focused on professional development.

Generally the following quotes from principals express this view:

On the whole no, mainly because educators see the whole process as cumbersome and something imposed upon them by the department without consultation. If schools are given the freedom to manipulate the IQMS to

meet their specific needs, then it could improve educator performance. The rigid procedures do not allow for such flexibility.

(Principal of a rural school)

IQMS is not effective vehicle to improve teacher performance and competence. It has made little or no improvement in my school. Smaller

³⁰ Improving teacher competence revolves around whether the IQMS can contribute to teachers' skills in the practice of teaching and enable teachers to become better at enhancing the achievement of learners.

classes, effective discipline, proper government funding and better parenting will make positive changes. IQMS leans more towards accountability than teacher development as follow-ups are seldom done or not done at all. Conveners and co-ordinators need to monitor this and offer assistance to schools experiencing difficulty.

(Principal of a combination-type school)

60% of educators were not opposed to the IQMS but make the point that it needs to be part of a wider scheme of professional development to improve teacher competence. As it stands only the first 4 criteria in the IQMS deal with teacher competence and classroom practice. An important observation made by the researcher through the analysis of the data reflects the perception of educators that their competence is being undermined directly through curriculum prescription and indirectly by the IQMS with its emphasis on outcomes and the quantification of performance. Market pressures with its ever-present accountability demands have increased the focus on summative assessment against performance standards and narrow criteria and teachers are forced to teach to the test/ performance criteria or the requirements of the performance review.

Almost every aspect of school life is re-evaluated for its possible fit to the prescribed performance standards in the IQMS policy.. Educators and managers have begun to internalize new sets of teaching and assessment values and practices given by the IQMS instrument. This in itself is a problem as it involves teaching to the IQMS instrument. What is also of concern is that many educators have expressed that need for classroom competence but lack the knowledge and skills required to progress towards such competence.

With lots of administration and paperwork relating to its accountability demands, the IQMS also leads to intensification of workload and further reduces the time spent on improving teacher competence. 68% of educators report a decline in the vitality and creativity of teaching and less opportunity to improve their knowledge and skills. The cost of this to South African education can already be felt as academics bemoan the state of South Africa's education system (Jansen 1995).

4.3.5 THE IQMS AND EDUCATOR PROFESSIONALISM

Respondents who felt that the IQMS does undermine educator professionalism and had queries on how other professionals - doctors, lawyers, accountants and pharmacists are evaluated. The respondents were of the view that teachers are no longer considered professionals by the government or the public. Reasons given were that the teaching profession was unable to attract the best personnel, nor was the pay good.

19 of the 24 respondents expressed dissatisfaction with the role played by SACE. The feeling is that SACE does not do much to enhance teacher professionalism.

One principal stated:

If SACE disappears tomorrow no one will care. We don't know what SACE does to enhance teacher professionalism or professional development.

(Principal of an urban school)

Five principals stated that they did not like the idea of being checked on:

Yes, why do they have to check on us? This should only happen when there is a problem.

A central issue in the managerialization of public services has been the concerted effort to displace or subordinate the claims of professionalism. The key concerns expressed by the respondents are that the IQMS generally promotes the decline of the educator as a professional. The current IQMS policy environment is undoubtedly one where making sure teachers are well trained and leaving them to get on with the job is ruled out of contention. The concern expressed here is that policy makers have colluded with neo-liberalists in the growing control of educators by promoting their compliance with policy. Schools may be thought of as self-managing and therefore autonomous but what of the problem of governments 'steering from the distance'. One irony of self-management is that it leads to new forms of steering from the distance which result at the school level in over the top forms of managerial accountability (Thrupp & Willmott 2003: 45).

The IQMS appears to offer the promise of professional development with two of its aspects being self-evaluation and development. However, this may be illusory as the same instrument is used for both teacher development as well as for performance

measurement. Also the evaluator is asked to be both the coach and the judge and this creates further tension.

Educators involved in this study reported a loss of control over teaching and feelings of deskilling, anxiety and overload which point to a gap between the IQMS as a model for the educator as a responsible, accountable professional and what educators actually think of the IQMS.

4.4 GENERAL COMMENTS

Need for an IQMS CO-ORDINATOR

Twelve of the respondents asked for either an outside person (departmental official) or a person appointed by the school to take charge of the IQMS and ensure that it is a quality and performance management system that is understood, credible, valued and used professionally. The task of this individual, it was stated, would be to ensure that mentoring, support and professional development activities take place in order to improve teaching and learning at schools in light of the crucial role that the IQMS is required to play in the delivery of quality public education.

A principal of an average school comments:

For IQMS to be an effective process rather than a couple of events, there needs to be a person within each school whose primary function is to effectively implement and monitor the IQMS process and create individual and whole-school development programmes. This function is almost akin to what an HR officer in the business world would have to do. Unfortunately, lack of finance to pay such a person would not make this feasible. The principal therefore will have to pick up the entire duty of implementing and administering the IQMS; a role that puts him under tremendous pressure considering all the other tasks that need to be done. Also the final accountability rests with the principal who is the head of the school. This is unfair. Principals need professional development too.

Workshops on IQMS and help from Departmental officials

All the principals of rural schools felt that they need more help from department officials.

(this was a trend across all schools). In addition principals of rural schools displayed a lack of understanding of the IQMS process. Comments such as this are common:

Workshops on the IQMS were insufficient so we need more.

(Principal of an average school)

We don't understand this sophisticated instrument. The department officials themselves don't understand it so how can they help us. There is no one to answer our questions. We don't know if we are doing it right.

(Principal of a rural school)

Another principal made the following comment:

The Department should really come to the party with PDPs (Professional Development Programmes) that are meaningful and worthwhile and not catering functions with ill-equipped facilitators.³¹

(Principal of an average school)

These comments reveal the great need that educators have for skills, training and development, especially in schools in disadvantaged areas. The IQMS is too generic to take account of the social dimensions of our education system and it underplays the social context.

4.5 PROVINCIAL DEPARTMENTAL OFFICIALS

The two interviewees from the KZN Quality Assurance Directorate both said that the IQMS is being implemented in all schools in KZN. However, they admitted that there were individuals who defaulted and did not involve themselves in the process and they are under investigation. Data from all schools were being collected from the district managers and submitted to the provincial department. The data remain unexamined as the quality assurance directorate is in transition and there is restructuring going on and both the interviewees were expecting to be put into district offices. The interviewees were well versed with the IQMS policy document and had attended extensive training workshops from the national Department of Education which they had to 'cascade' to the districts. They admitted that the 'cascading' of the information and training of district officials and principals was a problem as the time allotted for this was too short.

³¹ These comments serve to express the point that Provincial and District officials as key management nodes in the delivery of quality education for all, have to prioritize their own development.

The provincial officials favoured development of educators above accountability stating that they were aware that in a developing country like South Africa, where many teachers were underqualified or unqualified, the need for upgrading and development is a priority.

One official stated:

We are aware that at many schools IQMS is about filling in the forms. IQMS has great potentiality in that direction (developing teachers). However, it is a mammoth problem. Evaluators themselves need development so how are they going to develop others. DSGs just don't have the capacity to fulfill this purpose of IQMS especially in schools that are not advantaged. SGBs of advantaged schools select the best teachers for their schools so they are more concerned with performance measurement and rewards.

When asked what the department has done to develop teachers, the response was:

We find it hard to commit to developmental goals when there are other pressing priorities. Perhaps the ELRC or SACE could do more. One of the objectives of the ELRC is to provide training and build capacity in education.

Both officials stated that the system could be unfair and it would be difficult to be objective when allotting scores even if the department moderated the scores that educators received at different schools:

How does one ensure objectivity and standardization when comparing different schools and then rating for a financial reward? The advantaged school is always going to fare better.

In general, district managers had the following comments to make:

- The IQMS as an evaluation instrument has good objectives/intentions.
- Implementation is a problem. Teachers may have found underhand ways to beat the system.
- The system makes no provision for periodic review and refinement.
- Its development purpose is being thwarted.
- It does not take context into account.

4.6 TEACHER TRADE UNIONS

The following trade unions were interviewed SADTU, APEK, and NATU.

All three unions agree that if not IQMS than some form of performance management is necessary. Although the representative from SADTU stated that the union was instrumental in fine-tuning DAS and now the IQMS, all three unions stated they did not have much to do with the design of the IQMS instrument and educators were not consulted:

This was started overseas. We need our own instruments – plain, simple South African one. (NATU)

All three union officials agreed that the IQMS done annually becomes paperwork as schools may not reflect their true rating.

Two of the union officials said that KZN department officials were incompetent and not able to monitor or promote the IQMS and cited this as one of the main reasons why implementation did not take place as envisioned and why development goals were not met. Furthermore, they argued that the KZN department had a cut off mark for the number of teachers who would be entitled to grade progression and this went against the spirit of the IQMS. SEMS reduced scores in many cases to suit the Department's allotted budgetary figures.

All three union officials acknowledged the importance of professional development.

The general comment made was:

The IQMS should be used for professional development. The Department via SEMS, Subject Advisors and Principals should deal with accountability.

All three union officials acknowledged that there is a tension between the developmental and accountability purposes of the IQMS and stated that accountability can only come into the equation after development and training was completed and one year was too short a time for this. Recommendations of a time lapse varied from two years to five years.

The new proposals in the pipeline relate to Occupation Specific Dispensation (OSD)

which links teacher performance to pay progression and enhances accountability. SADTU and NATU were doubtful about OSD saying that its teachers who were disadvantaged already will be further disadvantaged by OSD. APEK has said it would adopt a wait and see policy. All three unions said they believed that OSD linked to the IQMS was more about quality control rather than quality assurance.

SADTU was disgruntled that there is a ‘perception’ that they as a union object to initiatives aimed at strengthening the education system in order to shield its members from being accountable. The SADTU official stated:

There can be no job done without supervision or evaluation.

Our objection is that over ten years teachers have been exposed to three different systems: DAS which was thrown out.: Kader Asmal’s³² Whole School Evaluation which was discarded and now the IQMS. There is also talk about the National Education and Evaluation Unit. Teachers are already suffering under policy overload and the new curriculum. There doesn’t seem to be consistency. It’s confusing.

4.7 EMERGING TRENDS AND PATTERNS

After a thorough study of the quantitative and qualitative data, the emerging trends and patterns from the data is presented. These findings emerge from the data as a whole – quantitative and qualitative- and then generalized into overall findings.

4.7.1 NEED FOR PROFESSIONAL DEVELOPMENT

Finding: Educators in KZN acknowledge the importance of building on skills and knowledge and reveal a great need for professional development to improve teaching and learning.

Jansen (1995: 134) makes the point that the inequalities that existed in system of education prior to a unitary system has resulted in the disadvantaged schools having a number of educators who are underqualified or poorly qualified and who will continue

³² Kader Asmal was a former Minister of Education.

to be part of the system. It is not surprising that principals in these schools feel that the IQMS should be used for professional development. However, these schools neither have the human or the financial resources to develop their staff.

Also respondents noted that the IQMS as an evaluation system does not provide any incentive for educators to upgrade qualification. Incentives are only linked to performance in accordance with the NPM ideology of ‘performativity’ in service industries. It appears from the evidence gathered from respondents that it is debatable whether the IQMS as a quality and performance system is an appropriate tool to transform our education system. Certainly the data point to signs that it may have failed to deliver in some respects. One principal said that ‘it needs to ameliorate the: **I will work harder syndrome** and focus on support and development’. How can conflicting expectations be challenged? West-Burnham’s response is:

The primary task is to build the conditions for reflection, open dialogue, mutual respect for ideas and for both professional and institutional growth (2001: 26).

Outsourcing professional development programmes is not considered an option in view of the government’s neo-liberal stance of pruning expenditure. However, the serious implications of skills shortage to the South Africa economy has resulted in the allocations of a large portion of the budget to improving education which included improving the teaching corps but unions are skeptical about the capacity of provincial and district officials to deliver. It appears to be imperative that SACE extend its function to include the professional development of educators.

4.7.2 ACCOUNTABILITY

Finding: The IQMS with its NPM underpinnings is being used more as an accountability tool than a professional development process.

The Department of Education appears to endorse the NPM and its market-based ideology. The preamble to the IQMS manual states:

For the Department of Education – and for all educators- the main objective is to ensure quality public education for all and to constantly improve the quality of learning and teaching, and for this we are accountable to the

wider community (*IQMS Collective Agreement 8 of 2003: 7*).

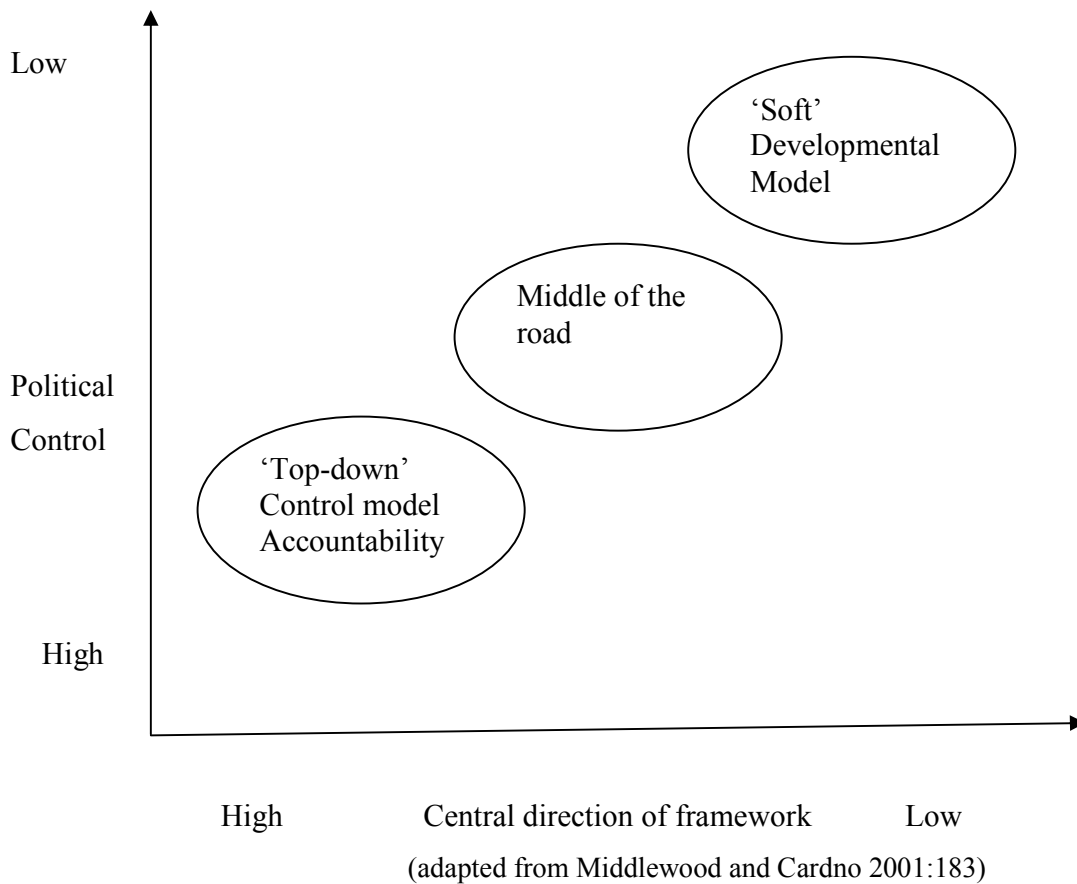
Worldwide reform tendencies such as privatization and decentralization have produced a growing urgency toward the engineering of standards, quality control and accountability mechanisms. Nation states like South Africa have responded to these global pressures. Formal and informal quality and accountability mechanisms have been created or reinforced in order to secure compliance with globally determined standards of and quality through educational practices. Examples of this are Quality Management Systems like the IQMS, new systems for accreditation and certification, incentives and rewards linked to ‘performativity’ and so on.

These considerations according to the respondents have squeezed out important considerations for teacher development and training which is needed in a developing country like South Africa. Teachers feel disempowered to mediate between systems control and intercultural issues. Thus the DA aspect of the IQMS has become less of a force in fulfilling the requirements of its policy.

The respondents’ collective view is that the IQMS is a demanding and challenging process which is intellectually and professionally rigorous and personally highly challenging. It is based on rigorous performance standards and is evidence-based (requiring classroom observation, teacher records, documents, score sheets etc). It is conceded, however, that it has the potential to become a genuine teacher development tool. However, to do this it needs to be buttressed by a supportive infrastructure with provisions for professional development.

It follows from this that the more closely the government influences the national framework of education, the more likely that the model of performance and evaluation will be top-down and focus on accountability. If teachers have a greater influence on performance and appraisal it seems more likely that a developmental model will emerge with a greater focus on professional needs. Teachers’ perception of the IQMS fit in with the model of performance appraisal presented below.

Figure 4.51: Models for performance appraisal in public services



According to Figure 4.48, development-driven models of appraisal tend to regard schools as high reliability learning institutions and teachers as autonomous professionals who are committed and motivated. In this case, the professionalism of teaching is the centerpiece of performance evaluation. Control models based on accountability focus on results, performance measurement, performance criteria, financial rewards and incentives. This stance is influenced by economic contexts and the managerialist orientation of present education policies.

Even the IQMS which starts of being formative can turn out to be a result-driven model found to contain a strong sense of technical prescription that may even result in the de-professionalism of educators if not used with integrity and for professional development purposes. Here it is suggested that professionalism of all kinds have been experiencing a rapid decline in the public's willingness to continue ceding autonomy and status to them because of concern that they have betrayed the public trust. It can be argued that this is the direct result of the growth of consumer culture under NPM.

4.7.3 PERFORMANCE MEASUREMENT

FINDING: The IQMS has become a token exercise with an emphasis on fulfilling the bureaucratic requirements for performance measurement.

From the demands for accountability, it follows that principals have put the IQMS procedures into place to ensure that these demands have been met. The IQMS is a quality management system with three steps: DA; PM; and WSE and it seems that PM is getting high priority in schools as it involves scoring and the tallying of scores for performance-related pay. Developing staff for personal and organizational effectiveness is now an add-on. It would come as no surprise therefore that teachers adopt a negative attitude to performance management schemes as stated in the literature review, namely, denigration of the personnel, and the resultant window dressing to impress; a readiness to challenge perceived distortions; and a cynical reaction to the IQMS.

Teacher evaluation has in it many elements that remain controversial like the balance between its reward and development purposes. The respondent did not agree that performance-related pay will motivate them either to improve or develop. One respondent had this to say: ‘What is in it for the teacher? Where do job satisfaction, teacher well-being and the like fit into the equation?’ The qualitative data reveals that educators feel that teacher interests are not evident in the evaluation processes. While the scope of IQMS appears to be broad involving both development goals and accountability, the educators’ perception in this study reveals that to them the intent of the IQMS is accountability linked to control.

A Policy Framework for Quality Assurance in the Education and Training Systems in South Africa defines evaluation as an aspect of the management and development of human resources. (Dept. of Educ.1998: 68). However, this study reveals that the IQMS is a policy that is a striking example of managerialism in education. It is based on the discourses of the private sector which would not work in the South African context. Due to its unabashedly managerialist orientation this policy is likely to have the unintended effect of colonizing school cultures and encouraging the development of a culture of compliance. Thus instead of genuinely improving their professional activities, teachers will develop strategies to ‘beat the system’ by conforming in a perfunctory and

unreflective manner to its requirements (Ngwenya 2005: 5).

4.7.4 SOCIAL CONTEXT

Finding: The IQMS is an externally imposed policy that does not take cognizance or social context.

One suggestion made by principals is that whole school improvement originate from the school and the school communities itself and not from externally imposed school improvement initiatives like the IQMS. In a school with limited resources such externally imposed initiatives become too utopian in a developing economy. Policy borrowing from first world countries like the UK, New Zealand and Canada was regarded as highly problematic for a South African context. This also confirms that policies, like the IQMS, are substantially shaped by ‘symbolic considerations that may have little to do with the realities on the ground’ (Trupp & Willmott 2001: 115).

The IQMS pays limited attention to disadvantaged schools that are not able to follow the strategies outlined in its policy. This is ironic as one would expect the DA processes of the IQMS to be of the greatest benefit to schools that need professional development the most.

4.7.5 TEACHER AUTONOMY

Finding: The IQMS can erode teacher professionalism and autonomy if it emphasizes accountability and managerialism.

Respondents felt that teacher autonomy should be protected and they should be respected and trusted as professionals. One educator stated, ‘Why don’t they install surveillance cameras in our classroom if they don’t trust us’. Some respondents felt the IQMS was aimed at distinguishing shortcomings and finding faults with the objective of using them against the teacher concerned. Furthermore, IQMS promotes homogeneity. IQMS has set performance standards that all educators have to adhere to and this itself may undermine teacher professionalism.

The key words in the managerial mantra are economy, efficiency and effectiveness with the quantifiable taking precedence over the qualitative. Autonomy presupposes personal

and professional choice on how and what to teach. Prescriptive curriculum and set performance standards take this choice away. At the outset it must be remembered that teaching is an individual task and that no two teachers are the same. So it is important that the autonomy of the teacher not be placed at risk or it will interfere with teacher professionalism (Bell 1988: 98).

Clark *et al* (2000) and Fiddler and Cooper (1998) have pointed out the disadvantages of an emphasis on accountability for teacher autonomy. A development perspective allows for the exercise of autonomy and provides opportunities for enhancement, empowerment, giving praise providing feedback and coaching (Hall 1997: 144). Neo-liberalism with its emphasis on testing, target-setting and performance management (Thrupp&Willmott 2003: 37) may undermine teacher autonomy as it sees ends (outputs) as being more important than the means. Yet in the contexts of managing schools both the ends and the means are people. This is the quintessential contradiction that underpins present educational reforms. In the New Public Management, people are seen mainly as resources in a competitive economic system and the IQMS also appears to exhibit this stance.

4.7.6 A HUMANISTIC DEVELOPMENT PERSPECTIVE

Finding: Educators prefer the IQMS to exhibit a humanistic development perspective to teacher and school evaluation and this view is supported by the tenets of CMS.

CMS advocates a development humanism perspective in which means are as important as ends. CMS advocates that educators maintain their autonomy and professional by adopting a stance of being highly critical of neo-liberal ideology which tends to see schools only as units of production, involving roles and resources arranged to yield a product that conforms to predetermined goals. CMS encourages critical thinking and debate among professionals as a way of bringing about change. This would also involve being a critical and reflective practitioner who questions the notion of a minimalist state and the discourse of the market. CMS also proposes a hybrid approach which may involve a marrying of the accountability regime with the developmental state. The rebalancing of the scales should be in favour of professional development even when accountability is brought into the equation.

This study reveals that the type of accountability that educators prefer is professional accountability to their learners and the community they serve rather than managerial accountability in a top-down system of teacher evaluation.

4.7.7 TEACHER COMPETENCE

Finding: For the IQMS to increase teacher competence feedback is essential and there is a critical need for teacher potential to be maximized through continuous professional development activities.

The value of the IQMS is compromised when feedback is not given and training is not provided (Murphy and Cleveland 1995: 12; Farr 1993: 177). 80% of respondents stated that the IQMS has little impact on their teaching. The feedback they received from evaluation was rated at 'little' or 'moderate'.

In the South African Education System as yet it is difficult to terminate teachers' services for poor performance although the IQMS allows for the withdrawal of rewards based on performance. This study does not advocate poor, marginal and unsatisfactory performance as it agrees in principle that there is a need for sound education in the South African context. Some measurement of quality assurance is necessary after teacher development strategies have been undertaken.

The majority of the respondents saw the main purpose of the IQMS as identifying the need for professional growth of all educators and promoting effectiveness by endeavouring to meet these needs wherever possible. The process should enable educators and managers to make changes through proper training, professional support, systematic follow-up, feedback and communication. Educators should be expected and encouraged to engage in continuous professional development activities. This would enable to keep abreast of the latest developments in education and turn them into the high 'knowledge workers' needed for the 21st Century (Drucker 1989). Therefore, it becomes necessary to integrate the IQMS with the Skills Development Act and the newly proposed Teacher Development Policy in a coherent system of teacher development.

4.8 CONCLUSION

This chapter analyzed and discussed the data collected. The next chapter presents the main findings and conclusions.

CHAPTER FIVE

FINDINGS AND CONCLUSIONS: AN OVERVIEW

5.1 INTRODUCTION

In this chapter the main findings and conclusions are presented. Careful consideration has been given to the literature study and the theoretical and analytical framework of the study. Certain conclusive findings are identified based on the emerging patterns in the analysis of the data. The conclusions that follow are logical inferences that flow from these findings and focus on the study's central theme which is the apparent tension which surfaces when the IQMS is used as an accountability tool **and** as a means of promoting professional development. These conclusions are used to critique the IQMS and expose its ideological underpinnings and assumptions in terms of the critical questions generated in chapter one.

The data analysis has provided answers to the critical questions. In response the critical question one: **to what extent are the assumptions underpinning the IQMS justifiable?** - the data reveal that while the philosophy of the IQMS is based on the objective of 'quality education' and 'improving the quality of teaching and learning' (*IQMS Collective Agreement 2003:3*) is laudable, the desired outcomes cannot be achieved as the IQMS has failed to fulfill its primary purpose of providing opportunities for development to empower, and provide resources and skills to **all educators in all schools**.

With regard to critical question two: **to what extent does the IQMS promote accountability and determine teacher competence?** - Educator perception is that accountability demands are certainly being promoted above the other processes of the

IQMS. They stated that they were forced to comply with prescribed performance standards and summative evaluation. The implementation of the IQMS is perceived as being narrowly focused on PM linked to financial rewards.

The perception of educators with regard to critical question three: **to what extent does the IQMS facilitate professional development and school improvement?** - is that the majority of educators do not regard the IQMS as a tool that develops their professional skills nor does the IQMS lead to school improvement. They cited the lack of time, financial and support structures to effectively provide access to professional development as the reason for this. Another factor that militates against the full implementation of the IQMS policy is that South Africa lacks a sophisticated model of continuing professional development which has the potential to respond to the development needs identified through the appraisal process.

The main findings of this study confirm the researcher's argument that the IQMS is a practical manifestation of the principles of NPM. NPM advocates believe that productivity can be improved by setting performance standards, using performance measurement and incentive structures (Clarke *et al* 2000; Dunleavy and Hood 1994). The IQMS sets performance standards to determine teacher competency; uses performance measurement to rate teachers and promote accountability; and incentives like grade and pay progression are awarded based on the ratings attained (*IQMS Collective Agreement 8 of 2003*). The focus of this study was to critique the IQMS and its presumed mechanistic orientation underpinned by NPM principles and advocate that the IQMS be refined and used under more socially and politically defined lines proposed by the tenets of CMS which supports a more developmental, humanistic perspective (Alvesson and Deetz 2000:21).

5.2 SUMMARY OF MAIN FINDINGS

5.2.1 NEED TO REINFORCE PROFESSIONAL COMPETENCE

Determining teacher competence and assessing strengths and areas for development are two of the main purposes of the IQMS (Collective Agreement 8 of 2003: 2). Over 75% of the respondents agree that the IQMS has been able to identify their strengths and weaknesses as teachers. However, the majority of respondents who rated the benefits derived from the IQMS on a scale of 1-5, rated it as a 3 which is an average response

(55.6%). In most cases follow-up activities to improve teaching and learning have not taken place. The data reveal that feedback from evaluation was rated as moderate or little to nothing by the majority of schools. Mentoring and support was also not provided by DSGs.

Principals of schools that were not advantaged stated that they were not able to start competency procedures because they were very limited with regard to time and financial resources and they also struggled to find good staff. This brings to mind the educational vulnerability of schools which because of poverty, context or the qualifications of their staff or lack of qualifications are unable to meet the demands of the IQMS in terms of increasing teacher competence and improving teaching and learning. The IQMS with its NPM underpinnings appear to be socially blinkered offering little hope for 'deprived' schools. This study challenges the view that quality management can be implemented by all schools. Context appears to be ignored by the IQMS policy.

On the positive side 80% of the respondents endorsed the IQMS as a process for identifying teachers' strengths and weaknesses and felt that there is a link between teacher evaluation and improving the teaching-learning process. It was also found to be more likely that those schools that provided feedback on evaluation also engaged in professional development activities compared to those who did not provide feedback. The literature review supports the view that teacher evaluation is a core activity in identifying personal and professional development priorities and that there is a primary link between the IQMS and professional development. (Loock *et al* 2006: Fitzgerald 2001).

5.2.2 A NEED FOR PROFESSIONAL DEVELOPMENT

Over 80% of the respondents including representatives of the teacher trade unions and provincial and district department managers acknowledge the need for professional development in South African school. However, an analysis of the data reveals that many teachers did not engage in professional development activities. Yet teachers are required according to the IQMS to have a professional growth plan (PGP) which they need to follow. Principals cited other priorities which overtook the IQMS processes and thus enthusiasm for professional development waned. Zhang (2008: 2) states:

Never before in the history of teacher professional development
has so much importance been attached to teacher professional

development. Accompanying recognition of its importance, we are seriously concerned about its effectiveness in practice. Unfortunately in practice it often deteriorates into a mechanical and meaningless exercise.

5.2.3 AN OVER-EMPHASIS ON ACCOUNTABILITY IS A THREAT TO TEACHER PROFESSIONALISM

Principals were of the view that the policy framework of the IQMS appears unabashedly managerial and highly prescriptive. It has in place processes and structures which should ensure efficient and effective delivery. Principals in this study stated that the bureaucratic requirements of the IQMS and the paperwork that accompanied it was cumbersome and took focus away from professional development activities. Principals had to be accountable to district officials therefore performance measurement activities and the filling and submission of scoring sheets took precedence.

The respondents in general felt that the IQMS would erode teacher professionalism if it emphasized accountability and ‘surveillance’ which to them is what the IQMS appears to be all about. Researchers and scholars who subscribe to CMS endorse the view that an emphasis on accountability procedures will be inimical to a ‘caring’ profession like teaching (Trupp and Willmott 2003: 15).

5.2.4 NEED FOR CAPACITY BUILDING IN ALL LEVELS OF THE EDUCATION SYSTEM

Principals were against professional development activities being devolved and restricted entirely to school level and asked for SACE to take a more active role in co-ordinating professional development activities. Principals cited work intensification and financial and time constraints as the main reasons why development activities did not take place. Both educators and the principals in the surveys undertaken felt that assistance for either school improvement or teacher development was not forthcoming from provincial and district officials. The trade unions stated that district officials lacked the capacity to assist teachers. However, all agreed that the IQMS should be used to identify professional development needs and institute professional development programmes.

5.2.5 DA, PM AND WSE DO NOT INTEGRATE HARMONIOUSLY

Principals felt that there was a need for an IQMS co-ordinator either at school level or district level whose chief duty would be to coordinate the various aspects of the IQMS. This person would have a holistic view of the schools under his/her jurisdiction. In spite of the name of the policy which seeks to foreground integration, at present the three aspects of the IQMS: DA; PM and WSE³³ do not integrate properly. Nor are the DA and PM aspects mutually reinforcing as is envisaged in the IQMS policy. The management plan for implementation allocated the first two terms of the school year to DA and the next two terms to PM.³⁴ 75% of the respondents stated that a shortage of time was one of the reasons for a lack of professional development activities and asked for a lengthening of the time period between DA and PM. WSE conducted by departmental officials is regarded as a mere checklist exercise by 18 of the principals surveyed

5.2.6 THE IQMS PROMOTES ACCOUNTABILITY.

As shown in the previous chapter, accountability is promoted and reinforced by the tallying and submission of scores to the provincial department in order to earn rewards. Yet accountability was given the second last rating by respondents as one of the purposes of the IQMS whilst improving teaching and learning and professional development were rated first and second respectively.

However, it does appear as if educators have found ways to ‘beat’ the system. The Principals in this study and the Department officials are well aware of rhetorical compliance with the IQMS, window-dressing, fabrication of scores and various forms of collusion among colleagues. This is also borne out by the lack of correlation between the high number of educators who qualified for performance pay and the number (over 70%) of educators who stated that they had a dire need for professional development.

Tomlinson (1999) has argued that performance-related pay is a motivator of improved performance. Other authors like Williams (2002) disagree with this view while authors, Trupp and Willmott (2003) feel that performance-related pay is used to control and promote the NPM agenda. Over 87% of the respondents in this study did not agree that performance-related pay motivated them to improve performance. The literature review states that linking rewards to performance evaluation can squeeze out important considerations for development and training (Seifert 1996; Gewitz *et al* 1995; Lauder *et*

³³ The researcher is of the view that WSE is linked artificially to the IQMS policy –see Annexure G.

³⁴ See Annexure F on the Management Plan for the IQMS

al 1999) which the respondents in this study concur is needed in a developing country like South Africa. Almost 80% of the respondents said that they were unable to engage in professional development activities yet 99% fulfilled performance measurement requirements. Thus one can easily identify the tension between the IQMS being used as a professional development tool (DA) and an 'accountability tool' (PM). Accountability has certainly undermined professional development.

5.3 CONCLUSIONS

5.3.1 TENSION BETWEEN PROFESSIONAL DEVELOPMENT AND ACCOUNTABILITY.

The evaluation of teacher performance against performance standards is part of the IQMS strategy to maintain high quality teaching and leadership in South African schools. These performance standards describe the key elements of an educator's performance and provide a base for assessing the educators' progress in relation to pay progression, competency and professional development. The performance standards detail the minimum competences that an educator must display. The respondents in this study as well agree that these performance standards and associated links with professional development and pay progression create the potential for tension and paradoxical situations in schools. On the one hand, the IQMS is linked with professional development in a non-threatening way and on the other hand it is linked with remuneration. The integration of DA and PM has resulted in tug of war between these two systems. This study reveals that professional development has paid the price for the NPM orientation of the IQMS as it (professional development) is not linked to visible rewards.

The CMS stance is, and this is also evident in this study, that quality management systems like the IQMS should be used for professional growth and development. Down *et al's* (1999) research on appraisal revealed that teachers sought to engage in professional development activities and change their teaching practice through systematic evaluation of their performance. The conclusions forwarded by the study done by Down *et al* (1999) pinpoint the level of positive support for professional development.

Can IQMS achieve its dual purpose of professional development and accountability? Zhang argues that teachers' performance depends on their professional development. He states that they could be harmonious and merge:

If formative appraisal plans are carried out well, then most summative appraisals become routine and non-threatening (2008: 22).

From what has been discussed in this thesis, one could find that the debate on whether or not these two purposes conflict with each other comes from the way they are understood and applied in practice. Besides, the answer to this question may vary in different cultural and organizational contexts. However, as Beerens (2000: 9) states:

...teachers' growth and development must occur if we are to increase students' achievements – the embodiment of teachers' performance.

5.3.2 TEACHER PROFESSIONALIZATION

Almost all the concepts of performance management and quality assurance used in other organizations have been taken over into educational contexts and also incorporated into the IQMS. The management of professionals poses a basic problem (Lauder et al 1999) as the definition of a professional incorporates notions of competence and autonomy. 72% of teachers surveyed considered that their professionalism was being undermined by the rigid demands of the IQMS policy and the high level of prescription in it. Educators from advantaged schools especially felt that their autonomy should be respected. These teachers were highly qualified and experienced and felt they should be left to get on with the job.

'A *National Framework for Teacher Education in South Africa*' (2005) defines a professional teacher as:

A professional teacher is a person with the educated competencies and abiding commitments to engage successfully in the professional practice of teaching. A professional teacher is characterized more by a commitment to the ideals of the profession, and flexible competences to purpose those ideals in a variety of circumstances, than by mere obedience to the legitimate requirements of an employer (Dept. of Education 2005: 6).

The practice of teaching is a situated and interpretative contextual practice which involves variable contextual realities that include the level of the learners and the socio-historical, political contexts of practice. CMS using Marxist theory recognizes these various social contexts while NPM treats all contexts as homogeneous. Teachers are 'characterized as professionals because the practice of teaching involves skills and routines yet goes beyond such skills and routines because teaching also involves making situated, interpretative judgements' (Dept. of Education 2005: 6).

There is a need to accept that the professionalism of teachers should not be compromised by compliance to the mechanistic requirements of a performance management system like the IQMS which was perceived by about 50% of educators as a quality control tool rather than a quality enhancement process.

Despite the undisputed differences between teachers who teach at different types of schools, all teachers should be respected as professionals and given the proper status that such a role deserves. This will enhance teacher self-confidence and morale (Fitzgerald 2003: 121) Therefore to allay the fears of a low-trust relationship between government and teachers which results in politically controlled (accountability –focused) models of teacher evaluation and 'governments steering from afar' (Trupp and Wilmott 2003), the IQMS' focus should be more positive and constructive to create a support system that will promote the individual growth of teachers and affirm their professional image.

5.3.3 AN OVER-EMPHASIS ON ACCOUNTABILITY

It is also advocated that accountability must never supercede development and in over 80% of cases in this survey it appears, unfortunately to have done so. This largely lies with the way that the IQMS is implemented. The IQMS requires that educators meet accountability demands in order to move over salary bars. The danger here is that the process can become a mechanism for ensuring that minimum criteria have been met to ensure pay progression. This study, in keeping with post modernist view expressed in CMS (Bottery 2000), advocates a hybrid approach that effectively integrates accountability with professional development. However, the type of accountability that this study promotes and that the surveyed respondents prefer is professional accountability to their learners and to the community. The literature review also supports this viewpoint (Middlewood and Cardno 2001; Stillwell 2002; Clarke et al 2000).

Perhaps teacher evaluation should be, as one principal suggested, linked to career paths rather than to pay.

5.3.4 TRAINING AND UPGRADING OF TEACHERS

While it is a well known fact that South African teachers do need support, district and provincial education departments offer limited support (Gounden and Mkhize 1991). Krige and Scott (1995) present figures which graphically reveal the need for training. The principals in this study identified the upgrading of teachers as an urgent priority, especially in the rural areas.

However, this study also reveals that teacher perception is that the quality of in-service training provided by the provincial and district offices is poor and that the transfer of new knowledge and skills back to schools is often not achieved. This survey also reveals that the lack of appropriate training opportunities at school level is a very serious problem. This represents a challenge for the implementation of the IQMS and for its principles and purposes. One of the main principles of the IQMS is the engendering of professional development activities.

While schools do submit their school improvement plans to their district offices, this study reveals that this is mere compliance with external requirements and staff development, mentoring, coaching and training rarely takes place as schools get caught up in other administrative activities.

Improving classroom practice is one of the key elements to successful teaching. DSGs have cited an increased teaching load as one of their main problems in not fulfilling their IQMS obligations. It becomes necessary to decrease the teaching loads especially of Heads of Departments. Teacher development should form a large part of their portfolio (Schuler et al 1992). Schools are potentially 'rich sources of development opportunity and should illustrate simple development strategies like work-shadowing, paired observations and mentoring' (Glover and Law 1996: 5).

A suggestion made by teachers in this study is that there should be a subject advisor who could co-ordinate and provide support and assistance in a few surrounding schools. Another suggestion made in this study is that this person could also assist with planning,

co-ordinating and implementing all the IQMS activities, including reviewing and monitoring of the system and arranging, planning and budgeting for staff development programmes. These are 'high level skills' that appear to be lacking (Hanson and Hentz 1999: 28).

The lack of capacity within schools require that school-based inset programmes be supplemented by professional development programmes conducted by trained personnel from teacher training institutions as well as department officials or educators within the school who have the necessary expertise (Terreblanche 2002) . This study concedes, however, that the impact of the IQMS and the achievement of its objectives is a long term process and the process cannot be hurried.

5.3.5 MANAGING THE IQMS PROCESS

The IQMS document conceptualizes the educator holistically; as a person endowed with practical, foundational and reflexive competences who is able to take action, make decisions and reflect on action with a view to adaptation and remediation (Gilmour 2001: 19). By taking this view of the educator the IQMS document sees evaluation as a useful policy imperative that could influence teacher behaviour and performance in schools.

The goals of IQMS cover both evaluation and development. The evaluation goals (stated either implicitly or explicitly) involve the giving of feedback to the educators so they know where they stand; to develop valid data for pay and grade progression; and to warn educators against unsatisfactory performance. The development goals include counseling and coaching educators so that they will improve their performance and develop future potential; to motivate educators through recognition of achievements and strengths; to strengthen manager-educator relationships; and to diagnose individual and organizational problems (*IQMS Collective Agreement 8 of 2003: 4-9*).

Categorizing these goals as evaluation or development goals emphasizes that some of them are in conflict. The managerial relationship required for evaluation goals may be inimical to the trusting, open relationship required for development. There is also a potential role conflict when the evaluator is both judge and developer. It is important that the IQMS recognizes these problems. Decisions regarding performance measurement (accountability concerns) should be separated from more developmental activities and

it is suggested that this be done by a sequencing of activities to help minimize the potential conflict. Perhaps the Department of Education and schools should concentrate on the development aspects of the IQMS and appoint an outside body to evaluate teachers.

To lessen the tension between accountability and teacher development, this study recommends the following measures:

- Separation between evaluation for performance measurement and development by at least a year. Any concerns with pay should be removed from the main appraisal process.
- Supervision and coaching must be continuous, as should be modification of targets and objectives rising from new circumstances.
- All educators should not be appraised with the same frequency. Some may need more feedback on performance whilst those who are competent and have the capabilities should be appraised every two or three years.

5.3.6 NPM PRINCIPLES DO NOT HAVE A PLACE IN A DEVELOPING SOUTH AFRICAN CONTEXT

In a developing second world economy like South Africa, neo-liberal principles like NPM may not have a place at the moment, not until the skills gap and skill shortages have first been eliminated through the acquisition of knowledge, skill and training. Authors like Trupp & Wilmott (2003) have debated whether it has a place in public service industries in first world economies.

Schools are required to balance increased school autonomy with national and provincial government controls. This in itself is a contradiction. Are the twin pillars of accountability and empowerment in the IQMS policy compatible? The study reveals that fundamentally, they are incompatible. The following authors write:

While external accountability appears to be the perennial favorite of politicians, many people view empowerment, teacher development and school improvement as more important (Stoll and Fink 1996: 168).

The respondents in this study wholeheartedly concur that performance measurement and accountability have negative effects on teaching and give examples of teaching to the

test and fulfilling requirements of externally driven curriculum prescription. If teachers are forced to comply with policy than the resultant window-dressing, fabrication and rhetorical compliance are bound to happen.

This study recommends a critique and rejection of managerialism and quasi-marketization in education. Teachers should not be regarded as passive objects of control and they have the ability to accept, reject, reshape and rethink, rebel or conform to changes imposed on them.

5.3.7 REVIEWING THE IQMS

The IQMS needs to be evaluated and reviewed and this suggestion is made in the light of what the data analysis has already revealed. The IQMS has been in place for the past four years so an evaluation and review is an urgent requirement. A review will reveal its strengths and weaknesses. This study does not suggest in any way that it be abandoned because it does appear to have the potential to improve performance and schools. Most of the respondents agreed that some form of evaluation is necessary as a measure of quality assurance. However, certain adjustments and changes may need to take place in light of the evidence presented.

Bracey and Gelsthrope (2001: 58) cited in Lumby (2003) argue that judgements about a teacher's performance need to take into account both qualitative and quantitative evidence. One change that this study recommends is that the IQMS use qualitative as well as quantitative measures to rate performances (Prasad 2005:4). Besides scores, a written report should be given to teachers. Merely allotting scores may be problematic since teaching is a complex art and assessing how objectives have been met is not easily quantifiable. Teachers' perceptions are that they are being 'weighed up' against an arithmetical rating scale. There were objections to the rating scale and concerns about the objectivity of performance measurement. It would be better to use a combination of rating scales and open-ended responses. Perhaps this could include the areas for improvement that the educator has been concentrating on for the past year and whether they have been achieved. The DSG could include possible future improvements in performance and associated training and development.

Mechanical compliance with the IQMS is not advocated in this study. The IQMS should be adapted to suit the circumstances of a particular school. In fact, it is advised that educators participate even in the design of a performance management system like IQMS. This also means that when the IQMS as a teacher evaluation system is appraised and reviewed, educators be part of the process at all stages (Makgalane *et al.* 1997). Educators need to be consulted with regard to any changes made to the IQMS. Ownership will engender commitment to the principles expounded in the IQMS policy. But a sense of ownership can only come if it does not seriously compromise educators' democratic and professional rights.

5.3.8 INTEGRATION OF DA; PM AND WSE

Professional development plays an important role in any organization and school leaders have to try to achieve a balance between the needs of an organization and the needs of the school. In a period of scarce resources, it has become increasingly the case that the needs of the school come first, however, it is wise in the scenario presented (in a developing South African context) to take account of individual interest and needs in developing their role in the organization. This is how the development appraisal, performance management and whole-school evaluation can truly integrate. The IQMS views itself as an integrative tool but this study shows that it has not been the case. The fundamental purposes of performance management lies in improving the teaching of the individual, staff development and school development. The IQMS should provide a vehicle for the effective integration of personal and organizational needs (Davies *et al* 2005: 88).

5.3.9 IQMS AND 'CRITICAL' LEADERSHIP

Under the system of IQMS, final accountability rests with the principal of the school. Many authors have written about the high level leadership skills (transformational rather than transactional) required of a principal (Bush and Glover 2003; Bush and West-Burnham 1994; Makgamatha 2001). The principal ultimately holds a whole school view and is responsible for the quality of teaching and learning and therefore the development needed to achieve it (Lumby 1998: 139).

Principals should be aware of the potential of the IQMS to move them away from educational value and collegial processes towards what is termed, 'marketised

performance’ (Gunter 2001:96). This study suggests that the approach to leadership and management should be quite different.

It is suggested that school principals put themselves on the line by demonstrating their personal commitment to high performance of a developmental state; development and growth and having done this, hold it quite reasonable that all staff will follow their lead. The overall outcome of this will hopefully be a learning, growing, dynamic, high performance school of the twenty-first century.

The type of leadership recommended in this study is termed ‘critical leadership’. It calls on school leaders to tap into critical perspectives of education. Principals have been asked to actively ‘sell’ the IQMS policy under the assumption that the IQMS is a force of good – not if it does not focus on teaching and capacity building. Critical leadership will allow principals to see how educational policies are infected by reductionist, managerial and prescriptive approaches to education. This may not be easy as leadership literature has become so linked to managerialism, and in promoting a chief executive model of leadership.

It is suggested that principals read, **An Internal Handbook of Educational Leadership and Administration**, (Leithwood *et al* 1996) in which six chapters are devoted to critical perspectives. Leaders need to take on a more clearly educational stance, power share and allow teachers their own personal vision of the school and allow time to debate these visions so that a critical stance can take a strong foothold. Principals have to turn their backs to a regime of numbers and graphs that tell them what works in their schools and what does not.

5.3.10 IQMS AND SOCIO- ECONOMIC CONTEXT

National policy making is inevitably- the process of bricolage – a matter of borrowing and copying in bits and pieces of ideas from elsewhere (Ball 1998: 126).

The IQMS should take into consideration context and not regard international education policies as unproblematic. Policies should be designed to suit our South African context instead of whole scale borrowing from Britain, Canada, New Zealand and Australia.

Rural educators could not fathom the IQMS which came across to them as a sophisticated

policy. Provincial and District officials themselves battled to answer queries with regard to the IQMS and its performance criteria.

Policy makers should build in strategies for coping with context into the IQMS document (first and third world economies). It is also recommended that the African concept of UBUNTU be part of the policy as it would encourage the development stance which this study strongly recommends for a South Africa context. Policy makers should also question the notion of a minimalist state and support the idea of a development state. It would be foolish to imagine that schools by themselves can overcome the effects of sustained disadvantage.

The researcher reiterates the need for substantial and enduring investment in education as the researcher fails to see how education can be delivered fairly in such unequal institutions as those we have at present. The IQMS as a quality and performance management strategy has failed (as this study reveals) in schools that are poorly resourced. It is worth quoting Hodgson (1999: 250) here:

The only substantial and enduring strategy must involve heavy investment in education, to increase the relative and absolute supply of skilled and educated workersIn the face of rapid and dramatic global and technological changes, massive increases in **effective** expenditure on both education and training are required.... (cited in Trupp and Willmott 2003: 236) (researcher's emphasis)

5.3.11 CONTINUOUS PROFESSIONAL DEVELOPMENT

There is increasing concern about the quality of teachers in our country (Kallaway et al 1997). The IQMS with its assumption that quality of teaching can be measured in mechanical ways to fit in with predetermined criteria may lay the trap for us to ascribe poor performance of the schooling system to deficit teachers. This will lower teacher morale.

If educators are valued and policies and practices are in place for information-sharing, participation and involvement and skill development and there is a long term perspective than it is possible for IQMS to have a future. Further, the greatest significance of any

performance management system is that it should provide a framework which potentially enables teachers to develop more fully the skill of managing and improving their own performance so that they can manage and enhance the learning of the learners (Harley *et al* 1999; Lumby 2003). In this way educators will be able to balance the demand for accountability with the need for development and also maintain teacher autonomy.

The IQMS should incorporate a systematic program for Continual Professional Teacher Development (CPTD). CPTD is a mechanism through which all professionals will be obliged to keep abreast of developments and knowledge in their fields of expertise in order to maintain and demonstrate their competence (Wilson 1999: 54).

CPTD embodies three components:

- Professional training: Short courses, conferences and workshops, largely focused on practice and skills;
- Professional education: longer courses and or secondments, focused on theory and research-based knowledge and
- Professional support: job embedded arrangement/procedures.

(Golver and Law 1996: 3)

CPTD would be a way to upgrade educators and transform them into the ‘knowledge workers’ (Drucker 1989) needed for the present age. SACE would be the appropriate body to manage the CPTD system and award credits for professional development activities (Dept. of Education 2005: 17). The CPTD system and the IQMS can integrate with each other. The IQMS provides a way to identify the needs of teachers and schools and the providers of CPTD activities could be guided by these needs. Teacher evaluation should strengthen schools as learning communities in which teacher are provided with ample opportunities for continuous growth and development. This should revitalize the teaching profession and improve schooling and the quality of learner achievements. CPTD would also help the teaching profession to re-establish its professional standing and contribute to responsible autonomy.

5.4 CONCLUSION

This study reveals that the enforced union of two contradictory forces; accountability and

professional development in the IQMS would ineluctably undermine the capacity building of South African teachers. Its performance-related pay aspect ensures that performance measurement takes precedence over professional development. Its use of prescribed performance standards may produce pressures to narrow the curriculum and teach to the test which compromises professionalism and teacher autonomy. The result is rhetorical compliance with no real change to teaching and learning.

The tenets of CMS is used to suggest that, in a developing country like South Africa, it is necessary to look beyond NPM and 'performative' and audit cultures in which education is interpreted through technocratic lenses and humans become a manipulate object of management control.

Therefore, it is suggested that any system of evaluation of teachers in South Africa incorporate the following principles:

- A commitment to facilitate the professionalism of teachers.
- The promotion of Professional Development.
- An emphasis on 'critical' leadership.
- Acknowledgement and a response to social reforms and social justice.
- De-linking education policy from its neo-liberal, managerialist roots which tend to overemphasize accountability.

This study has evaluated the IQMS policy and critiqued its NPM underpinnings using the meta-theoretical framework of CMS. It examined the views of teachers, principals, teacher trade unions and departmental officials with regard to their perceptions of the IQMS and engaged in a critical exploration of whether the two paradigms of accountability and development are mutually exclusive and whether they can be integrated and co-exist in a quality management system such as the IQMS. The evidence suggests that professional development and accountability are not mutually reinforcing.

The IQMS must be much more than an accountability device; it should be used as a powerful instrument for bringing about teacher and school improvement as a result of educators and school leaders being enabled, through properly structured process, to engage in professional development activities in order to enhance the quality of their work. A well-founded ethically driven approach to performance and quality management

holds enormous potential not only for enhancing the abilities and performance of individual educators, but also to assist the school in its journey towards school development and improvement. Systems of quality management should provide ongoing support for teaching and learning. This study is critical of the ‘accountability era’ and sees hope for South African teachers in encouraging professional growth and development.

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ANNEXURE A (1)

1 Comfort Place
Kharwastan
Durban
4092

14 June 2007

Research Division
Department of Education
Pietermaritzburg
Kwazulu-Natal

Dear Dr Mthabela

Request to conduct research at schools in KZN

I am a PhD student at the University of KZN. I wish to do research on IQMS – the system that evaluates educators. My research proposal on the Integrated Quality Management System is enclosed together with whatever else is required. I need to embark on my research before school examinations start and I would be grateful if you could email me permission to start immediately at the following email address: library@qghs.co.za. Please remember to send it: For attention: Shamella Ramnarain as I am using my school email address.

My questionnaires and interview schedule is also enclosed as well as my sampling framework.

Thank You

Shamella Ramnarain

Phone: 031-4033605(H)
031-4640343(W)
0836501085 (Cell)

Annexure A (2)

1 Comfort Place
Kharwastan
Durban
4092

23 July 2007

Dear Principal

I am conducting a research study on the Integrated Quality Management Systems (IQMS) in public schools. It would be appreciated if **you** and **your staff** kindly completed the attached questionnaire as soon as possible and forward it in the self-addressed stamped envelope.

Kindly note that the necessary permission from the KwaZulu-Natal Department of Education and Culture has been obtained.

Please be assured that you will remain anonymous and responses will be treated with the strictest degree of confidentiality.

It would therefore be appreciated if you could respond candidly to the questionnaire.

Your co-operation and assistance is highly appreciated.

Many thanks

S.Ramnarian
(Researcher)

Telephone: (H) 031-403 3605
(W) 031-464 0343
(C) 083 650 1085

e-Mail: library@g.g.h.s.co.za

Note:

- It would be appreciated if you could respond promptly
-if possible within **seven days** of receipt of this questionnaire. This would greatly facilitate the

data

collection and analysis process.

- If for some reason you are not in a position to Complete the questionnaire, kindly return it to the researcher.

ANNEXURE A(3)

1 Comfort Place

Kharwastan

Durban

4092

6 June 2007

To: Educators

Heads of Departments

Deputy Principals

Principals

Department Officials

Dear Educator

My name is Shamella Ramnarain. I am a PhD student in the Faculty of Education of the University of KwaZulu-Natal.

In fulfilment of the requirements of the said degree, I intend to conduct a study on the IQMS

and its role in the promotion of accountability and professional teacher development. The study involves investigation through document analysis, interviews with departmental officials and the use of questionnaires to principals and educators. I request that you be one of the respondents. For interviews, I request permission to use a tape recorder. Questionnaires are the only form of data gathering for school-based educators.

I undertake to treat all the information you provide in strict confidence and to use it for research purposes only. Your name and your identity will not be disclosed. The research data will be stored in a secure place where only I and my supervisor can access. Thereafter it will be stored in my private office.

I thus request you to participate in this study as one of the respondents. Regretfully there is no payment for participation in this study. Participating in this study is voluntary, and you will be free to discontinue your participation at any time you find this necessary.

Attached please find a letter of permission from Dr. R. Cassuis Lubisi, Superintendent-General (KZN).

I wish to thank you in advance. Please sign the consent below if you are willing to participate in this study.

I (full names of respondent) fully understand the conditions of participating in this study and agree to be a respondent. I understand that I am free to withdraw from this study at any time, should I so desire.

Signed: Date:
.....

I, Shamella Ramnarain, the researcher, undertake to treat all the information provided by the respondent in strict confidence and for the sole purpose of research.

Signed:

Date:

ANNEXURE C

QUESTIONNAIRE

**TOPIC: THE INTEGRATED QUALITY MANAGEMENT SYSTEM:
EXPLORING THE TENSION BETWEEN ACCOUNTABILITY AND TEACHER
DEVELOPMENT.**

Place a tick in the appropriate block



SECTION A: BIOGRAPHICAL AND GENERAL INFORMATION

1. What are your years of experience as a Principal?

0 – 3 years
4 – 6 years
7 – 9 years
10 years and over

	1
	2
	3
	4

2. Sex (Principal)

Male
Female

	1
	2

3. How would you classify the geographical location of your school?

Urban (0km – 20km from city centre)
Suburban (21km – 50km from city centre)
Rural (51km + from city centre)

	1
	2
	3

4. How would you classify the socio economic status of the community from which the school draws the majority of learners?

Advantaged
Average
Disadvantaged
Combination of the above

	1
	2
	3
	4

5. Number of Educators on staff?

--

6. Have all Educators in your school been evaluated for IQMS?

Yes		1
No		2

SECTION B: IQMS

1. Were you consulted with regard to the design of the IQMS?

Yes		1
No		2

2. How were you informed of IQMS?

By Department Officials		1
Union		2
Circulars		3
Other		4

3. Was the training conducted to prepare educators for the implementation of the IQMS adequate?

1	2	3	4	5
More than Adequate	Adequate	Mediocre	Not very Adequate	Useless

4. I found that the IQMS is easy to implement at my school.

**STRONGLY
AGREE**

1	2	3	4	5

**STRONGLY
DISAGREE**

5. If you do not agree, what were some of the problems?

6. Do you have a school improvement plan?

Yes		1
No		2

7. Were you able to follow the strategies outlined?

Yes		1
No		2

If not, state reason.

8. Has your school had or been identified for External Whole School Evaluation (WSE)?

Yes		1
No		2

If yes, has WSE taken place?

Yes		1
No		2

9. How has your school linked WSE in the IQMS to whole school development?

10. Has your school held Inset or Development Workshops for Educators based on IQMS?

Yes		1
No		2

10.1 If yes, name some of these workshops.

10.2 If not, identify reasons why this was not done.

11. Did the Department provide Inset and Training Workshops with regards to areas of weaknesses identified in IQMS for schools in your area?

Yes		1
No		2

If yes, state what those workshops entailed.

12. How many Educators qualified for: (Tick one block only)

Pay Progression:

Below 30%		1
30 – 50%		2
50 – 70%		3
70 – 80%		4
80 – 100%		5

Grade Progression:

Below 30		1
30 – 50		2
50 – 70		3
70 – 80		4
80 – 100		5

13. Are the incentives offered by IQMS effective in motivating educators to improve?

Yes		1
No		2

14. How has your School Management Team (SMT) dealt with Poor Performance?

15. In your view has IQMS led to greater teacher competence in your school?

**STRONGLY
AGREE**

1	2	3	4	5

**STRONGLY
DISAGREE**

16. IQMS has increased accountability demands on educators and managers.

**STRONGLY
AGREE**

1	2	3	4	5

**STRONGLY
DISAGREE**

17. As Principal would you agree that IQMS be used for accountability or professional development purposes? Which of the two would you give a greater weighting? Elaborate on your answer.

18. Give your views on whether IQMS has improved educator performance at your school. (As part of your answer, state whether you think it has the potentiality to improve educator performance)

19. Has IQMS undermined educator professionalism? Give your views.

20. Do you think that IQMS should be linked to rewards /incentives?

SECTION C: GENERAL COMMENTS

1. Are there any comments/ suggestions that you would like to make regarding IQMS?

[illegible]

Thank you!

ANNEXURE D

QUESTIONNAIRE

TOPIC: THE INTERGRATED QUALITY MANAGEMENT SYSTEM: EXPLORING THE TENSION OF THE TENSION BETWEEN ACCOUNTABILITY AND TEACHER DEVELOPMENT

Place a tick in the appropriate block ☒

SECTION A: BIOGRAPHICAL AND GENERAL INFORMATION

1. What is your current post level?

PL 1		1
PL 2		2
PL 3		3
PL 4		4
PL 5		5

2. What is your current rank category?

Principal		1
Deputy Principal		2
Head of Department		3
Educator		4
Special Education		5
Remedial Educator		6
Other		7

3. What is the nature of your appointment?

Permanent		1
Temporary		2
Substitute		3
Governing Body		4

Appointed

SECTION B: PERFORMANCE EVALUATION

1. Are you in favour of being evaluated according to the principles of the IQMS?

Yes		1
No		2

2. Do you receive support and assistance from your DSG (the team that evaluates you e.g. HOD, peer, etc.)?

Yes		1
No		2

3. Do you have a good understanding of the IQMS document?

Yes		1
No		2

4. The performance criteria are clear and specific and relate to what I consider necessary for evaluation

Yes		1
No		2

5. Were you evaluated for;

5.1 Professional development purposes (Formative assessment / baseline assessment)

Yes		1
No		2

5.2 For performance measurement purposes (summative assessment)

Yes		1
No		2

6. The IQMS system has given me a good indication of my strengths and weaknesses.

Yes		1
No		2

7. The IQMS system is of benefit to teachers

strongly agree

1	2	3	4	5
---	---	---	---	---

strongly disagree

8. IQMS has resulted in an improvement in teaching and learning in my school.

strongly agree

1	2	3	4	5
---	---	---	---	---

strongly disagree

SECTION C: PROFESSIONAL DEVELOPMENT

9. Have you had any feedback from evaluators on how you have performed in your job?

Yes	<input type="text"/>	1
No	<input type="text"/>	2

10. How much feedback did you get from your evaluation?

A great deal	<input type="text"/>	1
Moderate	<input type="text"/>	2
Little or none	<input type="text"/>	3

11. Did your evaluator/evaluators mention parts of the job you had not done particularly well?

Yes	<input type="text"/>	1
No	<input type="text"/>	2

12.1 Were your training/ development needs discussed?

Yes	<input type="text"/>	1
No	<input type="text"/>	2

12.2 Were follow-up actions planned to improve your performance?

Yes	<input type="text"/>	1
No	<input type="text"/>	2

13. Qualify the extent of the impact of IQMS on your professional development and improvement as an educator. (Tick the appropriate box)

80 - 100	<input type="text"/>	1
70 - 79	<input type="text"/>	2
60 - 69	<input type="text"/>	3
50 - 59	<input type="text"/>	4
40 - 49	<input type="text"/>	5
30 - 39	<input type="text"/>	6
20 - 29	<input type="text"/>	7
0 - 19	<input type="text"/>	8

14. The following are some of purposes of IQMS. Which would ***you*** consider most important. Rank them from 1 to 5, with 1 being the most important (use a number once only!)

Purpose	
1	Improved my skills and knowledge
2	Increased accountability
3	Helped clarify performance requirements
4	Increased commitment to development returns and goals for teachers
5	Enhanced teaching and learning
6	Improved whole-school development

SECTION D: ACCOUNTABILITY

1. My evaluator is using consistent standards in evaluation my performance

strongly agree

1	2	3	4	5
---	---	---	---	---

strongly disagree

2. Are you happy with the rating scale?

Yes	<table border="1" style="display: inline-table;"><tr><td> </td><td>1</td></tr></table>		1
	1		
No	<table border="1" style="display: inline-table;"><tr><td> </td><td>2</td></tr></table>		2
	2		

If not, give problems you may have discovered/ encountered with the way you were rated.

3. Did you qualify for any of the following?
(Tick the appropriate section)

Pay progression	<table border="1" style="display: inline-table;"><tr><td> </td><td>1</td></tr></table>		1
	1		
Grade progression	<table border="1" style="display: inline-table;"><tr><td> </td><td>2</td></tr></table>		2
	2		
Both	<table border="1" style="display: inline-table;"><tr><td> </td><td>3</td></tr></table>		3
	3		
None	<table border="1" style="display: inline-table;"><tr><td> </td><td>4</td></tr></table>		4
	4		

4. What are your views on linking IQMS to an incentive, (like pay progression and grade progression)? You can comment, for example, on whether linking IQMS to a reward will gain more commitment to enhancing performance, etc.

5. What are your views on IQMS as an accountability system? (Comment also on whether you think it should be used for accountability purposes or for professional development purposes?)

SECTION E: GENERAL COMMENTS

6. Comment on what you consider to be the desired objectives of IQMS and the reality of its implication in schools.

7. Are there any other suggestions/ comments that you would like to make regarding IQMS?

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

THANK YOU!

ANNEXURE E

SEMS, District Official and Provincial Officials/Trade Union representatives

Briefly gain information from the respondent about him/herself to establish rapport and build trust.

Allow the respondent to share their name, their official position in the district or provincial office and their designated job description.

Inform the respondents about the following:

- Background to the research.
- Purpose of the interview.
- Overall procedure.
- CONFIDENTIALLY!!!!

Interview Outline: Table of Contents

Section 1: Introduction and warm up (5 mins)

Section 2: General discussion on Principles and purpose of the IQMS (10 mins)

Section 3: Discussion of the Accountability versus Development Debate (10 mins)

Section 4: Discussion on Implementation and Mentoring of the IQMS (10 mins)

Section 5: Assistance from Departmental Officials / Trade Unions (5 mins)

Section 6: General Comments and conclusion. (5 mins)

Estimated total time: (45 mins)

Questions: Suggested Questions

Section One: Introduction and warm up

1.1. What is your official position?

2. How are you involved in the IQMS?

Section Two: General Discussion

- 2.1 Important principles and purposes of IQMS?
- 2.2 Give your opinion of IQMS as a teacher and school evaluation system

Section Three: Accountability versus Development

- 3.1 Give your views on whether the IQMS should be used as an accountability tool or a teacher and school development process.
- 3.2 In your view, is teacher development being undermined / neglected by accountability concerns?

Section 4: Implementation and Mentoring

- 4.1 Are schools implementing it according to the guidelines – submission of SIP etc? (Mention fabrication)?
- 4.2 How is the Department monitoring IQMS, pay and grade progression?

Section 5: Assistance from Departmental Officials / Trade Unions

- 5.1 What is the Department doing to assist with Teacher Development / Whole school development?
- 5.2 What measures are the Education promoting for improving teacher upgrading, training and development?

Section 6: General Comments and conclusion

ANNEXURE F: MANAGEMENT PLAN FOR INSTITUTIONS

MONTH	ACTION	RESPONSIBILITY
January	<ol style="list-style-type: none"> 1. Advocacy, providing educators with training manual, training, discussion, & clarification of issues. 2. Facilitate establishment of SDT. 3. Roles and responsibilities of structures-discussed. 	<ol style="list-style-type: none"> 1. Principal/SDT 2. Principal 3. Principal
February	<ol style="list-style-type: none"> 1. Planning for implementation. 2. Inclusion of IQMS implementation plan in broad management plan. 3. Self-Evaluation. 4. Educators choose their DSGs. 5. Preparation of final schedule of DGS members 6. Provide educators with time-table for classroom observation. 	<ol style="list-style-type: none"> 1. Principal/SDT 2. Principal/SDT 3. Appraisee 4. Appraisee/SDT 5. SDT 6. SMT
March	<ol style="list-style-type: none"> 1. Pre-evaluation discussion. 2. Baseline evaluation. 3. Feedback and discussion. 4. Resolution of differences 5. Development of PGP 6. Development of SIP and provide SIP to District/ local office 7. First development cycle commences 	<ol style="list-style-type: none"> 1. DSG & appraisee 2. DSG 3. DSG 4. DSG?SDT 5. Apprsaisee/DSG 6. SDT 7. Appraisee/ school
April	<ol style="list-style-type: none"> 1. Development, support, mentoring. 2. Monitoring. 3. Self evaluation against PGP. 4. Self evaluation against SIP. 	<ol style="list-style-type: none"> 1. SMT/SDT/DSG 2. SDT 3. Appraisee 4. School-SMT/SDT
May	<ol style="list-style-type: none"> 1. Development, support, mentoring 2. Monitoring 3. Self evaluation 	<ol style="list-style-type: none"> 1. SMT/SDT/DSG 2. SDT 3. Appraisee 4. School- SMT/SDT

	against PGP 4. Self evaluation against SIP	
June	1. Development, support, mentoring 2. Monitoring 3. Self evaluation against PGP 4. Self evaluation against SIP	1. SMT/SDT/DSG 2. SDT 3. Appraisee 4. School- SMT/SDT
July	1. Second developmental cycle commences 2. Development, support, mentoring 3. Monitoring 4. Self evaluation against PGP 5. Self evaluation against SIP	1. Appraisee/ school 2. SMT/ SDT/DSG 3. SDT 4. Appraisee 5. School- SMT/SDT
August	1. Development, support, mentoring 2. Monitoring 3. Self evaluation against PGP-revise 4. Self evaluation against SIP-revise	1. SMT/SDT/DSG 2. 2. SDT 3. Appraisee 4. School-SMT/SDT
September	1. Development, support, mentoring 2. Monitoring 3. Self evaluation against PGP- revise PGP 4. Self evaluation against SIP-revise SIP 5. Second developmental cycle ends	1. SMT/SDT/DSG 2. SDT 3. Appraisee 4. Schl/SMT/SDT 5. Appraisee/school
October	1. Pre-evaluation discussion- for summative evaluation 2. Observation of educators (Gr 9 & 12 educators) 3. Feedback and discussion	1. Apprisee & DSG 2. DSG 3. DSD 4. DSG/SDT/GC

	4. Resolution of Differences	
November	<ol style="list-style-type: none"> 1. Pre-evaluation discussion- for summative evaluation 2. Observation of educators 3. Feedback and discussion 4. Resolution of differences 	<ol style="list-style-type: none"> 1. Appraisee & DSG 2. DSG 3. DSG 4. DSG/SDT
December	<ol style="list-style-type: none"> 1. Complete documentation for PM 2. Ensure fairness & accuracy 3. Submit documentation to District / local office 4. Planning for following year 	<ol style="list-style-type: none"> 1. SDT 2. SDT/ principal 3. SDT 4. SDG/SMT

N.B.

**INTERNAL WSE IS AN ONGOING ACTIVITY THROUGHOUT THE YEAR
EXTERNAL WSE CAN TAKE PLACE- IN ANY MONTH**

ANNEXURE H

GLOSSARY

Contextual factors

Contextual factors are those factors that influence an educator's performance. Some of these factors may be positive (e.g. In-service staff development activities that may have been helpful, the assistance and co-operation of colleagues and the availability of resources and facilities); others can be negative (e.g. overcrowded classrooms, poor learner discipline, lack of support and mentoring, lack of resources). The DSG must consider these factors when finalising scores during the summative evaluation.

Criteria

Each Performance Standard consists of 4 to 6 criteria. These criteria are used to evaluate the teacher's performance. The criteria describe the conduct of the learners and teacher or the skill of the teacher related to effective performance.

Descriptors

Descriptors are phrases that aid in defining and outlining the expected conduct for a particular criterion. The descriptors are not an all-inclusive listing of conduct that might be associated with a criterion.

Formative Evaluation

Formative Evaluation emphasizes continuous improvement and treats the quality management system as a foundation for ongoing learning and development.

Indicators

Indicators are established signs of effective performance that can explain purpose and help in assessment of achievement.

Mentor

The experienced teacher who is assigned to guide and support an educator.

Peer coach

A teacher who collaborates with another teacher for mutual support and instructional improvement.

Performance Criteria

Performance Criteria are those factors, characteristics or standards that will be used to describe and assess effective performance.

They may be general, such as key performance areas, or they may be very detailed and specific such as measurable targets.

Performance Measurement

Performance measurement is the annual process of assessing performance.

It is:

- Part of a larger process of linking individual performance management and development to organisational goals;
- Only one aspect of managing and developing the performance of individuals;
- A cyclic and recurring process aimed primarily at performance improvement through ongoing learning and development.

Performance Management and Development

Performance Standards are agreed criteria to describe how well work must be done. They clarify the key performance areas of a job by describing what “working well” means.

Personal Growth Plan

A plan formulated by an individual educator after self-evaluation and baseline evaluation setting out areas for development and strategies to achieve such development.

Pre-evaluation Conference/Discussion

The interaction between the DSG and the educator, during which the lesson is previewed, and the purpose, time, length, contextual factors, performance standards, criteria, rating scale, procedures and processes are discussed.

Post-evaluation Conference/Discussion

A collaborative conference between the DSG and the educator during which the educator’s performance is discussed.

School Improvement Plan

It is a programme of action that a school undertakes in order to effect improvement, especially in areas of particular need but also in the school as a whole.

Summative Evaluation

Summative Evaluation is aimed at assessing whether an educator's performance has complied with the required performance standards. It is where the performance required is clearly defined in advance in order to facilitate an annual final finding of performance.

Goals

Goals are general statements that describe the desired outcome or purpose of any activity.

Key Performance areas

Key performance areas are those areas of a job that are critical in terms of making an effective contribution to achievement of organisational goals.

Objectives

Objectives are statements that concretely and specifically describe a result to be achieved.

They serve as a basis for:

- Clarifying intentions;
- Planning;
- Guiding activity towards a desired result; and
- Assessing achievement.

Output

An output is a concrete achievement that contributes to the achievement of a long-term outcome or goal.

Outcome

An outcome is the consequence of achieving specific objectives. It is assessed in terms of goals and impact on the achievement of goals. It describes what changed as a result of effort.

Rating Scale

A rating scale is a standard scale for rating educators' performance in relation to specific categories of performance.

School Management Team

For purposes of the IQMS, the SMT consists of the principal, deputy principal and Heads of Department (Education Specialists)