

*THE POTENTIALITY OF SYSTEMATIC STAFF APPRAISAL
FOR THE PROFESSIONAL DEVELOPMENT OF TEACHERS : A
STUDY WITH PARTICULAR REFERENCE TO THE
KWAZULU-NATAL PROVINCE*

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Submitted in partial fulfilment of the
requirements for the degree of Master of Education
(Educational Management)


in the
Department of Education

University of Natal, Durban

1995

DECLARATION OF ORIGINALITY

I declare that this dissertation is my own work and that all sources I have quoted have been indicated and acknowledged by means of complete references.

A handwritten signature in black ink, appearing to read 'D. Munro', is positioned above a horizontal line.

DAVID GRANT MUNRO

DURBAN

DECEMBER 1995

ABSTRACT

... The assessment of an individual is an attempt to estimate the value of, or the quality of, that specific individual.

(Concise Oxford Dictionary, 1983 : 52)

In recent years, the focus of teacher assessment has broadened to incorporate consideration both of the assessment of potential and the assessment for professional development. The underlying focus of this project is to explore the possibilities and potentiality of Systematic Staff Appraisal, to meet the need for a process of teacher assessment, which will be formative in its intention, empowering and developmental, and which might be implementable in the South African and KwaZulu-Natal context.

It is believed that this new system will help to develop the skills of the educator and identify more accurately the individual development needs of the teacher.

The system is intended to increase the overall effectiveness of the individual and to move away from the subjective judgements and threats to teacher autonomy. It is a system designed to guide, support,

encourage and extend good teacher practice and professional competency.

The project is a consideration of some of the purposes, processes and principles involved in Systematic Staff Appraisal, and to focus on the potentiality for the implementation of this system in contributing to the enhancement of teacher quality and school effectiveness.

ACKNOWLEDGEMENTS

I would like to express my most sincere gratitude to my supervisor of this project, Professor Michael Thurlow, for his interest, guidance, support and patience.

I am indebted to the staff, both academic and administrative, of the Department of Education at the University of Natal, Durban, for their assistance during the period of lecturing and thereafter.

I would also like to thank the Principal, staff and pupils of Glenwood High School for their support and encouragement.

My mother and my late father, the most important teachers in my life, will never be forgotten for their support, their care and their love. Thank you.

DAVID GRANT MUNRO

DURBAN

NOVEMBER 1995

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CHAPTER 1

INTRODUCTION

1.1 PREAMBLE

Teachers and educators need to develop their skills and commitment, in order to stimulate learning and school effectiveness. Assessment and evaluation are part of the professional development of teachers. Systematic Staff Appraisal has the potential to contribute to the professional development of teachers and educators, and it is the purpose of this project to analyse the process and to investigate its potentiality.

1.2 BACKGROUND TO THE PROJECT

In recent years, in many parts of the world, the focus of school management, literature and practice has been shaped substantially by notions of "school improvement" and "effective schools".

After several decades of research, explanations for school failure have often been located primarily in pathological perspectives on home

background and variable consequences of socio-economic position.

Moreover, the research has suggested that:

... teachers and schools have more control than they may have imagined over their ability to change their present direction and become efficient and effective agents of pupils learning and development (Hopkins, D. 1987).

The emerging international concern with school effectiveness and improvement has generated a renewed focus on processes such as school development planning and an enhancement of the quality of teachers and teaching. In the latter connection, there has emerged a universal assumption that more and more is expected of teachers in order to meet the complex range of tasks and duties that societies and communities have demanded.

The renewed focus on the enhancement of teacher quality, in turn, has revitalised interest in the broad field of teacher assessment, especially in respect of its purposes, processes and politics. Although there is a long history of teacher assessment for the measurement of achievement (often related to personnel decision-making), in more recent years, the focus has broadened to incorporate consideration both of assessment of potential and assessment for professional development. It is in the latter connection, in particular, that, in recent years, considerable attention has been devoted, both in the literature and in practice, to a

form of teacher assessment commonly referred to as 'systematic appraisal'. This approach to teacher assessment is fundamentally formative in its intention and is directed very much at improving teacher quality through a process of professional 'empowerment'.

In the South African context, not only has the assessment of teachers been substantially summative in nature, but also the variety of processes subsumed has become a highly politicised area of contestation. In a recent publication of the Education Policy Unit at the University of the Witwatersrand, the following assertion is made:

Overhaul of the system of teacher appraisal is long overdue.

... The deadlock between teachers and departmental officials over the legitimacy of the system has resulted in an overall decline in the quality of educational provision.

and:

... widespread rejection of the existing system has not been intended as a rejection of appraisal per se: the majority of teachers want appraisal to be an essential part of their professional development - not a mechanism of enforcing state control.

(EPU/University of the Witwatersrand/NECC, 1993).

Similarly, the 1994 summary report of the African National Congress Education Department's Implementation Plan for Education and Training (IPET) task teams, acknowledges the need for reform in the processes of teacher 'appraisal' in the following terms:

The current system of teacher appraisals is one of the most vehemently contested aspects of the present system, and hence one of the most important factors negatively influencing the quality of education. There is an urgent need to move away from present summative, authoritarian practices, and to formulate a system characterised by:

- Teacher involvement and ownership, particularly through organisations.
- A focus on the formative professional development of teachers.
- Integration into on-going whole-school strategic planning, development and assessment.

(A.N.C. Education Department, 1994)

These characteristics, in many ways, would appear to be redolent of those which, a preliminary review of the literature suggests, largely define the process of Systematic Appraisal and perhaps it is unfortunate that the Implementation Plan for Education and Training document is not more explicit about possible appraisal processes envisaged to derive from its broad characterisation. However, in this connection, some early indication of what might be envisaged in practice may be found in a draft document produced by a working committee representing the Department of Education and various teacher organisations, entitled

'New Teacher Appraisal for College/School Level 1 (CSI) Educators.' An initial review of the contents of this document would seem to suggest some degree of congruence with the literature on Systematic Appraisal in respect of such things as aims and principles, although the implications for implementation are less clearly addressed.

Whereas there is no doubt that a fundamental revision of teacher appraisal processes is an important item on the agenda for educational reform at the national level, at the same time, the matter is being addressed at the level of the KwaZulu-Natal Department of Education. To this end, the Interim Provincial Strategic Planning and Management Committee has established a Project Task Group (PTG) to review and make recommendations on evaluation systems both for college/school educators and administrators. One of the medium term goals established for this group is to investigate the potentiality of Systematic Appraisal as a process to link teacher evaluation and development, and it is to this latter connection that the present project is proposed. It is hoped that the products of the project might complement or inform such an investigation.

1.3 FOCUS OF THE PROJECT

The underlying focus of the project is to explore the potentiality of Systematic Staff Appraisal to meet the need for a process of teacher evaluation which will both be empowering and developmental, and which might be implementable in the KwaZulu-Natal context. In particular, this project aims to:

- * Review the existing procedures, principles and underlying purposes for the evaluation of teachers in KwaZulu-Natal.
- * Consider a determination of the perceptions of some of the 'key players' concerning the limitations of 'existing' procedures together with an assessment of what is perceived to be necessary for the transformation of teacher evaluation procedures.
- * Undertake an exploration of the principles and practices of Systematic Staff Appraisal and an assessment of its potentiality to address perceived needs for a transformed process of teacher evaluation.

- * Consider possibilities for the implementation of Systematic Staff Appraisal, should it be shown to have potential utility in the KwaZulu-Natal context.

1.4 **APPROACH TO THE STUDY**

In researching the project, the investigation was approached by:

- * A study of the literature with a view to deriving a conceptual framework within which the project could be undertaken.
- * Discussions with certain educators within the Province of KwaZulu-Natal. These educators were approached because of their accessibility and their knowledge of the subject.

The approach to the study was not on a large scale because of limited resources and time.

The underlying intention of the study was to explore and investigate the statements as indicated in the focus of the project.

1.5 STRUCTURE OF THE PROJECT

Evaluation, assessment and appraisal are important aspects in the professional development of teachers and educators. The project is structured so as to logically and coherently explore and investigate the potentiality of Systematic Staff Appraisal.

Chapter 1 deals with a brief introduction and background to the project. The intention was to indicate where the focus of the project was concentrated, as well as how the approach to the investigation was undertaken.

Chapter 2 deals with a broad overview of teacher assessment and teacher appraisal in the lives, careers and professional development of teachers. The chapter considers assessment in general, both locally and internationally, and then introduces Systematic Staff Appraisal.

Chapter 3 focuses on the assessment of teachers in the local context. It provides some comment on the current practices of teacher assessment and it highlights certain problems encountered in such systems of teacher assessment. The chapter also provides a brief overview of teacher assessment, as it has been practiced in the South

African context and it summarizes some of the limitations of present practices in teacher assessment.

Chapter 4 considers an assessment of the potentiality of Systematic Staff Appraisal and the possibilities for the implementation of Systematic Staff Appraisal with special reference to the Province of KwaZulu-Natal.

CHAPTER 2

TEACHER ASSESSMENT AND TEACHER APPRAISAL

2.1 INTRODUCTION

The intention of this chapter is to overview the role of assessment in the career of the teacher. The notion of assessment in general will be briefly considered, and then the actual context in which teachers are assessed during their careers will be addressed.

The chapter will also consider Systematic Appraisal for the professional development of teachers and the enhancement of teacher quality. The purposes and processes of appraisal, as well as the issues involved in appraisal, will be investigated.

In conclusion, the chapter will question whether Systematic Appraisal can meet, or appear to meet some of the desiderata outlined in integrating the system into on-going, whole-school planning and the formative professional development of teachers (ANC Education Department 1994).

2.2 AN OVERVIEW OF ASSESSMENT IN TEACHERS CAREERS

Universally, assessment systems have been employed by most education services and public services. People and personnel are asked to show what they can do, where their talents lie and what their capabilities are. Personal characteristics and human relationships influence the quality of work produced and the approach to work. Assessment has affected the development of professional skills and personal qualities, as well as attempted to recognize achievements and potential. The assessment for selection, training and promotion has been a continuous feature in most careers.

Assessment has been employed by most of the successful administrations, be it in decision-making, planning, communication, goal achievement or modification of behaviour patterns, in the administration's attempt to improve the effectiveness of the individuals and their organization.

Teachers and educators are continually being assessed throughout their careers. At each decision-point, assessment is undertaken as a means of measuring achievement and potential, but the emphasis at each decision-point differs. A teacher's career evolves and progresses from being an initial, potential applicant for integration into the education

system, through the corridors of learning at the colleges and universities, and then as a teacher on probation, a career in teaching and the possibilities for promotion.

As indicated in the research proposal, the renewed focus on the enhancement of teacher quality has revitalised interest in the broad field of teacher assessment, especially in respect of its purposes, processes and politics.

There has been a long history of teacher assessment for the measurement of achievement (often related to personnel decision – making). In the South African context, for example, not only has the assessment of teachers been substantially summative in nature, but also the variety of processes subsumed has become a highly politicised area of contention.

Indeed in a recent publication of the Education Policy Unit at the University of the Witwatersrand, the assertion is made that an overhaul of the system of assessment in South Africa is long overdue, for the legitimacy of the system has resulted, on many occasions, in an overall decline in the quality of educational provision (EPU/University of the Witwatersrand/NECC, 1993). Teachers have often been apprehensive

about the system of assessment, regarding it almost as a necessary evil and eliciting anxiety and opposition.

Some form of assessment is deemed necessary in order to determine the adequacy of the teacher, the quality of the teacher, the instructional potential and the achievements of the teacher.

Assessment has tested and sorted the capabilities of teachers, measured against objective standards and against the work of others. Assessment has been used to improve teaching and learning. Assessment itself,

... is an intrinsic part of education. It is the only way to know whether your teaching is successful, whether or not your students are actually learning and whether or not additional help is needed in some particular area.

(Yelon and Weinstein, 1977 : 470)

Because of the judgemental nature of many assessment systems, in which outcomes have resulted in 'rewards or punishments', it is suggested that a new system needs to be devised in which persons can be helped to develop their skills and talents professionally. This form of teacher assessment is referred to as 'Systematic Appraisal' (this will be considered later in the chapter), and its approach to teacher assessment is fundamentally formative in intention and is directed very

much at improving teacher quality through a process of professional
'empowerment'.

In recent years then, the process of assessment has given rise to debate about procedures, approaches and the importance of assessment in improving the quality of teaching and learning (Montgomery and Hadfield, 1989, p. 19), as well as developing and promoting the career of the teacher, and the improvement of service. Assessment has been an integral part of the whole educational enterprise in an attempt to equip the teacher to develop and advance as an individual.

At an International Seminar held in Edinburgh, Scotland, in June 1987, four issues on assessment were highlighted:

... the universal assumption that a teaching force of high quality is critical for schools to do the increasingly complex range of tasks, society expects of them.

(What is meant by 'teacher quality?')

... the purposes of assessment of teachers at different points in the process of entry to, and progress through, a career in teaching, are principally concerned with achievement or with potential, when we talk of teacher assessment.

... how is teacher assessment undertaken? What do we mean by quality assessment? ... developed assessment procedures ... how can the implementation of these procedures be managed so that their undoubted strengths can be maximized and their weaknesses minimized?

... how should the education system be 'managed' to ensure that quality is nurtured in the teaching profession? This raises questions of control -for example, over entry to the training institutions - and of management agents, in terms of what kind of management structure will best ensure an appropriate structure of development opportunities for teachers.

(Wilson et al, 1989 : 1 - 2)

Although assessment has been considered as a useful tool for teacher improvement, a new system of teacher-specific approaches to assessment and professional development needs to be structured.

A teacher moves through certain stages in his or her career, in respect of purposes of assessment. The teacher may, for example, be on probation, or be applying for promotion, or be assessed for tenure, and the emphases regarding the assessment of teachers, class teachers, heads of departments and principals may vary, in endeavouring to make selection, promotion and development more effective, more suitable and more valuable (refer to Figure 1 : Wilson et al, 1989 : 5).

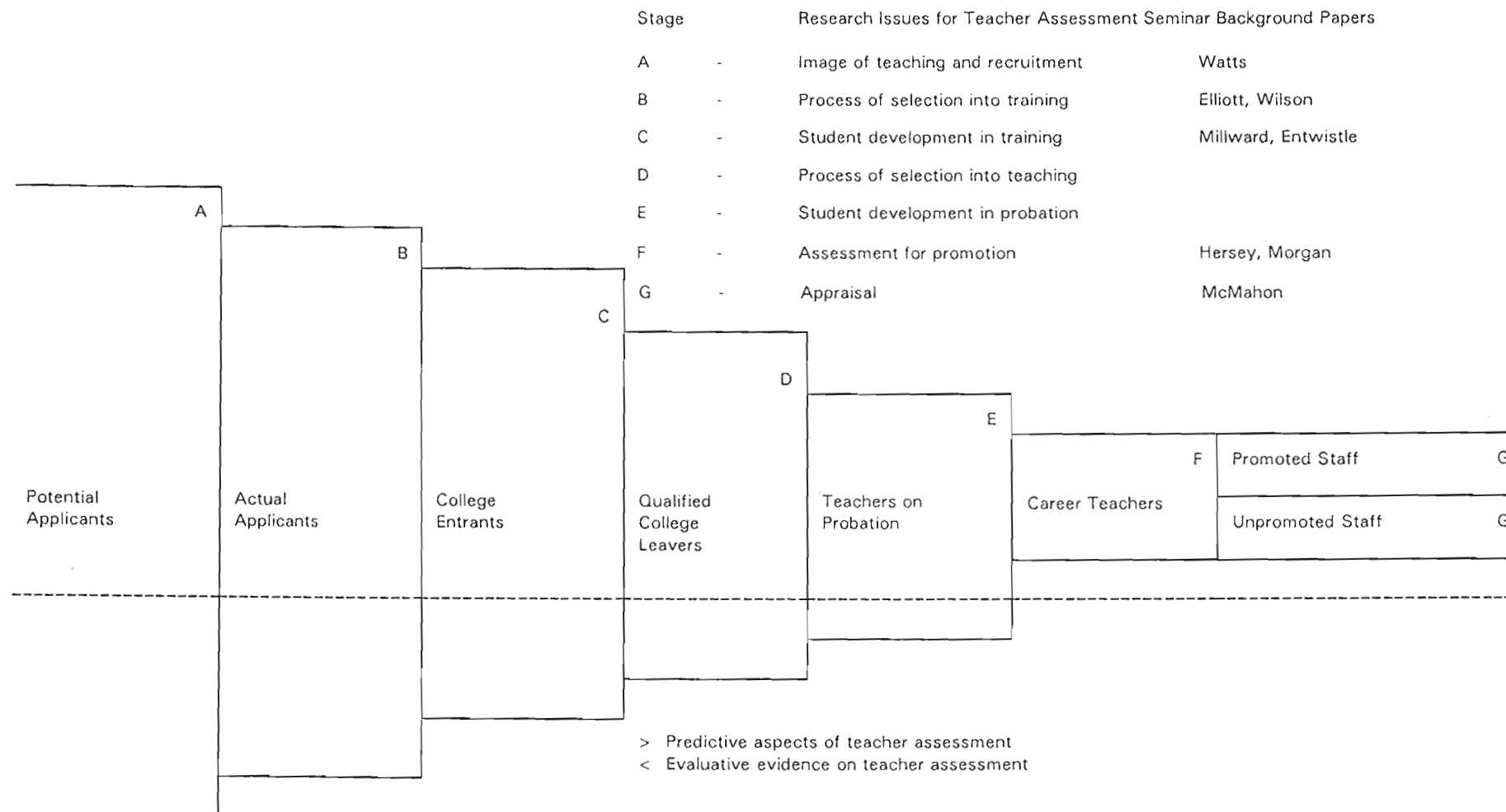


FIGURE 1

Quality teaching and the need to staff schools with teachers of the highest quality, is fundamental to educational standards, and the criteria for assessment at each decision point or stage may differ in emphasis, on the way through the various contexts of a teacher's career. Criteria may vary according to the emphasis put on the development of professional skills as much as on qualities. Is the teacher being assessed to measure achievement or potential? The emphasis of the assessment is different at each decision point, although the actual assessment at each of the decision points/stages in the teacher's career may focus in on measuring both achievement and potential. The emphasis on achievement may, for example, be considered at the end of the training programme, or at the end of the probation. Where potential is considered, a teacher may have put himself forward for selection to an initial teacher training post, or selection to a first teaching post, or selection for promotion. (Refer to Figure 2 on pg. 18; Thurlow, 1995 : 10).

ASSESSMENT FOR THE PROFESSIONAL DEVELOPMENT OF TEACHERS : SOME POINTS FOR CONSIDERATION

POTENTIAL APPLICANTS	ACTUAL APPLICANTS	COLLEGE ENTRANTS	QUALIFIED COLLEGE LEAVERS	TEACHERS ON PROBATION	CAREER TEACHERS	PROMOTED TEACHERS
A	B	C	D	E	F	G

Assessment at each decision point is a means of measuring achievement and potential, but the emphasis differs for each.

EMPHASIS:

B	C	D	E	F	G
Potential for initial training	Achievement in and at end of training programme	Potential selection in defined context	Achievement in and at end of probation	Achievement 'appraisal' of 'on-the-job' performance	Potential selection for promotion

SOME ISSUES:

B	C	D	E	F	G
Beyond an acceptable minimum, academic achievement less relevant than inter-personal skills reflective capacity, etc.	Predictive value of assessment depends on quality of training	Identify potential for effective performance in defined context: matching students to schools	Development towards granting tenure	Systematic appraisal for meeting teachers' professional development needs	Assessment for promotion should be related to identification of potential (different skill involved) (also systematic appraisal)

FIGURE 2
(THURLOW, 1995 : 10)

The emphasis in South Africa has been on 'summative assessment', and the process of assessing potential has not been seriously addressed (Thurlow, 1994) (Lecture Notes). The latter is not the focus of this study, but dissatisfaction with the former (summative assessment) is the starting point.

Summative assessment has essentially been concerned with the selection, promotion, redeployment, accountability and dismissal of teachers (Thurlow, 1993 : 6). Teachers have been assessed and inspected, resulting in judgements being made and 'scores' being tallied. It has often involved numerous 'check lists', giving rise to feelings of apprehension, suspicion, hostility and victimization. Summative assessment relates to making decisions about people (often personal decisions). It involves, in a sense, making judgemental assessments, in which people are 'weighed up' against bureaucratic requirements, standards, norms and conditions.

Summative assessment looks at past performance, achievements and inspections in which the teacher is a product of the system. Through the process of summative assessment then, teachers have often been subjected to the mechanistic use of standard checklists of performance, focusing on 'rewards for strengths' and 'punishments for weaknesses'. Summative assessment has a 'formal label' attached to it, which

requires those involved in the assessment process to complete certain statutory documents and reports, and the fulfillment of certain obligatory criteria. It identifies with the actual future career of the teacher. Because of the judgemental nature of summative assessment, teachers are often highly defensive and suspicious towards it.

Essentially then, what is now being called for, is a system of 'assessment' referred to as 'appraisal' in the documents, which focuses more on the quality of teaching.

It is in this context that the remainder of this chapter will look at Systematic Teacher/Staff Appraisal, as this is an approach which is most particularly concerned with formative development.

2.3 SYSTEMATIC TEACHER/STAFF APPRAISAL

In the rest of this chapter, Systematic Staff Appraisal will be investigated according to the purposes of appraisal, the processes of appraisal and the issues involved in appraisal.

* **THE PURPOSES OF SYSTEMATIC TEACHER/STAFF APPRAISAL**

Systematic Staff Appraisal is an integral part of effective staff development initiatives, in that it identifies most accurately the individual development needs of the teacher. Appraisal, in some form, has always been part of the teacher's work experience (Thurlow, 1993 : 5).

The attention is now devoted to an assessment for professional development, which is fundamentally formative in its intention, and which is directed at improving teacher quality through a process of professional 'empowerment'. Turner and Clift (1988) have asserted that it is concerned with the improvement of teacher practice by identifying strengths, weaknesses, needs and interests, and fundamentally, the professional development and growth of the teacher. It moves away from subjective judgements, the possibility of victimization, and the potentiality to threaten teacher autonomy. It is a systematic approach to improving communication between staff, and between staff and management, improving staff performances, improvement of morale and job satisfaction, and recognition of career needs (Turner and Clift, 1988). Individual performance may be enhanced in ways that are beneficial and satisfying to the teacher

from the point of professional and career development. It is a system which is deemed necessary to increase the overall effectiveness of individuals and the school.

The nature of any appraisal system will depend on the purpose for which it is adopted, and one of the fundamental purposes of this system of appraisal, is to focus in on the individual teacher (Thurlow, 1994 Lecture Notes). Although appraisal also relates to school purposes, plans and policies, the focus is essentially on an individual review and an individual's professional development. It is essentially a one-to-one encounter, a two-way exchange of views, and a mutual appreciation of a particular teacher's situation. In this way, it must be beneficial to the individual teacher and to the school. Indeed, each teacher is deemed to have the right to have interest taken in them.

Teachers need to know what is required of them, they need to receive regular feedback on their performance. They need to be informed as to where their strengths and weaknesses lie, they need to be assisted in identifying training needs and they need to be provided with an inventory of their talents, skills and their qualifications (adapted from Hunt, 1986 : 22) - (copied article on appraisal (1)).

Systematic Staff Appraisal sets out to meet these needs, and to provide input for human-resources' planning and career path planning. In this system the emphasis is on development and not on evaluation. Through trust and open dialogue, teachers can improve their performance and develop their future potential, they can discuss career opportunities, and diagnose any problems and obstacles in career planning. Through support for growth and recognition of achievements, motivation, enthusiasm and commitment will increase. Fundamentally, the system is most effective if it is concerned with 'growth and development', and appraisal is arguably the most significant aspect of managing performance. All stages in the process need to have a positive approach, can take place formally as well as informally, and need to provide opportunities for individual professional development.

✓ In order for a school to achieve its potential, teacher performance needs to be managed successfully and, through appraisal, openness, trust, reciprocity, faith and sharing in the way a school is run, can be encouraged.

✓ The two-way aspect of the system involves participation by the parties involved in negotiation and bargaining in decision-making (Cooper and West-Burnham, pp. 136-137 in Fidler and Cooper, 1988).

The purposes of the system of appraisal are encapsulated in improving the teaching of the individual, improving staff management, and enhancing the quality of the learning of the pupils. The system creates a special occasion when teachers are allowed to know how well they are doing, and in which time is devoted to the individual teacher's performance. It is an occasion to show how much the teacher's contribution is valued and appreciated. The system encourages an extension of good practice, it encourages self-evaluation, self-motivation for improvement, and a readiness to help each other. In the two-way process, it incorporates self-appraisal, peer appraisal, superior and subordinate appraisal, mutual respect and organisational trust.

The fundamental purposes of Systematic Staff Appraisal lie in individual development, staff development and school development.

Teachers need to grow from the identification of strengths and weaknesses in order to achieve individual and school goals. They need to increase their professional competency, to improve their teaching and educative ability, to determine how successful teacher training and development programmes are, and to be

encouraged towards continuous improvement. They must be recognised for all their worthwhile, appropriate and effective efforts and encouraged to develop their leadership qualities and other such skills.

Systematic Appraisal must be a planned, fair, accountable and transparent procedure for developing, assisting, motivating and supporting individuals and staff. The focus of formative appraisal is primarily focused on the professional development of teachers (A.N.C. Education Department, 1994).

* **THE PROCESSES OF SYSTEMATIC TEACHER/STAFF APPRAISAL**

There is as yet no universal blueprint in the strictest sense for the process of staff appraisal. Processes, purposes, policies and aims vary from one institution to another (Thurlow, 1993 : 9).

However, there are certain typical elements and stages in a generalised process of systematic appraisal which can be identified. The process will commence with an initial meeting between the appraiser and the appraisee (two-way communication and negotiation) in which agreement is reached on the 'why and how' of the appraisal and 'what' is to be

appraised (refer to Figure 3). Thereafter, evidence will be collected, be it in the form of self-appraisal by the teacher or by classroom observation by the appraiser, or by information from other sources - e.g. pupils work and progress, mark books, examination results and planning schemes. The purpose in the collection of evidence is to provide the substance for dialogue and planning, which are the focuses in the next step in the process, namely the appraisal interview. Of fundamental importance is that both the appraiser and the appraisee have agreed upon the purpose and process for the exercise (refer to figure 3).

It is the appraisal interview which is generally considered to be the core of the whole process of Systematic Staff Appraisal. Opportunities for genuine, open dialogue must be created so as to review the appraisee's work and to identify successes and areas that need to be developed. Targets, goals and actions are identified, and the process of professional development is advanced. Such targets relate to further activities connected with the professional performance, training and development of the teacher. An appraisal statement, drawn up by the appraiser in close consultation with the appraisee, summarises the substance of the interview and records the professional

development targets set. All appraisal interviews must be properly followed up to ensure that agreed action is pursued and that progress is maintained in meeting targets and goals. Regular informal meetings between the appraiser and the appraisee can also be held (refer to Figure 3) (Thurlow, 1993 : 11-17).

COMPONENTS OF AN APPRAISAL PROCESS

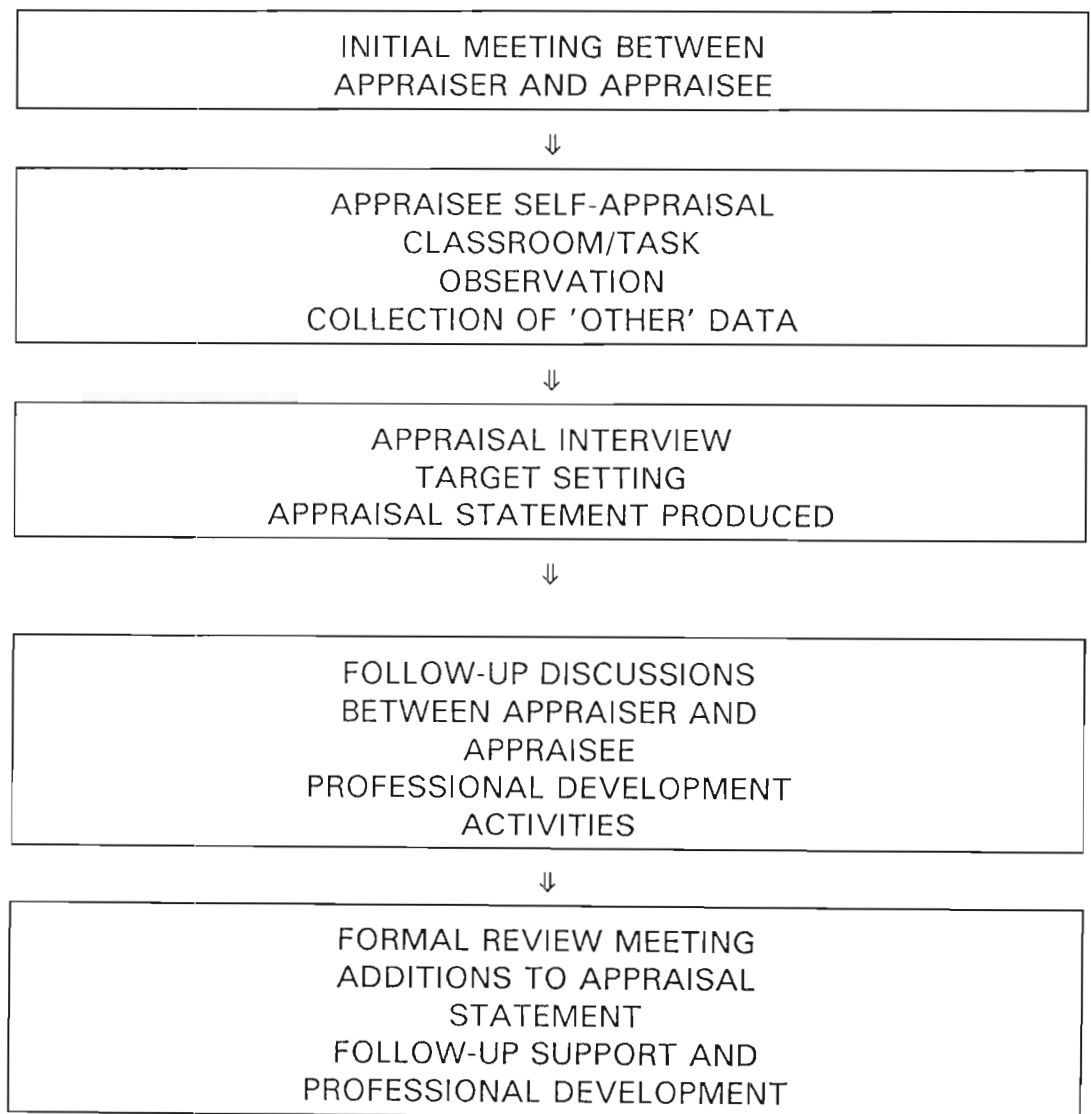


FIGURE 3

Adapted from DES (1989)

The process of Systematic Staff Appraisal needs to be ongoing, it needs to be explicit rather than implicit, it needs to have a discernible methodology in which the method to be used is clearly identified, and it needs to have a follow-up (feedback) procedure (Thurlow, 1993 : 6). It must involve discussion, agreements on which problems most urgently need to be tackled must be reached, and priorities between the appraiser and the appraisee need to be established. Realistic, defined and achievable targets need to be determined and set (Trethowan, 1987 : 6 - 12). In formative appraisal, productive records, statements and record sheets need to be kept indicating an agreement of needs and an agreement of achievements (who should 'own' these records?)

Written into the successful appraisal system is the consultation with other people (a second opinion) which could reduce subjectivity and bias ('two heads are better than one').

Appraisal creates an opportunity for a two-way exchange of views in which teachers can co-operate and work together. Included is the encouragement of self-evaluation (Self-Reflective Practitioners) in which teachers need to develop the skills and confidence to effectively evaluate their own performance.

Fundamental to the appraisal process, is first, that the structure of the system needs to be understood and agreed upon by the parties involved. Secondly, who should appraise whom (management, colleagues, peers, pupils?) Thirdly, what records should be kept and who should have access to them. Fourthly, what are the possible methods to be employed for the adoption of the system. Finally, the appraisal system involves the appraiser and the appraisee negotiating and agreeing on the areas of the teacher's work, which shall be appraised (Thurlow, 1994 - Lecture Notes).

In essence then, the process to be followed will entail self-appraisal, data collection, observation, interviews, joint target-setting, follow-up, reviews and appraisal statements (not necessarily in this order) (refer to Figure 3). The roles of the appraiser and the appraisee must be clarified, feedback between appraiser and appraisee is essential, team-work is critical and teacher potential must be maximized. The purpose of the process is to identify needs for the professional growth of all teachers and to promote teacher effectiveness by endeavouring to meet these needs wherever possible. The process must enable the teacher, in a positive way, to make changes through professional support, systematic follow-up, feedback and

communication. Being part of an effective plan is indeed a great motivating factor, and teachers should be expected and encouraged to review, analyze and reflect on their own performance in considering their further professional development (Thurlow, 1993 : 11-16).

* **ISSUES IN SYSTEMATIC TEACHER/STAFF APPRAISAL**

For the successful implementation and management of Systematic Staff Appraisal, certain issues need to be considered and investigated.

At the outset, it must be remembered that teaching is an individual task and that no two teachers are the same. Systematic Staff Appraisal is essentially concerned with the professional development of the 'individual', and the nature and personality of the 'individual'. To what extent will the autonomy of the teacher be at risk?

A competent teacher is indeed involved in a great variety of tasks. In this sense, it may be difficult to assess the actual effectiveness of a teacher by way of a universal appraisal document. Teaching is indeed a multi-task job.

Testing and measurement of results can often be uncertain and unclear, and there are no clearly defined 'rewards and/or punishments' in teaching.

Can a teacher be praised/condemned for the results achieved by his or her students?

To what extent are value-added measures of performance to be considered?

Although it is an individual and sometimes private job, teaching is not an independent and isolated activity. It involves superiors (managers), subordinates (pupils), colleagues (peers) and communities (parents). All are directly interested in the teacher's performance. Systematic Staff Appraisal sets out to contribute to the most satisfactory teacher performance, because of the central purpose of schools and colleges in teaching and learning (O'Neill et al, 1995 : 9).

For the system to be effective, issues such as consistency of the application of the actual form of the appraisal agenda, the objectivity of the process to be employed, the recognition that particular skills are involved, the need to maintain confidentiality,

to share, to review and to determine the needs of the appraisee must be considered.

There must be a clear managerial commitment to demonstrating how appraisal is part of the overall plan. Appraisal is a necessary part of staff development, in which teachers are urged and required to aim for targets and to achieve objectives. Development is a positive and vital educative process, and Systematic Staff Appraisal is a transparent procedure necessary for developing, recognizing and encouraging skills and abilities. Time must be set aside and devoted to the teacher and his or her performance.

2.4 CONCLUSION

In the introductory preamble to this chapter, the question was asked as to whether Systematic Staff Appraisal can meet, or appear to meet some of the desiderata outlined in integrating the system into on-going whole school planning and the formative professional development of teachers (A.N.C. Education Department, 1994).

In chapter 1 of this project, the document of the African National Congress Education Department's Implementation Plan for Education

and Training (1994) refers specifically to the urgent need to move away from summative, authoritarian, judgemental practices, and to formulate a formative, professional, developmental system which directly involves the professional growth of the individual teacher.

Having investigated and overviewed the role of assessment in the careers of teachers, and having considered the potentialities for the implementation of Systematic Staff Appraisal, it is concluded that appraisal in modern education is essential in relating specifically to the professional development of teachers and the organizational needs of schools. In addition, the products of the system may be used to inform personnel decision-making. The process of Systematic Staff Appraisal can encompass all levels in the profession, from teachers to various types of administrators. Systematic Staff Appraisal should be accompanied by opportunities for staff development.

In order for effective teaching and learning to take place, management (principals, etc.) in schools, needs not only to promote the immediate goals of the schools, but also needs to be fully aware of and pay serious attention to, the personal and professional needs of the staff. Staff morale and staff motivation must be fundamental concerns of management and school leaders.

Systematic Staff Appraisal has the potential to benefit the individual teacher, the staff and the school as a whole. This will lead ultimately to the improvements in the delivery of education to the pupils (Thurlow, 1993 : 19). It has the potential to promote greater confidence, greater competence, improve morale and enable better career planning. It can lead to better professional relations and communication, as well as enhancing the planning and delivery of the curriculum. If the system is sensitively introduced and properly managed, it will promote effective schooling, and come to be perceived as a genuine vehicle for professional growth (Thurlow, 1993 : 19).

The system itself must also regularly be reviewed to ensure that it continues to meet the needs of the organization and all who are in it.

Systematic Staff Appraisal can re-motivate the teacher through giving credit for good performance, acknowledging achievements and 'celebrating' valued contributions (Trethowan, 1987 : 7). Problems, situations and conditions can be highlighted, and feedback and support tend to bring a sense of satisfaction and encourage greater commitment (Trethowan, 1987 : 7).

Systematic Staff Appraisal is intended to directly enhance the educational provision offered to pupils, and affords individual teachers

the opportunities to critically look at their practices. It creates avenues for greater job satisfaction, recognition and determination of career needs. It is a non-threatening, flexible and multi-faceted system which moves away from the negative connotations attached to 'evaluation, inspection and judgement'.

- The system is closely related to on-going, school-based development and whole-school strategic planning (A.N.C. Education Department 1994). It is NOT another form of assessment in disguise. It is a genuine mechanism for professional growth and development. Teachers must be valued in schools, they must be valued by their pupils and they must be valued by their colleagues.

Having investigated assessment and appraisal on an international level, chapter 3 of this project provides some comment on the current practices and procedures of teacher assessment in South Africa and then in a more local context, with special reference to the Province of KwaZulu-Natal.

CHAPTER 3

***THE ASSESSMENT OF TEACHERS IN THE LOCAL
CONTEXT : PRACTICES AND PROBLEMS***

3.1 INTRODUCTION

It is the intention of this chapter to provide some comment on the current practices of teacher assessment in a more local context, and to highlight certain problems encountered in such systems of teacher assessment.

The author is currently employed by the ex - Natal Education Department, and the chapter is therefore structured as follows:

- * A brief overview of teacher assessment as it has been practised in the ex - Natal Education Department.
- * A brief overview of teacher assessment as it has been practised in a more regional, South African context.
- * A brief summary of the limitations of present practices in teacher assessment in a more local context.
- * Conclusion.

3.2 TEACHER ASSESSMENT IN THE EX - NATAL EDUCATION DEPARTMENT

Prior to the election of the Government of National Unity in April 1994, there were essentially five different Departments of Education, operating in the service of various groups in the Province of KwaZulu-Natal.

These departments were:

The Natal Education Department (N.E.D.)

The Education Department in the House of Representatives (H.O.R.)

The Department of Education in the House of Delegates (H.O.D.)

The Department of Education and Training (D.E.T.)

The KwaZulu Department of Education and Culture (K.D.E.C.)

Although it is now considered that, technically speaking, there is one Department of Education in existence, it is apparent that, in many instances, the abovementioned five departments are still acting on their own, and in effect are operating on an 'agency basis' - that is they form parts, or agents, for the new Department of Education.

The ultimate goal is to unite education under one umbrella system, but, at present, there is very little uniformity across the various departments.

Each of the various Departments of Education employed its own system of assessment of educators. In some of the departments, very little formal assessment was undertaken, and indeed it has been difficult to obtain valid information and material regarding the actual processes and procedures involved in assessment in the various departments.

The research in this project is concerned essentially with one of these ex - departments, primarily for the following reasons:

- The researcher has been employed by the ex - Natal Education Department.
- Material and information has been more readily obtainable and accessible.
- The structure of the project is that of a minor dissertation and hence is limited in scope.
- Resource constraints.

It is realized and acknowledged, that by concentrating on the ex - Natal Education Department, considerable limitations in the study are created. However, there is some limited evidence and information available, as compiled by Project Task Groups in KwaZulu-Natal, comparing assessment procedures, systems and criteria for promotion purposes across the five Education Departments (reference to Appendices 1 - 9).

From these comparisons, it has become obvious that the process of producing a common document on assessment is proving to be problematic. Although the purpose of the comparisons is the same, namely the assessment of educators for promotion, it is apparent that there is very little consistency across the five departments and that there is a wide variation of practices . Posts are advertised, for example, by way of Departmental Circulars (ex - H.O.D.), Regional Gazettes (ex - D.E.T.) and Education Bulletins (ex - H.O.R.). The fundamental statutory provisions with regard to promotions in the five departments differ in that they are indicated and set out by way of Departmental Circulars, Departmental Gazettes, Departmental Bulletins, and in the ex - House of Representatives, the Coloured Persons Act (47 of 1963).

However, what is common throughout the assessment procedures is that they are largely summative in that the assessment is undertaken for promotion purposes. There are, indeed, similarities also apparent across the five Education Departments. In four of these departments (the exception being the KwaZulu Department of Education and Culture), promotions generally are effective on either 1 January or 1 July of each year. There also seems to be very little restriction imposed on the eligibility of applicants in terms of years in a particular post, as well as

where service requirements and qualification requirements are concerned.

The range of differences across the various departments has, however, made it most difficult for the Project Task Groups to produce a universal document on evaluation for promotion.

Systems of evaluation in operation, and the appointment of evaluators and the selection panel vary considerably between the houses.

In the ex - Department of Education and Training, the ex - House of Representatives and the ex - KwaZulu Department of Education and Training, there is no representation by any teacher organizations as far as processes and procedures for promotion are concerned. Parental involvement in the past has also been restricted, with parents having virtually no input other than on select parent committees.

It is interesting to note, that when the Project Task Groups were compiling the comparisons of the evaluation criteria across the five Departments of Education, no contribution was made by the KwaZulu Department of Education and Culture. From the other four departments, the stipulations regarding task orientation, people orientation and personal factors, have been extensively indicated.

In 1988, concern was expressed by the Director of Education of the Natal Education Department that teachers in the department were being subjected to over-inspection. This concern was supported at a symposium of subject advisors where the general feeling was expressed that so much of the advisor's time was spent writing reports that insufficient time was being devoted to advising and guiding. The symposium therefore appointed an ad hoc committee to attempt to frame a more effective system of assessment for the Natal Education Department. This committee met several times during 1988 and finally formulated a proposed system which was submitted to the Provincial Advisory Committee on Education Services. This committee, on which the Natal Teachers' Society and the Natalse Onderwysersunie were represented, debated the new system and finally approved it and recommended it to the Director of Education for his approval. In April 1990, a new Teacher Appraisal and Inspection System for the Natal Education Department was to be implemented.

Prior to this, it had generally been felt by educators that the system of reporting in the Natal Education Department was actually too heavily weighted in favour of formal assessment. The new system attempted to give weighting to appraisal and to distinguish between appraisal and assessment.

In a Natal Education Department Circular dated 2 March 1989, ("Intended Inspection and Reporting System for the Natal Education Department"), the reasons outlined by the abovementioned committee for reporting, were highlighted. These reasons were summarized as:

- * the accountability of all providers of education for the tasks they perform : assessment is therefore relevant in order to ensure minimum standards of performance.
- * applicants for promotion for a post are to be measured against the requirements for that post. This activity is purely one of assessment.
- * it is essential that the knowledge, skills and positive attitudes of the professional staff be developed in order to ensure more effective functioning. Here appraisal (and not assessment) must be applied for the purpose of professional growth. Any new system that is considered must allow for observation of a professional staff member, feedback, discussion and advice with a view to improved functioning. The purpose of any report must be appraisal for professional growth.

- * the act of 'rating' at professional growth was considered to be counter-productive, because it would form a barrier to open communication and discourage responsible experimentation at the work-face, and could ultimately lead to an efficient uniformity rather than an effective diversity.

The new system must be applied to all providers of education at all levels and, within the Natal Education Department, should include all professional personnel, from the Director to post level 1 (first year teacher). Any evaluation must take cognisance of the nature, needs and demands of a specific post, and so will necessarily vary from post to post.

The ad hoc committee in 1989, proposed a Teacher Appraisal and Inspection System for the Natal Education Department. This system was indeed an improvement on previous systems in that reports on teachers were to be structured towards the professional growth of the individual, that is, formative procedures were to be applied. Each school was to develop its own in-house system of continuous staff development and a school-based appraisal system, in which an opportunity was to be created for a teacher to be appraised by his peers. The system was to be formally prepared by the school with a specific emphasis on the professional growth of the individual.

Although the teacher was still to be accountable (summative procedures), it was felt that more worthwhile academic and professional guidance needed to be provided. The committee agreed that certain routine reports still had to be compiled and completed (for example, reports on first year teachers, confirmation of appointment, subject reports, phase reports, individual routine reports on teachers, disciplinary reports). The committee also commented on the merit system, in that it felt that this system attempted to do too much in too imperfect a fashion. The merit instrument attempted to measure accountability and promotability, as well as encouraging and measuring professional growth. Because of the financial/seniority increments involved in the merit system, the committee regarded the purpose of the merit instrument essentially as one of promotion and that the reports would be written by the school.

All educators within the Natal Education Department would be included in this new Teacher Appraisal and Inspection System and this would involve reports on Heads of Department, Principals and Head Office staff.

Obviously, certain inspection and reporting procedures also needed to be applied in the promotion system. This would involve the subject advisor to a greater extent.

In Circular S2/1 1990 (dated 15 March 1990), the Director approved the new system which was to be implemented from the opening of the second term in 1990. This system was to give due weighting to appraisal/evaluation and to identify clearly those inspection reports which were for the purpose of assessment.

In the Circular, the following guidelines were outlined in the new teacher appraisal system:

- * Reports on teachers on post level 1 and first year teachers would still be compiled, but the emphasis was now to be more towards promoting professional growth. No assessment rating was to be given, unless the performance was unsatisfactory.
- * The School Principal would still submit a report (N.E.D. 876) to the Regional Superintendent of Education, confirming the appointment of an individual teacher, but the emphasis was to be more on professional growth. Accountability would still be an important consideration. No assessment would be given unless the performance was unsatisfactory.
- * There would be no reports on fourth and seventh year teachers.

- * Each school was to develop, according to its needs and promoting professional growth, its own in-house system of staff development and school-based appraisal. The involvement of the whole staff in the design of this system was strongly recommended. Teachers could be appraised by their peers.

- * Superintendents of Education (Academic) would be free to concentrate more on their subjects as a whole in the schools, and therefore provide worthwhile academic and professional guidance. It was believed by the committee that this would be of far more value to a School Principal than routine reports on teachers.

- * Individual reports on teachers would still be written, but essentially only to measure accountability and to promote professional growth. These reports would be infrequent and no assessment rating was to be given unless the performance was unsatisfactory.

Appendices 8 and 9 outline what was proposed as a Teacher Appraisal System for the Natal Education Department as was envisaged by the ad hoc committee.

However, although the new system did have merit in that the emphasis was to be more on the formative, professional development of educators, it seems to have faded out of existence. It was still felt that it involved excessive reporting and inspection.

Why did the new school-based appraisal system not come into operation? It did not work because the implementation thereof was not properly planned and that there was insufficient thought given to the training and implementation of the new system. There were no specific, detailed guidelines published and the Natal Education Department did not inform educators as to what was actually meant by 'appraisal' and 'staff development'. Although the ideas were good, the Natal Education Department's initiative failed in that not enough thought had been given as to how to put it into practice.

The ad hoc committee had discussed the new system in 1989 and it was to be implemented by the second term of 1990. The Natal Education Department set unrealistic dates for the implementation of the new system, and because nobody actually knew what the new system entailed, and whether it would be successful or not, nothing substantially happened, especially by June 1990. The Natal Education Department did not inform people as to the 'what, why and wherefore' of the new appraisal system.

In February 1990, President F.W. de Klerk, in his famous speech, predicted the demise of the apartheid system. There would be sweeping socio-political changes throughout the country, and in many ways, the citizens of South Africa were not prepared for what he said. His speech set people thinking in many varied and different directions. The F.W. de Klerk phenomenon also alerted the authorities to a single system of education, and this resulted in negotiation and discussion between all the relevant Education Departments, and the Natal Education Department was no longer primarily concerned only with matters relating to it as a department. After this speech, the Natal Education Department did not focus again on teacher appraisal and, at this moment in time, no final decisions on teacher appraisal have been taken in the Province of KwaZulu-Natal. Too many political events have overtaken the situation.

At a conference held at Midrand in August 1994, under the auspices of the Education Policy Unit of the University of the Witwatersrand, the following general summary was presented:

... For all the problems and political conflicts in the Province of KwaZulu-Natal, considerable progress has been made in interaction between educationalists and other education stakeholders. The five Education Departments produced a discussion document which included educational principles, an audit of personnel and facilities and a possible structure for a unified department in 1992. All teachers societies or unions and parent organizations were invited to participate in a follow-up investigation in 1993.

(E.P.U., 1994 : 140/141).

By 1993, assessment in South Africa was becoming more and more contentious and debated, and it was felt that an overhaul of the systems in operation were necessary, and a new dispensation needed to be structured.

The system of Teacher Appraisal as envisaged by the ad hoc committee had faded away and disappeared.

3.3 TEACHER ASSESSMENT IN THE MORE REGIONAL SOUTH AFRICAN CONTEXT

In a paper titled: 'RETHINKING TEACHER APPRAISAL IN SOUTH AFRICA: POLICY OPTIONS AND STRATEGIES,' it was asserted that:

... Overhaul of the system of teacher appraisal in South Africa is long overdue. Since 1989 progressive educators have campaigned against the system and as a result, the activities of inspectors and subject learners are currently suspended in large parts of the country. However, widespread rejection of the existing appraisal system has not been intended as a rejection of appraisal per se : the majority of teachers want appraisal to be an essential part of their professional development - not a mechanism for enforcing state control (Chetty et al, 1993 : 1).

Questions regarding systems of assessment were being raised, and deadlocks between teachers and departmental officials involving the legitimacy of many of these systems had resulted in an overall decline in the quality of educational provision. The time had come for a national system underpinned by a coherent vision, sound principles and the broadest consensus in which teachers had a central role.

Recently, the processes and procedures employed in the assessment system in South Africa, being essentially based on particular values and ideological assumptions, have been bitterly contested. South Africa's system has been largely inspectorial, bureaucratic, top-down, closed, hierarchical and authoritarian. In the South African schools it has essentially been oriented towards improving examination results, monetary rewards and compliance with departmental regulations. This

has led to feelings of distrust, anxiety, hostility and apprehension. Whatever policy choices are made in the transformation of the system will ultimately have to address the existing structure, personnel and practices of the inspectorate dealing with appraisal. The impact of the organisation of services in this regard has had a profound impact on the quality, capacity, efficiency and effectiveness of the system, as well as on the interactions between inspectors and school level actors. Simply put, these are the basic constraints on any new policy initiatives and it seems prudent to begin an analysis of the system from this standpoint (Chetty et al, 1993 : 3/4).

In South Africa, there were nineteen Departments of Education, each with its own peculiarities. There was very little uniformity across these departments and the system of assessment was highly fragmented. There were large disparities in funding, resources, capacities and legacies of development, as well as substantially differing services provided. Fundamental and important structural differences existed in terms of context of delivery, scale of provision, capacity of existing providers, distribution of skills within departments, organization and management of services (Chetty et al, 1993 : 7).

Assessment involved the inspectorate, it involved management, it involved subject advisors, and influenced the quality of teaching and

learning and the instruments employed. It was essentially a system of monitoring and surveillance, based on predefined criteria and checklists and was wide open to abuse (E.P.U. 1993). To many of the teachers in this country, assessment has been uneven, unreliable, unacceptable and the methods and resources that have been employed have been regionally and systematically idiosyncratic and inefficient (Chetty et al, 1993 : 13). Indeed, the current systems of assessment, inspection and supervision have been rooted in the wider, apartheid - based system of governance, management and administration (S.A.D.T.U., 1994 : 1). The systems have been threatening, judgemental in character, and geared towards fault-finding, product-orientation and punishing weaknesses.

For teachers, assessments are:

... an extremely sensitive issue, and any attempt to bulldoze them into something which will appear to be yet another means of extracting discipline and obedience will backfire.

(Chetty et al, 1993 : 19)

The systems of assessment in operation in South Africa have, then, largely been inspectorally-based and bureaucratically oriented. Inspectorates have been fragmented and the functional effectiveness of the instruments in operation for assessment have been limited.

Approaches have been 'top-down', characterized by differential developments in, and within different departments. Many of these problems of assessment experienced in South African education have been located in the management and organization of the inspectorate. Vast differences in the management and advisory sections of the various Education Departments have been prevalent. (Chetty et al, 1993 : 20)

Education in South Africa, because of the many varied and diverse departments, as well as the fragmented nature of educational governance, has been characterized by an absence of a necessary uniformity across all departments. Each department has had its own peculiarities and its own issues which it has considered to be most pressing, a substantial difference in the experience of teachers, and an underlying division between the general and subject advisory inspectors.

1993 was a year in which the government, through the Education Renewal Strategy, attempted to address some of the inadequacies in the assessment system. It advocated, for example, new procedures and processes of negotiation and debate between teachers and educators. What is important, is that the authorities were now becoming more and more aware of the shortcomings of the system of assessment that was in operation in South African education.

Also in 1993, the debate from N.E.P.I. (National Education Policy Initiative) was essentially an attempt at making current bureaucracy transparent and accountable to the public and the community at large. Two reports ensued from this debate, namely the Governance Report and the Teacher Education Report. In the Governance Report, the emphasis was essentially on the role attributed to the district level and the P.T.S.A.'s (Parent, Teacher, Student Association) as far as the function of inspection and supervision was concerned.

In the paper at Broederstroom, the authors (Chetty et al, 1993 : 14/15) make reference to the importance attached to the N.E.P.I. debate, emphasising the need for a total reorganization of the assessment system and a restructuring of the administrative divisions. Indeed, a new policy of inspection, assessment and supervision is central in the N.E.P.I. Report.

Early in 1994, the government in South Africa underwent a radical political change. The African National Congress won the general election in April. As early as January of that year, a working document was prepared by the Centre for Education Policy Development on behalf of the Education Department of the African National Congress, which set out the Implementation Plan for Education and Training (I.P.E.T.) based on the A.N.C.'s Policy Framework for Education and Training Discussion

Document and the Reconstruction and Development Programme (1994).

In this working document it is stated that:

... The current system of teacher appraisal is one of the most vehemently contested aspects of the present system, and hence one of the most important factors negatively influencing the quality of education. There is an urgent need to move away from present summative, authoritarian practices, and to formulate a system characterized by:

- (1) teacher involvement and ownership, particularly through teacher organizations
- (2) a focus on the formative professional development of teachers
- (3) integration into on-going whole-school strategic planning, development and assessment.

(I.P.E.T. Task Team, 1994 : 7)

The inadequacies of the systems of inspection, assessment and supervision are highlighted and closely scrutinized with particular regard to the professional and administrative functions.

The first six months of 1994 were characterized by political upheaval, change and uncertainty in South Africa. It is obvious that education was

also affected by these changes and all aspects of education were being exposed to systematic and far-reaching proposals.

In April 1994, the South African Democratic Teachers Union (S.A.D.T.U.) submitted an Implementation Plan for Teacher Management and Supervision to the Implementation Plan for the Education and Training Task Team on Teacher Education. This plan was very aware of the need for simple guidelines, policies and processes for changing the structures and initiating transformation, which could be applied for all the departments, and which would address the shortcomings in the system as a whole, and involve all participants in its re-orientation.

... It must be expected that differing regional and local conditions will determine the manner in which the guidelines are interpreted, adopted and implemented. Idiosyncracies and regional differences will thus not come to an end: they will continue in a set form, woven together by similar goals, procedures and practices (S.A.D.T.U., 1994:1).

This S.A.D.T.U. document expresses the desire and the need for a new, effective and successful teacher 'assessment' system. This new system requires a 'policy' and a 'process' for dealing with the myriad of problems in a comprehensive but not over-complicated manner (S.A.D.T.U., 1994 : 1). Inspectorates, supervisory and advisory services have been characterized by highly centralized, patriarchal control and

which have been linked to racially-based departments which have blocked change and entrenched conservatism. In the document, S.A.D.T.U. advocates guidelines in areas of inspectorate and subject advisory services, with special emphasis on the recruitment, training and job definitions of inspectoral and subject advisory staff. The African National Congress Policy for Education and Training stressed that it is vitally important for a new system of teacher assessment to be developed and which could be widely publicised and clearly presented to all teachers, educators and administrators.

The Education Policy Unit of the University of the Witwatersrand has become increasingly aware of the deadlocks and inadequacies present in teacher assessment in South Africa. It is this concern that has led to the involvement of the Education Policy Unit in defining and structuring new proposals for teacher assessment.

On 18 and 19 August 1994, a Conference was held at the Eskom Centre, Midrand, and it was convened jointly by the Pretoria Witwatersrand Vereeniging Education Department, the Education Policy Unit of the University of the Witwatersrand and the Centre for Education Policy Development. It was a conference on School Management, Teacher Development and Support, and it was well attended by representatives from KwaZulu-Natal. The conference was held as a

culmination of the work conducted on assessment after the Education Policy Unit had been approached by the South African Democratic Teachers Union in 1992, to assist in developing a new form of teacher assessment. The whole idea was to move away from a bureaucratic, judgemental form to one geared in the first instance to teacher development and support and school management. And it was essentially between the end of 1992 and the beginning of 1994 that the new principles and procedures for the appraisal of teachers were negotiated.

Before 1992, the absence of any structured kind of assessment system in the Black schools in South Africa had contributed largely to the poor results and the general breakdown of educational activities and structures. There were conflicts between inspectors, advisors, principals, teachers, educators and administrators. Teachers were not aware of 'how', 'when' and 'for what purpose' assessment would be administered, and it was becoming more and more apparent that a new system was essential to contribute to restoring a 'culture' of teaching, learning and democracy. Inspection and subject advisory services in all the Departments of Education throughout South Africa had to be re-directed and re-targetted towards uplifting and improving standards of education, and the new system of assessment was to contribute positively to all aspects of developmental learning and teaching. The

unequal distribution of skills and resources, the low morale, the poor results in many of the schools, as well as the disruptions and unresolved conflicts that had flared up from time to time, were all factors in the education system in South Africa that needed to be addressed immediately. Teacher assessment was also deemed to require immediate attention.

These issues were all raised at the Midrand Conference, and it was Mr Ronnie Schwartz from the Organizing Committee who, after much debate surrounding the introduction, or re-introduction of a structured, systematic form of teacher assessment, summarized some of the feelings as follows:

... If a system of appraisal and evaluation is to be made acceptable, and to be re-introduced, then all the actors affected by the system, teachers and managers alike, will have to contribute towards the development of a new system. The new teacher appraisal instrument initiated by S.A.D.T.U. and negotiated with organizations like N.A.P.T.O.S.A. and the D.E.T., is a good start towards the development of a new, democratic and transparent system. If accepted by the majority of teachers, the new appraisal instrument could contribute to the restoration of the culture of thinking and learning (Schwartz, 1994 : 88).

In many of the papers presented at the Conference, it was felt that because there had been no single policy for teacher development, support and assessment, divergent policies in the various education departments had led to different and unequal ways of assessing teachers

and in the support provided to them. In many of the schools, the interaction between the teachers and the inspectorate had been characterized by authoritarian relationships, and had followed a 'top-down' management style. Teachers had not been at liberty to discuss issues of assessment and teacher development within the inspectorate. In the recent past, the high level of politicisation of education had made it increasingly difficult for inspectors and subject advisors to facilitate educational development, since these developments had constantly been criticised and rejected as serving the interests of apartheid education. The rural areas had received less support and development, which had exacerbated the educational backlog suffered by the rural communities (E.P.U. 1994).

At the conclusion of the Conference at Midrand in August 1994, each of the regions was requested to provide some report comments on conditions that existed, that possibly still exist, and where the immediate priorities and problems lay. Reports from the ex - House of Delegates, the ex - Department of Education and Training, the ex - House of Representatives, the ex - House of Assembly and the KwaZulu Department of Education, were all afforded the opportunity of highlighting the strengths and weaknesses of the inspector and advisory services. It was very obvious that the disparity in the provision of

inspectoral and advisory services was considerable in extent, and that the functions they performed differed from department to department.

In October 1994, the Education Policy Unit and the Centre for Education Policy Development, responded to the historical White Paper on Education and Training released in September 1994.

This White Paper marks a major shift from the apartheid based education policies of the past, by reinforcing a framework of lifelong learning and opening the doors of learning and culture to all. However, the Education Policy Unit and the Centre for Education Policy Development did not find the whole White Paper entirely favourable and divided their response essentially into three main categories namely: (1) a summary of the strengths of the White Paper; (2) a delineation of some of the weaknesses together with proposals for eliminating these weaknesses and strengthening the main thrust of the White Paper; and (3) a statement declaring areas in need of immediate and urgent attention (E.P.U., 1994 : 1).

For the purposes of the implementation of a system of assessment, the response to the White Paper is positive in that it strengthens the working and consultative relations between all the stakeholders in education, and that it proposes a National Qualifications Framework (as represented in

the A.N.C. Education Department's Policy Framework for Education and Training) for achieving fundamental restructuring of the education and training system (E.P.U., 1994 : 10).

Both the Education Policy Unit and the Centre for Education Policy Development, in responding to the draft White Paper on Education and Training, believe that the National Ministry of Education, should take the immediate role in moving towards a structured system of assessment, given the weaknesses of the provinces at the current moment, their lack of administrative capacity, and delays of transfer of power and the complex rationalisation process currently occurring. Reform, re-structure and re-direction in teacher assessment was essential, it was necessary and it was desired.

In March 1995, the White Paper on Education and Training of the Department of Education, was published in the Government Gazette (Volume 357 : No. 16312 : 15 March 1995).

This White Paper discusses very important steps in the development of a new system of Education and Training in a democratic South Africa. The Paper is introduced by a message from the Minister of Education, Professor S.M.E. Bengu. He states:

... the draft document has marked the beginning of a national consensus on the way forward. That is what the country needs : a principled national accord on education and training, which will provide a secure platform for change and development, for widening access and raising quality.

(Department of Education, 1995 : 1)

Mr Renier Schoeman, the Deputy Minister of Education, supports

Professor Bengu and claims:

... the ideal, namely 'excellence in education for all', and the cultivation and liberation of every young South African, is still a long way off, but we are on our way.

(Department of Education, 1995 : 7)

Although the White Paper does not seem to include an indepth dissertation on a new system of assessment, the Ministry of Education is deeply concerned with maintaining standards of education, both in quality and quantity, and has stated that one of the most important challenges facing education in South Africa is to ensure that all teachers are well prepared for the major responsibilities they carry. Teachers must be helped and supported in the development of their expertise and skills, which will enable them to stimulate learning. The quality of education must always be improved.

Appraisal is fundamental and vital to this improvement, in order to ensure professional development in moving towards the new democratic

South Africa, in which education is a key to the personal aspirations of individuals. The emphasis in the past has been on 'judging', 'monitoring' and surveillance' when assessing teachers. The ideal now is to move away from this emphasis and to construct an instrument which is more concerned with the professional (formative) development of teachers, involving self-evaluation, peer review, consideration of contextual factors and mediation, only in the event of conflict, by an inspector (E.P.U., 1994 : 1), whole school review and active participation in negotiation.

... if the goals of a unified and independent inspectorate enjoying the confidence of its constituents is held out, and participation by all players in creating and thinking through a new system is encouraged. However, much can be achieved in creating a new culture and ethos in inspection and supervision services.

(Chetty et al, 1993 : 17)

3.4 LIMITATIONS IN THE PRESENT PRACTICE OF TEACHER ASSESSMENT

It is obvious that an overhaul of the practices, procedures and processes involved in teacher assessment in South Africa is long overdue.

A renewed focus on teacher assessment is essential in order to enhance teacher quality and school effectiveness. There is now an urgent need to move away from the summative, bureaucratic, authoritarian, 'top-

down' practices, and to formulate a system in which the focus is on the formative professional development of teachers.

For too long now, assessment has given rise to feelings of distrust, anxiety and 'open hostility'. Teachers have felt threatened by the system, because of the tendency to 'punish weaknesses' and not to 'build strengths'. They have been apprehensive towards the hierarchical, inflexible and insensitive procedures, as well as the emphasis on departmental regulations. There has been no uniformity at national, regional, local, district or departmental level, which has often resulted in unco-ordinated and incomprehensive strategies. Teachers have not been encouraged in their educational endeavours, and have often considered assessment as a 'necessary evil'.

Too much emphasis has been placed on examination results, when an individual teacher has been assessed. The 'merit system' and monetary rewards have also resulted in negative attitudes towards assessment.

The movement towards a new system of assessment is justified. It is felt that Systematic Staff Appraisal is possibly the solution to resolving many of the negative and hostile feelings towards assessment, and that staff appraisal can make great in-roads in enhancing the quality and culture of teaching and learning.

3.5 CONCLUSION

Chapter three has attempted to provide some comment and brief review on teacher assessment as practiced in the ex-Natal Education Department, as well as in the more regional, South African context.

Some of the limitations and inadequacies of the present practice have been highlighted and it is therefore concluded that an overhaul of the system is essential, vital, desirable and necessary.

Chapter 4 will provide an assessment of the potentiality of Systematic Staff Appraisal and the possible implementation of the system.

CHAPTER 4

AN ASSESSMENT OF THE POTENTIALITY OF SYSTEMATIC STAFF APPRAISAL

4.1 INTRODUCTION

It is the intention of this chapter to:

- * provide a brief summary and overview of the project
- * emphasize some of the fundamental principles and procedures involved in Systematic Staff Appraisal
- * consider some of the possible managerial problems envisaged in the adoption and implementation of Systematic Staff Appraisal
- * arrive at conclusions regarding the possibilities for the implementation of Systematic Staff Appraisal and to assess its potentiality in addressing perceived needs for a transformed process of teacher evaluation.

The chapter is structured as follows:

- * summary and overview of the project
- * summary of the processes and procedures of Systematic Staff Appraisal
- * managerial problems
- * possibilities for the implementation of Systematic Staff Appraisal with special reference to KwaZulu-Natal
- * concluding observations
- * limitations of the project
- * recommendations for further study.

4.2 SUMMARY AND OVERVIEW OF THE PROJECT

The purpose of the project was to analyse the processes involved and to investigate the potentiality of Systematic Staff Appraisal for the professional development of educators. The project was to incorporate

a consideration of the assessment of potential and professional development by improving teacher quality, through a process of professional 'empowerment'.

Although the project considered Systematic Staff Appraisal from a broad national and international point of view, particular reference was made to the KwaZulu-Natal Province, because of the author's current employment in education in this province, and therefore his familiarity with the systems in operation.

4.3 FUNDAMENTAL PROCESSES, PRINCIPLES AND PROCEDURES OF SYSTEMATIC STAFF APPRAISAL

Assessment and Appraisal, although often linked, are not synonymous terms. Teachers, at various decision-points throughout their careers, are assessed, whether it be for example, for measuring achievement, confirmation of appointment, or application for promotion. In this regard, assessment has largely been summative and judgemental in nature and has resulted in 'rewards and punishments'. It has essentially been concerned with the selection, promotion, redeployment, accountability and dismissal of teachers.

It is now suggested that a new system needs to be devised in which persons can be helped to develop their skills and to improve teacher quality, through empowerment. This new system needs to address teacher-specific approaches to assessment and to focus on the quality of teaching.

Systematic Staff Appraisal is to identify most accurately the individual development needs of the teacher, to contribute to the professional development of the teacher through a fundamentally formative intention, and to move away from the subjective judgements and threats to teacher autonomy. It is a system intended to increase the overall effectiveness of individuals, and the focus is essentially on an individual review. The system is most effective in its concern with growth and development, and its encouragement in the extension of good teacher practice and professional competency. It is an on-going developmental system of guidance, support, encouragement, follow-up, feedback and communication.

Development is a positive and vital educative process and through this new system, skills and abilities must be recognized and encouraged. Teachers are afforded the opportunity to critically look at their practices and to directly enhance the educational provision offered to pupils. This new system is intended to be non-threatening, flexible and multi-faceted,

and moves away from the negative connotations attached to evaluation, inspection and judgement.

4.4 MANAGERIAL PROBLEMS ENVISAGED IN SYSTEMATIC STAFF APPRAISAL

Before any system of appraisal can be implemented, there are indeed, certain areas of concern which need to be carefully noted, so that the effectiveness of the system is not invalidated. Therefore, although the system has optimistic ideals, managerial problems are envisaged and need to be addressed in order to ensure the successful implementation of the system.

In the past, assessment practices have generally been hierarchical, authoritarian, bureaucratic and regulated by Departmental instructions. They have been 'top-down' and judgemental. These practices need to be curtailed.

The objectives, nature and implementation of the system, need to be clearly indicated. The process needs to be clearly planned and co-ordinated, and the scope, purposes, processes, components, approaches and methods need to be identified.

The quality of information and the provision of training is essential. Educators are often unwilling, impatient and unsympathetic in their attempts at guiding and supporting their colleagues. Training must focus on motivation, enthusiasm and positivism towards the system.

There has been a general resistance to most forms of assessment.

Negative attitudes, apprehension, distrust, lack of respect for professionalism, credibility, integrity, responsibility, honesty and nepotism are all areas which need to be addressed and considered. Assessment has often involved intense emotions (S.A.D.T.U., 1992 : 4).

... The whole process of appraisal will need to be co-ordinated from a national, regional or district level, by credible and trained teams or co-ordinators specifically appointed to pilot the introduction of the system. The local or district level should provide the 'shelter' conditions, providing resources, direction, support and protection. Appraisal co-ordinators should be appointed to all levels. They should ensure co-ordination of efforts and integration of appraisal processes with school and curriculum development. Liaison with non-governmental organisations specializing in INSET (In-Service Training) and curriculum development, as well as teacher organizations and the Association of Education Officers of South Africa, should be a priority. Channels and

procedures should also be brought into being. This is a model which on the one hand requires rationalization to effect integration and, on the other, requires resources rather than cost-cutting, and re-organization rather than rationalization for efficiency (Chetty et al., 1993 : 19).

The difficulty in establishing national standards in the system, given the diverse and unbalanced distribution of schooling conditions in the country, will need to be addressed. There is no uniformity at a local, district, regional or national level.

Obviously a new system involves time. Time must be beneficially and advantageously used, in order to contribute to enthusiasm and motivation. This is directly affected by thorough planning and preparation.

4.5 THE IMPLEMENTATION OF SYSTEMATIC STAFF APPRAISAL

In this part of the chapter, the intention is to consider critically, the possibilities and potentiality for the successful implementation of Systematic Staff Appraisal, with particular reference to the KwaZulu-Natal Province.

As has been stated, systems of assessment in the past, have tended to be summative in nature. Teachers have been 'judged' at various stages in their careers, be it for tenure, probation, measurement of achievement and potential, or application for promotion. Can this new system of appraisal completely ignore the 'judgemental and evaluative' nature of assessment? Indeed not. Because of the structure of society, hierarchies exist, and as individuals expose their skills, talents, achievements and potential, they are 'entitled' to progress through the hierarchy. Hierarchies inevitably involve authorities and authoritarianism.

Summative and formative appraisal are not separate and independent entities. They need to complement each other, in order to enhance the culture of teaching and learning. Although the emphasis in Systematic Staff Appraisal is on the formative, professional development of educators, it cannot be entirely divorced from summative assessment, for assessment will need to be applied at certain stages in the career of the individual. The new system directly involves the professional growth of the individual teacher.

Systematic Staff Appraisal should be accompanied by opportunities for staff development and in-service training. Through staff development, management will be made aware of, and be able to pay serious attention to the personal and professional needs of the staff. It will therefore

benefit the individual teacher, the staff and the whole school. Weaknesses can be highlighted and addressed. Staff development is an integral part of any system of education.

Systematic Staff Appraisal has the potential to promote greater confidence, greater competence, improve morale, enable better career planning and determination of career needs. When good performances and achievements are acknowledged, motivation and enthusiasm will ensure, resulting in greater commitment and job satisfaction.

Systematic Staff Appraisal is a genuine mechanism for professional growth and development. In this way, it can meet the needs, solve the problems and answer the questions of many of the educators involved in the multi-task of teaching, learning and educating.

Can Systematic Staff Appraisal be successfully implemented in the local context of the KwaZulu-Natal Province?

Ideally, the system is indeed implementable, and the basic processes and procedures can be applied. However, certain essential considerations still need to be addressed before such a system can be fully functional.

In KwaZulu-Natal, as indeed in the rest of the country, there is still no universal blueprint as to how the system is to be structured and how the system will in actual fact operate. Although the system has been debated at length, and in-depth discussion and negotiation has been undertaken regarding systematic appraisal, there still seems to be an element of doubt and apprehension as to how the system will work and how the apparent deadlock between teachers and departmental officials over the legitimacy of the system can be resolved.

Education is a fundamental concern of any government. In April 1994, the African National Congress became the majority party in the government of the 'new' South Africa. The Reconstruction and Development Programme commenced. Included in this programme was the education system. Prior to 1994, as has been mentioned, there were five departments of education in Natal, representing the various cultures and ethnic groups.

After the election, the five departments (theoretically-speaking) were dissolved to make way for one, new, education system for all. The structure of this new system is, technically-speaking, in operation, but there are still many vague concepts which need to be addressed. To this end, the Interim Provincial Strategic Planning and Management Committee of the KwaZulu-Natal Department of Education, has

established a Project Task Group to investigate the fundamental revision of teacher appraisal processes and the link between evaluation and development. It has repeatedly been stated that an overhaul of the system of teacher assessment in South Africa and in KwaZulu-Natal is long overdue.

Financial resources also needs to be considered. If the system is to operate successfully and beneficially, the required finances need to be made available at all levels of the system, so as to enjoy the implementation of the fundamental processes, principles and procedures of the new system.

The population make-up of the Province of KwaZulu-Natal at present, is indeed fragmented and widespread. For the system to be introduced, the administrators of the system will need to be trained and well-equipped so as to be able to present the system to the population. It is a difficult, but not insurmountable task.

4.6 CONCLUDING OBSERVATIONS AND SUGGESTIONS

In the South African context, not only has the assessment of teachers been substantially summative in nature, but also the variety of processes subsumed, has become a highly politicised area of contestation.

Although there is a long history of teacher assessment for the measurement of achievement (often related to personnel decision-making), in more recent years, the focus has broadened to incorporate consideration, both of the measurement of potential and assessment, for professional development.

It is to this form of teacher 'assessment', commonly referred to as systematic appraisal, that considerable attention has been devoted.

The teaching force in South Africa is increasingly being faced with a complex range of tasks and a multi-faceted system, in which society expects a continuing enhancement of quality teachers and teaching. School improvement, school effectiveness, school development planning and educational progress have enjoyed an emerging local, regional and national concern, and it is therefore vital that, if a new system, in any way, can enhance and stimulate the quality of learning, it be deemed essential that staff appraisal be included as an integral cog in the planned curricular programme.

On-going whole-school strategic planning and development must be included in this system, in which all educators are involved in their formative professional development. The system of staff appraisal must be formulated and characterized by teacher involvement, teacher

ownership, teacher empowerment and teacher guidance, support and development.

If teacher evaluation and teacher appraisal is to be linked in any way, it is essential that the negative connotations and the apprehension towards evaluation and assessment be addressed, and that teachers be encouraged to become positively and actively involved in this developmental contribution to the 'culture of learning'.

A new system of staff appraisal can, and must be implemented. It must be rational, co-ordinated, comprehensively planned and flexible. It must be structured around the principles and processes as indicated earlier in the project and teachers must be encouraged and motivated to participate in the process.

It is a system which is advantageous and beneficial to all those involved in education in KwaZulu-Natal and in the 'new' South Africa and the successful implementation of the system is an exciting challenge for educators.

4.7 LIMITATIONS OF THE STUDY

Whilst considering the nature and the purpose of the study, it was necessary to limit the scope of the research due to exigencies of time and restricted resources. In connection with the scope of the study, while it was considered that a wider investigation would have given a more complete picture of the potentiality for the implementation of the new system, it is deemed that certain conclusions can be drawn from the material presented and it can be confidently suggested that, although limitations in the scope, range and methodology of the research are acknowledged, the project can contribute to an in-depth investigation into the potentiality of Systematic Staff Appraisal for the professional development of teachers.

4.8 RECOMMENDATIONS FOR FURTHER STUDY

While considerable attention has been given to Systematic Appraisal in countries such as Australia, England, Wales and the United States of America, and a large literature has developed, research on this subject in South Africa is negligible. There is an extensive literature related to teacher evaluation in general, including annotated bibliographies. Primary sources in the KwaZulu-Natal context (regulations, instruments and descriptive documents related to teacher evaluation procedures

issued by the 'ex' Departments of Education operating in the region, together with various commentaries issued by teacher organizations) are available and accessible.

As South Africa is going through a transition period, characterized by transformation, it is suggested that the investigation and the scope of the project be broadened to the nationally anticipated, integrated, Department of Education which will cater for a democratic, non-racial South Africa.

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KWAZULU-NATAL PROJECT TASK GROUP

EVALUATION SYSTEMS : CS EDUCATORS

	EX-HOUSE OF DELEGATES	DEPT. OF EDUCATION AND TRAINING	NATAL EDUCATION DEPARTMENT	KWAZULU DEPT. OF EDUCATION & CULTURE	EX-HOUSE OF REPRESENTATIVES	PROPOSALS IN RESPECT OF NEW SYSTEM
1. <u>STATUTORY PROVISIONS WITH REGARD TO PROMOTIONS</u>	Government Notice R1288 Hand Book for Principals Departmental Circulars	Departmental Circulars	Departmental Circulars	Departmental Circulars	Coloured Person Act (47 of 1963) Department Bulletins	
2. <u>MANNER OF ADVERTISING POSTS</u>	Departmental Circulars	Regional Gazette Media	Department Circulars/Gazette	Departmental Circulars	Education Bulletins	
3. <u>FREQUENCY OF PROMOTIONS</u>	Although provision exists for promotions to be effected from 1/1 and 1/7, promotions are effected annually (1/1)	Twice a year 1/1 and 1/7	Twice a year : 1/1 and 1/7	Whenever necessary candidates are interviewed for appointment to promotion posts.	Twice a year 1/1 and 1/7	
4. <u>LEVEL AT WHICH PROMOTIONS ARE EFFECTED</u>	Head Office	Decentralised to Area Level in respect of Levels 2-5, for Area and Circuit Offices and Schools post level 6-8 : Head Office	Head Office	PRIMARY SCHOOLS: Circuit Inspectorate SECONDARY SCHOOLS: Chief Inspectorate COLLEGES OF EDUCATION: Head Office	Head Office	
5. <u>PROMOTION REQUIREMENTS</u>						
5.1 <u>ELIGIBILITY IN TERMS OF YEARS IN POST</u>	A minimum of two years within a post level.	No restriction.	No restriction.	No restriction	No restriction	
5.2 <u>MOBILITY IN TERMS OF POST LEVELS</u>	Applicants may only apply for promotions to posts one level higher than their present post, except in special circumstances when this restriction is relaxed.	No restriction.	No restriction.	No restriction	Applicants may only apply for promotion to posts one level higher than their present post.	

APPENDIX 1

	EX-HOUSE OF DELEGATES	DEPT. OF EDUCATION AND TRAINING	NATAL EDUCATION DEPARTMENT	KWAZULU DEPT. OF EDUCATION & CULTURE	EX-HOUSE OF REPRESENTATIVES	PROPOSALS IN RESPECT OF NEW SYSTEM
5.3 <u>SERVICE REQUIREMENTS</u>	<p>In addition to National Norms, the following apply: Level 1 Educators must have a minimum of 10 years service (calculated in terms of their nominal date of appointment).</p> <p>Promotion post holders must have a minimum of 22 years (calculated by adding the number of years in the post of their nominal date of appointment).</p> <p><u>N.B.</u> No credit is given for merit awards.</p>	National Norms	National Norms	National Norms	National Norms	
5.4 <u>QUALIFICATION REQUIREMENT</u>	<p><u>PRIMARY SCHOOLS:</u> Category C, including a recognised teaching qualification.</p> <p><u>SECONDARY SCHOOLS:</u> <u>LEVEL 2</u> Category D, including a recognised teaching qualification.</p> <p><u>LEVEL 3 UPWARD</u> Category D, including an approved Bachelor's degree and a recognised teaching qualification.</p>		<p><u>PRIMARY SCHOOLS:</u> Category C, including a teaching qualification.</p> <p><u>SECONDARY SCHOOLS:</u> <u>LEVEL 2</u> Category D, including a recognised teaching qualification.</p> <p><u>LEVEL 3 UPWARD</u> Category D, including an approved Bachelor's degree and a recognised teaching qualification.</p>	<p><u>PRIMARY SCHOOLS:</u> Professional Teaching Certificate. Preference is given to applicants with category C.</p> <p><u>SECONDARY SCHOOLS:</u> Professional Teaching Certificate/Diploma plus Degree.</p>	<p><u>PRIMARY SCHOOLS:</u> Category C, including a teaching qualification.</p> <p><u>SECONDARY SCHOOLS:</u> <u>LEVEL 2</u> Category D, including a recognised teaching qualification.</p> <p><u>LEVEL 3 UPWARD</u> Category D, including an approved Bachelor's degree and a recognised teaching qualification.</p>	
6. <u>APPOINTMENTS TO COLLEGES OF EDUCATION</u>	Selection of applicants is carried out by the Academic Staff's Selection Committee of the College Council.	Selection is done by Head Office.	Selection of applicants is carried out by the Selection Committee of the College Council.	Applicants are interviewed by the Chief Director, Director, Rector and Vice Rector.	Head Office	

APPENDIX 2

	EX-HOUSE OF DELEGATES	DEPT. OF EDUCATION AND TRAINING	NATAL EDUCATION DEPARTMENT	KWAZULU DEPT. OF EDUCATION & CULTURE	EX-HOUSE OF REPRESENTATIVES	PROPOSALS IN RESPECT OF NEW SYSTEM																		
7. <u>SYSTEM OF EVALUATION</u>	<p>A separate rating instrument is utilised for:</p> <ul style="list-style-type: none">- Level 1 educators;- Heads of Department;- Deputy and Senior Deputy Principals;- Principals;- College Personnel <p>Evaluation is done on a 7 point scale:</p> <p>1 - Poor 2 - Weak 3 - Fair 4 - Satisfactory 5 - Good 6 - Very Good 7 - Excellent</p> <p>Scores are converted to symbols as follows:</p> <table><tr><td>64-70</td><td>- A (91,4%)</td></tr><tr><td>57-63</td><td>- B (81,4%)</td></tr><tr><td>50-59</td><td>- C (71,4%)</td></tr><tr><td>43-49</td><td>- D (61,4%)</td></tr><tr><td>42 & below</td><td>- E</td></tr></table> <p>Feedback in respect of evaluation is in the form of symbols.</p>	64-70	- A (91,4%)	57-63	- B (81,4%)	50-59	- C (71,4%)	43-49	- D (61,4%)	42 & below	- E	<p>Applicants are interviewed by a Selection panel constituted by the area office.</p>	<p>A 7 point scale is used. Scores are converted to percentages:</p> <table><tr><td>85-100</td><td>- highly promotable</td></tr><tr><td>70-84</td><td>- strongly promotable</td></tr><tr><td>60-69</td><td>- promotable</td></tr><tr><td>0-60</td><td>- not promotable</td></tr></table> <p>Applicants are advised of their promotability rating.</p>	85-100	- highly promotable	70-84	- strongly promotable	60-69	- promotable	0-60	- not promotable	<p>PRIMARY SCHOOLS: Applicants are interviewed by the Circuit Inspector and his team.</p> <p>SECONDARY SCHOOLS: Applicants are interviewed by the Chief Inspector.</p>	<p>The School Committee makes recommendations in respect of candidates.</p>	
64-70	- A (91,4%)																							
57-63	- B (81,4%)																							
50-59	- C (71,4%)																							
43-49	- D (61,4%)																							
42 & below	- E																							
85-100	- highly promotable																							
70-84	- strongly promotable																							
60-69	- promotable																							
0-60	- not promotable																							
8. <u>EVALUATORS</u>	<p>The evaluation of applicants is carried out by the Principal and members of the management team (SDP, DP and HODS).</p> <p>The Superintendent of Education (Management) evaluates Principals and Acting Principals.</p>	<p>The selection panel.</p>	<p>Two evaluators evaluate each applicant (school based).</p> <p>Applicants for senior posts are evaluated by Superintendents.</p>	<p>PRIMARY SCHOOLS: Circuit Inspectorate</p> <p>SECONDARY SCHOOLS: Chief Inspectorate</p>	<p>Inspectors of Education</p>																			

APPENDIX 3

	EX-HOUSE OF DELEGATES	DEPT. OF EDUCATION AND TRAINING	NATAL EDUCATION DEPARTMENT	KWAZULU DEPT. OF EDUCATION & CULTURE	EX-HOUSE OF REPRESENTATIVES	PROPOSALS IN RESPECT OF NEW SYSTEM
9. <u>MODERATION</u> (if any)	<p>The Moderation Committee comprises the following members:</p> <p>Chairman: Superintendent of Education (Management)</p> <p>Members : 2 Superintendents of Education (Academic/Psychological Services). 1 Union Representative.</p> <p>Applicants are informed of their final score in the form of a symbol.</p>	None	<p>The Evaluation Committee comprises Chairman: Director (Education Management)</p> <p>Members: All Superintendents (District) Administrative Officials Representatives from NTS and NOU.</p> <p>All applicants receive two ratings: A general promotability and a specific promotability rating.</p>	None	Head Office	
10. <u>REPRESENTATION BY TEACHER ORGANISATIONS</u>	The South African Democratic Teachers Union	None	The Natal Teachers Society and Natalse Onderwysers Unie	None	None	

APPENDIX 4

	EX-HOUSE OF DELEGATES	DEPT. OF EDUCATION AND TRAINING	NATAL EDUCATION DEPARTMENT	KWAZULU DEPT. OF EDUCATION & CULTURE	EX-HOUSE OF REPRESENTATIVES	PROPOSALS IN RESPECT OF NEW SYSTEM
11. <u>PROMOTIONS COMMITTEE</u>	<p>The Executive Director constitutes a Promotion Advisory Committee (PAC) which will consider and recommend nominees for the posts advertised.</p> <p>The PAC comprises the Chairman: Chief Director (Control).</p> <p>Members: Chief Superintendents (Management) and Chief Superintendents (Academic)</p> <p>1 Superintendent of Education (Management)</p> <p>2 Representatives from SADTU.</p>	The Selection Committee	<p>The Selection Committee comprises:</p> <p>Chairman: Director (Education Management)</p> <p>Members: Chief Superintendents</p> <p>1 NTS representative</p> <p>1 NOU representative</p> <p>A short list is drawn up for each post and submitted for the Executive Director's approval</p>	<p>PRIMARY SCHOOLS: Circuit Inspectorate</p> <p>SECONDARY SCHOOLS: Chief Inspectorate</p>	<p>The Committee comprises:</p> <p>Chairman and 5 members at Head Office.</p>	
12. <u>PARENTS COMMITTEES</u>	None	None	Parents Committee make recommendations in respect of candidates.	None	School Committee make recommendations in respect of candidates.	
13. <u>AFFIRMATIVE ACTION</u>	<p>AFFIRMATIVE ACTION: GENDER -</p> <p>Applied when there is a tie.</p>					
14. <u>FINAL DECISION</u>	The final decision to place applicants into promotion posts rests with the Executive Director.	Regional Chief Director	<p>The final decision rests with the Executive Director.</p> <p>In the case of state aided schools, the Chairman appoints</p>	Head Office	The final decision rests with the Chief Executive Director	

EVALUATION CRITERIA

EX-HOUSE OF DELEGATES	DEPT. OF EDUCATION AND TRAINING	NATAL EDUCATION DEPARTMENT	KWAZULU DEPT. OF EDUCATION & CULTURE	EX-HOUSE OF REPRESENTATIVES
LEVEL 1 <ul style="list-style-type: none"> - Curricular efficiency - Control of pupil progress - Extra and co-curricular involvement - Leadership/Human relations skills - Professional dispensation 	THREE MAIN CRITERIA: <ul style="list-style-type: none"> - Task orientation - People orientation - Personal factors 	THREE MAIN CRITERIA: <ul style="list-style-type: none"> - Task orientation - People orientation - Personal factors 		THREE MAIN CRITERIA: <ul style="list-style-type: none"> - Task orientation - People orientation - Personal factors
HEAD OF DEPARTMENT <ul style="list-style-type: none"> - Curricular - Efficiency - Staff and curriculum development - Administration and control - Leadership/Human relations skills - Professional disposition 	TASK ORIENTATION <ul style="list-style-type: none"> - Professional expertise - Curricular effectiveness - Performance - Planning - Motivation - Extra curricular contribution - Organisation - Attitude to profession - School administration - Communication 	TASK ORIENTATION <ul style="list-style-type: none"> - Planning - Organisation - Motivation - Achievements - Decision making - Communication - Subject expertise - Control - Problem solving - Dealing with conflict - Public relations - Delegation - Use of teaching aids - Curricular effectiveness - Extra curricular aptitude - Professional aptitude 		TASK ORIENTATION <ul style="list-style-type: none"> - Planning - Organisation - Motivation - Achievements - Decision making - Communication - Subject expertise - Control - Problem solving - Dealing with conflict - Public relations - Delegation - Use of teaching aids - Curricular effectiveness - Extra curricular aptitude - Professional aptitude
SENIOR DEPUTY PRINCIPAL/DEPUTY PRINCIPAL <ul style="list-style-type: none"> - Organisation - Administration and control - Pupil and staff development - Leadership/Human relations skills - Professional disposition 	PEOPLE ORIENTATION <ul style="list-style-type: none"> - Attitude: Pupils/students - Attitude: Staff - Attitude: Education authorities - Attitude: Parents - Attitude: Community - Creation of climate 	PEOPLE ORIENTATION <ul style="list-style-type: none"> - Attitude: Pupils/students - Attitude: Staff - Attitude: Education authorities - Attitude: Parents - Attitude: Community - Creation of climate 		PEOPLE ORIENTATION <ul style="list-style-type: none"> - Attitude: Pupils/students - Attitude: Staff - Attitude: Education authorities - Attitude: Parents - Attitude: Community - Creation of climate
PRINCIPAL <ul style="list-style-type: none"> - Planning - Organisation development - Administration control - Leadership/Human relations skills - Professional disposition 	PERSONAL FACTORS <ul style="list-style-type: none"> - Initiative/creativity innovation - Study/self development - Leadership ability - Outlook on approach to life 	PERSONAL FACTORS <ul style="list-style-type: none"> - Leadership ability - Management ability - Study/self development - Initiative/Creativity - Innovation - View of life and of the world - Drive/powers of perseverance - Ability to evaluate staff 		PERSONAL FACTORS <ul style="list-style-type: none"> - Leadership ability - Management ability - Study/self development - Initiative/Creativity - Innovation - View of life and of the world - Drive/powers of perseverance - Ability to evaluate staff

SERVICE REQUIREMENTS

PRIMARY SCHOOLS					
POST LEVEL	CATEGORY				
	C	D	E	F	G
2	6	5	4	3	2
3	7	6	5	4	3
4	8	7	6	5	4
5	9	8	7	6	5

SERVICE REQUIREMENTS

SECONDARY SCHOOLS					
POST LEVEL	CATEGORY				
	C	D	E	F	G
2	-	5	4	3	2
3	-	6	5	4	3
4	-	7	6	5	4
5	-	8	7	6	5
6	-	9	8	7	6

SERVICE REQUIREMENTS

COLLEGES OF EDUCATION				
POST LEVEL	CATEGORY			
	D	E	F	G
2	5	4	3	2
3	6	5	4	3
4	7	6	5	4
5	8	7	6	5

APPENDIX 7

PROPOSED TEACHER APPRAISAL AND INSPECTION SYSTEM FOR THE NATAL EDUCATION DEPARTMENT

TYPES OF REPORTS	REPORT WRITTEN BY	PURPOSE OF REPORT	COMMENTS
A. REPORT ON TEACHER AT POST LEVEL 1			
1. First year teacher.	School Principal and Subject Adviser/Dh: SPS.	Accountability. Professional growth.	The assessment rating to be given unless performance is unsatisfactory.
2. Confirmation of appointment (-876).	School Principal and Subject Adviser /Dh: SPS.	Accountability. Professional growth.	The assessment rating to be given unless performance is unsatisfactory.
3. Routine reports.			
3.1 School based appraisal system	School	Professional growth.	Note that the whole system of 4th and 7th year reports falls away and is replaced by this new system.
3.2 Subject reports/phase reports	Subject Adviser / Dh: SPS.	Accountability. Professional growth.	The school is to develop its own in-house system of continuous staff development and appraise. There is opportunity for the teacher to be appraised by his peers. System to be formally prepared by the school and approved by the D.I.
3.3 Individual routine reports on teachers	Subject Adviser / Dh: SPS - written at request of the Principal, Subject Adviser, District Inspector or Teacher	Accountability. Professional growth.	Not being troubled with 4th and 7th year reports will free the Subject Adviser to look at his/her subject/phase as a whole in the school and, by reporting on this to the principal and the D.I., provide worthwhile academic and professional guidance. The committee saw the Subject/Phase Report as a neglected aspect of the Adviser's task, and a report which would be of far more value to the principal than the routine report on the teacher. It is envisaged that these would be frequent. Consideration should be given to strategies, including appraisal, for stimulating the professional growth of the experienced teachers who are threatening to become mediocre.

B. MERIT REPORT SYSTEM

The Committee felt that the recent amendments (refer Circular 21/1989) to the merit report system were an improvement, though the merit system attempts to do too much in too imperfect a fashion. This instrument attempts to measure accountability, promotability, and at the same time, measure and encourage professional growth. As it is not within the power of the N.E.D. to wish the system away, this committee suggests the following method of using it. Note that this is a merit "assessment" as opposed to an "appraisal". Because of the financial/seniority increments, this committee regards its purpose purely as one of promotion.

TYPES OF REPORTS	REPORT WRITTEN BY	PURPOSE OF REPORT	COMMENTS
First Merit Report	School	Promotion	Note that while the responsibility for compiling this report lies with the Principal, the input of the relevant Subject Adviser should be sought, particularly in specialist posts e.g. School Counsellor, Remedial Teacher, Media Centre Teacher.
Second Merit Report	School	Promotion	
Third Merit Report	School	Promotion	
C. DISCIPLINARY REPORTS			
Disciplinary (including "unsatisfactory" reports) on individual teachers.	District Inspector	Accountability	These are written only when required.

APPENDIX 8

A PROPOSED TEACHER APPRAISAL AND INSPECTION SYSTEM FOR THE NATAL EDUCATION DEPARTMENT

TYPES OF REPORTS	REPORT WRITTEN BY	PURPOSE OF REPORT	COMMENTS
<p>D. <u>REPORTS ON HEADS OF DEPARTMENT AND DEPUTY PRINCIPALS</u></p> <p>Report to be written during third year in the promotion post.</p>	Principal - SA/Dh: SPS HOD posts	Professional growth.	<p>This committee does not link the new form with its 5-point scale. It is felt that the whole form should be redesigned.</p> <p>This is not an inspection for promotability, but of appraisal to encourage professional growth. This reports will be submitted through the D.I. as in the past.</p> <p>To be written at the discretion of the District Inspector.</p>
<p>E. <u>REPORTS ON PRINCIPALS</u></p> <p>1. A form report</p> <p>2. FAF report</p>	Principal - OF posts	<p>Accountability.</p> <p>Professional growth.</p>	
<p>F. <u>HEAD OFFICE STAFF</u></p> <p>1. Written appraisal during third year and thereafter an annual verbal appraisal.</p>	District Inspector	<p>Accountability.</p> <p>Professional growth.</p>	
<p>2. Appraisals of the effective functioning of section to be done at intervals.</p>	<p>Section Head</p> <p>Deputy Director and Director</p>		

INSPECTION/REPORTING AND THE PROMOTION SYSTEM

TYPES OF PROMOTION	PROCEDURE	COMMENTS
Promotion of Teachers at PL 1 to: Head of Department Asst. School Psychologist Head: Ed. Field Study Centre Lecturer	Reports to PAC by Principal and Subject Adviser/ DH: SPS Principal and Head: SPS (or HD) Principal and SA (Field Studies) Principal and SA/Head: SPS	PAC must show both assessments, with date of assessment, on the print-out. PAC may then add its overall assessment. The final evaluations must be agreed upon at an <u>open meeting</u> of DIs and Subject Advisers. The Subject Adviser should evaluate, but should only interview if requested to do so by the DI (to avoid over-inspection).
Promotions from PL 2 to: Deputy Principal Senior Media Specialist School Psychologist	Evaluation by two DIs Evaluation by DI and Head: Media Services Evaluation by one DI and Head: SPS Evaluation by two DIs	The Subject Adviser may submit a report and evaluation if he/she so wishes, but should interview only if requested by DI (to avoid over-inspection). Advisory reports and evaluations from the SA/Head: SPS etc. in these cases are very valuable.
Promotion to all Principal posts	Evaluation by two DIs and the relevant Section Head	
Promotion to all Head Office posts	Evaluation by Head of Section plus two CIs	
(a) Applicants from schools (b) Applicants from Head Office		