

**STRATEGIES FOR THE IMPLEMENTATION AND MANAGEMENT OF
DEVELOPMENTAL APPRAISAL FOR EDUCATORS: A CASE STUDY OF
SCHOOLS IN THE FREE STATE PROVINCE**

by

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DEDICATION

To my two daughters *Nontoko* and *Wathandwa*;

To my loving husband *Sthoza, Charles Mangaliso*;

And

To my dear Master, *JESUS CHRIST !!*

DECLARATION

I, the undersigned, hereby declare that the dissertation entitled

*“STRATEGIES FOR THE IMPLEMENTATION AND MANAGEMENT
OF DEVELOPMENTAL APPRAISAL FOR EDUCATORS: A CASE
STUDY OF SCHOOLS IN THE FREE STATE PROVINCE”*

- ◆ Is my own independent work and complies with the code of Academic Integrity, as well as other relevant policies, procedures, rules and regulations of the Central University of Technology, Free State;
- ◆ That all the sources quoted have been acknowledged by means of references; and
- ◆ That this dissertation has not been submitted before to any institution by myself or any other person in fulfilment (or partial fulfilment) of the requirements for the attainment of any qualification.

TSHAYANA, Vuyokazi Eunice

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My family, for encouraging me and allowing me space to study endlessly.

ABSTRACT

TITLE: Strategies for the implementation and management of developmental appraisal for educators. A case study of schools in Free State Province.

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SUMMARY:

This research study investigates how educators are appraised and developed in South Africa. It further investigates whether Resolution No. 8 of 1998 (Developmental Appraisal Agreement) was implemented in 1999 as set out in the Developmental Appraisal Manual. The Developmental Appraisal for Educators was agreed upon by the Education Labour Relations Council (ELRC) with all Educator Unions.

The investigation about the South African practice is not complete without an investigation of the historical background of appraisal systems of other countries. The research seeks to look at how appraisal of educators was practised in South Africa during “Apartheid” and how it is to be practised during democracy. A discussion of the benefits of appraising educators was also undertaken, especially how countries throughout the world, like the United States of America, United Kingdom and Australia benefited from exercising the appraisal of educators and how South Africa will benefit from exercising the proper implementation and management of developmental appraisal of educators.

For proper implementation and management of developmental appraisal for educators and to realize the benefits thereof, strategies for implementation and management of developmental appraisal were devised, discussed and formulated to facilitate the process of appraising for developmental purposes in South Africa particularly in the Free State Province.

Educators' responses from the distributed questionnaires and conducted interviews indicated the general tenets of educators' opinions, attitudes and values regarding developmental appraisal for educators in the Free State Province. Educators further indicated expectations from the employer (The Department of Education (DoE) as outlined in the Resolution no. 8 of 1998 (dealing with Developmental aspects of Educators) and the collective Agreement Resolution Number 8 of 2003 (the Integrated Quality Management system).

The responses in the questionnaires provide a glimpse of what educators are expecting from managers of the appraisal system and what educators can manage to offer by appraisal.

The study has further shown that the implementation and management of developmental appraisal for educators, according to transparent and accountable procedures, may lead to increased productivity resulting in school improvements, educator improvement and learner improvement. Educators further recommended that Developmental Appraisal for educators must be regarded as a positive tool for growth and should not be enshrouded in an aura of secrecy, but be based on an accountable and transparent procedure.

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LIST OF ACRONYMS

PL1-6	=	Post Levels one to six
DAS	=	Developmental Appraisal System
HOD	=	Head of Department
INSET	=	In-service Education and Training
NGO	=	Non-Governmental Organisation
PGP	=	Professional Development Team
SDT	=	Staff Development Team
SWOT	=	Strengths, Weaknesses, Opportunities and Threats
MTEF	=	Medium Term Expenditure Framework
IQMS	=	Integrated Quality Management Systems

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CHAPTER ONE

INTRODUCTION AND OVERVIEW

1.1 INTRODUCTION

The furore over education in South Africa has prepared the way for a reparation programme that will hopefully rectify the inequalities present in the education system of South Africa. “The present system of Educator Appraisal in South Africa cannot be addressed without addressing the concept of professionalism in teaching, the role of the teacher in the wider community, and the training programme for prospective educators, as each of these factors influence the educator-assessment procedure” (Beardall, 1995:365).

Currently in South Africa, education management, school governance and teaching practice are undergoing dramatic transformation. The catalytic role of the educator in the process of transformation, whether assumed or real, is central to the concerns of policy makers. This is evident in the Education Labour Relations Council manual for Development Appraisal Department of Education (1998b), developed by the University of the Witwatersrand Education Policy Unit, which attempts to redefine and regulate the teaching profession.

At the heart of Developmental Appraisal for Educators there is a possible tension between its developmental purpose and its judgmental purpose (Middlewood, Blout, Sherman and Fay, 1995:170). An appraisal that is meant to enable an educator to build on strengths and to identify needs for development and training differs from an appraisal aimed at determining which educators are to be promoted or declared redundant. According to the document on Developmental Appraisal for Educators in South Africa, appraisal is essentially an acknowledgement of the positive aspects of an educator’s performance (Department of Education (DoE), 1998b:55). The emphasis in this document is

therefore on a “developmental approach” as opposed to a “judgmental” one. The purpose of appraisal relates to both improving the educator’s performance and to greater school effectiveness. The latter is ultimately the key purpose of the education system (Middlewood et al, 1995:167).

1.2 DEFINITION OF TERMS

(i) Strategy

Strategy is concerned with the long-term future of an organization – that which makes it distinctive, the broad direction it takes. A strategy is a pattern or plan that integrates an organisation’s major goals, policies and action sequences into a cohesive whole (Jones, 1993:14).

(ii) Educator

The Department of Education (1999c:1-1) defines an educator as “any person who teaches, educates or trains other persons at an educational institution or assists in rendering educational services or educational auxiliary or support services provided by, or in an education department”, but does not include any offices or employee as defined in Section 1 of the Public Service Act, 1994” (Proclamation 103 of 1994).

(iii) Learner

Potgieter, Visser, Van der Bank, Mothatha and Squelch (1997:VII) define a learner as “any person whether a child or an adult who receives education or must receive education in terms of the Schools Act”.

(iv) Management

Management is a systematic way of doing things. Management is the process of planning, organising, leading and controlling the effort of an organization and its

members and of using all other organizational resources to achieve stated organizational goals (Kroon, 1996:54).

(v) **Development**

Development has to do with skills, attitudes, understanding and accomplishment that must be met before a person can move to a higher level of successful achievement which leads to happiness (Barbie, 1998:200).

(vi) **Developmental Appraisal**

The Department of Education (1999:32-33) defines Developmental Appraisal as “an appraisal process which will result in development in both the skills and career prospects of the individual educator and lead to improvement at school or institutional level”.

(vii) **Case Study**

Barbie (1998:282) defines a case study as an idiographic examination of a single individual group or society. Its chief purpose is description although attempts at explanation are also acceptable. Examples include an anthropological depiction of a specific prelate-rate tribe, a sociological analysis of the organizational structure of a modern corporation, and a political scientist is the examiner of a particular political movement.

(viii) **Policies**

Smit and Du Plessis (1994:4) state that “policies are predetermined guides that provide direction in decision-making; they guide the activities determined by strategies”.

(ix) **School**

A school is an independent learning institution enrolling learners from grade 1 to grade 12 (Potgieter et. al. 1997:2).

1.3 THE STATEMENT OF THE PROBLEM

The signing of the Resolution No. 4 of 1998 on 28 July 1998 by the Department of Education (1998a) posed challenges to the DoE. Major challenge facing the DoE was that of “How to ensure proper implementation and management of developmental appraisal for educators in schools?”

The Manual for Developmental Appraisal for Educators was developed in (1998a) and (1999d) as an instrument guiding the process of appraising educators.

In 2001, Ogle, B.; Thurlow, M.; Paul, W.; Moodley, D.; Rampall, A.; McMullen, P.; and Pierce, A. conducted a survey study attempting to identify the aspects of appraisal system that had been successfully implemented and aspects that needed improvement and refinement.

The findings of the survey study of Ogle *et. al.* indicated that most schools lacked strategies for proper implementation and management of developmental appraisal for educators.

The lack of strategies for the implementation and management of developmental appraisal for educators posed a challenge to the researcher to investigate about strategies that will facilitate the implementation and management of Development Appraisal System (DAS).

1.4 THEORETICAL RATIONALE

The National Appraisal Team submitted an amendment to the initial agreement about timeframes because of many logistical problems. The Education Labour Relations Council (ELRC) approved the following timeframes:

- Training of office-based educators, departmental officials and staff development teams by 31 December 1998;
 - Training of school-based staff developmental teams and educators by 1 January 1999 to 31 March 1999;
 - Start of appraisal of office-based educators, departmental officials by 1 January 1999;
 - Start of appraisal of school-based phase:
 - (i) that is half the members of staff by 1st April, 1999
 - (ii) that is the remaining staff members by 1st October 1999
 - Review for office-based educators by 1 January 2000;
 - Review for school-based first phase by 1 April 2000;
 - Review for school-based second phase by 1 October 2000.
- (Department of Education, 1998b:3)

From the information, one may deduce that the educators' initial plan for the Developmental Appraisal Model was introduced in public schools by 1 January 1999. However, reports from provinces indicated that most schools had not implemented the Developmental Appraisal for Educators, with Free State, Northern Province, North West and Kwa-Zulu Natal being the furthest behind (SADTU, 1999:4). "The Developmental Appraisal System (DAS) appeared to have petered out before it even began, apparently because addressing the

professional shortcomings of educators once they have been identified is easier said than done (Grey 2001:4) (see Appendix A & B).

The question immediately asked is why these schools did not implement the DAS for educators. The answer possibly lies with the educators who did not implement DAS as well as managing the implementation phase of this innovation. The rationale behind this study was therefore to investigate how educators managed the implementation of DAS at schools and the reasons for the delay in implementation.

1.5 SIGNIFICANCE OF THE STUDY

Since DAS was to be phased in as from 1999, according to the agreements by the Department of Education and the Unions of Educators, tabled in the manual for appraisal of educators published by the Department of Education (1998b). The phasing and implementation of DAS was delayed. The findings identified problems experienced with the implementation and indicated how to improve the manner in which educators/school managers had to manage the implementation of DAS. The research contributed to the literature on DAS for Educators in South African Schools.

The research evaluated DAS, assessed its feasibility and finally determined the attitude of educators towards DAS as a mechanism for effective professional management (see Appendix C).

1.6 RESEARCH QUESTION

The research objectives were translated into the following research question (which is congruent to the rationale for the selection of the topic): *“How do*

educators manage the Implementation of Developmental Appraisal for educators in Free State Province?’

1.7 AIM AND OBJECTIVES OF THE STUDY

1.7.1 Aim

The aim of the study was to investigate and assess existing strategies for the implementation and management of DAS in schools. It was commonly found that what was planned was not necessarily what happened and what educators were instructed to do was not necessarily what they executed (Jacobs 1999:114). “The educators started by doing it and only then looked for an explanation of why they were doing it ... at the end it was what worked that survived” (Goodson 1994:118).

The most crucial question regarding DAS is to what extent it was implemented and managed in schools.

1.7.2 Objectives

The objectives of the research were to investigate aspects related to DAS and the implementation thereof in schools:

- ◆ To identify strategies required to ensure that DAS is successfully managed and implemented;
- ◆ To interrogate possible solutions to ensure that DAS is successfully implemented;
- ◆ To ensure that planning for DAS is thoroughly conducted and educators are consulted in the process;

- ◆ To strengthen methods of implementation and management through transparency and accountability thus eliminating judgemental attitude in the process

(see Appendix D & E)

1.8 HYPOTHESES

The study tested the following hypotheses:

- i) Schools using strategies for the implementation and management of DAS will be able to improve and achieve broad educational goals and objectives;
- ii) The inability of school principals to use appropriate strategies for the implementation of DAS is one of the factors impeding successful and effective DAS.
- iii) The types of strategies practised in schools need to be reformulated in order to improve the functioning and realization of DAS.

1.9 RESEARCH DESIGN

The research was conducted in schools of the Free State Province, subject to factors such as time, distance and money; the researcher's accessible population were educators in main cities in the Free State Province, namely Bloemfontein, Welkom, Kroonstad, Thaba-Nchu and Qwa-qwa.

An application requesting the permission to conduct the research in schools of the Free State Province was sent to the Department of Education Research Unit. Permission was granted to conduct the research in proposal sites.

1.9.1 The population and the sample

1.9.1.1 The Population

Barbie, (1998:201) defines population as the theoretically specified aggregation of study elements. Barbie further explains that from the targeted population, a study population is selected which is defined as the aggregated elements from which the sample is actually selected.

1.9.1.2 The Sample

Sampling is referred to as the process of selecting things or objects when it is impossible to have knowledge of a larger collection of the objects (Mouton, 1996:132). In school research sampling it is referred to (probability) sampling procedures involving some form of random selection of elements from a targeted population. Sampling is conducted to produce representative selection of population elements (Mouton, 1996:132).

To access the targeted population for the study a combination of sampling techniques was deployed. A simple random sampling technique, a cluster sampling technique and a stratified random sampling technique were used. A simple random technique was deployed to ensure that each school from the targeted population has the same chance of being included in the sample to be studied (Welman and Kruger, 1999:52).

A cluster sampling technique was deployed to ensure that schools of the centres identified namely Bloemfontein, Welkom, Kroonstad, Thaba-Nchu and Qwa-Qwa, were grouped together. Both primary and secondary schools irrespective

of racial group were included in the sampling process to ensure that biasness of selecting a particular group of schools from one centre more than the other group of schools in another centre is addressed. Therefore all schools were included in the study (Welman & Kruger, 1999:61).

A stratified random sampling technique according to Welman & Kruger (1999:55) was deployed to ensure that schools of the same category are included equally in the sample for the study. The process of sampling and adding schools to the sampled population was repeated in cycles until a point of saturation was reached. Each cycle consisted of 12 schools and their universum of educators (Welman and Kruger, 1999:53-56) and (Neuman, 1997:208-215).

For the sample to be representative of the accessible population, a combination of sampling techniques was deployed. Only schools of a particular sub-section of the said Free State Province main cities were selected.

To obtain an equilibrium cluster sampling was deployed, whereby all locations or clusters were included in the sample. Firstly, schools were given numbers. As a second step, schools were grouped as explained in the previous paragraphs and all educators in schools formed the accessible population. As a third step, a school from each stratum or location was selected, using simple random sampling. The process of sampling and adding schools to the sampled population was repeated in cycles until a point of saturation was reached. Each cycle consisted of 12 schools and their universum of educators.

In order to get a complete picture, principals and Heads of Departments (HODs) of the 25 sampled schools were included.

The study was predominantly qualitative. The reason for such a choice was the approach's ability to portray ... "the complex pattern of what is being studied in

sufficient depth and detail so that one who had not experienced it can understand it” (Ary, Jacobs and Razavieh 1990:445).

For a comprehensive study catering for the validity, reliability and trustworthiness of the information obtained both quantitative and qualitative approaches were deployed.

Quantitative approach was applied in order to measure the responses of respondents from the questionnaires (Mouton, 1996:160). Meanwhile, Silverman, (2000:103) maintains that a questionnaire is prepared for the purpose of measuring some characteristics or opinions of the respondents of the study. The questionnaire according to May (1993:65-66), assist the researcher to identify the strategies to be applied in the process of implementing and managing developmental appraisal for educators in the Free State Province from responses of respondents.

May (1993:67) further maintain that the questionnaire (in the study was to reflect what educators already know about Developmental Appraisal for Educators), was to assist in the process of analyzing the opinion of educators about DAS and the processes to be involved before the implementation and management of the process (May, 1993:67).

Therefore the questionnaire in the study was prepared to generalize from the sample of the population, to the population as a whole and to test the validity of the hypotheses (May, 1993:67).

The approach for the study is basically qualitative because qualitative research studies the persons point of view involved in the situation (Neuman, 1997:335). Qualitative research approach studies, how the people being studied, see the world in which they are involved, the situation in which the people operates and its definition. The qualitative approach in the study was applied to discover the

interpretations of educators about DAS and its processes and the findings educators have discovered about the DAS. Therefore a variety of techniques were used to evaluate even the finest details (Neuman, 1997:336).

Interviews were conducted in schools to access various stories or narratives describing the world in which educators practice appraisal (Silverman, 2000:122). For the study interviews were conducted to get a large amount of data quickly, particularly the data not covered by the questionnaire (Marshall and Rossman, 1995:80). Interviews for the study were conducted in schools after classroom observation sessions or extra-mural activities observations.

Quantitatively, a questionnaire was used to find a general picture about the research topic as well as to provide a reliable reference against which cross-referencing was done. Only educators in Free State Province schools were asked to complete the questionnaire.

Qualitatively, a variety of techniques were used to evaluate even the finest details. Interviews were conducted in schools. Educators, HODs and Principals were interviewed individually and in groups depending on the time and space provided as well as the number of schools. In individual schools, HODs and Principals were never present at any interviews with educators. Educators were interviewed to find out how DAS is implemented and managed.

The HODs were interviewed to assess the support educators are receiving at their respective schools and to give some idea as to whether educators will be able to effectively manage the implementation of Educator Developmental Appraisal or not. For the supportive role played by HODs. Interviews were conducted to determine the professionalism prevailing in schools. Conversations and informal discussions were used to probe issues that could not be obtained in arranged interviews. Observations were conducted to find out precisely what is happening in the classrooms and during conducting extra-mural activities.

Observations were conducted for the purpose of exposing to the researcher the procedures followed when implementing the DAS process; how panels educators and learners interact during the session; and the atmosphere of the didactical situation during the process. Observations as Marshall and Rossman (1995:79), expound they serve as a supporting evidence of what was investigated from questionnaires and interviews. Marshall and Rossman (1995:79) further maintain that observations in qualitative inquiry are used to discover complex interactions in natural settings Marshall and Rossman (1995:79). Questions asked whether through interviews, discussions or conversations, were largely unstructured and were therefore allowing spontaneity and a free flow of opinions. Unstructured questions are not bound to a previously compiled list of questions. Unstructured questions enable the researcher to understand how educators in the study experience their life – world and how they make sense of what is happening in classrooms and the entire school (Welman and Kruger, 1999:196). Unstructured questions were directed at the participants experience, feelings, beliefs and convictions about the process of appraisal for developmental purposes (Welman & Kruger, 1999:196).

Unstructured questions help the researcher to focus on the participants first hand experiences about the matter under study, and facilitates the testing of the hypotheses (Welman and Kruger, 1999:197).

Since the researcher was predominantly the gathering instrument, a technique to record the data/findings was developed by using key words, signs, symbolic structures. All interviews were transcribed and decoded within 24-hours of the interview.

1.9.2 Data Analysis Method

The study was essentially qualitative and therefore the analysis of all data gathered was equally qualitative and value-driven. The educators' responses to the questionnaires, their behaviour, utterances, attitudes as well as perceptions

of all informants and observations conducted, were noted down and collectively assessed against the generally accepted behaviour, attitude and the requirements of a healthy climate of education.

An inductive approach was followed: Observations were conducted to find out precisely what is happening in the teaching and learning situation and how extra-mural activities are conducted when appraising educators. According to Marshall and Rossman (1995: 79) observations serve as a supporting evidence of what was investigated from questionnaires and interviews.

Interviews for the study were applied for the benefit of interacting with the subjects of the study. Interviews were conducted after observations. Silverman (2000:122) maintains that interviews are conducted to get to large amount of data quickly, particularly the data not covered by the questionnaires.

During interviews the researcher and the respondents were engaged in discussions about the appraisal of educators leading to the drawing of conclusions from the techniques deployed. Data collection and data analysis was taking place simultaneously, without having to wait for all the information to be collected first before starting the analysis process.

1.9.3 Validity and Reliability

To enhance the validity and reliability of data at various points in the data collection process, different research techniques were applied. The data collected through the questionnaires was tested against data collected through interviews and vice versa. The data was further tested against data gathered during observations.

In establishing trustworthiness, the following techniques, as recommended by Lincoln and Guba in Ary, Jacobs and Razavieh (1990:449), were used:

- ◆ Prolonged engagement at schools and persistent observations to provide sufficient scope and depth;
- ◆ Triangulation was applied; that is the use of multiple sources of data and multiple methods of enquiry.

1.9.4 Ethical Considerations

For legal and ethical reasons, permission was sought from the Department of Education (DoE), Free State Province. The research observed the principle of informed consent; that is the responses from the questionnaires, observation and interviews were ethical. The information obtained was treated with utmost respect and confidentiality and no school was named.

The objectives of the study were clearly communicated to all informants and the research questions were included in the researcher's letter requesting permission from the DoE. The approval letter of the DoE, Free State Province (anticipating a positive reply), was shown to all participants. The letter requesting permission made it explicitly clear to all that:

- ◆ Participation would be voluntary
- ◆ Names of schools, principals, HODs and educators were provided by the principals.

For ethical reasons, schools and informants remain anonymous, hence the use of school A, B, C, D, E, etcetera, no person mentioned in the researcher's letters to the DoE or principals was included in the research. Principals were requested to be solely responsible for scheduling interviews and observations and the research was endeavoured to respect principals' wishes and use the opportunity provided to the fullest.

1.10 DEMARCATION AND LIMITATION OF THE STUDY

As the significance of the study was to ascertain how educators implement and manage DAS, this research falls under the sub-discipline of Educational Management.

The participants in the research were selected from schools in the Free State Province. The centres identified were Bloemfontein, Welkom, Kroonstad, Thaba Nchu and Qwa-Qwa.

The study has limitations in that:

- the information contained is not sufficient to conclude that the implementation of the DAS for educators will be successfully or unsuccessfully managed by all educators in other areas/districts and/or provinces;
- findings from the research will best serve the communities around Bloemfontein, Welkom, Kroonstad, Thaba Nchu and Qwa-Qwa.

However, the findings of the research project, as well as suggested improvements to enhance the schools' management of the implementation process, may be useful to schools country-wide.

1.11 RESEARCH LAY-OUT

The study consists of 6 chapters. Chapter 1 provides the definition of concepts, theoretical rationale, the significance of the study, the research question, the aims and objectives of the study, the hypotheses, the research design and the demarcation and limitation of the study.

Chapter 2 provides an extensive overview of the historical background and benefits of Development Appraisal for Educators. Chapter 3 deals with the review of current methods applied in the process of appraising educators. The methodology of data collection from the sample is dealt with in Chapter 4, and in Chapter 5, the analysis of results from questionnaires and interviews conducted about DAS are considered. Chapter 6 contains a brief summary of everything covered in the first three chapters and in the findings portion of Chapters 4 and 5, plus conclusions, strategies and recommendations.

CHAPTER TWO

REVIEW OF LITERATURE

2.1 INTRODUCTION

This chapter describes the current status of Developmental Appraisal for Educators as reflected in the research literature and attempts to identify the crucial issues and problems that need to be addressed so as to improve the Developmental Appraisal for Educators.

Aspects worth considering in the literature review are:

- ◆ A Historical Review of Developmental Appraisal for Educators.
- ◆ The Benefits of Developmental Appraisal for Educators.

Literature review, according to Neuman (1997:89) is a collective effort of many researchers who share their results with one another who pursue knowledge as a community.

Mouton (2001:86) suggests that literature review saves time and avoid unnecessary duplication. It helps the researcher to avoid making errors. Literature review provides clues and suggestions about what avenues to follow when conducting a research.

Neuman (1997:89) further expatiates that the literature review of a study assists the researcher to demonstrate a familiarity with the body of knowledge. It integrates and summarizes what is known in an area to be researched. It assists the researcher by learning from others and stimulating new ideas. Literature review show the path of prior research and how a current project is linked to the previous study (Neuman, 1997:89).

2.2 A HISTORICAL REVIEW OF DEVELOPMENTAL APPRAISAL FOR EDUCATORS

The historical background of appraisal for educators is based on the question of *“How did the appraisal of educators come about?”* The response to this question will focus on glimpses of what transpired in the past and the measures followed.

The appraisal of educators is a process as old as the education service itself although the nature of the process and the criteria used have changed over time (Bell, 1988: 2).

According to Gitlin and Smyth (1989:8-9), the issue of appraising educators can obtain an entree into its reconstruction through language, because of the way language is closely aligned with dominant practices. Therefore it is important to search history to see how language has changed. Gitlin and Smyth further maintain that if the language and the practices of education are to be open to discussion and not remain trapped within a particular world-view, then the prevailing metaphors within language will also have to be continually struggled with. This latter statement indicates that the metaphors used in social discourse to a large extent frame the thinking, language and social action of the parties involved in the process of appraising educators (Gitlin and Smyth, 1989:8).

Historically, the act of leading a child to school by a slave during the ancient Greek period was expanded to refer to work done in service of the growth and development of the child (Gitlin and Smyth, 1989:8). The act of servicing was focused and still focuses on the teaching of the child and the way in which adults (that is Administrators, Principals and other Educators) consider the task of working to serve (Gitlin and Smyth 1989: 9).

A study done by Medley, Charters and Waples of 1929 in Gitlin and Smyth (1989:9), maintains that the appraisal of educators before 1915 was based on the

traits of effective teaching. In 1915 official instruments and rating scales to be used in the process of appraising Educators began to appear and mainly Administrators used them (Gitlin and Smyth, 1989:10). There was also concern expressed in the School Administration and Supervision literature that the primary role of Head teachers was to observe and assess educators in the classroom and to work with them on the improvement of their teaching (Stronge, 1997:108).

In 1926, the claim of Educators to be professional and for schools to be relatively autonomous institutions were taken seriously (Stronge, 1997:108). The intention was to introduce a system of controls over education, which would mediate regarding the professionalism of Educators. One of the effects of the process was to devolve evaluation and appraisal of educators to Head teachers while, at the same time, creating a climate which made open, formal performance assessment extremely difficult since the ethic of legitimated professionalism was based on Educator autonomy.

The system, in turn, presupposed individual self-evaluation and self-regulation by Educators themselves. Perhaps understandably, therefore, being a “good professional”, meant having an acceptable personality; establishing good social relations were esteemed qualities, and the procedures used to assess these qualities were general, diffuse and less than systematic. Thus Educators applying for posts and asking for references were often unclear about the criteria upon which they would be judged and unsure about how the information would be collected. The situation mentioned still exists in many schools today (Bell 1988:2).

Stronge (1997:108) maintains that during the 1940's and into the 1950's, Educator effectiveness became a concern of those looking into appraisal of Educators. Stronge (1997:109) cites the mergence of the Ohio Teaching Record in 1941 as making a major contribution to focussing classroom based-

assessments on the study of teaching effectiveness. Subsequently, in the 1960's, 1970's and 1980's, the era of Educator appraisal research in the classroom boomed (Stronge, 1997:109). The availability of instruments for looking into classrooms using a variety of methodologies (e.g. time and event sampling, behaviour checklists, category systems, sign systems, narrative records, rating scales) also rapidly proliferated, resulting in a variety of compilations of instruments and methodologies for conducting classroom observations for the purposes of analysing teaching, promoting teacher development and conducting Educator effectiveness research (Stronge, 1997: 109). The various instruments and procedures focused on a wide variety of macro- and micro- observation and assessment variables (e.g. Educator warmth and enthusiasm versus the frequency of learner questions) derived from various concepts and models of good and/or effective teaching, and generated rich resources on different models of teaching and for integrating classroom observation instruments and procedures with various teaching models (Stronge, 1997:109). As interest in measuring Educator behaviour and Educator effectiveness soared, there were new calls for the development of "objective" and empirically based measures of teaching based on systematic classroom observation, and new insights were developing about establishing the psychometric properties of observation measures (Stronge 1997:109).

In 1976 James Callaghan questioned the relevance of the school curriculum, particularly for the last quarter of the twentieth century (Bell, 1988:3). The argument of James Callaghan raised the issues of the need for a core curriculum for all pupils that would develop stronger links between schools and the wider society in order that the great secret garden, the curriculum, could come under public scrutiny (Bell, 1988:3). The argument raised a need for appraisal of educators by interest groups outside the school, including parents and industrialists. (Bell, 1988:3)

In 1977 the appraisal of Educators was reaffirmed by Shirley Williams in her Green Paper: "... that if the education service was to give value for money, then, a high priority had to be given to the establishment of standard procedures for advice and, where necessary, warning to educators whose performance is considered unsatisfactory" (Bell, 1988:4).

During 1979 – 1980 the process of appraisal of educators was under the spotlight to an extent that in 1979 Leigh argued that professionals were suspected of a conspiracy against the laity (Bell, 1988:4). Educators were observed as sheltering behind "the protective barrier of professionalism, making it more difficult to manage". The teaching profession at that time indicated an extreme need for more effective management and the need to strengthen appraisal procedures and processes was identified by successive Secretaries of State for Education and Science (Bell, 1988:4).

Bell (1988:4) further maintained that "appraisal of educators was a core issue in the process of educating children and managing schools to an extent that by 1983 Sir Keith Joseph proposed and further maintained that those managing schools have a clear responsibility to establish a policy for staff appraisal and development based on the assessment of every educator's performance". A statement in 1954 by Joseph, Minister of Education, in London about Appraisal of Educators, clearly indicated that every Local Education Authority (LEA) should have accurate information about each of its Educators and that such information should be based on, among other things, an assessment of the educator's classroom performance (Bell, 1988:4). This statement was reaffirmed a year later when the Secretary of State asserted that the LEA can only be satisfied that each school is properly staffed if it knows enough about the competences of the individual educators. Such knowledge could only come from some form of appraisal.

In 1985 the Secretary of State through the White Paper for Better Schools, gave notice that the State would seek new powers to ensure that appraisal schemes could be imposed on educators (Bell, 1988:4).

In Bell (1988) it is further explained that in 1986, Kenneth Baker, successor to Keith Joseph as Secretary of State for Education, piloted his new Education Act through Parliament. Contained within its strange miscellany of provisions was the enabling legislation to which his predecessor had referred. The legislation was embodied in The Education School Teachers Pay and Conditions of Employment Order 1987, which imposed for the first time, a clause about Head teachers who were expected to supervise and participate in any arrangements within an agreed national framework, for the appraisal of the performance of educators teaching in the school (Bell, 1988:4). These clauses for educators indicated that: “educators are to participate in any arrangements within an agreed national framework for the appraisal of one’s performance and that of other educators” (Bell, 1988:4).

The appraisal of educators in the 1970’s and 1980’s, according to research conducted, showed the advent of the process – pro-conduct research paradigm, which sought to identify teaching behaviours and classroom processes linked to learner achievements (Bell, 1988:4).

The major effect of the emphasis given to the process-product research paradigm during the 1970’s and 1980’s was a developing knowledge base about preferred criteria and procedures for developing an appropriate appraisal system for Educators. There was a shift in the thinking of local school districts about what was important to evaluate in teaching and how to conduct appraisal of Educators to gather data to make judgements about effective teaching. Considerable attention was given to revising evaluation instruments and procedures for making summative evaluations of educators to better align their content and focus with findings from the extant process-product literature

(Stronge, 1997:110). The Florida Performance Measurement System (FPMS) is probably the most prominent example of a system designed to rigidly reflect findings from the process-product literature and a philosophy of objectivism in educator appraisal (Stronge, 1997:110).

During the 1980's and 1990's a variety of issues pertaining to educator appraisal emerged. Concerns were as follows (Stronge, 1997:111):-

- ◆ High – versus low – inference criteria and evaluative judgements.
 - ◆ The length and number of observations needed to make reliable judgements.
 - ◆ The role of the observer/appraiser and the intrusiveness of observers.
 - ◆ The number of teaching behaviours and scoring criteria necessary and sufficient to make valid judgements about competence.
 - ◆ Who should evaluate?
 - ◆ How many observations should be completed?
 - ◆ The role of written lesson planning.
 - ◆ The relationship between formative and summative elements of the evaluation process.
 - ◆ Whether appraisal of educators should be announced, so that the system would reflect what educators are capable of doing, or unannounced, so the observer could obtain an indication of typical practice (“can do” versus “is doing” arguments)
 - ◆ Criterion – referenced versus norm – referenced appraisal of educators decision-making models.
 - ◆ Procedures for setting standards.
 - ◆ How data should be aggregated to make summative appraisal decisions.
 - ◆ The role of remediation and support for those failing to meet established standards.
 - ◆ The effect of assessment demand characteristics on score inflation.
- (Stronge, 1997:111)

The historical background of appraisal of Educators is indispensable in the process of developing educators, so the remaining question is: “*How should the appraisal of educators be managed and implemented to achieve the objectives set?*” This has been a crucial question through for decades.

It is necessary to have a closer look at what and how Appraisal of Educators has impacted in different countries throughout the world. Countries to cite are the United States of America, the United Kingdom and Australia.

2.2.1 Appraisal of Educators in the United States of America (USA)

The Appraisal of Educators in the USA is based on the history of supervision. While the term supervision may be open to varied interpretations, the general intent is for those outside the classroom to influence the actions of educators in particular ways (Gitlin and Smyth, 1989:9). In the USA supervision and educator appraisal were used interchangeably. The aim of supervision in USA schools since the nineteenth century has been to change educator behaviour in the direction deemed desirable by experts (Gitlin and Smyth, 1989:9).

According to the history of education in the USA, it is clear that the intention of the common schools in the nineteenth-century was to change the nature of society and that those who wore the label of “Supervisors” were the front-line evangelists in the process of appraising educators (Gitlin and Smyth, 1989:9). The data from the Annual Report of the Superintendent of Common Schools in the State of New York, 1845 summarized the sentiment of the superintendents that “... *without a good system of appraisal of educators in public schools, where each person had the opportunity to be what he or she could be, the performance of educators would degenerate*” (Gitlin and Smyth, 1989:9). The reports on educator appraisal by the supervisors in the USA led to the granting and withdrawing of educator certification. The supervisors operated intuitively as to

what they regarded as “effective” teaching and sought to enforce their own standards and beliefs about teaching. (Gitlin and Smyth, 1989: 9-10).

The Appraisal of Educators made superintendents gain autonomy for themselves and hence control over schools, which led directly to the search for scientific justifications (and hence the quest for indicators of “educator effectiveness”) to support the exercise of power and control. In schools the right to control teaching was, therefore, fought out at the supervisory level (Gitlin and Smyth, 1989:9). The Appraisal of Educators in the USA was based on efficiency in education. In Gitlin and Smyth (1989: 11) it was argued that appraisal of educators could also eliminate the incompetence of educators. The Appraisal of Educators demanded “unquestioned obedience” by Educators to the goals prescribed for them by wiser authorities than themselves outside the classroom situation (Gitlin and Smyth, 1989:9). Indeed, the need to tolerate any freedom at all for Educators was considered necessary only as long as it would solve the technical problem of fully prescribing what educators should do. The Appraisal of Educators’ work through the promulgation and enforcement of “standards” in the name of value-free “science” was to be the means of re-establishing an oligarchy over what was to count as knowledge about teaching. Through the use of indicators of efficiency and effectiveness the actions of supervisors could be linked directly with outcomes of schooling (Gitlin and Smyth, 1989:9). Effectiveness indicators would thus have substantial symbolic value in establishing the technical qualifications of administrators to manage the affairs of education. Of equal importance were the immediate practical consequences of control over entry into the classroom. Possession of a scientifically-derived set of educator qualities related systematically to effectiveness, would enable superintendents to decide on disinterested, rational grounds who would be appointed to teaching positions (Gitlin and Smyth, 1989:11).

Gitlin and Smyth (1989: 12) further explain that preoccupation with order, control and social efficiency was deeply embedded in the notions of scientific

management and, contrary to what is often thought, schools were not so much victims of business influence and pressure as they were exponents of business influence and pressure. Therefore appraisal of educators in the USA was partly intertwined with business influence and pressure (Gitlin and Smyth, 1989:12).

Despite the passage of more than a half-century, the USA still seems not to have been able to sever the connection between appraisal of educators and the industrial/managerial model with which it has been so closely affiliated. To an extent it was further commented by Baker in Gitlin and Smyth (1989:2), that the terms about appraisal of educators might change but the connection was the same. The language of the appraisal of educators had the appearance of being objective, rational, scientific and value-free. It was, of course, nothing of the kind. Each statement about the appraisal of educators was intertwined with values related to efficiency, productivity and what some people regard as politically and administratively important. The appraisal of educators in the USA never considered that educators are a group of people in a systematic manipulative way whilst the business sector, which put more pressure on the appraisal of educators, was another group of people, who use technology and knowledge to do things for efficiency (Gitlin and Smyth, 1989:12).

2.2.2 Appraisal of Educators in the United Kingdom

The English experience is informative as well. The beginning of appraisal of educators in Britain in the nineteenth-century was the social agenda behind what was being attempted: the appraisal of educators was an instrument for limiting social class mobility. The situation might have existed in USA and Australia too, but it has certainly been exposed to a greater extent by British writers (Gitlin and Smyth, 1989:12). In describing the nineteenth-century origins of appraisal of educators in Britain, other educationists show how British schooling had a longstanding concern about teacher quality and competence, especially insofar as educators of urban working class learners were concerned. Educationists

claim that the question of what constituted a “trustworthy” educator was inextricably bound up with a particular view of the religious and moral character of the educator (Gitlin and Smyth, 1989:12-13).

According to Gitlin and Smyth (1989:13), appraisal of educators in Britain was based on screening educators who were about to enter teaching was one way of ensuring the achievement of these social objectives. Ideological reliability was measured according to educators’ ability to exercise management, maintain discipline and achieve order in their classrooms. Coincidentally the needs of industry for docile subservient workers occurred at a time in which educator competence was judged in terms of the ability of the teacher to dominate and subjugate learners through obedience, hierarchy and the establishment of respect. Gitlin and Smyth, (1989:13) further explained that given the tenor of the times, it seemed that the intent behind the forms of appraisal of educators that existed in Britain was dictated largely by the demand to impose an extensive network of controls over educators. During that time educational historians tended to miss the significance of the political sociology behind the measures in which “... control over the teaching profession was achieved by three phases of teacher-training and by extended financial support” (Gitlin and Smyth, 1989:13). The first phase was a system of apprenticeship in which the school itself was inspected and assessed as to its suitability in terms of its management, instruction, curriculum and finances. The intent was to ascertain the “educator’s ability to act as a guide and an example in the formation of the character of the apprentice” (Gitlin and Smyth, 1989:13). Once satisfactory apprenticeship arrangements had been made and the necessary moral allegiances extracted from both the learner and the “educator”, the apprentice became “a paid dependent of the Department”. Annual inspections ensured that the necessary levels of diligence by educator and trainee were observed. There was also the continual threat of withdrawal of financial aid to the educator and the possible blacklisting of both school and educator (Gitlin and Smyth, 1989:13).

In the second stage the trainee educator was required to pass a competitive public examination, the outcome of which determined whether he/she was able to undertake a two-year course at an “inspected training college”. The award of a certification of merit at the conclusion was linked to starting salary and future financial rewards conditional upon inspected performance (Gitlin and Smyth, 1989:13).

In the final stage, even retirement and the attainment of a pension were determined by inspection and conditional upon an educator having “taught at an inspected school for at least seven years”, as well as being deemed to be a worthy character in an efficient school (Gitlin and Smyth, 1989:13).

British educators deemed to be “good” at their job were not only engaged in a process of achieving strict classroom order, but they were unwittingly caught up in a process of wider structural significance. They were “crucially engaged in the production of the conditions for socio-political order in which appraisal of educators served two purposes.” On the one hand, it ensured a form of technical control consistent with a particular ordered view of teaching (Gitlin and Smyth, 1989:13). At the same time, appraisal of educators was also ensuring that the kind of learners emerging from schools would be “acceptable” to the new emerging forms of industrialization.

Educators did not simply accept these purposes; they acted against them. In the British scene, even in the most apparently oppressive of circumstances, oppositional forces were at work. There were claims that within the light control exercised through the inspectorate, there was not a total hegemony: “There were spaces, there were contradictions and there were resistance.” The paradox was that, even with the screening devices and the surveillance apparatus that existed, schooling in Britain had somehow “... developed its own dynamic which had never been intended for working class schooling” (Gitlin and Smyth, 1989:14). There were real and justified fears at the time that working class schooling,

ostensibly established to create factory labour, had begun to get out of control. There was a concern that public schooling for the masses might actually surpass the quality of that provided by middle class private schools and bring about an inversion of the social order. Some educationists claim that it was educators themselves who were largely responsible for the fear prevailing. Not only were educators being provided with a college education, but they "... had become interested in the novel and the unusual and were neglecting the basics of instruction" (Gitlin and Smyth, 1989:14-15).

According to Gitlin and Smyth (1989:15) British Educators struggled to be appraised as "professionals and not as pedagogic technicians". Educators were beginning to claim the right to be appraised on the basis of "... intelligent and humane teaching as well as mechanical teaching". A paradox somewhat emerged, that is the acquiescence of the state in the new thrust by educators for autonomy. The paradox was only explained by reference to complex political factors, at the core of which was the fear of socialism. It was deemed more prudent to allow educators to pursue educators' notions of "detached professionalism" than perhaps form dangerous political alliances (Gitlin and Smyth, 1989:15). By legitimating the notion of educator professionalism along non-political lines, authorities established a new form of leverage over educators. A double and interesting paradox once more emerged: "On the one hand, schools had been created to produce a docile and subservient workforce, with educators appraised according to their capacity to establish and maintain order and control in their didactical situations. On the other hand, the struggles by educators for autonomy and the threat that an otherwise docile workforce might from socialist alliances resulted in the state capitulating." In a quite unexpected way, educators had their contradictory roles as workers and as professionals resolved. Educators had been bought off, but at the cost of being silenced by their own claims and aspirations for professional status (Gitlin and Smyth, 1989:15).

Times have indeed changed; a decade or so ago schools were in a situation of healthy growth; in the United Kingdom (UK) schools were in a situation of rapid decline. Schools were observed as failing societies and the economy was based more on prejudice than on evidence. The creation of the British Assessment of Performance Unit was evidence of the centralist thrust by conservative governments towards mechanisms that pursue the value-for-money philosophy related to schools (Gitlin and Smyth, 1989:15).

The appraisal of educators in the United Kingdom moved away from the 1970's notion of schools having a good deal of power over monitoring their own performance, to a situation in the 1980's in which the focus of responsibility had been squarely shifted onto individual educators (Gitlin and Smyth, 1989:15).

In 1980, the Education Act (Gitlin and Smyth,1989:15) made provision for the introduction of a "national system of appraisal of Educators should the LEAs (Local Education Authorities) fail to deliver satisfactory schemes." The British system of educator appraisal seemed to be a complex mix of power in the hands of the central Department of Education and Science (and the government generally), LEAs and educators, with neither side having total control (Gitlin and Smyth, 1989:15). The most challenging was that employers have not simply been able to impose their preferred form of appraisal. Even educators have been unable to fully assert professional independence and peer control. The claims that allowed the battle lines to be drawn exclusively between educators and the government over educator appraisal led to controversies and the most significant fundamental point about educator appraisal was missed (Gitlin and Smyth, 1989 : 15-16).

During the 1980's, the introduction of a national system of educator appraisal to be implemented in the UK was used as a way by which teacher unions could brand the government as "the enemy" and to deny the ways in which " the foundations of formal appraisal are being laid in the subtle transformations of

power relations taking place day by day in their own classroom(s) and school(s).” In the 1980’s it was important to realize that the thinking that lies behind hierarchical forms of educator appraisal was alive and thriving in the UK. This was also reported by the Secretary of State for Education in the Joseph’s Report in 1983 (Gitlin and Smyth, 1989:16).

Gunter (1996:90) maintains that the study and practice of educator appraisal has been the focus of complex research networks in England from the 1980’s onwards. Interest in formal educator appraisal can be traced back to the mid 1970’s, but it was not until 1983 that the Government, in a move to encourage greater accountability in the education service, stated its belief that: “... those responsible for managing the school educator force have a clear responsibility to establish, in consultation with their educators, a policy for educator deployment and training based on a systematic assessment of every educator’s performance and related to their policy for the school curriculum”. Jones (1993) cites the White Paper further asserting that: “... employers can manage their educator force effectively only if they have accurate knowledge of each educator’s performance”.

The Government believes that for this purpose formal assessment of an educator’s performance is necessary and should be based on classroom visiting by the educator’s headmaster or heads of department and an appraisal of learners’ work and of the educator’s contribution to the life of the school.

The notion clearly indicates its intention to introduce appraisal by stating: “... that the regular and formal appraisal of the performance of all educators is necessary if Local Education Authorities (LEAs) are to have reliable, comprehensive and up-to-date information necessary for the systematic and effective provision of professional support and development and the deployment of staff to the best advantage ...”. Taken together, the decisions must result in improved deployment and distribution of the talent within the teaching force, with all

Educators being helped to respond to changing demands and to realise their full professional potential by developing their strengths and improving upon their weaknesses ... a continuous and systematic process intended to help individual educators with their professional development and career planning and to help ensure that the in-service training and deployment of educators matches the complementary needs of individual educators and schools (Jones, 1993:3-4).

The Education (School Teacher Appraisal) Regulations of 1991 which came into force on 14 August 1991 together with the Department of Education and Science (Dec Circular 12/91) School Teacher Appraisal sets out the framework and the National Association of Head Teachers (NAHT) Document entitled Appraisal in Schools (Pipes, 1997 : 27-01).

In September 1992 the first cycle should have commenced and it was expected that all educators would have been appraised not later than September 1994.

Barber, Evans and Johnson (1995:24) found that some benefits had been made in terms of improved management of schools and the professional development of staff. The benefits were limited to the minority of institutions. There were widespread concerns regarding the general quality of appraisals and their effectiveness. For the vast majority of schools appraisal had not become integrated into the whole school planning process (Barber *et.al.* 1995:24).

In part these concerns were put down to initial teething problems due to lack of experience in conducting appraisals. Barber *et al.* (1995) felt that appraisal was suffering from “implementation dip” as other pressures and initiatives took priority. Barber *et al.* 1995 suggested that if appraisal were linked more closely to the Office for Standards in Education (OFSTED) process, then it could be more effectively used within the whole school development process.

Wragg, Wikeley, Wragg and Haynes, (1996:28) saw what they called a moderate success of appraisal in terms of relationships amongst educators. The disappointingly low effect on classroom practice, which they found, may have been due to the fact that the process was in its infancy and would take time to filter through. The overwhelming majority of educators saw the process as professional development and opposed linking appraisal with pay and/or promotion. Wragg *et al.* (1996) further felt that there was a difference between an OFSTED inspection, which was external and threatening, and appraisal which was seen as collegiate. Attempts to get more from the process for management information by adopting a hard line approach were seen as being of little use, and if anything, counterproductive in terms of the gains which had already been made.

Chris Woodhead, Chief Inspector of Schools, also suggested the need for a radical overhaul of the appraised process. He saw the confidentiality of the process as a problem and was looking to: "... a system whereby staff appraisal feeds continuously into the school's internal management system for identifying strengths and weaknesses. Educators would become more accountable to their 'line managers'. They would be set targets and told that by the time of the next appraisal they should show evidence of progress" (Blandford, 2000:322).

Blandford (2000:322) further noted that the Office for Standards in Education (OFSTED) report on appraisal (OFSTED, 1996) identified a poor link between appraisal pay and/or promotion. If the system was strengthened in these ways management systems would be improved: "external inspections would then become less frequent checks on how the internal system of accountability was operating" (Blandford, 2000:323).

In June 1996 the Teacher Training Agency (TTA) and OFSTED released their joint review of educator appraisal (TTA and OFSTED, 1996). The report did note the strengths of appraisal when it was working effectively. However, it stated that

these were not often seen in practice. The review revealed “key” weaknesses which existed in many schools (Blandford, 2000:323). These involved lack of rigour in the whole process which was shown by poor target setting, the line manager not being the appraiser, the process being too protracted, not fitting into school training and development plans, and the two-yearly cycle being incongruous with management planning. It was increasingly apparent that the appraisal process had collapsed in many schools (Blandford, 2000:324).

The review proposed that appraisal should be integrated with the other management processes and information systems directed at school improvement. The appraisal process should address how well educators were performing and what would be needed to assist their future professional development. The appraisal of educators should encourage, recognise and value good work whilst addressing any weaknesses with suggestions for future action (Blandford, 2000:324).

Bartlett (2000:5-7) agreed that the joint review of 1996 saw appraisal as becoming part of “an effective system for managing performance”. In this way it should be grounded in the regular monitoring and improvement of educators’ effectiveness in the classroom. Transparency was to replace confidentiality. Roles should be clear, with performance standards and success criteria stated. Targets should:

- Require educators to focus sharply on their effectiveness in the classroom;
- taking account of inspection findings or other key performance indicators.

It is symptomatic that much of the literature on educator appraisal has emphasised the setting up of systems, creation of documentation and emphasis on the appropriate interpersonal skills and on the resolution of existing tensions and conflicts, rather than exploiting strategies for implementing and managing the process of appraisal of educators. The task of the real process of appraisal of

educators for development was obviously overlooked in several ways (Davies, Ellison, Osborne and West-Burnham, 1990:107).

2.2.3 Appraisal of Educators in Australia

Gitlin and Smyth (1989:17) maintain that, in Australia, the beginnings of appraisal of educators were inextricably associated with the struggle over who had the right to establish and maintain schools – Church or State? The battle was fought out in terms of the capacity of each to control and standardize the work of Educators and hence remove it from those considered ill-suited to educate the young. Some educationists have noted that, early Australian educators were: “... with very rare exceptions, vulgar, illiterate, Scottish adventurers; the refuse and insolvent outcasts of some trade or mechanical occupation.” The church and the clergy established schools in Australia, close supervision and control were deemed necessary because educators were: “... persons of the most worthless character who had formerly been convicts and who were notorious drunkards”. The development of centralized government systems of education meant that there must be a substitution of one form of control over educators by another (Gitlin and Smyth, 1989:17).

In the quest for efficiency, inspectors filled an important role as economic watchdogs in nineteenth-century Australian schooling (Gitlin and Smyth, 1989:17). Appraisal of educators in Australia at that time was an example of scientific management and bureaucratic control as its autocratic best (Gitlin and Smyth, 1989:17). The drive for efficiency was attributable, in part, to the attempt by the State to legitimate its right to be the “proper” provider of education in the face of continuing hostility by the Church to maintain what it saw as its traditional prerogative.

In Gitlin and Smyth (1989:17), William Watkins, a key government educational figure in the nineteenth century, was instrumental in the attempt to standardize all teaching procedures. By laying down “... methods of instruction, methods of

inspection, classification of educators, classification of learners ...” with a single document (the Table of Minimum Attainments), William Wilkins dispensed with the educator’s individual judgement. Other educationists were convinced that the role of inspectors in the process of appraising educators was indisputably that of judgement (and judgement of a particular kind): “The quest for efficiency grew to dominate all other educational concerns. Inspectors of schools were set the task of testing school children’s proficiency and recording the numbers of learners who reached the laid down standards in the Table of Minimum Attainments. On the basis of the Table of Minimum Attainments, the efficiency of Educators was then judged (Gitlin and Smyth, 1989:18).

Gitlin and Smyth (1989) further expound that in the state of Victoria, the purpose of inspectors was even more clearly articulated: it was to regulate and police the system of “payment by results”. In the form in which the system of “payment by results” had been introduced from England into Victoria in the mid nineteenth-century (and later into South Australia and Western Australia), Educators were paid a basic salary plus additional emoluments for the performance of the learners in standard examinations, on the regularity of school attendance (which was regarded as an index of effective teaching), and general teaching and administrative competence (Gitlin and Smyth, 1989:18). Even the parliamentary debates of 1867 indicated that educators were paid an additional eight shillings for each learner who passed the examination in basic literacy and numeracy and an extra four shillings for each who passed in grammar and geography. Even though inspectors were counselled to give the appearance of enlightenment and humanise, in practical terms it often proved impossible for them to clog over the paternalistic and dominant social relationships that existed (Gitlin and Smyth, 1989:18). The Board of Education’s advice to inspectors in Victoria in the latter part of the nineteenth-century was that inspectors were expected to treat educators with the utmost kindness and respect, counselling them privately on whatever the inspector might deem defective or faulty, but by no means addressing educators authoritatively or animadverting on their conduct in the

hearing of learners. Inspectors were also expected to exhibit a considerate and affectionate manner, carefully guarding against peevishness, harshness or abruptness in their communication with learners. In most cases the superficial pleasantries were discarded and the power relationship could be seen in fairly blatant ways: “The inspector came into a school without bidding the educator good day or good morning and as for shaking hands, the inspector would not defile his aristocratic paws by bringing them into contact with the digits of a school master (Gitlin and Smyth, 1989 :18).

The literature of the nineteenth century (and even later) indicated that it was difficult for many inspectors to avoid a ruthless, capricious and arbitrary performance of their duties. The “head hunter” image was widespread and acknowledged by various educationists: Educationists were saddled with an image of a faultfinding examiner, a conservative keeper of standards and a preserver of the status quo. For the early inspector, discipline and order were the supreme virtues (Gitlin and Smyth, 1989:18). The inspection became an almost unbearable authoritarian inquisition, with educators sacrificed on the altar of efficiency. In many ways, the school inspectors of the past earned much of the opprobrium which was heaped upon their name (Gitlin and Smyth, 1989:18).

Gitlin and Smyth (1989:19) further expound that there was more to appraisal of Educators during the 1970’s and 1980’s than just the image of the inspector. Australian school inspectors were the victims of history and the impression was given that methods of appraisal of educators by inspectors can simply be written-off as the result of the personalities and attitudes of individuals taking advantage of an authoritarian system. Authoritarianism was created out of the system of educator appraisal. The system of appraising educators was seen as enforcing social control over learners. The problem of authoritarianism was one of “... role and structure not ‘personality’ and ‘attitudes’ The state established and maintained the right to determine and control the nature and content of schooling bureaucratically, under the guise of economic efficiency”. Through this system

the “ends” of schooling were regarded as impersonal, indisputable and unproblematic. Appraisal of educators in Australia remained a question of “*How to find more efficient technical ways of ensuring that the work of educators measured up to pre-determined goals*” (Gitlin and Smyth, 1989:19).

The focus of Australian discussions about the early history of educator appraisal, was that the system tended to pay attention to the person of the inspector and the “ogre-like or messiah-like” personal qualities of the individuals. The discussions about the appraisal of educators in Australia ended up mythologizing the act of appraising educators and, in so doing, obscured the exploitative and dehumanising set of bureaucratic relationships that adhered to the system of inspection (Gitlin and Smyth, 1989:19).

Gitlin and Smyth (1989) maintained that trivializing the work of inspectors in terms of humourless endeavours and hilarious consequences was to turn attention away from serious enquiry into the macabre social circumstances that led to the creation of such processes in the first place. Inspectors were enabled to become the unquestioned definers and arbiters of “pedagogic excellence”, and the strategies for appraising educators were resisted. Like any other imposed “system” there were creaks and crevices to be exploited through forms of resistance. Inspectors found it difficult to escape their faultfinding role; educators had ways of subverting the imposed forms of domination (Gitlin and Smyth, 1989:19). The resistance manifested in several ways, as indicated by other educationists: “attendance rolls could be falsified, children’s ages misreported, talented learners with infectious diseases kept at school, backward children discouraged from attending and copies of inspector’s questions passed quickly ahead from school to school. The educator was fighting for his/her livelihood and could only hate the person who had the power, on a brief annual visit” (Gitlin and Smyth, 1989:20).

In 1985, moves by the Government of New South Wales to re-arm the inspectorate as part of a push for “teacher efficiency” were met by such vigorous resistance from the teacher unions about its misreading of the situation, that it had to withdraw the proposals. The punitive measures designed to eliminate “inefficient teachers” were widely acknowledged to be educationally unsound in that they sought to destroy good existing relationships at the school level; were seen as nothing more than a cynical attempt to reconstruct hierarchies; were viewed as trying to shift onto individuals responsibility for problems that were those of the education system, and were regarded as being destined seriously to undermine the credibility and status of Educators. In terms of an in-service programme, there was always a lack of funds to develop educators (Gitlin and Smyth, 1989:18).

The role of the inspector in appraisal of educators has diminished (but not disappeared) in Australia. There was still a limited role for promotional purposes and the prospect always existed for the revival of their economic watchdog function (Gitlin and Smyth, 1989:19).

New South Wales had procedures to determine annually the “fitness” of educators to teach; probationary educators were assessed by the principal; educators who were candidates for promotion were reported upon by inspectors, with all other educators being ranked by the principals as “efficient” (on a Teacher Assessment Review Schedule) or “unsatisfactory” (in which case a further assessment was made by an inspector) (Gitlin and Smyth, 1989:20).

In (Gitlin and Smyth, 1989:20), since 1970 there had been no “inspections” in Victorian Secondary schools, largely because of a dismantling of the system that existed. The dismantling was subject to an extensive programme of militant action which educators had embarked on, in the late 1960’s. Review on a cyclical basis was conducted in primary schools, with assessment for permanency (usually at the end of the first year of teaching) being conducted by

the principal. In Victoria evaluation for promotional purposes took the form of Educators presenting a case (through interview and based on the presentation of documentary evidence). The appraisal of educators in Victorian Schools was conducted by locally constituted panels comprising educators, parents, teacher unionists, principals and representatives of the Education Department. Separate procedures existed for principals to use in cases of incompetence or improper conduct. The external inspectorial role also disappeared from South Australia, with evaluation procedures remaining the responsibility of the principal and with the Director General of Education having the power to order an evaluation of an entire school if necessary. In Australian state, moves however, were in the direction of re-arming superintendents as “quality controllers” to conduct “educational audits” and establish “quality assurance schemes” based upon individually developed “school achievement plans” (Gitlin and Smyth, 1989:20).

The contemporary scene in Australia led to fashionable rhetoric being used as a smokescreen for the extensive re-introduction of a hierarchical form of educator appraisals under the rubric of “monitoring school performance”. In the guise of a benign form of management aimed at serving the corporate interests of the educational bureaucracy, schools and the community are being sold the idea that “comprehensive performance indicator frameworks”, against which there can be a “close tracking of costs, and the routine association of data on inputs, processes and outputs was the way to ensure efficiency and effectiveness in schools” (Gitlin and Smyth, 1989:20).

Authorities in Victoria and other states favoured a naïve process of re-arming an allegedly apolitical inspectorate (in what is a highly charged political environment) in a move that was supposedly designed to “inspire public confidence” in schools (State Board of Education in 1987), while winning over Educators because it would be “close to practice”. Behind all of the planning was a not so subtle corporate budgeting process, borrowed directly from industry and used unashamedly as a way of checking up on the efficiency and effectiveness of

schools and educators. The process, which was followed by the authorities, reflected the level of unreality that had begun to permeate official educational thinking in at least some quarters in Australia. Most educationists indicated that dominant forms of Educator appraisal failed to produce anything meaningful in the past (Gitlin and Smyth, 1989:20).

2.3 DEVELOPMENTAL APPRAISAL FOR EDUCATORS DURING PRE-DEMOCRATIC ERA

Structural arrangements through which educator appraisal was conducted in South Africa, directly reflect the fragmented nature of educational governance. It was more appropriate to talk of systems and structures since there was no necessary uniformity across all departments Chetty, Chisholm, Gardiner Magau and Vinjevold, 1993:3). There were nineteen education departments in South Africa, each with its own peculiarities. The experience of educators within these departments could therefore be expected to differ, as would the issues they consider to be most pressing (Chetty, et al, 1993:3).

There was nonetheless a degree of articulation built into the existing structure, as in the case of the relationship between the Department of Education and Training (DET) and homelands departments. One consequence of this was that policy in departments of the Self-Governing Territories (SGTS), were often linked to the DET. At an example in the area of subject advisory services, representatives from the SGTS attended committee meetings convened by the DET in Pretoria and meetings convened by anyone of the departments in the six territories (Chetty, *et. al.*1993:4).

During the Apartheid era the appraisal system involved an inspectorate, which was primarily concerned with and divided into management functions and subject advisory services, which functioned under the rubric of “educator guidance” (Chetty, *et. al.*1993:4) The relationship between management functions and

subject advisory services, varied considerably and sometimes, even within departments. Typically for South Africa, the departments with the highest numbers of poorly qualified educators have the lowest numbers in supervisory and advisory staff because of their constrained resources (Chetty, 1993:4). Subject specialists in the Department of Education were concentrated in only a few subjects and focused on secondary schools. Despite expansion in the numbers of subject advisors, they still played a limited role in the appraisal of educators (Chetty, *et al.* 1993:4).

The uneven history and development of the relationship between management and advisory services in the different departments had an impact on the functioning of all the components of the system (Chetty, *et al* 1993:4).

In Chetty *et al* (1993:5) it is further maintained that in the House of Delegates a distinction was made between the advisory and management sections of the inspectorate. At the lower end of the hierarchy academic superintendents performed both advisory and inspectoral functions. This meant that a subject specialist who should be working in an advisory capacity was also required to judge the managerial competence of educators applications for promotion. In effect, a mathematics educator might be evaluated for promotion by superintendents for English and Biology. The logic was that the educator's competence in Mathematics was only one part of the assessment. It points to confusion of role definition, a problem that was not unique to this department. educator organisations were especially critical of the dual role of appraisers and have called for separations of the two (Chetty, *et al.*1993:5).

In the DET, the educator appraisal issue was compounded by additional problems. First, head of departments were expected to evaluate educators. Inspectors were to monitor the submissions of the evaluations, but there were no formal links between subject advisors and circuit inspectors. The process gave

rise to a wide variety of difficulties, in particular a judgemental rather than developmental emphasis in the system as a whole (Chetty, *et al.* 1993:5).

In white education, the pattern at the provincial level was not uniform, but the system was a well-developed one which appeared to integrate advisory services with educator development successfully (Chetty, *et al.*1993:5).

In the Cape Education Department, for example educator appraisal fell under the Chief Directorate of Personnel and Training and the Sub-directorate of educational Guidance Service. The Directorate was responsible for six regions, which comprised roughly six circuits each. In each directorate, six to eight superintendents were usually responsible for both managerial and advisory functions. The staff superintendents also included two members with specific responsibility for primary education (Chetty,*et al.*1993:5)

The “trust” vested upon superintendents by the Department of Education for implementing supervisory services led to serious problems between the educators and the superintendents. The advisory functions carried out were at the circuit level and regional level. They were well integrated with In-service-training through seven educator centres (Chetty,*et al.* 1993:5)

Chetty *et al* (1993:6-7) maintain that the main object of educator evaluation was shown in the forms used in DET schools; the forms were meant for monitoring and surveillance and not developmental. Evaluations were done on the basis of checklists with predefined criteria, which were intended as an indicator of effective teaching performance. The criteria were wide open to abuse and the procedure itself was seriously flawed (Chetty, *et al.* 1993:6)

Evaluation forms made no provision for consideration of contextual factors that might influence a teacher’s performance. Ignoring contextual factors was evident in the probationers’ report which the principal completed after the first three

months in the large majority of African schools. These were usually months when learners were registered and accommodation crises were most urgently felt. The majority of schools were mostly not yet settled, and yet information was required about the volume of written undertakings by learners. The personal appearance of the probationers, neatness of school grounds, submission of returns and keeping of registers, adjustment to school activity, success in teaching learners, use of intoxicating liquor, late coming, absenteeism, etc. Principals were instructed, “to bring cases of maladjusted educators ... to the notice of the Regional Director/Secretary without delay” (Chetty, *et al.* (1993) Unfortunately, the characteristics of a “maladjusted teacher” were not spelt out (Chetty *et al.*, 1993: 7).

Chetty *et al.* (1993:7) further expounded that the checklist used for promotion mostly revealed prejudice because the contextual factors were not considered. The Educator played no active role in the setting of criteria. The criteria demonstrating “personality and character traits” and “professional disposition” suggest that the aim was to assess the loyalty and submission of educators to the DET. Educators’ religious and professional affiliations, whether they read official publications and whether they belonged to official bodies or not, was information which had little, if any, relevance to educator development that was the essential part of the assessment (Chetty, *et al.* 1993:7).

The instruments of appraisal of educators, that is the forms and the record book, had become synonymous with maladministration for many educators. In the actual sense forms by themselves were not the problem factor, except for a few questions in the form because the use of forms in other systems, locally and abroad, was accepted as legitimate and effective (Chetty, *et al.*1993:7). Other departments within the system opted for interviews as a supplement. The instruments used in the process of educators’ appraisal were one part of the whole range of procedures through which an educator was appraised. The number of flaws within the process of educator appraisal led to the demand that

the instrument for educator appraisal as a matter of principle should be negotiated and be appropriate to the needs of educators (Chetty, *et al*, 1993:7).

In the mid eighties and early nineties a number of different progressive teacher unions embarked on a defiance campaign to break the cycles of cohesive harassment and policing. The campaign focused on the exclusion of members of the inspectorate and subject advisory services from having access to schools to conduct classroom visits for appraisal. (Chetty, *et al*. 1993:7). By 1993 educator unions and 19 Departments of Education in South Africa were involved in negotiations about the principles, processes and procedures for the development of an appraisal system that would be transparent and considering contextual factors in the teaching process (SADTU, 1999:4).

2.4 DEVELOPMENTAL APPRAISAL FOR EDUCATORS – POST APARTHEID ERA

In April 1994, the first Democratic elections of South Africa paved the way towards unifying the 19 (nineteen) Departments of Education. A single Department of Education for all races was established (Department of Education, 1998: 7).

In 1996 the Education Labour Relations Council (ELRC) commissioned the University of the Witwatersrand Education Policy Unit (EPU) to develop appraisal criteria for educators at all post levels. A first draft was circulated and debated amongst the state departments and the unions until consensus was reached in December 1997 (Barasa and Mattson, 1998: 56).

On 28 July 1998 parties to the ELRC, namely the Department of Education and the three national teacher unions (South African Democratic Teachers Union – SADTU, National Professional Teachers Organisation of South Africa – NAPTOSA and Suid-Afrikaanse Onderwys Unie – SAOU), signed resolution 4 of

1998 and the final draft of the manual for developmental appraisal was expected to officially come into operation in 1999 (Cape Teachers Professional Association, 1999:9-10).

The Resolution no. 4 of 1998 adopted by the Department of Education and the three national unions (SADTU, NAPTOSA and SAOU) set out a list of criteria (core, optional and additional) for the following levels:-

- Post Level 1 educator;
- Head of Departments;
- Deputy Principal/Principal; and
- Office Based educators.

Standards were set to apply to all educators involved in the process of teaching and learning as follows:-

1. Planning and preparation;
2. Lesson presentation and management;
3. Creation of a conducive learning environment;
4. Classroom management;
5. Assessing learners' progress;
6. Curriculum development and delivery;
7. Development of learning field competency;
8. Professional development in the field of work/career and participation in professional bodies;
9. Human relations;
10. Contribution to school development (Department of Education, 1999d:13).

In terms of Management and Support functions applying to educators, educators on different levels were to be evaluated in terms of job descriptions. The functions were as follows:-

1. Administration;
2. Personnel;
3. Leadership;
4. Communication;
5. Decision making and accountability;
6. Servicing the Governing Body;
7. Strategic Planning and Transformation;
8. Financial Planning and Management;
9. Educational Management Development (EMD);
10. Programmes for appraisal of educators (Department of Education, 1999d:13).

The extra-curricular and co-curricular activities were also to be evaluated in the process of the appraisal of educators (Department of Education, 1999d:13).

Necessary structures were established, namely the provincial Appraisal Team (PAT), Regional/District Appraisal Team (R/DAT) and later the Staff Developmental Teams (SDTS) (Cape Teachers' Professional Association, 1999: 10).

A "Training the Trainer" workshop commenced, with the NAT (National Appraisal Team) training provincial teams. The process was completed by the end of September 1998. Unfortunately, not much progress was made beyond that point due to the pressure of final examinations and other logistical problems (Cape Teachers' Professional Association, 1999: 10).

Resolution no. 4 1998 of the ELRC also stated that, in addition to members from the employer party, the National Appraisal Task Team would include one representative from each of the employee parties to the Council, that is SADTU,

NAPTOSA and SAOU. It was also agreed that the costs of secondment would be met by the employer (Cape Teachers' Professional Association, 1999:10).

In essence all the necessary structures have been put in place for a transparent process to take its own course. The adoption of a Developmental Appraisal system for all South African schools has indicated a beginning of the process that will be developmental, transparent and prepared to eradicate the inequities in education. Developmental appraisal will promote the principles of democracy, accountability and inductivity in education (Cape Teachers' Professional Association, 1999:11).

The historical background of appraisal of educators from various countries indicates a problem concerning appraising educators and for developmental purposes over decades. It also indicates the extreme need for strategies to be explored for ensuring a proper implementation and management of the process of appraisal of professionalism education..

2.5 THE BENEFITS OF DEVELOPMENTAL APPRAISAL FOR EDUCATORS

Developmental Appraisal for Educators should be regarded as a formal mechanism for activating a coherent educator development policy. It is the pivot around which a number of essential educator development components revolve. Regulations 1991, which came into force on 14 August 1991, together with the DES Circular 12/91, School Educator Appraisal, state that the aims of Developmental Appraisal for Educators are as follows:- (Pipes, 1997:2.7-02)

- to assist educators in their professional development and career planning;
- to assist those responsible for decision taking about the management of educators.

Additionally, to improve the quality of education for learners, by assisting educators to realise their potential and to carry out their duties more effectively.

- to develop and enforce that which is good in a school.

Furthermore, to recognise the achievements of individual educators and help educators to identify ways of improving their skills and performance:

- to help educators, governing bodies and the Local Education Authority (LEA) to determine whether a change of duties might assist in the professional development of educators and improve their career prospects.
- to identify the potential of educators for career development and to help where possible by in-service training (Pipes,2.7-04).

In addition, to help educators having difficulty with performance by appropriate counselling, guidance and training.

Moreover, to inform those responsible for providing references for educators in respect of appointments and to improve the management of schools. (Pipes 1997 : 2.7-01 - 2.7-05).

Pipes views are further expounded in the Manual for Developmental Appraisal, (1998:3), "The aim of developmental appraisal is to facilitate the personal and professional development of educators in order to improve the quality of teaching practice and education management."

The central purpose of appraisal is to improve the quality of education for learners by:-

- recognising the achievements of educators and enhancing their performance;
- managing the deployment of educators;
- linking career development to in-service training;
- supporting educators through guidance and counselling;

- providing data for references;
- improving the management of schools. (West-Burnham, 1993:4).

Hewton, (1990:29) indicates that various writers suggested the following statements as the main purposes of Developmental Appraisal for Educators:-

- checking and monitoring educator performance;
- providing profiles of staff for the record;
- allocating rewards through salary adjustments and promotions;
- planning future staffing requirements;
- assessing the potential of individuals;
- providing information on unsatisfactory Educators;
- ensuring improved standards in the classroom;
- making educators properly accountable;
- improving managers' knowledge of their staff;
- identifying educators' development needs;
- the opportunity for educators for making their views known on matters of concern;
- an opportunity to praise educators to make their views known on matters of concern;
- an opportunity to praise staff for their performance;
- as an aid to writing references;
- to set targets for the coming year;
- to identify problems shared by the educator and the school.

The benefits of Developmental Appraisal for Educators are further observed by Jones (1993:7) as follows:-

- recognition of effective practice;
- greater clarity of role;
- improved feedback on performance;
- a more open working environment;
- better understanding of the requirements of the job;

- an opportunity to influence policy;
- a more systematic analysis of training and development needs;
- greater accuracy of references;
- greater awareness of career development factors;
- support in work-related issues;
- improved job satisfaction.

Steyn, (2001:15) maintains that Developmental Appraisal for Educators provides more accurate information about teacher performance:-

- a more purposeful organisation;
- clear lines of responsibility and communication;
- improved management;
- a more open ethos and a more supportive environment;
- a better informed school;
- improved staff morale;
- enrichment for pupils.

Fisher (1996:11) maintains that benefits of Developmental Appraisal for Educators outweigh the shortcomings of Developmental Appraisal for Educators.

The benefits are as follows:-

- to review past performance;
- to assess training needs;
- to help develop individuals;
- to audit the skills within the school;
- to set targets for future performance;
- to identify potential for promotion.

Sikosana (2001: 6), asserts that appraisal of educators will benefit the educators in various ways such as:-

- identification of potential with a view to better utilization;
- identification of shortcomings with a view to corrective actions;

- better decisions on salaries as well as incentive compensation;
- encouragement of educators to reach a higher level of productivity;
- promotion of communication between appraisers and appraisees;
- determination of training needs;
- recognition to the educator for achievement;
- improvement of the morale of educators;
- screening of movement into and out of position;
- personnel development;
- attitude of the subordinate towards his/her work;
- a criterion for the appraisal of management systems.

Dunham (1995:101), observed the following benefits from the Developmental Appraisal for Educators:-

- identifying skills in others absent in themselves;
- becoming aware of pressures faced by educators in other subjects;
- becoming aware of the change in learners' attitudes to subjects;
- being able to offer and accept advice from colleagues in a non-critical atmosphere;
- having a feeling that others are interested in one's work;
- the development of respect, confidence and trust in one another's views and feeling related to their school work.

Blandford (1997:194) and Blandford, (2000:144), stipulate aims and purposes of Developmental Appraisal for Educators as follows:-

- to motivate and develop individuals ... appraisal is not judgemental, but an audit or an evaluation leading to performance-related rewards or sanctions;
- to enhance performance. An outcome of the appraisal process should be an action plan which identifies specific targets and training needs. Appraisal is a development process.

Roos (1997:90) cites the benefits and importance of Developmental Appraisal for educators as follows:-

- to provide a framework of what is expected according to both the raters and ratees. The instrument guided them in terms of the expected behaviour of caregivers.
- To foster improvement and motivation in work performance, feedback and relationships – both raters and ratees felt that the “new” instrument cultivated a willingness to improve both in terms of performance and in terms of giving and receiving regular effective feedback.
- To recognise and reward acceptable performance made possible with the immediate feedback system and resultant indication of perceived quality of behaviour – for example, satisfactory or above satisfactory. Structured feedback on below satisfactory behaviour and developmental needs was also possible, for example the planning of remedial or follow-up actions. Ratees specifically mentioned the value of such concepts as satisfactory and above satisfactory.

Developmental appraisal of educators provides important information, this is stated by Gerber, Nel and Van Dyk (1998:72) as follows:-

- performance improvements;
- remuneration adjustments;
- placement decisions;
- training;
- career planning;
- shortcomings in the provisioning process;
- inaccurate information;
- faulty task design;
- external factors.

The literature review concerning the benefits of developmental appraisal for Educators for overseas and South African education systems cite that: proper

implementation and management of developmental appraisal for educators will not only benefit educators; parents and other stakeholders will also be beneficiaries of and contributors to the process of developing educators.

2.6 CONCLUSION

The literature review about the historical background of Appraisal of Educators practised in the United Kingdom, American, Australia and South Africa differed and was influenced by various factors mentioned in the chapter. The chapter further indicates that the appraisal of educators is not just practised only for administrative purposes, but more particularly for developmental purposes.

CHAPTER THREE

REVIEW OF CURRENTLY APPLIED METHODS OF APPRAISING EDUCATORS

3.1 INTRODUCTION

The appraisal of educators as an aspect of management has been practised based on various methods, different situations and the target to achieve in the process of appraising educators. Various methods of appraising educators applied currently must be reviewed to obtain a clear picture of these methods.

3.2 THE METHOD/CYCLE PROCESS OF DEVELOPMENTAL APPRAISAL FOR EDUCATORS

3.2.1 Multiple-person Comparison or Comparative Standards

Gerber, Nel and Van Dyk, (1998:179-180), maintain that multi performance appraisal methods involve techniques by which and educator's performance is compared to that of others as opposed to individual performance appraisal methods which rate each educator individually. Multiple performance appraisal includes the following methods that can be applied to appraise Educators in various ways such as the following::

3.2.1.1 Paired Comparison

Gerber et. al. (1979) agrees that in paired comparison, the names of the educators to be appraised appear on a sheet of paper in a previously determined order, so that each educator can be compared with every other educator on the list. The criterion according to which each educator is appraised against every

other Educator is his or her overall ability to carry out a task. The number of times that an educator is preferred to his/her colleagues is recorded and this determines his/her position in the ranking order of appraisal (see Appendix F).

3.2.1.2 Ranking Order Determination

With special reference to Van Kradenburg (1993:158) that in Ranking order determination, the criteria is set and the performance of one educator compared to other educators to determine the rate of performance according to set standards. This method of appraisal is simple and easier to follow as an evaluator/appraiser.

3.2.1.3 Forced Distribution

Forced distribution is another method of comparing appraisees with one another. The name “forced distribution” implies that the overall distribution of ratings is forced into a normal, or bell-shaped curve under the assumption that a relatively small portion of appraisees are truly outstanding, a relatively small portion are unsatisfactory, and everybody else falls in between. Forced distribution does eliminate clustering almost all appraisees at the top of the distribution order (rater leniency), at the bottom of the distribution order (rater severity) or in the middle (central tendency) (Schütte and McLennan, 2001:68).

However, forced distribution can foster a great deal of appraisee as a group either superior or sub-standard. It is most useful when a large number of appraisees must be rated and there is more than one rater.

The multiple-person comparison method of appraising educators can be implemented by following some cycles/processes identified by different educationists.

Beckmann, Bray, Foster, Maile, Smith and Squelch, (2000 : 139) maintain that the process of developmental appraisal requires a School Developmental Team (SDT) composed of the Head of the Institution and elected staff members as per the Personnel Administration Measures (PAM), document 2.4. The SDT is to initiate, co-ordinate and monitor appraisal in terms of the management plan. According to the PAM, the panel (c2.5) should consist of the appraisee and at least three others drawn from the following groups:

- a) Peer;
- b) Union representative;
- c) Senior (HOD, Deputy Principal, Principal);
- d) Outside support (for example, subject advisor; educators from other Institutions recognised for expertise; district/circuit managers; NGO's; University/College Lecturers; and other);

The method to be implemented must follow a particular process when appraising an educator for developmental purposes.

3.2.2 Critical Incidents

Carell, Elbert, Hatfield, Grobler and Van der Schyf, (1996 : 274) outline the following attributes of critical incidents as a method of appraising educators. The attributes are as follows:

- The critical incidents method focuses on specific examples of job behaviour which have been collected from appraisers or appraisees or both;

- The specific job behaviour must involve extraordinary good or bad appraisee performance;
- In case of educator appraisal the specific job behaviour must be observed by appraisers who are familiar with the particular subject didactic and didactical situation;
- Critical incidents methods must exclude normal or average work performance of educators. This facilitates and gives emphasis to incidents of excellence or very poor behaviour. Therefore, it provides a particularly accurate and objective measurement of the performance of the appraiser (educator) in the didactic situation.

The advantage of the method is that it eliminates prejudice with regard to the most recent behaviour. The critical incident method is very useful for providing work-related feedback to appraisees. Records of critical incidents must be kept constantly to ensure that a complete set of information with regard to appraisee behaviour is available at the end of the period under review.

The disadvantage of the method is that critical incidents must be identified for every didactical situation in the school, with the result that its development requires time and money (see Appendix G).

The cycle/process of Developmental Appraisal for Educators of Blandford, (1997:198-199) gives emphasis to the following steps which are of greater significance for any method of appraisal of educators, in particular the critical incidents. The cycle/process comprises the following steps/stages:

i) THE INITIAL MEETING

- the purpose;
- date, time and venue for appraisal interview;
- date, time and focus of classroom observations;
- to consider the teacher's job description;
- to agree on the scope and any particular facet of the appraisal;
- to agree on methods/use of self-appraisal;
- to agree on other methods of collecting information;
- to agree on a time for other components of the cycle; who is to be approached, and
- information to be available to appraisee prior to the interview.

(Blandford, 1997:197)

ii) EDUCATOR'S SELF-APPRAISAL

- use of prompt sheet to support self-reflection on performance/role. Self-appraisal cannot be compulsory.

(Blandford, 1997:197)

iii) CLASSROOM OBSERVATION

- total of one hour on two or more occasions;
- specific focus : details of class/group work being carried out, educator plans and preparation;
- questioning techniques;
- agreed methodology/format

(Blandford, 1997:198)

iv) DEBRIEFING FOLLOWING OBSERVATION

- relevant data used to inform discussion, "educator analysis" within two weeks.

v) COLLECTION OF ANY OTHER RELEVANT DATA

- learner-related, non-teaching duties;
- curriculum-based;
- carried out within half the time;
- relevant to past year's work;
- opportunity for feedback from areas of additional responsibility;
- data compiled during action research

(Blandford, 1997:198)

vi) THE APPRAISAL INTERVIEW

The appraisal interview is the central component of the appraisal cycle. There should be an understood agenda, which includes:

- further consideration, if necessary, of the job description;
- review of the work done, successes and areas of development;
- discussion of professional development needs;
- discussion of career development as appropriate;
- discussion of contribution to the policies and management of the school together with any constraints caused by school circumstances;
- identification of targets for future action or development;
- clarification of points to be included in the appraisal statement;
- confidentiality and trust;
- nature of previous relationships, and
- high priority by both parties and others.

(Blandford, 1997:198)

vii) THE AGREED TARGETS

- should be stated clearly;
- should take the form of an action plan;
- should be few in number;
- should be challenging but attainable;
- should be monitored and reviewed;

- targets connected to : classroom strategies, school performance, career/ professional development.

(Blandford, 1997:198)

viii) PREPARATION OF AN APPRAISAL STATEMENT

The appraisal statement must be prepared by the appraiser in consultation with the appraisee. Targets should be recorded in a separate annexure. On receiving the report, the appraisee may add further written comment. It is recommended that both parties sign the statement. Once finalised, other documents produced during the appraisal should be destroyed. The appraisee is entitled to complain about the statement within 20 working days. If this happens, the Head of the Provincial Department must appoint a review officer.

There are no stated criteria concerning the choice of a review officer, but professional standing in relation to the appraisee, as well as credibility in the eyes of the complainant, should be taken into consideration. The review officer may:

- order the statement to stand;
- agree on amendments with the appraisee;
- order a new appraisal by a new appraiser

Should a new appraisal be ordered, the criteria governing the original appointment of the appraiser and the general conduct of the appraisal should be observed. As a further stage, the Appraisal Body should establish procedures for a hearing at which the appraisee may be accompanied by a friend.

If appraisals are properly prepared and conducted, complaints should be infrequent. Moreover, as a preliminary step and without prejudice to the appraisee's rights, it may be possible to resolve the points at issue informally.

(Blandford, 1997:198)

ix) USE AND RETENTION OF APPRAISAL RECORDS

The appraiser must give one copy of the statement to the Head and one to the Educator concerned. On request, The Head must provide a copy of the statement to the Chief Executive Officer (CEO) (or specifically designated officer) if the school is maintained by the Local Education Authorities (LEA), and a copy to the Review Officer if the complaints procedure is involved. On request, The Head must provide a copy of the targets for action to the Chair of Governors. The Head must retain each appraisal statement for at least three months after the next appraisal statement has been finalised. Statements may be kept longer, but a recommended limit is two complete appraisal cycles. All those with access to appraisal statements should treat them as highly confidential documents. Arrangements for this custody of appraisal documents should be secure. The Chair of Governors and others should be made aware of their responsibilities with regard to confidentiality and security.

(Blandford, 1997:198)

x) FOLLOW-UP AND REVIEW

Following the interview, informal contacts should continue so that appraisers can assist appraisees to achieve targets. Systems should be devised to help appraisers to do this. A formal review meeting must take place in the second year of the cycle.

Its purposes are:

- to review progress;
- to revise targets, if appropriate;
- to consider the usefulness of any inset undertaken;

- to provide an opportunity for the appraiser to raise issues;
- to consider career development needs.

After the meeting, both parties must add a written note to all copies of the appraisal statement, recording their conclusions.

The cycle/process applied with the Critical Incidents method must allow the appraiser an opportunity to observe all the critical incidents of an extra-ordinary behaviour and incidents of a very poor behaviour to take proper decisions about the performance of the appraisee.

(Blandford, 1997:198)

3.2.3 Graphic Rating Scale

Carell *et al* (1996:267-268), expatiate that graphic rating scale rates the educator-ratee on some standard or attribute of work. Traditionally, the focus was on personal traits (e.g. friendliness and co-operation), but more recently it has been on work behaviours and outcomes (e.g. to meet deadlines, respect all colleagues and other stakeholders of the school such as parents, learners, and departmental officials). The ratings of the graphic rating scale ranges from unsatisfactory to outstanding. The Graphic Rating Scale is one of the oldest and most common methods and has survived the many recent innovations in instruments. The Graphic Rating Scale is popular with managers because they can be filled out quickly and requires little training. (see Appendix H)

The Graphic Rating Scale method can be exercised by applying the cycle/process of educator appraisal of Gane and Morgan (1992:90), with special reference to (Appendix I) indicating a biennial cycle/process of appraisal of Educators.

Cascio (1998:312-313) expounds that “many organizations use graphic rating scales”. Many different forms of graphic rating scales exist. In terms of the structure provided, the scales differ in three ways:

- The degree to which the meaning of the response categories is defined (e.g. *what does “conditional” mean?*)
- The degree to which the individual who is interpreting the ratings (e.g. a higher-level reviewing official) can tell clearly what response was intended.
- The degree to which performance dimensions are defined for the rater (for example, *what does “dependability” mean?*)

Graphic rating scales may not yield the depth of essays or critical incidents, but they are less time-consuming to develop and administer; they allow results to be expressed in quantitative terms; they consider more than one performance dimension, and, since the scales are standardized, they facilitate comparisons across appraisees (educator). Graphic-rating scales have come under frequent attack, but when compared with more sophisticated forced – choice scales, the graphic scales have proved just as reliable and valid and are more acceptable to raters.

3.2.4 Behaviourally Anchored Rating Scales

Shaw, Schneier and Beatty, (1995:153), Schütte and McLennan (2001:68) unanimously agree that Behaviourally Anchored Rating Scales (BARS) combine elements from critical incident and graphic rating scale approaches, with special reference to Gerber, Nel & van Dyk (1998:177), outlining that the behaviourally anchored scale usually contains between six and ten performance dimensions. The dimensions are usually anchored by positive or negative critical incidents. Each educator is appraised according to the dimensions. Feedback is then provided by using the terms on the performance appraisal form.

To conduct appraisal by applying BARS, the Heads of Department (HODs) of a group of educators, doing the same type of work, are requested to identify the general categories of activities of which the work consists. The HODs generate a set of critical incidents that represent actual examples of *very good* and *very poor* performance. The HODs identify the set of incidents that is systematically associated with the original performance dimension. The BARS is dependent on behavioural observation scales (BOS) and requires the observer to perceive the frequency of behaviour. It further requires that the actual frequency to be compared to the frequency of opportunities, to show the behaviour and the frequency at each performance level.

The cycle/process of appraisal of Educators by West-Burnham (1993:5) summarises the appraisal cycle/process as follows:

Appraisal will operate on a continuous two year cycle/process throughout an educator's career. The components of the cycle/process are:

YEAR 1

An initial meeting – to plan the process.

Self-appraisal – to increase personal awareness (non-statutory).

Classroom observations to collect data.

The appraisal interview – to review and set targets.

YEAR 2

Review meeting – to monitor progress

Other data may be collected in consultation with the appraisee and subject to the code of practice. Schools should publish and make full use of explicit criteria for effective teaching and management to inform the review process. Some educationists agree that the cycle/process to be applied in the process of appraising educators mostly follows similar procedures (Blandford, 1997:198)

-199); (Dunham, 1995:97); (Horne and Pierce, 1996:8-9); (Fisher, 1996:26-27); and the, the Department of Education, (1998b:92).

Carrell, *et. al.* (1996 : 275-276) and Gerber *et al* (1998 : 178) maintain that BARS is quick and easy to complete The primary disadvantage of a BARS system is the time and effort involved in adapting critical incidents to a rating-scale format. A BARS system requires a separate rating scale for each job involved in the organisation (see Appendix J).

3.2.5 Management by Objectives

Management by Objectives (MBO) outlines similarities indicated by the following authors: Schütte and McLennan, (2001:69); with special reference to Andrews and Burger, (1998:114-115) expounding that management by objectives is an evaluation technique developed to overcome the shortcomings in the traditional methods. It is a technique that focuses on achieving goal clarity, participative goals, setting appraisee/educator accountability and the efficient use of organisation resources. Management by Objectives (MBO) is result orientated. That is, the appraiser and the appraisee/educator who is to be evaluated, set joint goals which the specific appraisee/educator must attempt to achieve within a specified time.

Instead of a superior rating his/her subordinates the MBO approach is to request each appraisee/educator to establish his/her own short-term performance goals, how he/she can achieve them and how he/she can improve his/her efficiency as well as that of the whole school.

Efficiency can be improved, for example by:

- i) educating parents and community about the importance of parent involvement in school activities;

- ii) ensuring that school-business/industry partnerships are implemented and managed;
- iii) ensuring that the learner support material is updated for developing and increasing the knowledge of learners;
- iv) emphasising the significance of professional development by means of life-long learning.

The appraiser, together with the appraisees/educators, negotiates what is required to meet these goals and to adjust them if necessary to make them consistent with the goals of co-appraisees/educators and of the school as a whole. At the end of a set period (e.g. 6 months) they meet again to evaluate how well the goals have been met and to discuss what can be done to improve further as well as to set goals for the next period of time.

Management by objectives is based on three elements:

- i) Goal setting, which has to be attainable, objective and quantifiable. If they are not quantifiable, goals must at least be clear and specific. Appraisees/educators must endeavour to achieve the goals of the school.
- ii) Participation. Appraisees/educators participate in the determination of goals and the work performance necessary to achieve these goals.
- iii) Judgement. Appraisees/educators accept the appraisers as leaders and not as judges because they are evaluated against standards which they have helped to determine.

Carrell *et. al.* (1996:276, 282 and 283) cite that the MBO method has many advantages. Both the supervisor and the employee participate in the appraisal process. The focus of the appraisal process is on specific goals and not on broad personality traits such as “dependability” or “co-operation”. What is unique about the MBO

procedure is that goals and objectives are determined before the appraisal period begins. Since the MBO process gives appraisees/educators direction before the appraisal period begins, it is developmental in defining the direction appraisers (educators) should take and the expected level of achievement.

Gerber *et al* (1998b:176), identify the following shortcomings of management by objectives as a performance appraisal technique:

- Too many objectives are set, which may cause confusion;
- Management by objectives may be forced on schools where objective goals are difficult to determine;
- The inability to relate the results of management by objectives to remuneration;
- Too much emphasis on the short-term;
- The failure to train supervisors in the management by objectives process;
- Adaptation of the initial objectives is frequently neglected;
- Management by objectives is used as a rigid control mechanism that intimidates rather than motivates;
- The greatest disadvantage of the MBO procedure is the time and effort that must be spent by both the appraiser (educator) and the subordinate in the appraisal.

However, MBO gives appraisers (educators) the opportunity for creative thinking, which usually acts as a motivator to increase their own output by improving their performance.

The cycle/process to be applied when exercising the MBO method of appraising is that of Blandford, (1997:198-199); and the Department of Education, (1998b:92), because all the stages of appraisal are outlined by the aforementioned educationists.

3.2.6 360 Degree Feedback

The 360 Degree Feedback method of appraisal is a multi-source feedback method which provides a comprehensive perspective of appraisees'/educators' performance by utilising feedback from the full circle of colleagues with whom the appraisee interacts: the panel for appraisal, parents, learners, heads of department, the headmaster and other didactical experts. It is effective for career coaching and identifying strengths and weaknesses (Kreitner & Kinicki, 1995:406).

Cascio (1998:318-319) outlines the following disadvantages of the 360 Degree Feedback method:

- i) **Ambiguous Objectives:** What do you want this process to accomplish? What do you want participants and the organization to get out of it? Do not do it just because everyone else is.
- ii) **Only “problem” employees get 360 degree feedback:** To leverage the full impact of this process, provide it to all key people.
- iii) **Changing the ground rules after the process has begun:** Changing who gets the results or how the data will be used after the fact, undermines the whole process.
- iv) **Inadequate attention to identifying what the rater should rate:** Make ratings job-specific to ensure that they are relevant. In addition, be sure to include the opportunity for raters to assess characteristics that they are uniquely positioned to rate, for example, subordinates should rate the extent to which the manager shares information with them.

- v) Failing to develop an action plan following feedback: Each participant should build an action plan, perhaps with the help of a supervisor or a Human Resource specialist.
- vi) Lack of follow through: Expectations set by the organization and its support in producing and aiding each participant's efforts to improve, will make the difference between an assessment event and a successful, ongoing development process.

The cycle/process to implement the 360 Degree Feedback method can be one or combination of the two from the following educationists: Dunham (1995:97); Horne & Pierce (1996:8-9), and Fisher (1996:26-27).

3.2.7 Essay Appraisal Method

Carell *et al* (1996 : 275-276) maintain that a Performance Appraisal created primarily for appraisee (educator) development is the written essay method. The appraiser writes an essay, in narrative style, describing his/her performance, specifying examples of strengths and weaknesses. The essay method forces the appraiser to discuss specific examples of performance and it can also minimise supervisory bias and the halo effect. By asking the appraiser to enumerate specific examples of appraisee behaviour, this method also minimises central tendency and leniency problems because no rating scale is being used. The essay method often has a distinct disadvantage: the time the appraiser must spend writing separate essays are not very useful for evaluative purposes; 200 essays describing different appraisees' performances cannot easily be linked to merit increases and promotion, because there is no common standard.

Gerber *et al* (1998:176) cite that in the essay appraisal technique, the performance evaluator is requested to write down the good and bad points of the appraisee's (educator) behaviour. Another version of this method is the so-called check list method

in which the performance evaluator chooses words or statements that, in his or her opinion, best describe the educator's performance or characteristics. This process can be refined by allocating weights to the various items on the checklist, depending on the importance of each item. This is known as the weighted checklist, which is used to quantify the appraisal so that a total performance score can be calculated for each appraisee (educator) (see Appendix K).

Various cycles/processes of appraisal must be applied for compiling an essay about an educator. (Blandford 1997:198-199); (Department of Education, (1998b:92); Beckmann *et al* (2000:139) and West-Burnham (1993 : 5).

3.2.8 Other Performance Appraisal Methods

According to Fisher (1996:212-213) the following methods of appraising appraisees/educators in an organization (school) may be implemented: performance measures: relating to money, time, effect and reaction are used to assess the achievement of accountabilities.

3.2.8.1 Performance Reviews

Annual reviews are held to assess what has been accomplished in the previous year; to agree on what is to be achieved in the following year; to help educators improve performance, and to clarify the job-holder's career prospects, aspirations and intentions. Following this, the jobholder is given a rating, which has to be accepted as fair by both sides. Each of the jobholder's accountabilities is also rated on a five-point scale. A confirming appraiser has the dual role of quality controller of performance standards and of arbiter to act between the jobholder and manager in any disagreement.

Gerber *et al* (1998:180-181) further identified the following methods of appraisal:
performance tests: The design of a performance test based on the content of the work may serve as a point of departure for an appraisal.

3.2.8.2 The Field Review Method

With this method, a competent representative of the human resources department is allocated to assist appraisers with performance appraisal. The appraising panel obtains specific information about the performance of the appraisee to be evaluated from his or her immediate Head of Department and then prepares an appraisal which is then sent to the appraiser for his/her changes and approval and for discussion with the appraisee who was evaluated. This type of appraisal aims at achieving more objectivity through the mediation of a person who is not involved daily and directly with the appraisee whose performance is being evaluated (Gerber *et al.* 1998:181).

3.2.8.3 Self Appraisal

It may be useful for appraisee to assess their own performance, particularly if the aim of such an appraisal is primarily the promotion of self-development. The danger of self-appraisal is mainly that appraisees/educators tend to estimate their own performance higher than an objective evaluator would. The use of this method therefore requires particularly good judgement (Gerber *et al* 1998:181).

3.2.8.4 Assessment Centres

The assessment centre was developed as an aid in identifying management talent. The assessment centre subjects selected appraisee/educator for in-depth interviews, psychological tests, personal background studies, appraisal by other appraisee/educators who attend the assessment centre, group discussions, appraisal by psychologists or managers, and simulated work exercises to determine future potential. The simulated work exercises include in-basket exercises, case studies,

leadership exercises, decision-making exercises and appraisee (educator) observation. The aim of the assessment centre is to collect information about the individual's behaviour in the work situation. The results of all the components of the assessment centre programme can be extremely valuable in management development and placement decisions (Gerber *et al* 1998:181).

Gane and Morgan (1992 : 90);; the Department of Education (1998b: 3 and 92) and Beckman *et al* (2000:139) suggest several cycles/processes for appraising educators, which cycles/processes follow similar procedures and share similar stages. Therefore appraisers will decide which cycle/process will be suitable for a particular method or a combination of certain methods.

The various methods applied when appraising educators will depend on the objectives set by a team of appraisers, taking into consideration factors such as the timing of the appraisal process, resources to conduct the appraisal process and the feasibility of developmental process after the review. No single method of appraisal is superior to any other method, the only advantage is the integration of several methods for an objective appraisal process.

3.3 BRIEF RÉSUMÉ OF PROBLEMS AND ISSUES CONCERNING ACCURATE DEVELOPMENTAL APPRAISAL FOR EDUCATORS.

The cycle/process of appraisal is not without problems and errors. The problems must be brought to the attention of the employer, employee (educator) and other stakeholders of education, to ensure that all the parties involved in the process of developmental appraisal of educators are made aware of the possible hindrances that might curb the process of developing educators through

appraisal, particularly the employer (the Department of Education) and the School Governing Bodies (SGBs). The following problems will be discussed:

3.3.1 Resources

Chetty *et. al.* (1993:19) observed that numerous problems appear to be management problems on the part of principals, are in fact resource problems as a result of inadequate administrative and secretarial support.

Authors like Timperly and Robinson (1997:4) agree to the statement that a crucial challenge in conducting appraisal to perfection is resource based resulting to decisions taken inadequately.

Management training is not a panacea for the very real questions of administrative infrastructure of schools (NEP1, PSS, 1992; Fine 1993); there are also the poor academic and skills base of educators and principals, and the lack of opportunities for innovative curriculum development. At the same time, a more thorough survey of management and administration courses on offer for educators, with a view to them forming a competent educator, needs to be conducted; likewise needs analysis and problem-solving approach towards current education management training is required.

3.3.2 Who Appraises Whom

Regarding the “Who appraises whom” issue, Personnel Administration Measures (C.2.4) states that the process of development appraisal requires a Staff Development Team (SDT) composed of the Head of the institution and elected staff members. The SDT is to initiate, co-ordinate and monitor appraisal in terms of the management plan. In addition there is a need for an appraisal panel, which, according to PAM (C.2.5), should consist of the appraisee and at least

three others drawn from the following groups: Department of Education, 1998:C2.5

- a) peer;
- b) union representative;
- c) senior (HOD, Deputy Principal, Principal);
- d) outside support (for example, subject advisor, Educators from their institutions recognised for expertise, district/circuit managers, Non-Governmental Organisations (NGO's), University/College Lecturers, & other).

(The Department of Education, 1999d :C.24)

Realising that different educators occupy different levels, there is a need for appraisal criteria that will cater for PAM, (2.6):

- Post Level 1 Educator (classroom based educators)
- Head of Department
- Deputy Principal/Principal
- Office based Educators (PL1 to PL6)

(The Department of Education, 1999d:C.24)

The PAM identifies three types of criteria for each job title (rank) namely “core”, “optional” and “additional” criteria. These types of criteria are defined in the following term (c2.6):

- ◆ CORE CRITERIA: will be seen as primary elements of the responsibility of the person's job on which the person has no choice but to be appraised. They cover the essential elements of the job descriptions of the Educator.

(The Department of Education, 1998a:5)

- ◆ OPTIONAL CRITERIA: These are criteria that are listed as core criteria, some of which may be made optional by the appraisal panel because of the contextual factors at institutions. A motivation for this reclassification has to be provided in the needs identification and prioritisation form.

(The Department of Education, 1998a:5)

- ◆ ADDITIONAL CRITERIA: These are criteria that may be added depending on the needs of an institution and/or individual educator. These could be discussed with the Panel, supported by staff and agreed to by the Staff Development Team. A motivation for the inclusion of additional criteria has to be given.

(The Department of Education, 1998a:5)

It must be noted that reasons must be given for the reclassification of core criteria as optional and for the inclusion of additional criteria (c.2.6).

HEAD OF DEPARTMENTS (HODS) : The person in the best position to observe the appraisee's (educator) behaviour and determine whether the appraisee (educator) has reached specified goals and objectives is the best person to conduct the appraisal. Traditionally, this has been the HOD and in many cases this is still the best choice. Often only the HOD directly and consistently observes the appraisee's performance. HOD's often prefer to avoid the appraisal process because uncomfortable face-to-face confrontations can result. Even so policymakers should ensure that Performance Appraisals are conducted in a professional manner because appraisals of colleagues are a legitimate and critical past duty of Heads of Department.

(The Department of Education, 1998a:26)

PEER EVALUATIONS: Steyn (2001:15) argues that "uncertain and fearing the outcome of their own performance, educators may be tempted to select panel members who would not 'rock the boat' or be critical about their performance." The situation may evolve in which panel members will "help" each other look as if they are performing satisfactorily.

This will miss the point of developmental appraisal since each educator can improve professionally and needs the help and constructive feedback of others to help identify areas for development. Unless appraisers and appraisees are well matched and can trust and help one another in a professional way, they should not work together.

PARENTS/LEARNER EVALUATIONS: An increasing number of jobs are now considered service jobs (e.g. education) so evaluations by parents and learners are becoming more valuable as part of the multi-rater PA process. Specialised parents and learners' questionnaires, telephone follow-up surveys and other techniques are used in addition to comment cards to try to get the parents' evaluations of the appraisee's performance. For this reason, HOD's generally are still responsible for the overall PA of which parent input becomes a part. The reactions of parents is being emphasised even in non-service jobs, like those in education. Total Quality Management (TQM) and similar programmes make quality the responsibility of all appraisees, not just of Quality Inspectors. To provide support to the TQM principle of pleasing learners/parents first, evaluations from each appraisee's internal learners/parents were added to those from HOD's.

(The Department of Education, 1998a:27)

HOD's now interview their appraisees customers, learners, community, colleagues and sometimes the labour market to develop a more complete picture of the appraisee's performance. This new approach which is gaining in popularity is called the 360 Degree appraisal. Early research studies are reporting positive results where such a system operates.

(The Department of Education, 1998a:28)

SELF-APPRAISAL: Just as learner's evaluations are increasing as part of a total PA, a growing number of appraisers (employers) are including self-ratings – ratings that appraisees/educators give to themselves. Many personnel consultants believe that effective use of self-rating is critical to success in appraising appraisees in top level management.

(The Department of Education, 1998a:29)

Research suggests that HOD's react to appraisees' self-ratings. HOD's who learned that certain appraisees' self-ratings were higher than their own changed initial ratings. HOD's generally changed the ratings in a positive direction gave these appraisees larger increases and were less willing to sit down and discuss the appraisal with these high self-raters. The finding suggests that some negotiation or posturing may be taking place in such PA procedures. Many appraiser programmes encourage discussions of differences on subjective ratings in order to get more involvement from both the HOD and appraisee.

(The Department of Education, 1998a:29)

REVERSE APPRAISALS : While traditional appraisals have the appraiser rate the appraisees, in reverse appraisals, or upward evaluations, the appraisees rate the appraiser. As an appraiser you have probably rated your appraisee and they have graded the appraisee. However, the use of reverse rating must be approached with care. It is important that these evaluations must identify particular strengths and weaknesses, rather than consist of vague comments, to be helpful. Anonymity is also necessary unless there is a high level of trust at the workplace. Finally, fear of retaliation must be eliminated for this appraisee voice mechanism to be effective.

(The Department of Education, 1998a:30)

TEAM APPRAISALS : Closely related to peer (colleagues) review is the multiple-rater approach of having a team appraise the performance of an individual team educator. Not only do team educators evaluate other team educators' performances, but they interview prospective team educators and management of the school. The partnership approach to PA's includes self-appraisals and ratings from all team educators. A Performance Appraisal Panel develops an extensive document which sets the panel's expectations for an educator's (appraisee's) behaviour.

(The Department of Education, 1998a:30)

ASSESSMENT CENTRES: Many of the appraisee performance appraisal systems focus on the appraisee's past performance. By making use of the assessment centre method it is also possible, at the same time, to attempt to assess an appraisee's/educator's potential for future advancement. As a result of this unique feature, many schools now also include this process in their performance appraisal efforts in South Africa.

(The Department of Education, 1998a:30)

MONITORING EMPLOYEES ON THE JOB: With the advancement of computer and other technology it is now also possible to evaluate appraisee (Educator) performance electronically. This can occur in various ways in the school situation. For example, in education every lesson or activity in the didactical situation might be recorded on a videocassette or an audiocassette. However, monitoring appraisees/ educators by computer or any other methods is open to serious invasion of privacy issues. Despite these concerns, computerised/electronic appraisal could be a valuable aid to human resource management.

Selecting the appraiser poses another problem, therefore Goddard & Emerson (1997:25-28) argue that selecting an appraiser is not easy and not everyone will be qualified to undertake the task. It is essential above all that appraisers should

have credibility with the persons whom they are appraising. Therefore two important elements to credibility must be seriously considered: quality and legitimacy.

Quality within the appraisal process depends upon the personal skills of the appraiser. Personal skills required are as follows:

(The Department of Education, 1998a:31)

OBSERVER : The periods of classroom observations are central to the whole appraisal process. Therefore appraisers should:

- have a clear conception of the areas on which they wish to focus;
- perform their role without unduly influencing what is happening in the classroom;
- be sensitive to the atmosphere within the classroom;
- be aware of the very wide range of activities and interactions which occur;
- view objectively what they see and hear;
- understand and be able to interpret their observations

(Goddard & Emerson, 1997:25).

INTERVIEWER : The appraiser must be able to:

- create an agenda which addresses relevant issues;
- structure the appraisal discussion so that these issues are properly addressed;
- create a purposeful but non-stressful atmosphere.

(Goddard & Emerson, 1997:25).

A CAREFUL AND SYMPATHETIC LISTENER : The appraiser must be able to concentrate for long periods both on what is said and how it is expressed. The appraiser needs to be alert to subtleties and nuances of speech and body language. (Goddard & Emerson, 1997:25)

AN APPRAISER MUST BE A SKILLED QUESTIONER: The questions should be non-threatening; they should be open in form rather than closed, so that the answers are not predetermined, and they should be posed in such a way that the answers do not just convey knowledge to the appraiser, but also develop self-perception in the educator who should listen carefully to the answers, so that nuances are picked up and underlying issues are exposed and explored (Goddard Emerson,1997:26)

AN APPRAISER MUST BE ABLE TO ASSIMULATE AND ANALYSE THE INFORMATION RECEIVED FROM THE VARIOUS SOURCES: Accurate conclusions can thus be drawn about the educator's strengths and weaknesses. These then provide a firm base from which issues can be explored, guidance given and solutions reached.

(Goddard & Emerson, 1997:26)

APPRAISERS MUST BE SKILLED COUNSELLORS: They must assist the educators being appraised to recognise and confront the issues. Where necessary they must probe, explore and expose inconsistencies. But they must also guide, support and advice, commending and reinforcing good practice, helping the educator to see where solutions to difficulties or weaknesses may lie and negotiating reasonable targets for the future.

(Goddard & Emerson, 1997:27)

APPRAISERS SHOULD ACT AS FACILITATORS : Appraisers must help the educator access the resources, counselling and staff development which they need.

Legitimacy within the appraisal process depends upon the appraiser having the following qualities:

AN APPRAISER MUST BE ACKNOWLEDGED AS A COMPETENT PRACTITIONER IN THE AREA TO BE APPRAISED: Confidence in the appraisal system will be totally undermined if the appraiser's expertise is in question. For instance: it may be known that an appraiser has poor classroom management skills, or uses narrow or outdated teaching methods. Teachers are unlikely to take seriously comments made by this appraiser about their own methods and practices.

The Head teacher must take this factor into account in allocating appraisers. Particular difficulties may arise where the line management structure is being used to assign appraisers. The prospect of being appraised by this Head of Department may bring disenchantment, resentment or even outright rebellion.

(Goddard & Emerson, 1997:27)

AN APPRAISER MUST POSSESS THE REQUISITE KNOWLEDGE: When the appraisee is a classroom teacher, the knowledge involved is the subject knowledge and teaching methods pertinent to the subject. This may cause particular problems for the appraisal of Heads of Department or curriculum co-ordinators. Can a Deputy Head in a Secondary School with, say, a background in humanities appraise the classroom teaching of the Head of the Science Department? Can a Head in a Primary School judge the quality of work and advice and support given by the Technology Co-ordinator?

It could be argued that an educator with wide experience is capable of going into any classroom and drawing accurate conclusions about the validity of the teaching and learning taking place. All senior managers in schools have to some extent, to be polymaths; it is also true that an experienced educator will be able to make valid judgements about most classrooms. Nevertheless, where the appraiser is working outside his or her area of subject expertise, there is a danger that erroneous judgements will be made and that weak or inappropriate advice will be given. When this happens, the educator is likely to lose faith in the whole appraisal procedure.

(Goddard & Emerson, 1997:28)

AN APPRAISER MUST HAVE APPROPRIATE EXPERIENCE: One of the head teachers with experience relevant to the current conditions in the school of the head teacher being appraised.

How does this point affect the classroom educator? All appraisers will be experienced in the classroom. However, the experience may not be considered directly relevant. For instance, early years educators may feel uncomfortable with an appraiser who has taught only older children in a primary school. A special needs educator might consider that an appraiser without experience in this area will be unable to make valid judgements or give worthwhile support. The same dangers are inherent as were discussed in terms of subject knowledge; that inappropriate conclusions will be reached and that constructive guidance will be unavailable. The legitimacy of the whole process will then be called into question.

(Goddard & Emerson, 1997:28)

AN APPRAISER REQUIRES TIME : Recent and ongoing innovations in schools have already overloaded educators in general and managers in particular. Appraisal may be seen as yet another task which the managers have to absorb. Indeed, the resource situation in schools may take any other solution difficult. In this case there is a grave danger that an appraiser will have little alternative but to rush the whole process.

Appraisal will be both important and stressful to the educator. If the teaching session for which he or she has to prepare carefully is cancelled; if the appraiser shows lack of concentration, if the discussion is broken into at the point at which the educator is coming to terms with difficulties or inadequacies, all such occurrences will cause educators to distance themselves from the whole procedure, to put up the shutters, as it were.

(Goddard & Emerson, 1997:28)

3.3.3 Timing

Kyriacou, (1995 : 5); Wragg, Wikeley Wragg and Haynes, (1996 : 191-192); argue that the time factor in the process of appraisal of educators for developmental purposes is one of the major problems with special reference to the Department of Education (1998b:8) expounding that, apart from probationers, in the first six months half of the staff and in the second six months the other half will be involved in appraisal. All educators have to be trained in developmental appraisal prior its implementation.

WEEKS IN CYCLE	ACTION	RESPONSIBILITY
Week 1	Head of an institution calls a staff meeting to elect the Staff Development Team (SDT)	Head of an Institution
Week 2-3	Training of Staff	SDT
Week 4-6	<ul style="list-style-type: none"> - Identification of Appraisee for the 1st and 2nd phases of cycle one. - Constitution of panels and election of Chairpersons. - Appraisees complete personal details form. 	SDT Staff members Identified appraisees
Week 7-9	<ul style="list-style-type: none"> - Submission of Educator portfolios to the panel. - Observation of Educators in practice. 	Appraisee Panel
Week 10-12	<ul style="list-style-type: none"> - Decide on optional and additional criteria and motivate for the decision on the needs identification and prioritisation form. - Self-appraisal on the Needs Identification and Prioritisation form. - Peer/Union Representative/Senior Appraisal Needs. - Identification and Prioritisation form - Finalise Needs Identification and Prioritisation form. 	Appraisee, Panel and SDT Appraisees 2 Panel members Panel
WEEKS IN CYCLE	ACTION	RESPONSIBILITY
	<ul style="list-style-type: none"> - Complete Professional Growth Plan (PGP) form 	Appraisee

	- Panel discusses and finalises the PGP form	Panel
Week 12-22	Appraisee implements the Professional Growth Plan	Appraisee
Week 23-24	- Appraisee fills in the discussion paper in preparation for the review. - Panel works through the discussion paper. - Appraisal Report is prepared.	Appraisee Panel Panel

The National Appraisal team submitted an amendment to the initial agreement about time frames because of many logistical problems. The Education Labour Relations Council (ELRC) approved the following:

1. Training of office based educators, department officials and staff development teams by the 31 December 1998;
2. Training of school based staff development teams and educators by 1 January 1999 to 31 December 1999;
3. Start of appraisal of office based educators, department officials by 1 January 1999;
4. Start of appraisal of school based (phase 1) members of staff by 1st April 1999;

5. Start of appraisal of school based (phase 2) remaining staff members by 1st October 1999;
6. Review for office based educators by 1 January 2000;
7. Review for school based educators first phase – 1 April 2000;
8. Review for school based educators second phase – 1 October 2000.

(SADTU, 1999:4)

However, the agreed upon time frames have not been met since the signing of Resolution no. 4 of 1998 on the 28 July 1998.

3.3.4 Frequency and Consistency

Block (1992:1) maintains that “no single specific observable educator act has yet been found whose frequency or per cent of occurrence is invariably and significantly correlated with learner achievement”. Further, the inconsistency of educator appraisal is proven by several studies in which educators were trained and observed using effective schools research with the finding that “students actually did worse than students of teachers not so trained.”

Chetty *et al* (1993 : 3) maintain that the irrelevance of some evaluation criteria, the practice of “one off” visits which inspectors use for appraisal, lead to problems of frequency and consistency. The main problems of educator appraisal, or evaluation as it is commonly referred to in South Africa, are located in the management and organisation of the inspectorate in South Africa. The problems experienced by educators reflect a system which is inspectoral based and bureaucratically rather than developmentally orientated. Inspectorates in South Africa are not only fragmented along myriads lines; their functional effectiveness in terms of the quality of the didactical situation and the instruments used to evaluate the competencies of educators are also limited, including the irrelevance of some evaluation criteria (Chetty,1993).

Management and advisory sections of the inspectorate are differentially developed in and within different departments, with black education departments being the most neglected in terms of advisory services and In-service-Training (INSET). Recruitment appears to be characterised by patronage and political rivalries; departmental management training has led neither to improvements nor to a changed ethos in the inspectorate. There is also the absence of contextual factors in the appraisal and the abuse of patronage in cases of promotion (Chetty 1993).

If educators are to be appraised effectively, then these weaknesses in the bureaucracy and inspectorate need to be addressed. The argument is against short-term, ad hoc solutions, which focus only on, for example, training of managers and administrators, expansion of the advisory service or changes in the nature of instruments used for educator appraisal, and the prevalence of political bias in the system (Chetty, 1993).

Timperley and Robinson, (1997:2); Down and Chadbourne (2000:221); and the Department of Education (1998b:32) unanimously agree that the frequency and consistency pose another problem in the process of developmental appraisal of educators, because “the slippage from an agreed timetable of events and subsequent demotivation of appraisees when stages in the appraisal process have been postponed at short notice due to external pressure beyond the control of the institution.”

3.3.6 Records and Reports

Educationists are of the opinion that the secrecy which surrounds the appraisal and the time it takes to prepare “record books” for inspection leaves a lot to be desired. What is gathered from the appraisal system is a series of lengthy oral and written accounts in which significant levels of scepticism, mistrust and anxiety are exposed. Many questions are raised about the records and reports of appraisal of educators, questions such as: “*What is the nature of the feedback process in appraisal?*” Is it the provision of data collected for both the appraisee and appraiser to examine together; or does it contain value judgements about competence and what makes effective, effective teaching and professional performance (Gunter, 1996:12)?

Educationists unanimously agree that records in appraisal of educators are to be treated with confidentiality and professionalism, where transparency from the appraisers will be based on developmental rather than destructive criticisms. Educators such as (O'Leary, 2001:1) fully agree that concerning the questions of records and reports educators appraised must be provided with immediate feedback for urgency of addressing any weaknesses discovered in the process of appraising (Gunter, 1996:12).

3.3.6 Outcomes

Chetty *et al* (1993:3) maintain that educators' experience and perceptions of the shortcomings of the system are a damning indictment of the operation of the education bureaucracy in general and the inspectorate in particular. The criticism has been specific and targeted at the victimization of teachers on the basis of their organizational affiliations and the unchecked power, which inspectors wield.

Dunham, (1995:95) further maintains that other critics have argued that performance appraisal results in an exclusive focus on accountability, cost cutting, judgemental reactions and critical feedback, rather than the enhancement of educators feelings of self-esteem, confidence and motivation, which the staff development model of accountability predicts might follow from the introduction of appraisal. Performance appraisal can be very difficult to get right subject to difficulties in identifying the criteria for evaluating performance manifested in an inability to set good objectives or to find and use effective performance measures. (Fisher, 1996:136) and (Carell, *et. al.* 1996:297-298)

Barasa and Mattson, (1998:61) further argue that unless a clear balance is maintained between the use of appraisal for the educators' professional development and its use for fulfilling requirements of accountability and record-keeping, appraisal may eventually come to be seen as a strategy for ensuring compliance with external requirements, thereby undermining the professionalism which other policy documents seek to promote. This points to a need for conceptual clarity, where developmental appraisal is embraced primarily as a mechanism for the professional development of the educator, rather than as a tool for her control by the employer. This argument is further championed by Goddard and Emerson (1997:143) in this manner: "... of course, if this virtuous circle is to be established, there must be a structure in place through which the results emerging from the appraisal process can be considered". The appraisal process itself should remain confidential. Both the appraisal reports itself and the annex containing the negotiated targets will be available to a strictly limited number of people. It would be sad if the confidentiality acted against a proper use, for evaluation purposes, of the information arising from appraisal. Therefore, the school needs mechanisms which:

- co-ordinate and consolidate appraisal outcomes in terms of: comments on the school's aims and objectives, the negotiated targets; identified professional development and training needs;
- review and amend the schools' aims and objectives and the school development plan in the light of comments received;
- revise the staff development policy to take account of these changes and the identified Educator developmental needs.

(Goddard and Emerson, 1997:143)

Steyn (2001:6); Down and Chadbourne (2000 : 213-223) with special reference to Schütte & McLennan say that “follow-up action that the manager agrees to take to help the appraisee – open doors etcetera, often fails to take place”. The manager even fails to follow-up on the action the appraisee has agreed to take.

3.3.7 Appeals

National policy initiatives frequently suffer from slow and sporadic implementation, with requirements for school staff to be appraised being no exception. National policy is more likely to be implemented if the process of policy formulation involves an ongoing dialogue about the adequacy and congruence of the beliefs and practices that inform both the proposed policy and the local practices that such policy is designed to implement.

In complex problems, such as appraisal, it is likely that particular constraints will be in conflict. National requirements for hierarchical accountability may be difficult to satisfy if local requirements for respecting professional autonomy are rigidly maintained.

A constraint on the national policy problem is local implementation. Successful implementation is dependent on the practitioner’s micro-level decision making. The constraint inclusion conceptualisation of policy requires national policy to be developed with knowledge of the local constraints that will impact on implementation; otherwise the solution is likely to be incomplete. (Timperley and Robinson, 1997:1)

In New Zealand the performance appraisal problem became salient when personnel management was developed from a central bureaucracy to Boards of Trustees of each school. A critical function of this constraint formulation is to identify, for both policy makers and practitioners, what practices are ruled in or ruled out by the new constraints set. Consequently, southern states need to make two moves: “... firstly remove the educator appraisal system. In its place, substitute a catch-them-doing-it-right program. Reward educators when they improve scores. Secondly, write laws that permit

educators to go to the table and bargain with school boards for better teaching conditions and salaries” (Block, 1992:1)

Within the South African context The Department of Education (1998b:45) indicates that the Union Representative must be part and parcel of the process of appraisal. This therefore implies that educators not fairly dealt with may declare a dispute through Union representatives.

Subject to political manipulation of appraisal, which is utilised as a tool for purposes of educator control by employers, argued by Barasa and Mattson (1998:61). Down and Chadbourne (2000:214) maintain that educators resorted to taking initiatives to improve their own improvement strategies, to reflect upon their work, to share their insights with one another and collectively enforce high standards of activities that are the hallmarks of self-renewing professional learning communities. Within the community, educators manage their own performance and they indicate that they do not need a policy of mandated appraisal cycles or a line manager to do it for them. On the other hand, they would benefit from policies designed to foster an educational climate, culture and structure that nourished the growth of strong, accountable learning communities within and across schools.

3.3.8 Appraiser Errors

Even in the case of a well-designed performance appraisal technique, its injudicious use by a poorly trained performance evaluator may lead to failure in its application. Poor training of evaluators leads to various problems in the process of performance appraisal. These include:

3.3.8.1 The Halo Effect

Gerber *et al* (1998:173); Cascio, (1998:322) and Schütte and McLennan (2001:79) expound that “halo effect” is not as prevalent as is commonly believed. Appraisers who commit this assign their ratings on the basis of global (good or bad) impressions of appraisees/educators. An appraisee is rated either high or low on many aspects of job performance because the rater knows (or thinks she or he knows) that the appraisee (educator) is high or low regarding some specific aspect. In practice, halo is probably due to situational factors or to the interaction of a rater and situation, for example a Head of Department (HOD) who has limited opportunity to observe her/his subordinates because they are specialising in another learning area). Thus halo is probably a better indicator of how raters process cognitive information than it is as a measure of rating validity or accuracy.

3.3.8.2 Insufficient Knowledge of the Appraisee

Schütte and McLennan (2001:79) maintain that appraisers often carry out appraisals because of their position in the hierarchy rather than because they have a good understanding of what the appraisee is doing.

3.3.8.3 Personal Prejudice

Carell *et al* (1996:297); Gerber *et al* (1998:174); Cascio (1998:322) and Schütte & McLennan (2001:79) maintain that, during the appraisal interview, the focus should be on performance and achievement of the goals and objectives, duties and responsibilities that constitute the appraisee’s job. Some Heads of Departments assume the role of amateur psychologist and attempt to bring about personality changes that may improve job performance. But such an approach is unwise, according to McGregor. In citing the advantages of the objective-oriented appraisal process whereby the HOD and appraisee set performance targets, McGregor states: “Consider a subordinate who is hostile, short-tempered, un-cooperative, insecure. The

superior may not make any psychological diagnosis. The target setting approach naturally directs the subordinate's attention to ways and means of obtaining interdepartmental collaboration, reducing, complaints, winning the confidence of (his/her employees)". Rather than facing the troublesome prospect of forcing his own psychological diagnosis on the subordinate, the superior, can for example, help the individual plan ways of getting "feedback" concerning the impact of his/her associates and subordinates as a basis for self-appraisal and self-improvement.

3.3.8.4 The Problem of Context

Schütte and McLennan, (2001:79) and Steyn (2001:14) argue that judgements of others are often based on group membership. Such attributes as sex, race, ethnic groups and age are the basis of a commonly held problem of context. When people generalise about women, old people, redheads or members of a particular religious group, they are stereotyping. If people find an exception to their stereotype, they will accept the deviation but continue to entertain the general problem of context. For example, some people believe that older people are not capable of being trained for new tasks and that younger people cannot handle responsibility.

The problem of context is not totally worthless and inaccurate, but based on an element of truth, in that the beliefs are derived from observations that hold for an entire group, but that do not apply with much accuracy to given individuals in the group. In some instances, the problem of contact can provide a useful shortcut for quick evaluation. But the potential cost of erroneous evaluations must be considered.

3.3.8.5 The Paperwork

Documentation soon gets very cumbersome as scheme designers try to be too clever and prescriptive. Their aim is to ensure consistent reporting by appraisers. They design complex forms which leave little room for local discretion and flexibility. (Schütte and McLennan 2001:79)

3.3.8.6 The Inability to Give Criticism

Carell *et al* (1996:297) argue that many Heads of Department have difficulty giving criticism constructively and many appraisees/educators have difficulty in accepting criticism even though it may be given with sensitivity and diplomacy. One important study showed that defensiveness and poor performance can result from criticism given during the appraisal interview. Further, about half of all appraisees become defensive when criticised and a majority of appraisees feel they performed more favourably than their HODs assessments indicate.

3.3.8.7 Performance Appraisal Standards

If we look at the perceptual differences that may arise through the use of words to evaluate appraisees/educators, one can see why problems with performance standards may be experienced. Words that can be interpreted in various ways are “good”, “adequate”, “satisfactory”, “excellent”, etc. What does it mean for example, to say that the performance of the appraisee must be “good” to render a “satisfactory” result? It is thus essential that the meaning of each term used by evaluators in appraising performance should be exactly defined (Gerber, *et al* 1998:173).

3.3.8.8 The Central Tendency Problem

Gerber *et al* (1998:173) and Steyn (2001:15) maintain that evaluators often tend to avoid high and low appraisals and to group their appraisals around the average on a scale. This may be because of a lack of detailed performance data, or simply because it is easier to evaluate everyone around the middle of the scale than to explain extreme appraisals.

3.3.8.9 Strictness and Leniency

In a classic 1957 article, behavioural scientist Douglas McGregor pointed out that many managers who view appraisal as playing God are uncomfortable in simultaneously playing helper and judge. According to McGregor: “The modern emphasis upon the manager as a leader who strives to help his subordinates achieve both their own and the company’s objectives is hardly consistent with the judicial hat occasionally, he does it reluctantly and with understandable qualms. Under such conditions it is unlikely that the subordinate will be happier with the results than will be the boss. It will not be surprising, either, if he fails to recognise that he has been told where he stands.”

The solution to this fear may be found in system and psychological modification. One observer suggests: “Make the manager and appraisee equals in the appraisal meeting to eliminate the parent/child relationship. If we don’t want appraisees to act like children, we shouldn’t act like parents” (Carell *et al* 1996:297 and Gerber *et al* 1998:174).

3.3.8.10 The Recency Error

Cascio (1998:322); Gerber *et. al.* (1998:79) and Schütte and McLennan (2001:79) explain that the recency error results when a rater assigns his or her ratings on the basis of the appraisee’s most recent performance. It is most likely to occur when appraisals are done only after long periods. Here is how one manager described the

dilemma of the recency error: “Many of us have trouble rating for the entire year. If one of my people has a stellar three months prior to the review ... one doesn’t want to do anything that impedes that person’s momentum and progress of course”.

3.3.8.11 Other Errors in the Process of Appraisal

“Taking into account how the appraisal will be used, for example, if evaluators knows the appraisal results will be used only to get salaries, they might unconsciously give higher ratings. By contrast, if the evaluator believes that by giving a severely negative evaluation, he or she might gain approval to terminate a problem employee (educator) and the appraisal might be harsher than warranted” (Botes, 1994:215).

Fisher (1996:142) is of the opinion that conducting performance appraisal discussions and making judgements about performance requires skill, but no more than any good manager can develop with a little help. Poor managers and those who have not received adequate training can easily make mistakes like these:

- Antagonising appraisees from the start by making critical comments;
- Allowing the meeting to drift in a formless way;
- Rushing the meeting, giving a clear impression that this is something that has to be got over quickly;
- Concentrating on blaming people for mistakes rather than working towards a solution;
- Talking too much, failing to recognise that appraisal is a two-way process, not an inquisition or exposition conducted by the appraiser;
- Not listening attentively, and not probing sufficiently to get to the bottom of a problem;
- Spending too much time looking backwards rather than forward;
- Allowing the appraisee to dominate the proceedings;
- Avoiding the issue of poor performance, because of a wish to avoid unpleasantness, either during or after the meeting;
- Making accusations without backing them up with evidence;

- Springing criticism on the appraisee for a past failure which had not been mentioned at the time;
- Reacting over-defensively if the appraisee makes a critical comment about the appraiser;
- Asking leading or rhetorical questions;
- Failing to check the understanding of the appraisee about a point that has been made;
- Failing to recap the main points emerging from the discussion to check that the appraiser's impressions correspond with those of the appraisee;
- Imposing solutions on appraisees, ignoring the fact that they will probably have ideas of their own which should be listened to; and
- Not concluding a clear agreement with the appraisee about the way forward.

3.4 THE PRACTICE OF DEVELOPMENTAL APPRAISAL FOR EDUCATORS AND THE LEGAL IMPLICATIONS THEREOF

The Constitution and the Bill of Rights of South Africa (Department of Justice, 1996) define basic human rights or fundamental rights; it is essential that the appraiser and the appraisee (educator) know what these rights are if the appraiser is to understand the Educator's legal position during the Developmental Appraisal System for Educators. The basic human rights also help to clarify the legal relationship that exists between appraisees/educators, appraisees and the appraisal system of Educators (Department of Justice, 1996;1).

Educators have rights as private individuals, that is, rights derived from private law relationships. Educators also have rights as employees, namely in terms of their teaching relationship (Squelch and Bray, 2000:116-117).

The Department of Education, (1998b:35) indicates that, since 1993, the issue of appraisal has been negotiated by all Educator organisations and unions and all previous departments of education.

Based on agreed approach, a pilot appraisal system was conducted by the Education Policy Unit (EPU) of the University of the Witwatersrand in 1995-96. Finally, in July 1998, at the Education Labour Relations Council (ELRC), agreement was reached that there will be an appraisal system and it will have the following features:

1. The overall nature of the appraisal system will be in accordance with the EPU pilot study which was conducted;
2. The approach will be developmental;
3. Appraisal will be compulsory. It will apply to all levels of personnel within education, both in schools and in the education departments;
4. Appraisal will be linked to the nature of job descriptions for all levels of jobs;
5. Appraisal will be implemented in all schools by 1999. The system itself will be "appraised" in 2000.

How the person actually behaves, rather than his/her personality, matters in the behavioural approach. The legal defensibility (in the United States) of performance appraisal is enhanced when performance ratings are supported by behavioural examples of performance. Kreitner and Kinicki (1995:402-403) and Cascio (1998:307-308).

Six Criteria of Legally Defensible Performance Appraisal Systems:

	<p>A job analysis is used to develop the appraisal system.</p>
	<p>Definitive standards of performance are developed, written and provided to all raters regardless of the type of rating method used.</p>
<p>Based on an analysis of 51 employment discrimination cases, a performance appraisal system has a better chance of standing up in court if it satisfies these six criteria:</p>	<p>Raters are trained to use the rating instrument properly.</p>
	<p>Formal appeal mechanisms are developed and performance ratings are reviewed by upper-level management.</p>
	<p>Performance ratings are supported by documented examples of behaviour.</p>
	<p>Employees are given a chance to improve their performance by provision of performance counselling or corrective guidance</p>

Carell *et al* (1996:264-265) argue that in terms of the new legislation pertaining to labour relations, employment and occupational equity, affirmative action and the Constitution, the possibility of legal review of termination, promotions, pay decisions and other Human Resource issues is becoming a reality in South Africa. For example, the Labour Relations Act, no. 66 of 1995, stipulates that when considering a dismissal, it must be both procedurally and substantively fair. Thus, when dismissing an Educator on grounds of poor work performance (one of the legal reasons according to the Act) the input received from the performance appraisal exercise in the school will be vital. However, this process will have to be “legally” sound to avoid any liability. Experts suggest several guidelines that, if strictly followed, will help protect a school from problems related to its Performance Appraisal.

- Written appraisals should be conducted regularly for all appraisees/educators, and not limited to lower-level appraisees/educators. These written appraisals should never be backdated or altered at a later time.
- Heads of Department and other appraisers should be trained thoroughly in proper appraisal procedures. This includes emphasizing that performance appraisal should be truthful, candid but constructive, and not malicious.(Carell, *et. al.* 1996:264).
- Appraisers should apply consistent, explicit and objective job-related standards when preparing performance appraisal. Work performance, not the individual, should be judged. Appraisals of an appraisee or applicant should be related to the essential functions of the job. This restriction should emphasise to appraisers the importance of a good fit among job analysis, job descriptions and performance appraisals. This fit not only guards against complaints and suits, but integrates these management tools in a logical predictable fashion (Carell, *et. al.*1996:264).

- An audit system should be established to guard against leniency and other rater errors to ensure that appraisals are unbiased. For instance, before the performance appraisal interview is held with the appraisee, the performance appraisal should be reviewed and approved by another manager or reviewer. The Human Resource Department can review ratings by the HOD to help identify rater errors such as central tendency, harshness, leniency and so on (Carell *et al* 1996:264).
- Problem areas should be detailed and documented. If problems are not specifically identified, the appraisee will have a hard time knowing exactly what behaviour to improve. Documentation of specific problems is crucial.
- When problems have been identified in assessing substandard performance, specific goals and timetables should be established for improvement. Performance appraisal is most effective when it contains a compliance timetable and secures the appraisee's commitment to comply.
- Appraisees should be given a clear opportunity to respond to negative appraisals. If the appraisee with substandard performance gives her or his version of the facts, this may smoke out future claims and will help again the appraisee's involvement in the performance appraisal process. An opportunity to appeal ratings within the organisation may also help to ensure a fair system and provide a real opportunity to respond (Carell, *et. al.*1996:264).
- The Head of Department should be able to prove that the appraisee received the performance appraisal. Appraisees who disagree with their ratings may be reluctant to sign the performance appraisal form, assuming that their signature indicates agreement. Allowing them to sign and indicate that they were "present" or "present but disagree" will still supply the needed proof of receipt.

- Either the appraisee should sign indicating receipt or receipt can simply be witnessed by another Head of Department.

(Carell *et al* 1996:264).

- Circulation of appraisals should be restricted to those in management with a need to know. Unrestricted access to a performance appraisal, including negative ratings, may expose the appraiser to a defamation suit.
- Check past performance appraisal. If termination for poor work performance is being considered, past performance appraisal should be scrutinised to see if the appraisee was adequately informed of his or her performance deficiencies, and if the performance appraisal is consistent with the stated reasons for the appraisee's dismissal. The appraisee should also have been given a fair opportunity for meeting the required standard.

(Carell *et al* 1996:264-265)

Botes (1994:216) maintains that appraisees who have been demoted, discharged, disciplined or denied promotions and pay increases increasingly turn to the courts and regulatory agencies for relief from what they see as arbitrary actions by their appraisers.

The judgement often goes against the appraiser because the appraisee is able to:

- produce records of consistently favourable appraisals showing that there had been no real warning of trouble;
- show that no formal appraisals criticizing performance were received;
-

- prove that the appraiser's appraisal system is inherently biased against members of a protected class.

(Botes, 1994:216)

It is difficult enough for a school to defend a case in which an appraisee, who has previously received generally fair and accurate appraisals, is discharged for a justifiable reason. Its even tougher if the reason for the discharge is less than noble or if previous evaluations did not reflect the appraisee's real faults. When both the reason and the appraisal record are questionable, dismissal of an appraisee can be nearly impossible to justify legally. Although faculty evaluations can undermine the best of cases, they can be the final blow to the case that is weak at the outset. Documentation is crucial: Fair and impartial performance appraisals that document the intent to help rectify problem areas help defend schools against wrongful discharge claims and similar charges. Explicit documentation of honest appraisals is especially important in the case of appraisees who are protected by major antidiscrimination laws dealing with disability, age, race, religion, national origin or gender. For example, although Equal Employment Opportunity Commission (EEOC) regulations were written having employment and placement tests in mind, they also apply to performance appraisals and require that any measurement made to distinguish between appraisees be valid and administered fairly. An appraiser must document that these requirements have been met. Other agency regulations and court decisions have laid down further requirements including:

- tool measuring performance is linked directly to job requirements;
- a good score means good performance;
- the test reliability predicts future performance;
- the appraisal is valid measure of motivation and intelligence.

(Botes, 1994:217)

Developmental Appraisal for Educators can and could be effective if both the appraiser and appraisee know and are familiar with the sixteen legislations impacting on education. These laws and policies influence both the appraiser's and appraisee's work and work ethics. The sixteen legislations impacting on education which will enhance the feasibility and viability of Developmental Appraisal for Educators are (Department of Education, 1996-1999e):

- The Constitution and the Bill of Rights;
- The Labour Relations Act;
- The National Education Policy Act;
- South African Schools Act;
- Employment Equity Act;
- Education Laws Amendment Act;
- Norms and Standards for School Funding;
- South African Council for Educators;
- National guidelines on school governance: First Steps: School Governance Starter Pack;
- National Guidelines for SGB's in adopting a Code of Conduct for Learners;
- South African Qualifications Authority Act;
- Skill Development Act;
- National Policy: Curriculum changes
- National Policy: admission policy for ordinary public schools;
- Education Law and Policy Handbook.

(Legislative Framework Collection, 1996-1999)

3.4 CRITICAL EVALUATION OF DEVELOPMENTAL APPRAISAL FOR EDUCATORS' MANUAL

The Education Policy Unit (EPU) of the Witwatersrand University published The Developmental Appraisal for Educators: A Facilitator's Manual, in 1998. The Education Labour Relations Council (ELRC) and the Teacher Trade Unions (SADTU and

NAPTOSA) agreed that the appraisal system would be characterised by the following features:

- The overall nature of the appraisal system would be in accordance with the EPU pilot study which was conducted.
- The approach would be developmental.
- Appraisal would be compulsory. It would apply to all levels of personnel within education, both inside schools and in the education departments.
- Appraisal would be tied to the nature of job descriptions for all levels of jobs.
- Appraisal would be implemented in all schools by 1999. The system itself would be “appraised” in 2000.

(Department of Education, 1998b:28)

The introduction of a new Appraisal instrument marked the beginning of a new era in staff appraisal particularly in South African education (Steyn, 2001 : 3). This notion is further elaborated in Developmental Appraisal for Educators (1998b : 3) as follows:

Developmental Appraisal consists the following features:

- a) SIMPLICITY: easy to understand and applies to educators;
- b) FEASIBILITY: can be administered in different types of institutions;
- c) LEGITIMACY: unions were involved in formulation hence educators take ownership, and
- d) FLEXIBILITY: is used for development and probationers.

(Department of Education, 1998b:28)

In terms of the Department of Education (1998b:03), development appraisal depends to a large extent on:

- ◆ The creation of a democratic organisational climate;

- ◆ The restoration of a culture of teaching and learning at public education institutions;
- ◆ The commitment of educators to lifelong learning, the hallmark of development, and
- ◆ Openness and mutual trust.

The Department of Education (1998b:3) consists of the following ongoing process:

- ◆ Reflective Practice: This ongoing activity requires educators to interpret and analyse the extent to which their performance meets objectives in serving the needs of clients with the intention to rethink current practice.
- ◆ Self-Appraisal: Educators undertake self-analysis and introspection in terms of their own performance, client questionnaire results as well as institution development plans. This is followed by self-evaluation in order to determine priorities for personal and professional growth.
- ◆ Peer Appraisal: This is the involvement of a colleague in assisting the appraisee to review his/her performance with a view to prioritising professional development needs.
- ◆ Collaboration: Educators working together to assist in problem solving e.g. educators taking the same grade or educators from different institutions involved in teaching a particular learning field or educators consulting with the support services of the Education Department.
- ◆ Interactive with Panels: Relationships have to be developed between members to work collectively to assist the appraisee to identify needs, formulate objectives, select professional development activities, implement such activities within time frames and to provide timeous feedback.
- ◆

The Department of Education (1998b:13) identifies three types of criteria for each job title (rank), namely core, optional and additional criteria. Beckmann, Bray et al (2000:139) define these types of criteria in the following terms:

- ◆ CORE CRITERIA: will be seen as primary elements of the responsibility of the person's job on which the person has no choice but to be appraised. They cover the essential elements of the job descriptions of the Educator.

- ◆ OPTIONAL CRITERIA: are criteria that are listed as core criteria, some of which may be made optional by the appraisal panel because of the contextual factors at institutions. A motivation for this reclassification has to be provided in the needs identification and prioritisation form.

- ◆ ADDITIONAL CRITERIA: are criteria that may be added depending on the needs of an institution and/or individual educators. The additional criteria should be discussed with the panel, supported by staff and agreed to by the Staff Development Teams. A motivation for the inclusion of additional criteria has to be given. It must be noted that reasons must be given for the reclassification of core criteria as optional and for the inclusion of additional criteria (Personnel Administration Measures, Chapter 2.6).

(Department of Education, 1998b:2.6)

The Manual for Developmental Appraisal for Educators states that "Developmental Appraisal is used to create a democratic organisational climate, to enhance the learning culture at institutions and harness commitment of Educators to development " (Beckmann, Bray *et. al.* 2000:140). The proposed Implementation plan for Developmental Appraisal was drafted in 1998 (see Appendix K).

According to the Education Labour Relations Council Manual for Developmental Appraisal for Educators, the appraisal process is expected to be co-ordinated by a staff development team (SDT), consisting of the Principal, elected staff members and other stakeholders. The Staff Development Team will initiate, co-ordinate and monitor appraisal in terms of the management plan Developmental Appraisal for Educators (Department of Education, 1998b:4). Throughout the process of Developmental Appraisal “a file shall be kept for each educator, in which his/her ongoing development is recorded” (Barasa and Mattson, 1998:57).

A summary of types of documentary forms to be included in an Educator’s file are given in Developmental Appraisal for Educators (Department of Education, 1998b:6) as follows:

The Education Labour Relations Council for Developmental appraisal for Educators consists largely of the instruments for developmental appraisal for the following levels: post level one; head of department; deputy principal/principal and educators based outside institutions. Much time is spent on discussion and the description of the core criteria for each post level (Barasa and Mattson, 1998:57). The Manual inevitably inhibits the tension between promoting professional accountability and promoting professional autonomy (Barasa and Mattson 1998:58).

The Manual proposes the structures for facilitating and co-ordinating developmental appraisal for Educators as follows:

- National Appraisal Team (NAT)
- Nine Provincial Appraisal Teams (PATs)
- Each Province Will Have Many District Appraisal Teams (DATs)
- Each district must ensure that each school has a staff development team (SDTS)

The Manual proposes three stages of the Appraisal process, namely pre-appraisal; appraisal, and post appraisal.

In the Pre-Appraisal Stage, the following occurs:

- Set up Appraisal Panel and clarify roles;
- Appraisees complete three forms, namely:
 1. Personnel details form;
 2. Professional growth plan form;
 3. Prioritisation form.

In the appraisal stage, if an educator is appraised, the following occurs:

- Classroom lessons are observed twice. The first observation visit is announced and the second is unannounced. (The appraisee has agreed to this). Two people should do these observations.
- When observing lessons, appraisers use agreed criteria.
- Appraisers also look at learner portfolios, Educator's lesson plans and other documents.
- Results are discussed with appraisee educator.

If managers are appraised the following occurs:

- Instead of classroom observations, managers are observed in management situations.
- Criteria for judging good management are also pre-decided by the manager's appraisal panel (which includes the manager).
- Management plans, records and other documents are also looked at by the appraisers.
- Results are discussed with appraisee manager.

(Department of Education, 1998b:37)

In the post-appraisal stage, the following occurs:

- Appraisers report back to appraisal panel, with an appraisee present
- Results are discussed openly and honestly. The appraisee has opportunity to explain own professional practices. At this point a number of "contextual factors" will be considered as part of the educator's performance.
- Overall agreements are reached by the whole panel, including appraisee.
- Final Report, which includes recommendations for professional development;
- Signature by all members of appraisal panel. Final Report becomes an official document. It is included in the appraisee's personnel file and the educator will have access to his/her file.

(Department of Education, 1998b:37)

The Manual spells out five steps of the Appraisal Process as follows:

- STEP 1: Start the process;
- STEP 2: Educator's self-appraisal;
- STEP 3: Panel's appraisal;
- STEP 4: Discussion, and
- STEP 5: Final report.

The 5 steps of the appraisal process may be diagrammatically represented as follows:

STEP 1 : Start the process Elect SDT Conduct workshops at school Appraisee selects appraisal panel, including chairperson Agree on appraisal process
--

STEP 2 : Educator's Self-Appraisal <ul style="list-style-type: none">- Personal Details- Professional Growth Plan- Self-Appraisal on Prioritisation form	STEP 3 : Panel's Appraisal uses Criteria on Prioritisation Form <ul style="list-style-type: none">- Announced class visit- Unannounced class visit
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STEP 4 : Discussions (including "contextual" factors) "Discussion Paper" <ul style="list-style-type: none">- Personal Development Programme- Learners' Feedback (Optional)

STEP 5 : Final Report Formal acknowledgement by panel, incl. Appraisee.
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(Department of Education, 1998b:37)

The Appraisal Manual comprises Self-Appraisal, Classroom observation and the compiling of the Educator's Portfolio (Developmental Appraisal for Educators 1998b:91 and Steyn, 2000:11). Steyn (2000:11) elaborates on classroom observation as explained in the Manual as follows: "The Document on Developmental Appraisal for Educators (Department of Education, 1998b:91) suggests that teaching should be observed at least twice to make fair judgement. It also includes looking at learners' portfolios, lesson plans and other documents used by the educator."

The fourfold major strengths of the Education Labour Relation Council Manual for Developmental Appraisal are identified by Barasa and Mattson (1998:58-61) as follows:

- ◆ Promotes the democratic principle of accountability, as well as professional development

From the stated aims and rationale for its introduction, both of which emphasize professional development of Educators and improved service delivery (of both the teaching practice and education management), developmental appraisal is meant to serve both purposes (Barasa and Mattson 1998:58).

- ◆ Embraces all stakeholders, actively involve the appraisee and grant the "right" of reply

From its composition, it is evident that the appraisal panel embraces all stakeholders, namely Educator's peer, Union, management, employer and the community.

The educator is an active participant rather than a passive subject of the appraisal process (Barasa and Mattson, 1998:59) in the major strength of the structure envisaged by the manual for developmental appraisal for educators this may be seen as an attempt to develop accountability among educators, promote a partnership approach to school practices and development and do both without seriously compromising the educator's democratic and professional rights. It may

be argued that the manual for developmental appraisal for educators reinforces the democratic dimensions advocated by other policy documents (namely norms and standards for educators, code of conduct, duties and responsibilities for educators) by introducing an appraisal procedure which is all inclusive; that is, it involves the input of all stakeholders, including learners (see Appendix L).

(Department of Education, 1998b:43)

◆ Accommodates contextual diversity by allowing for flexibility and choice

The Optional Criteria and Additional Criteria are to be decided on by individual appraisal panels. The optional criteria allow the educator to choose which of the core criteria do not necessary apply to his/her current appraisal cycle. The appraisee is asked to identify which criteria are: a priority for the current cycle; a priority identified for the future cycles, or not a priority because the educator's performance is keeping with the expectation (Barasa and Mattson, 1998:60).

◆ Clearly defines and operationalises the appraisal criteria

“A major strength of the instruments for appraisal is the comprehensive definition and operationalisation of all terms and concepts used in appraisal.” (Barasa and Mattson, 1998:60).

The threefold major weakness spelt out by Barasa and Mattson (1998:61-63) are as follows:

- ◆ If used unskillfully, could compromise professional autonomy

Caution against the possible manipulation of the developmental appraisal manual to achieve goals that might not be explicitly stated: the possibility of a hidden agenda needs be guarded against.

- ◆ Relies heavily on the assumption that educators possess a high degree of reflexive competence

“The appraisal structure and process demand that certain roles be played by the educator, for which possession of certain competence is assumed. The educator, for instance, is expected to “... undertake self-analysis and introspection of his/her performance, learner questionnaire results as well as school development plans. This points to the role of the educator as a researcher, scholar and lifelong learner and to a lesser extent a manager” (Barasa and Mattson 1998:62 and Developmental appraisal for Educators, 1998:38).

- ◆ Does not explicitly evaluate the educator’s role in promoting the democratic and human rights values

The Manual for Developmental Appraisal omits “the democratic and human rights dimension in the proposed appraisal criteria: a move that is likely to defeat the very democratic practices that most of the policy documents seek to promote” (Barasa and Mattson, 1998 : 63).

The Manual seems to be “poorly presented”, unnecessarily convoluted and vague and often open to misrepresentation and while it is problematic for first language users, it is likely to be almost impenetrable for those whose language is other than English (A.P.E.K. Research Questionnaire on Developmental Appraisal System (Ogle, et. al. 2001:2). The Manual seems to be “somewhat involved and drawn out

and is criticised for what is perceived to be 'jargon' (A.P.E.K. Research Questionnaire on Developmental Appraisal System" (Ogle, *et. al.* 2001:2).

3.6 CONCLUSION

Chapter 3 basically explored the different methods to be applied when appraising educators. The methods discussed are compatible to different situations and appraisers and appraisees must discuss the significance of applying different methods prior to applying them in the process of appraisal.

The methods dealt with in this study are the following: Multi-Person Comparison comprising Paired comparison, Ranking order determination and Forced distribution with special reference to the appraisal of educators. Other methods are Critical Incidents; Graphic Rating Scales; Behaviourally Anchored Rating Scales (BARS); Management by Objectives (MBO); 360 Degree Feedback and Essay Appraisal Method (Kroon, 1996:175) and Roos, 1997:8).

Still other performance appraisal methods such as performance reviews; the field review method, self-appraisal and assessment centres are considered. The methods of appraisal studied might be combined or applied on their own. The methods applied are only applied by means of a cycle/process of appraisal mostly consisting of the following stages: initial meeting; educators' self-appraisal; classroom observation; debriefing following observation; collection of any other relevant data; the appraisal review; the agreed targets; preparation of an appraisal statement; use and retention of appraisal records, and follow-up and review. Many authors suggesting that the appraisal of educators be conducted over a cycle/process of two years for each educator with special reference to Gane and Morgan (1992:90) and Fisher (1996:150), insisting that "All managers and members of staff are to learn from the successes, challenges and problems inherent in their day-to-day work and are to be really willing and able to meet development and improvement needs as they arise".

The study indicated that problems and errors are inevitable in the process of appraising educators. Problems and errors may have serious legal implications born out of the democratisation of the process of appraisal of educators globally. Teachers' Unions and the Educators' Labour Relations Council have critically appraised the process of developmental appraisal of educators by establishing criteria for appraisal of educators that will to an extent monitor the degree of transparency in the process of appraisal of educators.

CHAPTER FOUR

METHODOLOGY

4.1 INTRODUCTION

This chapter sets out the methodological procedures applied in the study; the method of investigation selection of samples and research design. The chapter explains the pilot study, the data collection procedures, questionnaires, interviews and observations conducted in schools in the Free State Province about the implementation and management of developmental appraisal of educators in the Free State Provincial schools.

4.2 RESEARCH METHODOLOGY

The collection of data was both dependent on the qualitative and quantitative approaches.

4.2.1 Research Approach

An explorative survey technique is intensively applied in this study because, according to Barbie (1998:256); Welman and Kruger, (1999:190); and Newman (1997:265), a survey is a method best applied in collecting original data for describing a population too large to observe directly. Careful probability sampling provides a group of respondents whose characteristics may be taken to reflect those of the larger population and carefully constructed questionnaires provide data in the same form from all respondents. In this study, the researcher is directed towards understanding the uniqueness and the idiosyncrasy of each educator pertaining to the strategies applied, when implementing and managing developmental appraisal of educators in the Free State Province.

In Chapter 1 of the study, it was highlighted that for the sample to be representative of the accessible population, a combination of sampling techniques will be deployed. Only secondary schools of a particular sub-section of the said Free State Province main cities were selected to conduct the survey.

The study was predominantly qualitative. The reason for selecting such an approach is subject to portraying an in depth knowledge of what is being studied; to provide a detailed understanding to the one who has not experienced the scenario being researched (Welman and Kruger, 1999:190).

From Barbie (1998), Welman and Kruger (1999) and Newman (1997), it is indicative that the best method to collect original data for describing a population, too large to observe directly, is a survey technique. The survey technique facilitated the gathering of information by the researcher from educators of various schools of the Free State Province.

The research conducted by Mokgalane, E., Carrin, N., Gardiner, M. and Chisholm, L. (1997); The Department of Education in 1998; and the study conducted by conducted by Ogle *et. al.* (2001), facilitated the need to research the strategies to be implemented and managed in the process of appraising educators in schools of the Free State Province schools.

Discussions in which educators were involved regarding this practice and the interest of other stakeholders in the management of appraisal of educators, allowed the researcher to gather sufficient information for the preparation of the questionnaires, because of the significance of appraising educators and the benefits thereof had to be understood by all.

4.2.2 Research Method

During the study, the researcher discovered it appropriate to enquire directly from the respondents concerning the need for the implementation and proper management of developmental appraisal in schools; the strategies in place when appraised, and their degree of effectiveness.

The approach of the study, which is more qualitative, allowed the researcher to be more involved in the scenario of appraisal of educators so as to gather direct information from observations. As Ary, Jacobs & Razavieh (1990:445) emphasize, the qualitative approach in research allows one to comprehend depths of what one has not experienced.

According to Henning, Van Rensburg, and Smit, (2004:3-6) qualitative research is referred to as an inquiry using terms denoting qualities, characteristics and/or the properties of a phenomenon examined for better understanding and explanation. Therefore, for the researcher to explore and gather relevant information about the qualities, characteristics and even properties of the phenomenon (educators in the case of the study). The researcher is to be engaged in other research actions such as: observations, surveys, interviews and questionnaires Henning, et. al. (2004:5)

Qualitative research approach concentrates more on to finding a pattern and a reason for why something is happening. In the study, the qualitative approach was applied to discover how appraisal was implemented and managed in the teaching and learning situation of the Free State Province schools. Furthermore, the qualitative approach enables the researcher to explore the developmental aspects of the system of appraising educators.

Qualitative approach enabled the researcher to find out how the appraisal of educators is implemented and managed in Free State Province schools. The qualitative approach allowed the researcher to acquire the indepth knowledge

about the phenomenon rather than “quantity of understanding”. The advantage of applying qualitative approach is to allow the researcher to be involved in the settings of the phenomenon (to allow the researcher to be part of the situations that educators are faced with in appraisal (Henning et. al. 2004:3-4).

The qualitative research method for this study of *strategies for the implementation and management of developmental appraisal was used*. “The qualitative approach was applied because it is relatively more open and broader in the way of tackling a problem of strategies to be implemented and managed in the process of developing educators in the appraisal of educators in Free State Province schools”, not negating the parallels and areas of overlap between a qualitative approach and quantitative approach (Mouton and Marais, 1996:163).

4.3 RESEARCH DESIGN

The research was conducted at both the primary and secondary schools of the Free State Province, subject to factors such as time, distance and money. The researcher’s accessible population were educators in main cities in the Free State Province, namely Bloemfontein, Welkom, Kroonstad, Thaba-Nchu and Qwa-qwa.

The sampling techniques applied in this study are presented as follows:

4.3.1 Population

Population is defined as a larger group from which a researcher intends to generalize (Ary, Jacobs & Razavieh, 2002:565).

4.3.2 Sample

The sample of the study consisted of 250 educators of whom 238 (95.2%) responded.

To access the targeted population for the study, a combination of sampling techniques was deployed. A simple random sampling technique, a cluster sampling technique and stratified random sampling technique. A simple technique was deployed to ensure each school from the targeted population the same chance of being included in the sample to be studied (Welman and Kruger, 1999:52).

A cluster sampling technique was deployed to ensure that schools of the centres identified namely Bloemfontein, Welkom, Kroonstad, Thaba-Nchu and Qwa-Qwa, were grouped together. Both primary and secondary schools irrespective of racial groups were included in the sampling process, to ensure that biasness of selecting a particular group of schools from one centre more than the other group of schools in another centre was addressed (Welman and Kruger, 1999:61).

A stratified random sampling technique according to Welman and Kruger (1999:55) was deployed to ensure that schools of the same category are included equally in the sample for the study. The process of sampling and adding schools to the sampled population was repeated in cycles until a point of saturation was reached. Each cycle consisted of 25 schools and their universum of educators.

For a complete picture, principals and Heads of Department (HODs) of the 25 sampled schools were included.

The application of the cluster sampling technique used, viz. simple random sampling, was based on costs and effectiveness.

A statistical sampling technique called cluster sampling was used to identify an adequate number of schools in the Free State Province from which to draw the sample. Viera et.al. in Litheko (2001:82) state that in cluster sampling, “relevant

characteristics are identified and then successively sampled". In applying the statistical sampling method, all schools in main cities of the Free State Province were identified.

Cluster sampling is more convenient where the geographic distribution (Free State Province schools) is widely scattered (Selaledi 1996:64 in Litheko 2001:82).

4.4 INSTRUMENTATION

4.4.1 The pilot study

The pilot study was conducted on the basis of the resolution passed on 28 July 1998 in Parliament collectively with the Educators Labour Relations Council document published in 1998. The document was expected to be implemented in January, 1999 (Department of Education, 1998b:iv).

In the pilot study the challenges of the instrument to educators and other educational officials were observed.

From the pilot study, it was observed that the aspect of Panels involved in the procedure of appraising educators for developmental purpose was motivating and allowed transparency in the process.

Educators in the Free State Province schools indicated that the instrument of appraisal is not an end in itself but a means to a larger end, the democratization and enhancement of learning and teaching in schools (Mokgalane *et.al.* 1997:2).

In the pilot study conducted in the Free State Province for the study fewer subjects than those employed in the main study were made use of. The subjects assisted in improving the method of the collection of data. The pilot study

provided additional knowledge that helped the researcher to determine the feasibility of an investigation (Litheko 2001:83).

Furthermore, the pilot study greatly reduced the number of data gathering difficulties anticipated in the main study (MSRC 1997:39, in Litheko 2001:83).

The pilot study was conducted by the researcher by means of interviewing and observing the implementation and management strategies applied in the process of appraising educators, particularly in the Free State Province schools irrespective of racial groups.

Questions posed were to investigate what was actually taking place in the Free State Province schools about DAS. The guiding document for formulating questions was the Manual for Developmental Appraisal for Educators published by the Department of Education, 1998b. Ten (10) schools selected to conduct the pilot study were mainly from the Bloemfontein. Both primary and secondary schools were randomly selected.

Educators indicated a positive response towards Developmental Appraisal for Educators.

4.5 DATA COLLECTION PROCEDURES

Chapter 1 indicated that quantitative questionnaires are to be used to establish a general picture of the research topic as well as to provide a reliable reference against which cross referencing could be done. Only educators in Free State province schools will be asked to complete the questionnaires.

4.5.1 The Questionnaire

Permission to conduct the research in Free State Province schools was granted by the Head of Department of Education. Letters to respective schools selected from random cluster sampling included the letter from the research department of the Free State Province sent to schools requesting permission to conduct interviews as well as to control questionnaires.

Aim and objectives of the study were outlined and further discussed telephonically with principals: Appendix "M": for permission granted by the Free State Province Research Council. Appendix "N": the researcher with Aims and Objectives of the study. Questionnaires distributed to the 5 main cities of the Free State Province schools (Bloemfontein, Welkom, Kroonstad, Thaba-Nchu and Qwa-qwa as per sample).

Making use of research assistants to collect the questionnaires from respondents facilitated the process of increasing response rate (Department of Education, 1998b:38).

After 4 weeks, a total of 238 questionnaires were received from sampled schools, which amounted to a 95.2% return rate. Ten more questionnaires were received after the return date, and they were not included in the final statistical analysis of responses. A further 2 questionnaires were incomplete and not considered.

The questionnaire was ethically considered as indicated in Chapter 1. The information was obtained from respondents without acknowledging identities and would be treated with utmost respect and confidentiality. No schools or educators will be consulted in future in connection with the questionnaire (see Appendix O).

4.5.2 The Interviews and Observations

In chapter 1 it is stated that a variety of techniques would be applied to evaluate even the finest details of the study. Interviews with educators at appropriate times were conducted in schools sampled for the study. Principals were requested to allow time according to schedules not encroaching in learning situation

From the 25 schools selected as sample in 5 main cities of the Free State Province, ten principals were interviewed to establish whether the necessary documents, workshops and preparation for the implementation and management of developmental appraisal for educators was on line. The interviews were to investigate the plan of action and the methods applied in the process of appraising educators. Five (5) Heads of Department (HODs) were interviewed in terms of their contribution as subject or learning area specialists in the process of appraising and developing educators. There were questions probing the supportive role of Heads of Department (HODs regarding educators, and the professionalisms prevailing at school.

Educators were not interviewed in the presence of Principals and HODs. The purpose of conducting interviews separately was to ensure confidentiality and to facilitate the research. Educators' interviews were based on the structures in place to protect their interest in the workplace pertaining to the implementation and management of DAS in respect of educators in schools.

Conversations and informal discussions were used to probe into issues that could not be raised in arranged interviews. Direct observations were conducted to find out precisely what was happening in classrooms.

Most questions asked in interviews, discussions or conversations, were unstructured because they were posed after the observation session in the classroom or outside. Mostly, the questions were based on the things observed in the classroom, like number of learners in the classroom affecting the core criteria of creating a positive learning environment and other contextual factors such as the shortage of other learning facilities such as overhead projectors and television sets. The unstructured questions allowed spontaneity and free flow in the conversation. Since the researcher was predominantly the gathering instrument, a technique to record the data/findings was developed using key words, signs, symbols and structures. All interviews were transcribed and decoded within 24 hours of the interviews to facilitate data analysis and interpretation (see Appendix O).

The procedures for conducting interviews telephonically, face-to-face and observations are outlined below.

4.5.2.1 Procedure for Telephonic Interviews

According to Neuman (1997:252) telephone interviews are a popular method of in eliciting information within a few days, and with several callbacks, the response rate can reach 90% during the telephone interviews:

- ◆ The researcher introduced himself to the subject after the subject responded to the call;
- ◆ The subject was informed that the interview was being recorded, that confidentiality was assured and that information would only be used for the study;
- ◆ The subject was reassured that the time for the interview would not exceed 5 minutes;
- ◆ The researcher proceeded with questions and recording of data;

- ◆ Responding to questions the subject was at ease over the phone because of no face-to-face contact. This reinforces what Barbie (1998) maintains about unstructured questions which enable interviewees to respond to questions in the most comfortable way.

Questions posed over the telephone were mainly administrative and concerning the DAS. Questions to the principals were as follows:

- ◆ How has Developmental Appraisal for Educators affected staff and learners?
- ◆ What can those who support Developmental Appraisal for Educators do to keep it alive in their schools?
- ◆ Assuming that you need to develop a more efficient and formal Developmental Appraisal for Educators for your school, list the information, skills, strategies and resources you will need to accomplish this.

Questions to Heads of Department (HODs):

- ◆ What training and support, did you and you colleague receive for Developmental Appraisal for Educators?
- ◆ Did your school experience any problems in organizing and administering the Developmental Appraisal for Educators?
- ◆ What is your overall impression of the Developmental Appraisal for Educators as it is currently designed and implemented?
- ◆ How do educators respond to Developmental Appraisal for Educators?

Questions posed to 20 Principals and Heads of Department interviewed telephonically.

4.5.2.2 Procedure for Face-to-Face Interviews

Face-to-face interviews have the highest response rates and permit the longest questionnaires. Face-to-face interviewers can also observe the surroundings and can use non-verbal communication and visual aids (Neuman, 1997:253).

Face-to-face questions to Principals:

- ◆ What is the controversy concerning Developmental Appraisal for Educators?
- ◆ What is the most optimistic scenario regarding the future of Developmental Appraisal for Educators?
- ◆ What is your opinion of the quality and effectiveness of the training and support?
- ◆ What is the format of the Developmental Appraisal for Educators in your school?

Face-to-face questions to Heads of Department (HODs):

- ◆ Do you think that Developmental Appraisal for Educators should be linked to staff development/empowerment programmes? Why?
- ◆ Are there any suggestions you would like to make about how the training and support might have been improved?
- ◆ Please give your opinion on the number and type of forms to be completed in the Developmental Appraisal for Educators.
- ◆ What role does the School Governing Body play in Developmental Appraisal for Educators?

4.5.2.3 Procedure for Observations

- ◆ Make arrangements with the Principal of the school to conduct observations;
- ◆ Explain to educators what is to be observed.

Barbie (1998:293) maintains that a researcher cannot trust his/her memory and that during observations notes must be taken. Barbie further maintains that a researcher must be intelligent in taking notes to refer to when compiling a report at the end of the project.

4.6 VALIDITY, RELIABILITY AND TRUSTWORTHINESS

The validity, reliability and trustworthiness of the questionnaires from respondents depends on a number of factors, such as the presence of the researcher during the appraisal process and to observation of the interrelations of the appraisal team and the educator appraised. This is further determined by the honest response of respondents in questionnaires and conducted interviews by the researcher. Barbie, (1998:30) feels that qualitative research seem to provide more valid measures than survey and experimental measurements, which are often criticized as superficial and not really valid. Therefore, a certain degree of validity can be measured in the study because the researcher is directly affected by the appraisal system of educators.

The ability of the study is measured in terms of what is to be analysed from the respondents, bearing in mind that the sample represents the larger population of the Free State educators. Reliability of the study is dependent on anonymity and the responses provided during data collection.

The validity, reliability and trustworthiness of the research method and techniques applied in the research study was measured by mixing the quantitative research approach to analyse the responses of educators from questionnaires and interviews and observations. Meanwhile the qualitative of research approach was predominantly applied in the study to explore the educators point of view in the situation in which educators are involved (Neuman, 1997:328). The qualitative research approach allowed the researcher to generate new concepts (which are the strategies for the implementation and management of developmental appraisal for educators). The qualitative approach has also allowed the researcher to be involved in documenting real events through observation (Neuman, 1997:328). Furthermore, the qualitative approach research method enabled the researcher to record what educators say (with words, gestures and tone), observing specific behaviours during appraisal process, studying written documents. The validity, reliability and trustworthiness of the research method and techniques in the project was that of the researcher mingling with the real world of appraising educators in the classroom or outside the classroom (Neuman, 1997:328).

4.7 CONCLUSION

The method followed regarding the collection of data from subjects has focused on research approach, research method, research design, instrumentation and data collection procedures. The details on how information must be collected by the researcher to analyse the results of the study are presented in chapter 5. The results of the data collected in chapter 4 will be tabled in chapter 5 where responses from respondents will test the hypotheses and suggest strategies for the implementation and management of developmental appraisal of educators in the Free State Province Schools.

CHAPTER FIVE

RESULTS OF THE STUDY

5.1 INTRODUCTION

This chapter deals with the analysis of the results of the study. It analyses the sections dealt with within the questionnaire, the interviews conducted telephonically, face-to-face, and observations.

In chapter 4, information was gathered by the researcher through observations, interviews and questionnaires. The data gathered was for ensuring whether the preparation stages and implementation of developmental appraisal for educators' stage with Free State Province schools properly planned.

Observations were just pre-planned and arrangements done with principals. Questions were mostly unstructured based on preparatory and implementation and management of DAS.

Interviews also consisted of questions about feelings of educators in the province about DAS.

The questionnaire consisted of the biographical details of respondents, preparatory stages for the implementation and management of DAS in the Free State Province schools, and the actual implementation of DAS.

5.2 BIOGRAPHICAL DETAILS OF RESPONDENTS

The biographical details of the questionnaire are compiled on the basis of the following independent variables:

- ♣ Gender
- ♣ Current post level held by educator
- ♣ Present age
- ♣ Teaching experience in years
- ♣ Highest professional qualification
- ♣ Highest academic qualification

Of the 250 questionnaires distributed to respondents, 238 (95.2%) were returned; 10 (4%) were returned later than the expected date and were not considered for statistical records, and 2 (0.8%) were not completed by respondents.

Table 5.1 Return rate

Questionnaires	%
238 (returned)	95.2
10 (delayed)	4
2 (spoilt)	0,8
250 (Total)	100%

5.2.1 Gender categories of Respondents

Table 5.2 Gender analysis

GENDER	AMOUNT	%
Male	103	43.28
Female	135	56.72
	238	100%

The frequency distribution of males and females indicates that the number of female participants in the study was larger than the male participants depicting a general view in Free State schools.

5.2.2 Current post level held by educators

A frequency distribution of posts to participants of the study, as reflected by the questionnaire, is shown graphically below:

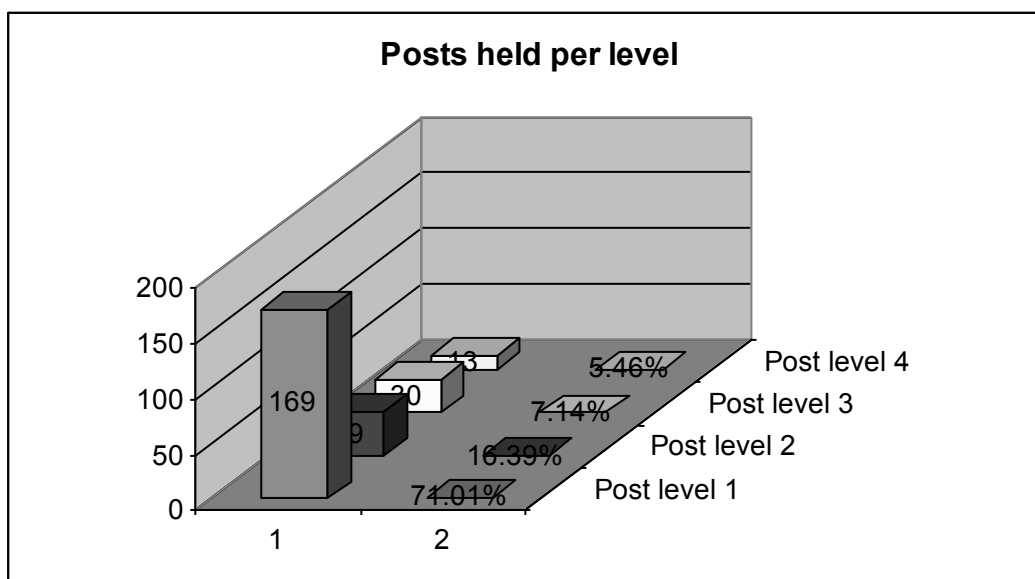


Figure 5.1 Post level held by educators

From the 238 questionnaires received, posts were distributed as follows: The graph shows that for Post level 1 (Educators), 169 of 238 (71.01%) participated in the study of 238 respondents; 39 of 238 (16.39%) Post Level 2 (Heads of Departments) constitutes not even half of Post level 1 (Educators); Post level 3 (Deputy Principals) make up 30 of 238 (7.14%) of the study. Post level 4 (Principals) constitutes 13 of 238 (5.46%) of the study.

5.2.3 Present Age and Teaching Experience of respondents

Regarding the 238 questionnaires, constituting a return rate of 95.2%, the frequency distribution has shown a relationship between the age and teaching experience of respondents.

Table 5.3 A bivariable table of present age and teaching experience of respondents.

Present Age	Count	%	Teaching Experience	Count	%
30 years or Younger	43	18.07	10 years or less	90	37.82
31 – 40 years	103	43.28	11 – 20 years	102	42.86
41 – 50 years	70	29.41	21 – 30 years	35	14.71
51 – 60 years	20	8.40	31 – 40 years	10	4.20
Older than 60 years	2 f	0.84	More than 40 years	1	0.42
TOTAL =	238	100%		238	100%

The frequency distribution table has indicated a comparative relationship between the present age of respondents and the teaching experience, in the sense that the age of 30 years or younger is paired with experience of 10 years or less. Whilst the study has not concentrated on those variables in essence, it is noticeable that experienced educators ranging from the age of 31 to 40 years (43.28%) with experience of 11 to 20 years (42.86%) make up most of the sample.

5.2.4 Highest professional qualification of respondents

The 238 respondents of the study indicate the following concerning the professional qualifications obtained by the sample population:

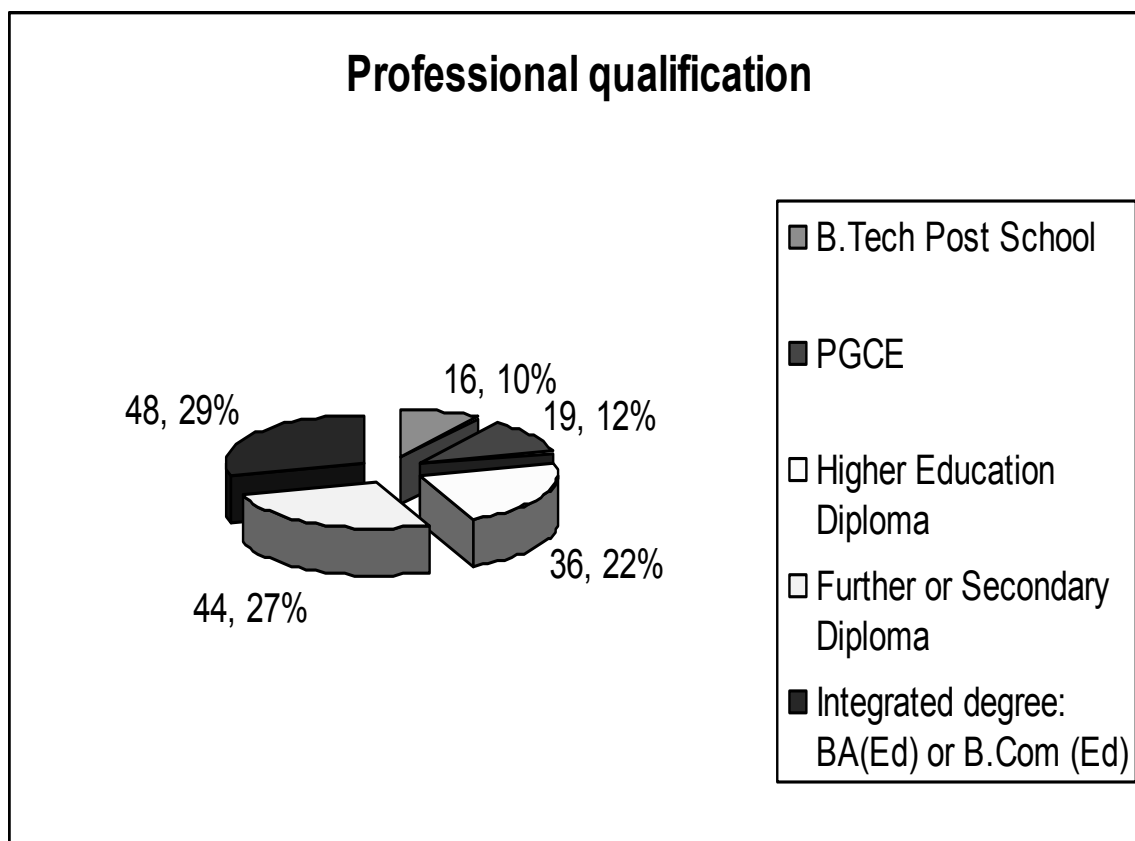


Fig. 5.2 Highest professional qualifications

The graphical presentation of the professional qualification of respondents is as follows:

67 (29.13%) of the 238 respondents have a Teachers Diploma which is the basic training certificate in Education. 48 (20.87%) of the respondents obtained an Integrated Degree (BA Ed or B.Com(Ed) and, 44 (19.13%) respondents had qualified in Further or Secondary Education. Educators with a Higher Education Diploma amounted to 36 (15.65%); 19 Post Graduate Certificate educators

(PGCE) constituted 8.26% of the sample. The smallest count was 16 (6.96%) educators with a professional qualification of B.Tech: Post School.

5.2.5 Highest academic qualifications of respondents

Academically the frequency distribution table reveals the following information.

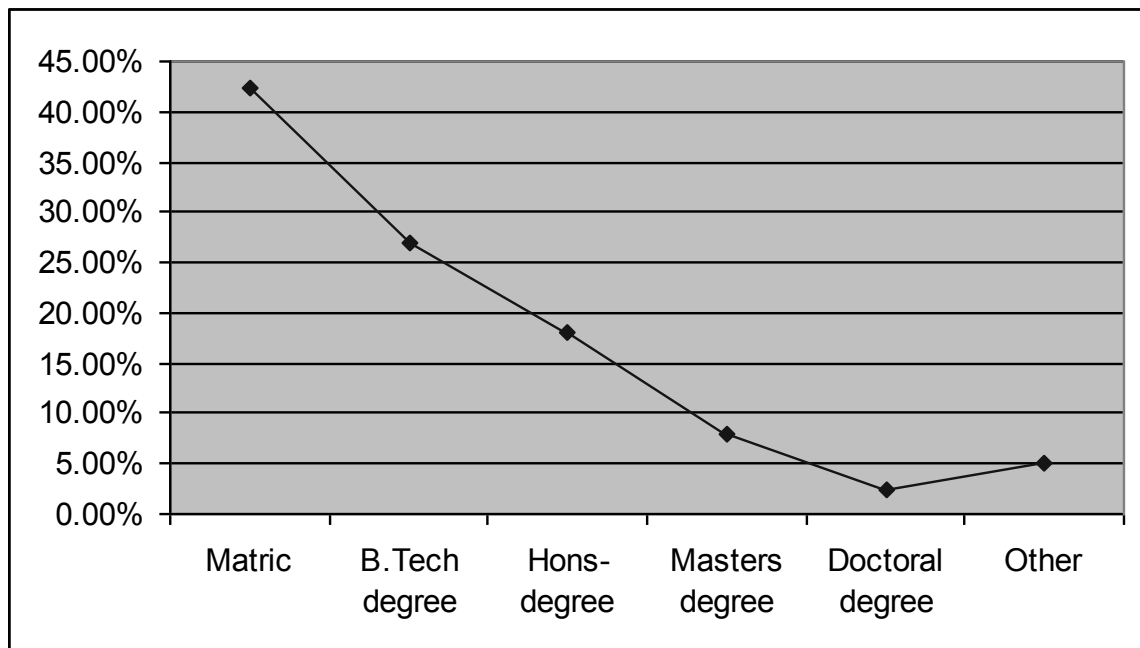


Fig. 5.3 Academic qualifications

The academic qualifications obtained by respondents (sample), is graphically presented, indicating that 94 of 238 (42.34%) respondents have a highest academic qualification of matric, while only one (1) of 238 (0.45%) has a doctorate degree.

The biographical details of respondents are of greater assistance in trying to paint a picture of the sample that the researcher is to analyse. However, not every aspect will be verified as they are subject to a limitation of time and costs.

5.3 PREPARATORY STAGE FOR THE IMPLEMENTATION AND MANAGEMENT OF DEVELOPMENTAL APPRAISAL OF EDUCATORS IN FREE STATE PROVINCE SCHOOLS.

This section is about basic aspects in the process of preparing for the implementation and management of Developmental Appraisal of Educators in Free State schools:

All educators responded to the questions irrespective of post levels because all educators are appraised:

Table 5.4 Preparatory stages for DAS

No.	QUESTIONS	YES		NO	
		Count	%	Count	%
1.	Does your school have a copy of the DAS Manual?	229 of 238	97.45	6 of 238	2.55
2.	Is an appraisal system in place at your school?	228 of 238	96.20	9 of 238	3.80
3.	Have you ever been appraised?	205 of 238	89.52	24 of 238	10.48
4.	The Developmental Appraisal for Educators includes a Panel Appraisal. Did you find this to be of value?	203 of 238	85.65	24 of 238	14.35
5.	The Developmental Appraisal for Educators includes a professional growth plan (PGP). Has this been useful to you?	191 of 238	80.93	45 of 238	19.01
6.	Was sufficient time allocated to you to prepare for your Developmental Appraisal for Educators?	179 of 238	75.53	58 of 238	24.47

7.	Did you find <i>criteria, definitions, expectations</i> and <i>rating scale</i> in the Developmental Appraisal for Educators relevant and easy to understand?	177 of 238	74.68	60 of 238	25.32
8.	Has your experience of the Developmental Appraisal for Educators contributed positively to your personal and professional development?	179 of 238	75.53	58 of 238	24.47
9.	Does the Developmental Appraisal for Educators Panel plan and co-ordinate Educators' development activities?	170 of 238	72.34	65 of 238	27.66
10	Were you actively involved in the identification of needs which are addressed by the Developmental Appraisal for Educators Panel?	166 of 238	70.34	70 of 238	29.66
11.	Have you been consulted about the content and planning of Developmental Appraisal for Educators?	166 of 238	70.34	70 of 238	29.66
12.	Does Developmental Appraisal for Educators result in better performance by educators?	203 of 238	86.02	33 of 238	13.98
13.	Would you recommend that Developmental Appraisal for Educators' attendance be made compulsory?	197 of 238	83.83	38 of 238	16.67

Preparatory stages for the implementation and management of Developmental Appraisal for Educators is covered by 13 questions in the questionnaire. The responses of respondents indicated the following:

The 229 of 238 (97.45%) responses indicated that most schools have access to Developmental Appraisal for Educators Manual. 228 of 238 (96.20%) indicated that the appraisal system is in place in schools by and 205 of 238 (89.52%) educators indicated that they have been appraised.

The manual for Developmental Appraisal emphasizes the Panel for Appraisal of Educators (Department of Education, 1998b:10)

. The value of the Appraisal Panel is affirmed by 203 of 238 (85.65%). The professional growth plan drafted by the Panel of Appraisal at the end of each session of appraisal is accepted by 191 of 238 (80.93%) educators. The time allocated for preparation for appraisal was sufficient according to the responses of 179 of 238 (75.53%) educators. Most respondents viz. 177 of 238 (74.68%) showed that the *criteria* set by the Developmental Appraisal for Educators Manual, the *definition of terms* applied in the process of appraisal of educators expectations of the system and the *rating scale*, were generally adequate.

The frequency table report also indicated that 179 of 238(75.53%) educators experiences are positive and contributed to personal and professional development of educators.

The process of developmental and appraisal for educators is accompanied by a professional growth plan (PGP) prepared by the educator appraised and the Staff Development Team consisting of the panel of appraisal, which co-ordinates educators' development activities. Respondents indicated that 170 of 238 (72.34%) panels are involved in the process of planning and co-coordinating activities for the development of educators. 166 of 238 (69.75%) indicated that the process of identifying needs or areas for development of educators is not confined to the panel or the SDT only but is more inclusive, better planned and that proper consultation is conducted.

The responses regarding preparatory stages have shown an overwhelmingly positive response from respondents.

5.4 ACTUAL IMPLEMENTATION AND MANAGEMENT OF DEVELOPMENTAL APPRAISAL OF EDUCATORS IN FREE STATE PROVINCE SCHOOLS

Table 5.5 Actual Implementation of DAS

- 1 = Agree
 2 = Agree to some extent
 3 = Uncertain
 4 = Disagree to some extent
 5 = Disagree

The actual implementation and management of DAS in schools all educators responded to the questions because all educators are to be appraised.

THE ROLE OF DEVELOPMENTAL APPRAISAL FOR EDUCATORS PANEL (DAS) AND STAFF DEVELOPMENT TEAM (SDTS)

No.	CATEGORY	1	2	3	4	5
		% No.	% No.	% No.	% No.	% No.
1.	The principal and the entire DAS panel provide leadership to the educator concerned about teaching and management of Developmental Appraisal for Educators;					
	Management DAS	53.78 128 of 238	17.23 41 of 238	10.92 26 of 238	10.08 24 of 238	7.98 19 of 238
2	The DAS panel encourages questions, problem identification and problem solving by educators;					
	Management DAS	58.40 139 of 238	23.11 55 of 238	12.18 29 of 238	2.52 6 of 238	3.78 9 of 238
3.	The principal and the entire DAS panel encourages an open door policy during appraisal sessions;					
	Management DAS	56.30 134 of 238	21.01 50 of 238	11.34 27 of 238	6.30 15 of 238	5.04 12 of 238
4.	Educators feel free to disagree with the principal and the entire DAS panel during appraisal sessions;					
	Management, DAS & Educators	48.74 116	19.75 47	12.18 29	11.34 27	7.98 19

	of 238	of 238	of 238	of 238	of 238
5. Educators in the school feel free to introduce new ideas about the Appraisal of Educators;					
Educators	39.92 95 of 238	29.83 70 of 238	15.97 38 of 238	5.04 12 of 238	9.24 22 of 238
6. Staff Development Teams (SDTS) meetings are held regularly concerning Developmental Appraisal for Educators;					
Management, Educators & DAS	37.39 89 of 238	16.39 39 of 238	15.13 36 of 238	13.87 33 of 238	17.23 41 of 238
7. I am conversant with Developmental Appraisal System (DAS);					
Educators	44.12 105 of 238	22.27 53 of 238	24.37 58 of 238	4.20 10 of 238	5.04 12 of 238
8. Educators have opportunities to acquire new skills because of DAS.					
Management, DAS & Educators	53.36 127 of 238	21.01 50 of 238	18.07 43 of 238	3.78 9 of 238	3.78 9 of 238

The actual implementation and management of Developmental Appraisal of Educators is considered on the basis of respondents agreeing and not agreeing.

About the role of educators in the process of appraisal:

- ◆ Regarding educators feeling free to disagree with the principal and the entire DAS panel during appraisal sessions, 116 of 238 (48.74%) respondents in the frequency table show that educators agree with the system agreed upon by the Department of Education and the Educators' Unions
- ◆ The introduction of new ideas by educators showed a rate of 95 (39.92%) and a disagreeing rate of 22 of 238 (9.24%);

- ◆ 105 of 238 (44.12%) are well conversant with the Developmental Appraisal System, with only 12 of 238 (5.04%) disagreeing;
- ◆ 127 of 238 (53.36%) agree regarding the acquisition of new skills, knowledge, attitudes and values of Developmental Appraisal for Educators with only 9 of 238 (3.78%) disagreeing.

The role of the Developmental Appraisal System Panel and staff development teams is presented as follows by the frequency table report:

- ◆ Regarding the leadership of the principal and the entire DAS Panel 128 of 238 (53.78%) agree, with 19 of 238 (7.98%) disagreeing;
- ◆ Concerning of the DAS Panel encouraging questions, problem identification and problem solving by educators 139 of 238 (58.40%) respondents agreeing with only 9 of 238 (3.78%) disagreeing;
- ◆ The open door policy created by the DAS panel during appraisal sessions indicated 134 of 238 (56.30%) agreeing and 12 of 238 (5.04%) disagreeing;
- ◆ Meetings about developmental issues concerning educators development showed 89 of 238 (37.39%) agreeing and 41 of 238 (17.23%) disagreeing.

The roles played by different parties in the process of appraisal of educators indicated the promotion of transparency and accountability.

5.5 RESPONSES FROM INTERVIEWS AND OBSERVATIONS

Qualitatively interviews and observations were conducted solely to engage the researcher in a practical situation with the informants. From chapter 1 it was

explained that interviews according to Neuman (1997:336) are conducted to access various stories or narratives describing the world in which educators practice appraisal. Through interviews the researcher is capable of involving oneself in practical situations in which educators are involved. Likewise, with observation interviews conducted after observing what was happening in the learning situation, enables the researcher to gather large amounts of data quickly, particularly data not covered by the questionnaire (Marshall & Rossman, 1995:80). Observations and interviews were conducted to discover complex interactions in natural settings (Marshall & Rossman, 1995:79).

5.5.1 Responses from telephonically conducted interviews

Welman and Kruger (1999:166) maintain that telephonically conducted interviews give a greater impression of anonymity resulting in greater honesty and fewer false responses. Questions posed to Principals in chapter 4 indicated the following general responses:

Questions and responses:

Ten (10) principals were interviewed and all of them responded.

- ◆ How has Developmental Appraisal for Educators affected staff and learners?

Response:

RESPONDENTS	RESPONSES
A	Educators were faced showing mixed feelings about appraisal of educators. Some educators were asking; "Why are we appraised , is there any suspicion that we are not doing the right thing?". Others complaining that they qualified as educators from Universities and Technikons better qualifying lecturers "Why again taken back to Universities and Technikons?" After a number of consultations and workshops educators were convinced that appraisal is one form of developing educators. Ultimately, " the moral of educators and learners was improved after accepting the purpose of appraising educators".
B	Most educators complaining about appraisal of

	educators were echoing “The sting in appraisal, the sting in appraisal where preferred educators will be given better points by principals”.
C – D	Uncertainties in terms of what will be the benefits of the appraisal system this time complaining about “the government empty promises in terms of fulfilling agreements”.
E – F	Because educators have long been appraised on grounds of being judged negatively, they were hesitant to be appraised again reasoning that that “the incentives and the percentage increment from being appraised indicate that appraisal is not an important exercise to the Department of Education”.
G – H	Appraisal must be done away with,”this is just a weapon to be used by principals to frustrate educators” . After the signing of the document indicating that appraisal will be with 1% increment “we are happy that at least we will work on something”.
I – J	Away with appraisal as it is just a waste of time for educators to satisfy the desires of the Departmental Officials . “Let appraisal be judged on grounds of pass rate of learners rather than what educators are doing in the teaching and learning situation”.
	“Learners have benefited from the practice, because after educators have been appraised, they have also been developed”.

- ◆ What can those who support Developmental Appraisal for Educators do to keep it alive in their schools?

Response:

RESPONDENTS	RESPONSES
A	We as Principals we have decided to “draw up programmes jointly with educators that will promote the enhancement of DAS”.
B	Educators were not prepared to co-operate therefore the only solution was to “involve educators in the process of DAS and even ask educators where they want to be developed”.

C	The greatest issue with appraisal are documents involved in the process of appraising educators therefore as principals decided to “prepare user friendly documents that will motivate educators”.
D	Because policies are to be implemented we as principals we were “left with no option but to implement it as it is an agreement from Educators Unions SADTU, NAPTOSA and SADU”.
E – G	Educators are complaining about the “the paper work is the main challenge otherwise it is fine and prepared to keep it and other challenges of curriculum changes that are always bringing more paper work in teaching situation”.
H – J	The discussions raised in connection with appraisal was solved when other people suggested that “consult other stakeholders to get advises on how to maintain it”.

- ◆ List the information, skills, strategies and resources the principal will need to accomplish the plan.

Response:

RESPONDENTS	RESPONSES
A	Because appraisal is a new concept in Education myself as a principal I decided “to consult experts about appraisal”.
B	The appraisal as a product of joint negotiations has posed many challenges to us principals suggesting that we need “to be work shopped thoroughly”.
C	For avoiding the disputes and all the legal proceedings on the part of the principals suggestion was that “a consultant to be hired by the Department of Education”.
D	In other schools there is no proper staffing for subjects offered there principals suggest that “the Department of Education must strengthen all the Departments in the school and to advise them to bring research about methods of implementing which are more educators’-friendly.
E – J	Issues of appraisal raise more concerns because

	schools are not equally equipped “let schools be all equipped to ensure that all educators are developed”.
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Questions posed to HOD’s telephonically, and their responses:

Five (5) HODs have been interviewed.

- ◆ What training and support did you (HOD) and your colleagues receive for implementation of the Developmental Appraisal for Educators?

Response:

RESPONDENTS	RESPONSES
A	“Attended workshops, discussions conducted at school level and with educators’ unions.”
B	“The Unions sent the consultancy to assist with scoring performance during appraisal”.
C	Not properly trained yet because the situation was that deadlines be met.”The circuit office departmental official and the subject advisor/specialist assisted with drafting the Growth Development Plan”.
D – E	Whilst trained “I’m not sure whether I’m in position to appraise one”. Discussions at school levels and University lecturers were called to assist.

- ◆ Did your school experience any problems in organizing and administering the Developmental Appraisal for Educators?

Response:

RESPONDENTS	RESPONSES
A	The Department of Education has provided each school with the material to prepare for appraisal. “The availability of the Manual for Developmental Appraisal facilitated the organization of DAS”.
B	In the Manual for appraisal provided by the Department of Education a clause that the peer appraiser must be chosen by the appraisee resulted to “the process of involving a peer in the process of appraisal has made the job more easier”.

C	"The involvement of other professionals and government employees has assisted a great deal like consulting nurses, police and Education Department officials."
D	Yes, problems were encountered as most educators were skeptical about it. Thinking that they will be judged for rentrenchment for example other educators said "the principal knows nothing about Mathematics he/she is for History".
E	"Yes, most educators were complaining of who is to appraise HOD's because HOD's are bosses".

- ◆ What is your overall impression of the Developmental Appraisal for Educators as it is currently designed and implemented?

Response:

RESPONDENTS	RESPONSES
A	That educators will be developed and will benefit incentives at a later stage."We may start at a lower level in term of incentives but later we will be rewarded".
B	Developmental appraisal increases more work load to HOD's."More files to control resulting to lesser time for teaching and learning".
C	Whilst it is a good practice for educators development. "It increases tension among educators".
D	It is the only measure for development and for pay progression."Resulting to accepting because it is practiced by all Governmental Departments
E	If the state can increase the percentage of salary progression. "I promise educators will be more motivated to be appraised".

- ◆ How do educators respond to Developmental Appraisal for Educators?

Response:

RESPONDENTS	RESPONSES
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A	Positive and prepared to develop, provided there are incentives.”Mostly complaining of the paperwork as usual”
B	In my department they are “rebellious and bored”.
C	“Other educators enthusiastic about it and positive”.
D	“Others see it as a measure for delaying salary progressions”.
E	“ Most educators look at it with an eye of betterment and advancement in the Department of Education”.

Responses recorded are those reflecting an 13 out of 15 (86%) response from 25 schools interviewed.

5.5.2 Responses from face-to-face interviews

From 25 schools, 5 respondents were interviewed face-to-face. Barbie (1998:266) maintains that when conducting face-to-face interviews, researchers must record the exact words of the respondents so as to facilitate the coding and compiling of records from open-ended questions.

Questions posed to Principals of the 5 schools:

Five (5) interviewed and 5 responded = 100%

- ◆ What is the controversy about Developmental Appraisal for Educators?

Response:

RESPONDENTS	RESPONSES
A	Most respondents were concerned about development without receiving incentives.”The greatest fear of educators is to be appraised for fun”.

E	“Educators need development even after qualifying as educators”. This statement emphasizes the need for appraisal irrespective of the experience in the employment situation as an educator
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- ◆ What is the most optimistic scenario of the future for Developmental Appraisal for Educators?

Response:

RESPONDENTS	RESPONSES
A	“That it will benefit educators’ salaries and grade progression. It is the only tool that the government will use to share money equitably among educators”.
C	“That at a later stage certificates will be issued to assist educators when applying for promotion posts”.

- ◆ What is your view of the quality and effectiveness of the training and support?

Response: That the quality of training and support must be improved.

RESPONDENTS	RESPONSES
A	“That enough time should be allocated to support Principals concerning the aspect of educator appraisal;
B	“To make appraisal of educators more effective, the Department must improve the quality of incentives”.

- ◆ What form does the Developmental Appraisal for Educators take?

Response:

RESPONDENTS	RESPONSES
A	“Developmental Appraisal for Educators is always formally conducted”.

E	“That even extra-mural activities, community projects and other developmental aspects of educators be taken good care of”.
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Questions posed to Heads of Department (HOD's)

Five (5) HOD's were interviewed and all of them responded and the responses were as follows:

- ◆ Do you think that Developmental Appraisal for Educators should be linked to staff developmental empowerment programmes and why?

Response: “Yes, because empowerment and development are synonymous”.

“Empowerment of educators is conducted only when there is a weakness observed”.

- ◆ Are there any suggestions you would like to make about how training and support might have been improved?

Response: “Outsourcing of trainers and support programmes will assist in developing educators”.

A- “Consulting with other stakeholders about how and what educators must be developed to assist the process”;

B- “Involving the industrial community in developing educators will support the programme of development”;

C- “Encouraging educators to disclose other unidentified needs for development purpose”.

- ◆ Please give your opinion on the number and type of forms to be completed in the Developmental Appraisal for Educators.

Response: “Self-evaluation form; classroom observation form by panel members; identification of needs form a total of 4 forms and overall reporting Form”.

“ It will be advisable if a compiled Booklet for appraisal can be user friendly for educators to be appraised”.

- ◆ What role does the School Governing Body play in Developmental Appraisal for Educators?

Response: “Governors assist the School Management Teams by encouraging educators to accept appraisal of educators for the benefit of developing the school and learners”.

“Ensuring that in disputes SGB’s also assist with decision making”.

In the 5 schools where face-to-face interviews were conducted, 75%-80% of the respondents were positive about appraisal for educators and the developmental aspect of the process.

5.5.3 The observation process results

Observation helps the researcher to understand the depths of the study. Neuman (1997:361-362) expatiates that a great deal of what researchers do in the field is to pay attention, watch and listen carefully. A researcher uses all the senses and becomes an instrument that absorbs all sources of information. In the study observation have assisted and contributed to analyzing the core criteria of creating a learning environment conducive for learning lesson presentation and methodology, classroom management during the appraisal process and how learners were assessed at the end of the presentation (Neuman (1997:361).

The observation process concentrated to the attitudes of both learners and educators towards the process of DAS. The core criterion observed are in the Manual for Developmental Appraisal for Educators.

The researcher further observed appraisal during extra-curricular activities. Doing both sessions of observation, the researcher observes what people were doing. Actions such as sitting or standing positions, the manner of expressing

social information, feelings, attitudes through non-verbal communication including gestures and facial expressions. The reason for observing such actions is more focused on developing the educators. The study is based on developmental aspect of educators. The actions highlighted by Neuman (1997:361-362) are to be observed in an event of any weakness observed and educator will undergo a developmental session, not only on professional grounds, but also on personal grounds.

In the process of appraisal of educators the researcher observed the following:

- ◆ The layout of the classroom:
 - Generally, the observation results have shown that educators properly prepare classrooms properly and maintain their educational context.
- ◆ The panels and how appraisal is conducted:
 - Panels were not sited at the same place so as to ensure objectivity. Facial expressions did not indicate any clues during appraisal. Generally panels showed knowledge of what to observe during appraisal.
- ◆ The presentation by the educator during appraisal:
 - Educators were confident, prepared and appraisal was not a disturbing factor with educators;
 - Generally, lesson preparations were available and didactical flexibility was shown throughout the lesson.
- ◆ Learners during the appraisal process:
 - Learners were not disturbed by the panel members during the presentation of the lesson;
 - The researcher did not distract the learners' attention.
 - Generally, learners showed an understanding of the situation during the presentation of the lesson for appraisal of the educator.

- ◆ Review of results after the completion of appraisal process :

Generally, panel members understand how to score and to reach consensus in cases of disagreement.

- Discussion of scores was immediately dealt with.

- ◆ Needs identification for developmental purposes:

- From the appraisal form completed, the panel identified needs for development of educators;
- The educators proposed other areas in need of development

Generally, the process of appraisal during classroom presentation indicated that educators, learners and panels understand what appraisal of educators means and what each party is expected to do during the process of appraisal.

5.6 DECISIONS ON HYPOTHESES

The chapter presented the frequency report of the research. The focus was on counts and a percentage analysis of the items. The decisions and directives of the responses concerned the two hypotheses. The specific decisions taken with respect to the two hypotheses are as follows:

Hypotheses 1: Based on the success of the main effect of all the stages of preparation and actual implementation and management of development and management of Developmental Appraisal for Educators, schools using strategies for DAS will be improved and achieve broad educational goals and objectives.

Hypotheses 2: On the basis of the failure of all the stages in preparation and actual implementation and management of Developmental Appraisal for Educators, the inability of school principals to use appropriate strategies for DAS will result in the success and effect of Developmental Appraisal for Educators being nullified.

Hypotheses 3: Based on both the stages of preparation and actual implementation and management of developmental appraisal for educators, the presently applied strategies in the process of appraisal must be reformulated to consider the significance of consultancy and that DAS be part of the initial training of educators.

5.7 DECISIONS ON RESEARCH QUESTIONS

Research question: The analysis of data gathered from respondents has attempted to respond to the question asked regarding the study: “How educators implement and manage Developmental Appraisal for Educators in the Free State Province”. The responses from questionnaires indicated that the implementation and management is based on the principles agreed upon in Resolution No. 4 of 1998 for DAS and the Manual for Developmental Appraisal for Educators.

Interviews conducted addressed the question of implementation and management of DAS in Free State Province schools. Observations made during the appraisal of educators, have shown that Free State schools are implementing and managing DAS according to policies and principles prescribed by Departmental regulations.

5.8 CONCLUSION

The chapter dealt with an analysis of the biographical details of respondents, preparatory stages and actual implementation and management of Developmental Appraisal for Educators. There was also an analysis of questions asked during interviews conducted telephonically and face-to-face.

The analysis of the responses of respondents will result in summaries, conclusions, findings and strategies to be applied in appraisal and recommendations in Chapter 6.

CHAPTER SIX

SUMMARY, DISCUSSIONS, CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

This chapter deals with aspects discussed in Chapters 1 to 5. Focusing on the results of the study with special reference to Aims and Objectives of the study, the purpose and the significance of this chapter is to suggest strategies to be applied when implementing and managing developmental appraisal for educators. Recommendations about the entire study and for further research will be dealt with.

6.2 SUMMARY

In chapter 1 crucial issues were addressed, particularly the transformation process in appraising educators since 1994.

Middlewood, *et. al.* (1995:167) distinguished between “judgmental” and “developmental approach”, resulting to a document tabled on the basis of a collective agreement in terms of appraisal of educators that will promote transparency and accountability.

Chapter 2 dealt with the historical background of appraisal with special reference to practices of appraisal in the United States of America (USA), The United Kingdom (UK) and Australia. The literature review of South African appraisal of educators during the pre-democratic and post-democratic era as well as the benefits of practising appraisal of educators in various countries was concerned with “How educators must be appraised for the promotion of development and accountability” (Bell, 1988:2).

The changes in educator appraisal over time have not only affected the USA, UK and Australia, it has also affected South Africa. Because of “*apartheid*” appraisal of educators in South Africa, according to different departments of education, was more judgmental and not developmental (Chetty, *et. al.* 1993:4).

The following methods of appraisal applied currently in South Africa were outlined in Chapter 3. Multiple-person comparison, paired comparison, ranking order determination, forced distribution. Other methods discussed are critical incidents, graphic rating scale, behaviourally anchored rating scales, management by objectives, 360 degree feedback and essay appraisal method.

In Chapter 3, problems affecting the application of the methods of appraising educators were also discussed. These were problems such as resources, who appraises whom, timing, frequency and consistency, records and reports, outcomes, appeals, appraiser errors such as the halo affect, insufficient knowledge of the appraisee, personal prejudice, the problem of context, the paperwork, the inability to give criticism, performance appraisal standards, central tendency problem, strictness and leniency and the recency error, including other errors cited by Fisher (1996:142) such as:

- ◆ Antagonizing appraisees from the start by making critical comments.
- ◆ Rushing the meeting, avoiding the issue of poor performance because of a wish to avoid unpleasantness, either during or after the meeting.
- ◆ Not concluding a clear agreement with the appraisee about the way forward.

Problems in appraisal of educators may lead to disputes between appraiser and appraisee. The appraisal of educators was an act enacted in parliament as Resolution No. 4 of 1998, further affirmed by the Education Labour Relation Council established in terms of the Labour Relations Act of 1995. The

legalization of the appraisal of educators was further endorsed by IQMS (Integrated Quality Management System) on 27 August 2003, Agreement No. 8 of 2003.

In chapter 4 the methodology of collecting data from respondents was decided on through a pilot study conducted and then a questionnaire was compiled. Questionnaires were issued to respondents in the sample. Telephonic and face-to-face interviews were conducted, as were observations during appraisal sessions of what was taking place in the classrooms during educators' appraisals.

The questionnaires, interviews and observations were to address the preparatory and actual stages of implementation and management of DAS in Free State Province schools. Furthermore questionnaires, interviews and observations were to facilitate the process of needs identification for developing educators.

The analysis of data collected to determine the results of the study was discussed in chapter 5. Analysis of data considered the biographical details of respondents, the responses of respondents about the preparatory stages and the actual implementation of DAS. Responses of respondents have shown that applying proper strategies in the process of implementing and managing DAS will result in realizing educational goals and objectives.

Not applying appropriate strategies in the implementation and management of DAS will result in ineffectiveness and impede success and development of the entire school through lack of educator development.

Analysis of data collected led to findings that are to be discussed.

6.3 DISCUSSIONS

Findings of the study show that educators' attitudes towards Developmental Appraisal for Educators are more positive because responses from questionnaires indicated generally that the stages for preparing for DAS have been fully discussed and agreed upon: 192 of 238 (81.37%) educators respondents agreed on the preparatory stages for appraisal. (Refer Table 5.4 of the study).

From the sample it is indicated that in the Free State province schools, what is planned is what is commonly practiced. 44 of 238 (18.63%) educators responses indicate a negative response to the preparation process of DAS. The difference between the positive and the negative responses indicates that schools using strategies for the implementation and management of Developmental Appraisal for Educators will be able to improve and achieve broad educational goals and objectives.

Findings based on the analysis of questionnaires, interviews and observations showed that the actual implementation and management of DAS is generally acceptable to educators, with 117 of 238 (49%) respondents agreeing to the role played by Staff Development Teams (SDTS) comprising Principals, Heads of Department and Panels. 51 of 238 (21.33%) are unsure but probably agree with the role played by SDTS. 36 of 238 (16.02%) educators indicated uncertainty as to the role played by SDTS in the implementation and management of DAS.

Table 5.4 further indicated that 19 of 238 (7.14%) had disagreed to some extent with the procedures followed in the preparatory stages of developmental appraisal for educators, 17 of 238 (7.03%) disagreed outright with the procedures followed in the process of preparatory stages for appraisal of educators. (Refer Table 5.4).

The responses clearly indicated how educators manage DAS and their positiveness regarding the implementation of the system. Findings have shown a degree of preparedness to facilitate the process of appraisal by educators. The facilitation of the appraisal process will not be easy without proper strategies being devised to implement and manage DAS.

6.4 STRATEGIES FOR THE IMPLEMENTATION AND MANAGEMENT OF DAS

From the questionnaires, interviews and observations 146 of 238 (61.34%) responses from the sample recommended the following strategies to be applied for proper implementation and management of DAS:

- ◆ That DAS be firmly integrated with the management structures of the school; that its programme is tabled yearly before educators and not dealt with as separate from other activities of the school;
- ◆ That educators are well informed of the policies and procedures of DAS;
- ◆ That DAS must not be enshrouded in an aura of secrecy, but must be a system promoting transparency and accountability at all levels;
- ◆ That consultancy decisions be involved in the process of appraisal for promoting the effectiveness of the organization and promoting objectivity;
- ◆ That the Department of Education decide to train educators thoroughly in this aspect during the initial training stages so as to acquaint the manpower in education about the expectations of the DoE in the employment situation;

- ◆ That the DoE ensure that the introduction of DAS is not a hasty and improperly planned venture and increase financing for DAS so as to facilitate the pay incentive accompanying DAS.

6.5 RECOMMENDATIONS

From 238 questionnaires, viz. a return rate of 95.2%, recommendations drawn from responses were as follows:

6.5.1 Time for conducting appraisal

138 of 238 (58.23%) recommended that appraisal should be conducted during school hours.

6.5.2 The effectiveness of DAS

119 of 238 (50%) agreed that, to promote objectivity, consulting other stakeholders about appraisal is paramount.

6.5.3 The benefit of DAS

106 of 238 (44.73%) educators recommended that for educators to benefit from DAS, certificates of appraisal should be issued that will enhance personal and professional growth and result in salary increase.

6.5.4 Identification of needs for development

188 of 238 (79.32%) recommended that for better identification of needs a preliminary list should be drawn up concerning curriculum issues, extra-curricular activities, administrative issues, policies and procedures, management issues and others.

6.5.5 The motivating factor in DAS

179 of 238 (75.21%) educators strongly believed that the attitudes of the DAS panel and their contributions in the process of appraisal could increase educators' understanding of and remove the sting from the process of appraisal.

6.5.6 General improvement in Education

151 of 238 (63.45%) educators recommended that appraisal of educators must be aimed at improving the entire school to the benefit of the DoE as a whole.

6.5.7 The researchers recommendations

The researchers recommendations were based on the observations, interviews and questionnaires analysis and are as follows:

- ◆ The appraisal be regarded as the best tool for promotional purposes to all educators.
- ◆ The educators performance be remunerated with better percentages indicating the significance of appraisal of educators.
- ◆ The paperwork be reduced and be made more educator friendly.
- ◆ The educators be appraised in 3 years cycle rather than the 2 years cycle agreed upon with an increase in percentage and to allow the period of development in areas identified with weaknesses.
- ◆ The principals and HODs be trained formerly in Human Resources Management issues pertaining to Appraisal issues.

6.6 SUGGESTIONS FOR FURTHER STUDY

From the literature study, the review of methods of appraisal, the questionnaires, the interviews and observations, it was evident that more attention be given to the needs of developing educators after being appraised. The following are some suggestions identified for further studies:

- ◆ Which needs are to be identified by educators that will ensure development for enhancement?
- ◆ How to curb legal disputes in the process of appraisal?;
- ◆ The impact of Developmental Appraisal for Educators on the pass rate of learners;
- ◆ The reduction of unnecessary red tape and the integration of consultancy in the management of the entire school;
- ◆ The method of ensuring that data obtained during the cycle of appraisal of each educator is captured and recorded in the database of the education system;
- ◆ An investigative study to identify incentives to be added to the 1% already recommended for appraisal of educators as extrinsic motivators;
- ◆ A comparative study of how developmental appraisal for educators can be implemented and managed in rural areas of the Free State Province.

6.7 CONCLUSION

The frequency report of responses indicated that it is feasible for DAS to be implemented and managed by schools. The findings further indicated that schools applying strategies for the implementation and management of DAS will improve and achieve broad educational goals and objectives, maintaining the two hypotheses. Subject to the frequency report of responses, the study was successful in assessing the feasibility of and determining the attitudes of educators towards DAS in terms of the preparatory stages and actual implementation of DAS in Free State schools, as outlined in the aim of the study.

Findings regarding the question: “how educators implement and manage DAS in Free State schools” have shown a positive response. Therefore the study endorsed what Fisher (1996:20) emphasizes, namely that the implementation and management of appraisal of educators is feasible particularly when educators think for themselves about what they can and should do, understanding and agreeing with the criteria outlined in the Manual for Developmental Appraisal of Educators.

The study is not underestimating the ability of some schools implementing and managing appraisal on the basis of dedication and excellence, not only for statutory reasons. Schools involving School Governing Bodies that are informed about educational issues concerning the management of the school will benefit from appraisal. However, the study has not quantitatively shown the change DAS has contributed to the pass rate of learners since its implementation and management. Meanwhile Chetty et al (1993:142) maintain that for South Africa to realize the transition, the development of educators must be aimed at enhancing learners’ performance. However, in this study learners’ performance relative to development of educators through appraisal has not been investigated. Findings have shown that regular work-shopping of educators regarding this aspect will benefit educators through empowerment and

development. The eradication of a sting in the appraisal process is dependent on making educators aware of the benefits thereof and the impact of appraisal on their future careers.

The Department of Education, (1998b) and the collective Agreement about IQMS Resolution 8 of 2003, indicate that appraisal of educators is indispensable in the management of personnel, particularly that of educators and further indicate that when appraising educators, contextual factors in the school environment must be considered.

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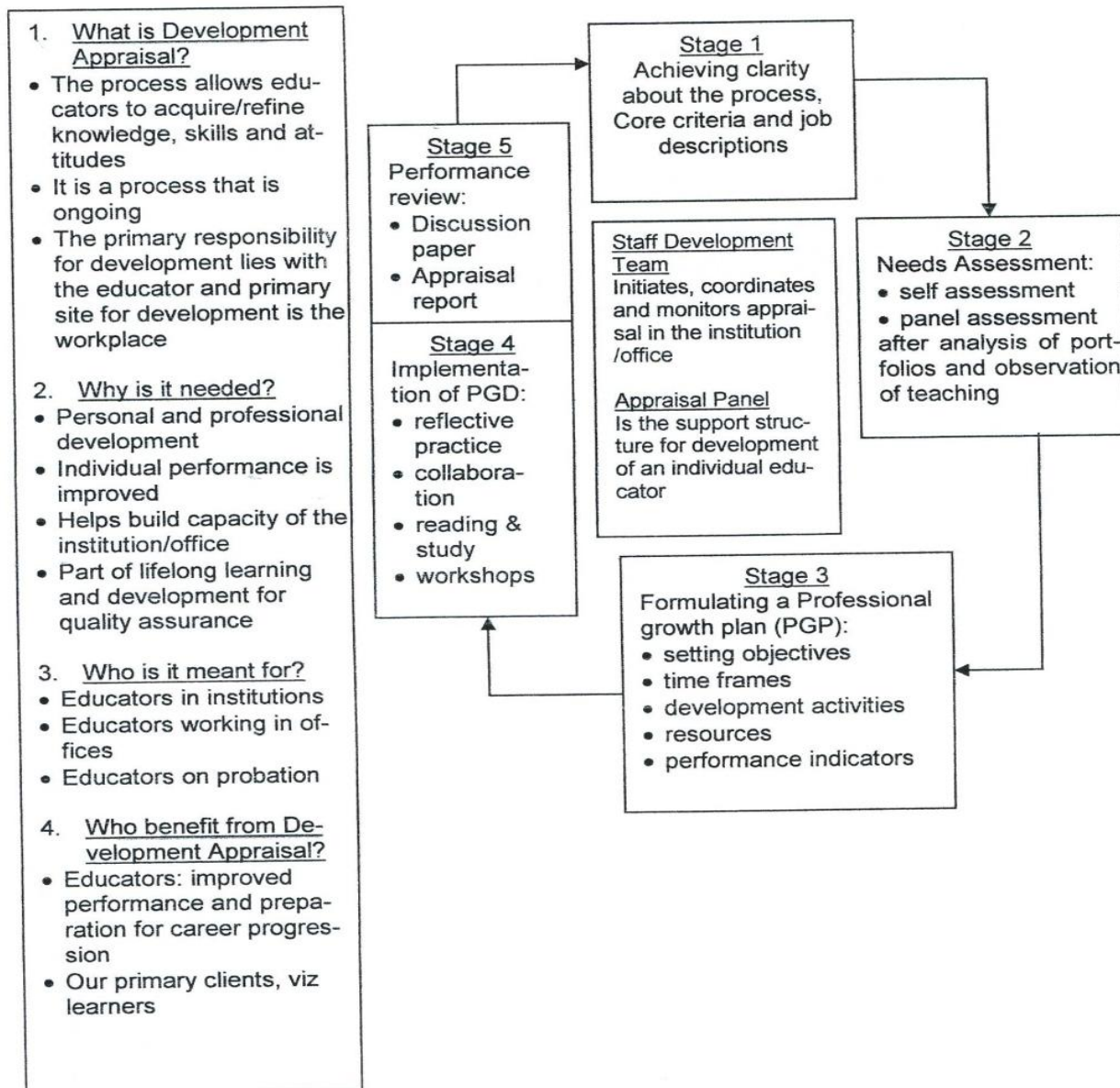
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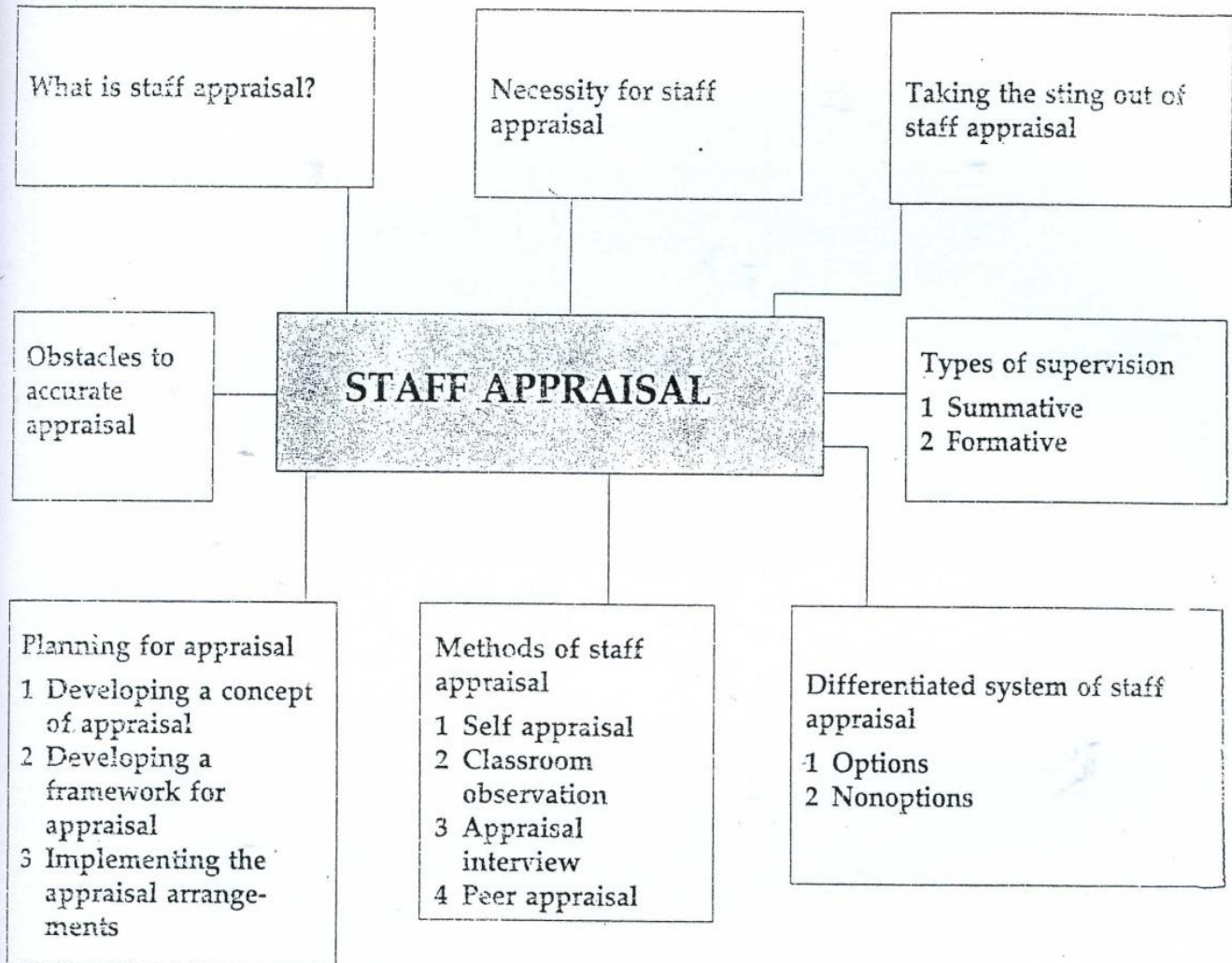
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APPENDIX A

DEVELOPMENTAL APPRAISAL MODEL



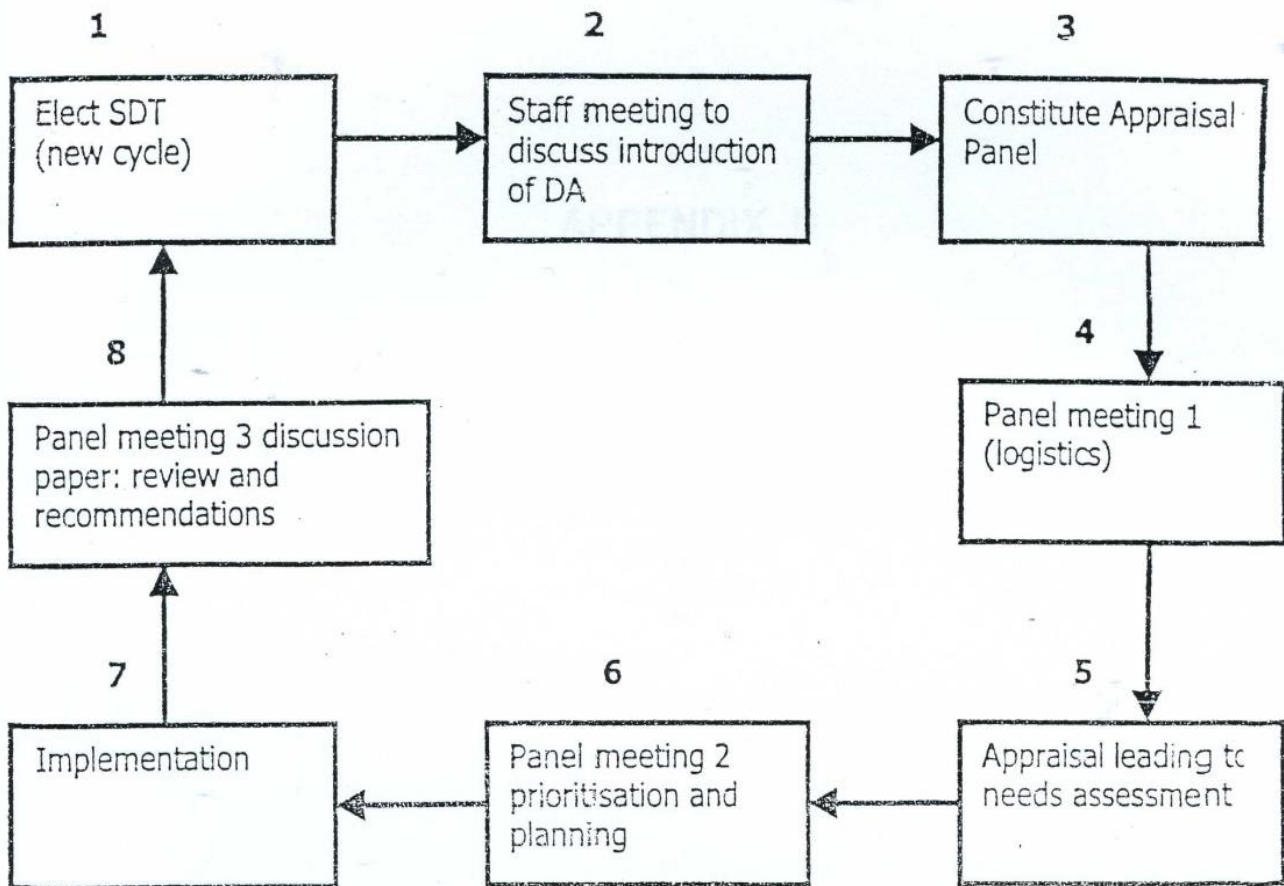
G.M. STEYN STAFF DEVELOPMENTAL APPRAISAL MODEL



Source: (Steyn, 2001:54)

APPENDIX C

SCHEMATIC REPRESENTATION OF THE PREPARATION & IMPLEMENTATION OF A STAFF DEVELOPMENTAL APPRAISAL MODEL IN INSTITUTIONS



Source: Department of Education (1998b:3)

GROUND RULES FOR STAFF APPRAISAL

- 1 All full-time staff will be appraised for a whole year.
- 2 The procedure must be formulated after consultation. The appraisee must be actively involved in the process, each stage of which needs to be an area of active participation and negotiation between those involved.
- 3 The procedure, including areas for appraisal, criteria, outcomes and reports, must be clear at the outset.
- 4 Appraisal should benefit both appraisee and appraiser.
- 5 The appraisee should have the opportunity, if he or she wishes, at the initial meeting and/or at the appraisal interview, of initiating discussion of his/her voluntary contribution and also her/his career aspirations.
- 6 The process will be hierarchical — that is, the appraiser will be of higher status than the appraisee.
- 7 Although the appraiser retains the right to observe any lesson, the decision as to which groups/lessons are to be observed will be the result of discussion/negotiation at the initial meeting.
- 8 The appraisers must receive appropriate training in the skills required — such as listening, interviewing, negotiation, and target setting.
- 9 Rules of confidentiality:
 - a. Any discussion at any meeting/interview between the appraiser and appraisee must remain confidential to the people involved.
 - b. The final agreed statement remains confidential to the appraisee, the appraiser and the principal.
- 10 The teacher's job description must clearly state the responsibilities attached to the post and should be acceptable to both the teacher and the principal.
- 11 The appraiser should be a person acceptable to the appraisee.

Source: (Jones, 1993:18)

SUMMARY OF DO'S AND DON'TS IN STAFF APPRAISAL

The do's

- Spend the greater part of the school day in classrooms, working with teachers on instructional improvement.
- Believe in staff members.
- Seek feedback openly and lead by example.
- Demonstrate the value of observations and conferences with teachers by being on time and being prepared.
- Whether giving praise or a reprimand, be firm and believable.
- Constantly approach staff appraisal from the point of view that its purpose is to help people to improve.
- Be very specific when complimenting or reprimanding a staff member. To say: "A good job!", "Great!" or "You're so good!" may be nice but quickly loses meaning and motivational impact.
- Follow the region's evaluation procedures and policies.
- Show staff members your own improvement plan for the school.

The don'ts

- Do not pass the buck. The buck stops with you and you have to inspire confidence.
- Do not give a teacher a "good" rating if it is not deserved.
- Do not pretend to have all the answers because you will lose the respect of your staff. You should not pretend to know everything. No one does. Be honest and admit it when you are unsure, then strive for improvement.
- Do not procrastinate on problems: tackle them immediately and aggressively.

Source: (Fraser, 1992:51-52)

Appendix F

Paired Comparison

FOR THE CHARACTERISTIC "QUALITY OF WORK"						FOR THE CHARACTERISTIC "CREATIVITY"					
As compared with	A Anton	B Ben	C Charl	D Deon	E Ernst	As compared with	A Anton	B Ben	C Charl	D Deon	E Ernst
A Anton		+	+	-	-	A Anton		-	-	-	-
B Ben	-		-	-	-	B Ben	+		-	+	+
C Charl	-	+		+	-	C Charl	+	+		-	+
D Deon	+	+	-		+	D Deon	+	-	+		-
E Ernst	+	+	+	-		E Ernst	+	-	-	+	

Ben gets the highest ranking
Anton gets the highest ranking

NOTE "+" means "better than"; "-" means "worse than". For each table the plus signs in each column must be added up to obtain the employee with the highest ranking.

Appendix G

Critical Incidents

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
The teacher was well prepared					
The teacher used understandable language					
The teacher made me think					
The teacher's feedback on students' work aided learning					
The teacher knew his or her field well					

Cascio 1998 : 312

Graphic Rating Scale

Name _____	Department _____	Date _____
------------	------------------	------------

	<i>Outstanding</i>	<i>Good</i>	<i>Satisfactory</i>	<i>Fair</i>	<i>Unsatisfactory</i>
Quantity of work Volume of acceptable work under normal conditions Comments:	□	□	□	□	□
Quality of work Thoroughness, neatness and accuracy of work Comments:	□	□	□	□	□
Knowledge of job Clear understanding of the facts or factors pertinent to the job Comments:	□	□	□	□	□
Personal qualities Personality, appearance, sociability, leadership, integrity Comments:	□	□	□	□	□
Cooperation Ability and willingness to work with associates, supervisors and subordinates toward common goals Comments:	□	□	□	□	□
Dependability Conscientious, thorough, accurate, reliable with respect to attendance, lunch periods, relief's, etc. Comments:	□	□	□	□	□
Initiative Earnestness in seeking increased responsibilities. Self-starting, unafraid to proceed	□	□	□	□	□

Appraiser Signature : _____

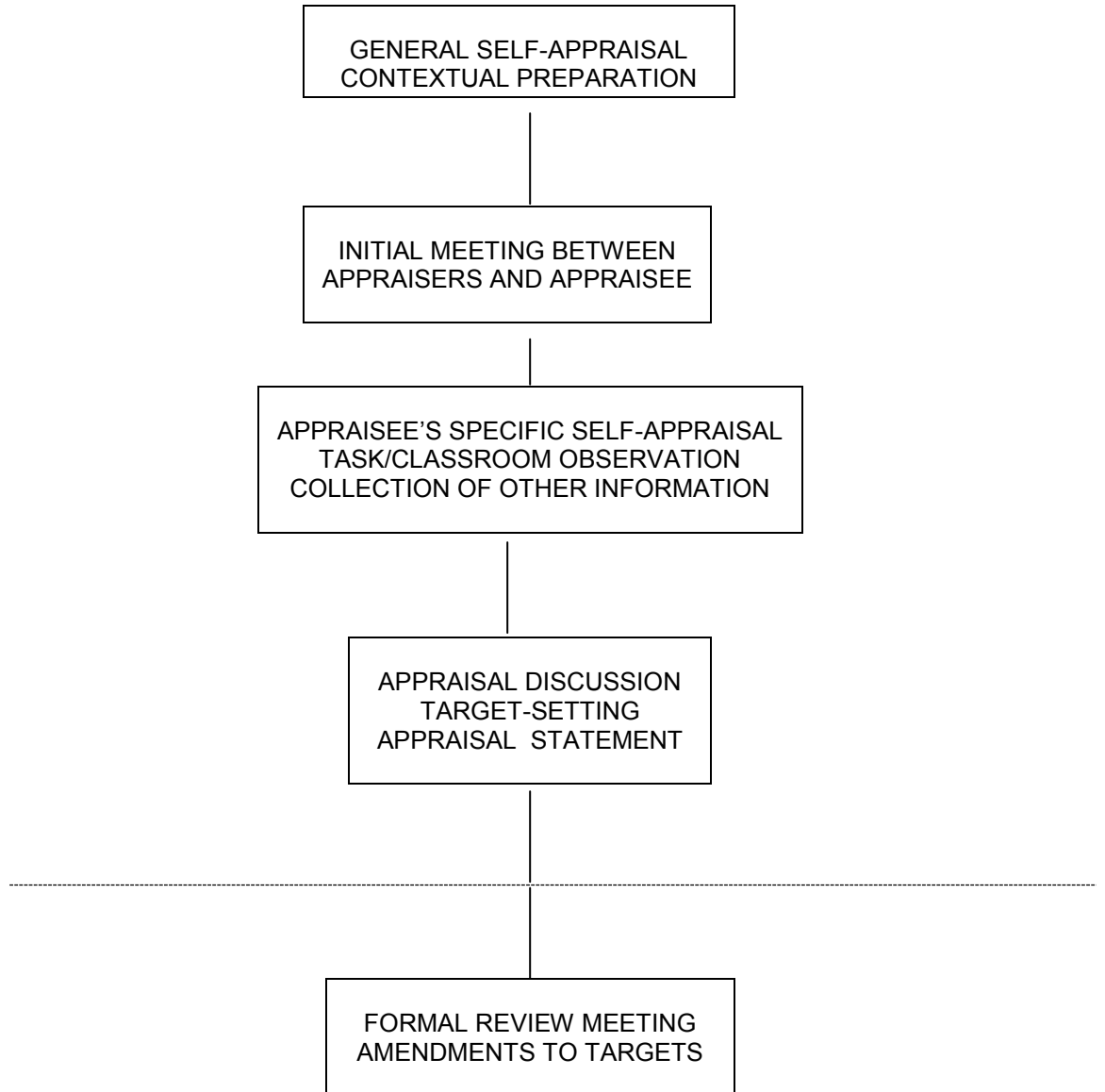
Date :

Appraisee Signature : _____

Date :

Gerber et al 1998 : 175

Biennial Cycle/Process of Appraisal



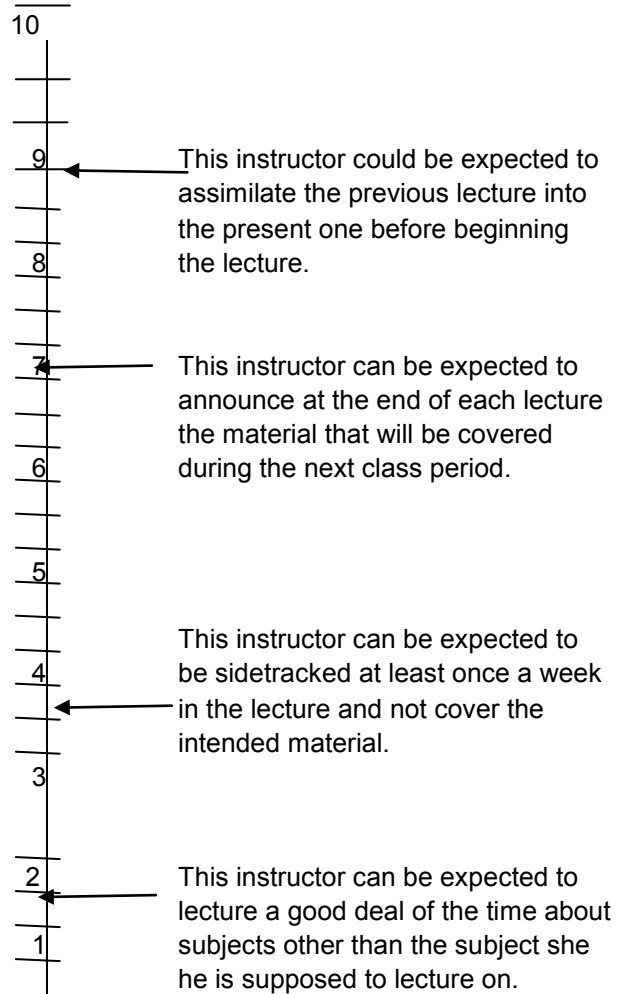
Behaviourally Anchored Rating Scale (BARS)

Organisational skills : A Good constructional order of material and slides and moves smoothly from one topic to another; design of course optimises interest; students can easily flow organisational strategy course outline followed.

Follows a course syllabus; presents lectures in a logical order; ties each lecture into the previous one.

Prepares a course syllabus but only follows it occasionally; presents lectures in no particular order, although does tie them together.

Makes no use of a course syllabus; lectures on topics randomly with no logical order



Essay Appraisal Method of Appraising Educators

APPRAISAL INTERVIEW

1.0 Personal data

1.1 Employee

Surname _____ First name (s)

Date of birth _____ Joined company : _____ / _____ / _____

Division/Department

1.2 Superior

Surname

First name (s)

Job Title

Employee reports to superior since : _____

2.0 Job title and duties of the employee

2.1 Job title _____

2.2 Present area of responsibility (contents, scope, purpose)

2.3 Since _____

2.4 Duties in detail

(State the most important duties in order of importance and estimate their percentage in relation in total working time).

_____ %

_____ %

_____ %

_____ %

_____ %
_____ %
_____ %

Carrel 1998 : 277
Essay Appraisal Method – Continued

3.0 CHARACTERISTICS OF WORKING STYLE

Emphasise particularly pronounced characteristics of the employee. Clearly indicate his/her strengths and potential for improvement.

QUALIFICATIONS – Knowledge and ability : e.g. knowledge in the area of responsibility and adjoining areas – independence in the execution of tasks – solving of complex tasks – quick grasp of situations – flexibility and ability to adjust to new areas – thoroughness and methodical approach to work.

KNOWLEDGE

ABILITY

MOTIVATION – initiative and working capacity : e.g. suggestions for improvement – Independent developments – handling of larger assignments and unusual work situations.

INITIATIVE

WORKING CAPACITY

COOPERATION – cooperation with and understanding of others : e.g. cooperation with peers, staff and outsiders – reception and passing on of information – understanding and empathy – adequacy of influence of others.

COOPERATION

UNDERSTANDING OF OTHERS

Carrel et al 1998 : 278

Essay Method – continue

4. ADDITIONAL QUALIFICATIONS

e.g. scientific, technical, commercial, organisational skills – managerial qualifications – special knowledge, also outside area of responsibility.

5.0 Special aptitudes

6.0 Work objectives, goals, training and development – action programme.

7.0 Special conditions to consider

8.0 Comments on the Appraisal

9.0 Date of the discussion _____

Signature of the immediate superior

10.0

Signature of the employee

11.0 Date _____

Signature of next in charge

Implementation Plan of Developmental Appraisal of Educators

ACTION	RESONSIBILITY	TARGET
1. Agreement at ELRC	Employer and Employee Parties	28 July 1998
2. Materials Development	DOE	30 October 1998
3. Form National Appraisal Team (NAT)	DOE	15 August 1998
4. Form 9 Provincial Appraisal Teams	PED	15 August 1998
5. Form District/Regional Appraisal Teams	PED	15 August 1998
6. Form Staff Development Teams (SDT)	PED	1 January 1999
7. Preparation of NAT	DOE	1 August 1998
8. Train Provincial Teams	NAT	15-31 August 1998
9. Train District/Regional Appraisal Teams	PAT	31 December 1998
10. Train Office based SDT's and Educators	D/RATS	31 December 1998
11. Train school-based SDT's	R/D/Cats	1 Jan – 31 March 1999
12. Commencement of Appraisal (office based)	SDT	1 January 1999
13. Commencement of appraisal (school based) Phase 1 Phase 2	SDT	1 April 1999 1 October 1999
14. Review (office based)	DOE	
15. Review (school based) Phase 1 Phase 2	DOE	1 April 2000 1 October 2000

APPENDIX M

STRATEGIES FOR THE IMPLEMENTATION AND MANAGEMENT OF DEVELOPMENTAL APPRAISAL FOR EDUCATORS. A CASE STUDY OF SCHOOLS IN FREE STATE PROVINCE.

This questionnaire is for **Secondary School** educators employed in **FREE STATE PROVINCE** schools.

Your responses will remain strictly **CONFIDENTIAL**. Your identity will remain **ANONYMOUS**, please **DO NOT** sign your name.

QUESTIONNAIRE

SECTION A

BIOGRAPHIC DETAILS OF RESPONDENTS

1. Your Gender

Male	1
Female	2

2. Your Current Post Level

Principal	1
Deputy Principal	2
Head of Department	3
Educator	4

3. Your Present Age

30 years or younger	1
31 to 40 years	2
41 to 50 years	3
51 to 60 years	4
Older than 60 years	5

4. Your teaching experience in years

10 years or less	1
11 to 20 years	2
21 to 30 years	3
31 to 40 years	4
More than 40 years	5

5. Your highest professional qualification

Teachers' Diploma (e.g. PTD; STD)	1
Further or Secondary Diploma (e.g. FDE)	2
Integrated Degree (e.g. B.A. (ED.); B.Com (ED); B. Sc.(Ed)	3
Postgraduate Certificate in Education	4
Higher Education Diploma	5
B.Tech: Post School	6

6. Your highest academic qualification

Matric	1
Bachelor's Degree (e.g. B.A. B.Comm.; B.Sc.)	2
Honours Degree	3
Master's Degree.....	4
Doctorate	5
Other (Specify)	6

SECTION B

		YES	NO
1.	Does your school have a copy of the DAS Manual?	1	2
2.	Is an appraisal system in place at your school?	1	2
3.	Have you ever been appraised?	1	2
4.	The Developmental Appraisal for Educators includes a Panel Appraisal. Did you find this to be of value?	1	2
5.	The Developmental Appraisal for Educators includes a professional growth plan (PGP). Has this been useful to you?	1	2
6.	Was sufficient time allocated to you to prepare for your Developmental Appraisal for Educators?	1	2
7.	Did you find CRITERIA, DEFINITIONS, EXPECTATIONS and RATING SCALE in the Developmental Appraisal for Educators relevant and easy to understand?	1	2
8.	Has your experience of the Developmental Appraisal for Educators contributed positively to your personal and Professional Development?	1	2
9.	Does the Developmental Appraisal for Educators Panel plan and co-ordinate Educators' Development activities? .	1	2
10.	Were you actively involved in the identification of needs which are addressed by the Developmental Appraisal for Educators Panel?	1	2
11.	Have you been consulted about the content and planning of The Developmental Appraisal for Educators?	1	2
12.	Does the Developmental Appraisal for educators result in better performance by educators?	1	2
13.	Would you recommend that the Developmental Appraisal for Educators' attendance be made compulsory?	1	2

SECTION C

This Section consists of statements. After reading each statement, decide if you:

1. Agree
2. Are unsure, but probably agree
3. Uncertain/Undecided
4. Are unsure, but probably disagree
5. Disagree

PLEASE CIRCLE (O) ACCORDINGLY

1.	The principal and the entire DAS panel provide leadership to the educator concerned about teaching and management of the Developmental Appraisal for Educators;	1	2	3	4	5
2.	The DAS panel encourages questions, problem identification and problem solving by educators;	1	2	3	4	5
3.	The principal and the entire DAS panel encourages an open door policy during appraisal sessions;	1	2	3	4	5
4.	Educators feel free to disagree with the principal and the entire DAS panel during appraisal sessions;	1	2	3	4	5
5.	Educators in the school feel free to introduce new ideas about the Appraisal of Educators;	1	2	3	4	5
6.	Staff Development Teams (SDTs) meetings are held regularly concerning developmental Appraisal for Educators;	1	2	3	4	5
7.	I am conversant with the Developmental Appraisal System;	1	2	3	4	5
8.	Educators have opportunities to acquire new skills because of the Development Appraisal for Educators.	1	2	3	4	5

SECTION D

In the following set of questions, encircle the answer you deem to be the most appropriate.

- 1. Which time do you think is the most suitable for conducting developmental appraisal for educators:**
 - A School Hours
 - B After Hours
 - C Week-end
 - D Both A and B

- 2. The Developmental Appraisal for Educators is more effective when:**
 - A The system is designed by the principal alone
 - B There is participatory involvement
 - C External consultants are also involved
 - D Both B and C

- 3. There is a need for the Developmental Appraisal for Educators because:**
 - A It enhances personal and professional growth
 - B It increases salaries
 - C It is a good pas time
 - D Both A and B

- 4. Attendance by educators during the Developmental Appraisal for Educators session is:**
 - A Average
 - B Below Average
 - C Above Average

- 5. One of the advantages of the Developmental Appraisal for Educators is that it results in:**
 - A School Improvement
 - B Educator Improvement
 - C People Improvement
 - D All of the above

- 6. The Developmental Appraisal for Educators has always resulted in changes which are:**
 - A Significant
 - B Minor
 - C Insignificant

- 7. Who plays a major role in the identification of needs to be addressed by the Developmental Appraisal for Educators system:**
- A The principal alone
 - B The educators alone
 - C Other stakeholders
 - D All of the above
- 8. My influence during the Developmental Appraisal for Educators is:**
- A Average
 - B Below Average
 - C Above Average
- 9. Whose needs should be addressed by the Developmental Appraisal for Educators system?**
- A The educator's
 - B The schools'
 - C The learners'
 - D All of the above
- 10. Where would you like the Developmental Appraisal for educators to be conducted?**
- A In the school
 - B At the area or circuit office
 - C Any place where formal education is imparted
- 11. The most important function of the principal and the entire panel in the Developmental Appraisal for Educators is to:**
- A Make educators work
 - B Promote job satisfaction
 - C Motivate educators
- 12. The major areas of dissatisfaction associated with the Developmental Appraisal for Educators are:**
- A Overemphasis of the idea of confidentiality
 - B Exaggeration that amounts to secrecy
 - C Both A and B

- 13. Strategies that educational managers can use to change the attitude of educators about the Developmental Appraisal for Educators are:**
- A** The Developmental Appraisal for Educators must be regarded as a positive tool for growth of the appraisee and appraiser;
 - B** Manager to be partners in educators' ongoing growth;
 - C** The appraisal system should not be enshrouded in an aura of secrecy but an accountable, and transparent procedure;
 - D** All of the above.
- 14. The Developmental Appraisal for Educators will be successful if :**
- A** It is firmly integrated for educators with the management structures of the School;
 - B** It is to establish and maintain a positive attitude toward the Developmental Appraisal for Educators;
 - C** It ensures that all educators are fully informed about the policies and procedures of the Developmental Appraisal System (DAS);
 - D** All of the above.
- 15. Why does comprehensive Development Appraisal for Educators take so long at your school?**
- A** Lack of substantial finance from the Department of Education;
 - B** Lack of properly trained facilities;
 - C** Its introduction in haste and in an improperly planned manner;
 - D** The pay incentive that goes with Developmental Appraisal for Educators;
 - E** All of the above;

Thank you for your **time, assistance** and **co-operation !!!**

Dear Respondent

The **Questionnaire** is for academic purposes, namely M.Tech Education: Management by **dissertation at THE CENTRAL UNIVERSITY OF TECHNOLOGY, BLOEMFONTEIN, FREE STATE.**

It is based on the project entitled:

“STRATEGIES FOR THE IMPLEMENTATION AND MANAGEMENT OF DEVELOPMENTAL APPRAISAL FOR EDUCATORS; A CASE STUDY OF SCHOOLS IN THE FREE STATE PROVINCE”.

The purpose of the Questionnaire is to offer you an opportunity to tell how you feel about **The Developmental Appraisal for Educators**, your present status regarding Developmental Appraisal for Educators. This questionnaire is a mere instrument to obtain information from the secondary schools educators in the **FREE STATE PROVINCE.**

Your responses are confidential and will not be shown or identified by your name and/or your secondary school.

APPENDIX N

**STRATEGIES FOR THE IMPLEMENTATION AND MANAGEMENT OF
DEVELOPMENTAL APPRAISAL OF EDUCATORS:
A CASE STUDY OF SCHOOLS IN THE FREE STATE PROVINCE**

Structured interview schedules or frameworks for interviews.

Please note: These personal interviews will be conducted at schools after school hours. The duration of these interviews will be \pm 15-20 minutes each.

A list of questions that will be asked during personal interviews and face-to-face conversation with educators, head of departments, deputy principals and principals.

1. How has the Developmental Appraisal for Educators affected your school and the learners?

2. How has the Developmental Appraisal for Educators affected the staff and the learners?

3. What is the controversy about the Developmental Appraisal for Educators?

4. What can those who support the Developmental Appraisal for Educators do to keep it alive in their schools?

5. What is the most optimistic scenario of the future for the Developmental Appraisal for Educators?

6. What training and support did you and your colleagues receive for the implementation of the Developmental Appraisal for Educators?

7. What is your view of the quality and effectiveness of this training and support?

8. Did your school experience any problems in organizing and administering the Developmental Appraisal for Educators?

9. Are there any suggestions you would like to make about how the training and support might have been improved?

10. Please, give your opinion on the number and type of forms to be completed in the Developmental Appraisal for Educators?

11. Do you think that the Developmental Appraisal for Educators should be linked to staff development/empowerment programmes? Why?

12. What is your overall impression of the Developmental Appraisal for Educators as it is currently designed and implemented?

13. Please provide suggestions about what might need to be done to improve the current the Developmental Appraisal for Educators' process?

14. How do educators respond to the Developmental Appraisal for Educators?

15. What form does the Developmental Appraisal for Educators take?

16. What role does the School Governing Body play in the Developmental Appraisal for Educators?

17. Assuming that you need to develop a more efficient and formal the Developmental Appraisal for Educators for your school, list the information, skills, strategies and resources you will need to accomplish this:

APPENDIX O

FREE STATE PROVINCE



Enquiries : Mrs M V Wessels
Reference no. : 16/4/1/2-2002

Tel : (051) 404 8075
Fax : (051) 4048074

28 February 2002

Ms V E Tshayana
P O Box 5088
Dukathole Township
Aliwal North
9752

Dear M s Tshayana

REGISTRATION OF RESEARCH PROJECT

1. This letter is in reply to your application for the registration of your research project.
2. Research topic: **STRATEGIES FOR THE IMPLEMENTATION AND MANAGEMENT OF DEVELOPMENTAL APPRAISAL FOR EDUCATORS: A CASE STUDY OF SELECTED SCHOOLS IN THE FREE STATE PROVINCE.**
3. Your research project has been registered and you may conduct research in the Free State Department of Education under the following conditions:
 - 3.1 Principals and educators participate voluntarily in the project.
 - 3.2 The names of the schools and principals involved remain confidential.
 - 3.3 The completion of the questionnaires and the interviews take place outside the normal tuition time of the school.
 - 3.4 You consider making the suggested changes to the questionnaires.
 - 3.5 This letter is shown to all participating persons.
4. You are requested to donate a report on this study to the Free State Department of Education. It will be placed in the Education Library, Bloemfontein.
5. Once your project is complete, we should appreciate it if you would present your findings to the relevant persons in the FS Department of Education. This will increase the possibility of implementing your findings wherever possible.
6. Would you please write a letter **accepting the above conditions**? Address this letter to:

The Head: Education, for attention: CES: IRR/ISS
Room 1213, C R Swart Building
Private Bag X20565, BLOEMFONTEIN, 9301

7. We wish you every success with your research.

Yours sincerely


HEAD: EDUCATION

APPENDIX P

PO Box 5088
Dukathole Township
ALIWAL NORTH
9752

15 February 2002

The Head
Free State Department of Education
Private Bag X20565
Room 1213
CR Swart Building
BLOEMFONTEIN
9300

ATTENTION: CHIEF EDUCATION SPECIALIST: EDUCATION PLANNING

Dear Sir/Madam

REQUEST FOR PERMISSION TO CONDUCT EDUCATION RESEARCH

I hereby request permission to conduct a research for an M.Tech. Educational Management degree in the Free State.

The title of my dissertation is: *Strategies for the Implementation and Management of Developmental Appraisal for Educators: A case study of selected schools in the Free State.* I am a student at Technikon Free State, Bloemfontein campus and my supervisors are Prof. SM Thulare and Prof. JA Pienaar.

Over the last \pm 5 years, there has been growing concerns about Developmental Appraisal for Educators throughout South Africa. Developmental Appraisal for Educators was first coined in South Africa in 1996 by the Education Labour Relations Council. By late 1997, the University of Witwatersrand Education Policy Unit had already published the ELR Manual for Developmental Appraisal with a view to establishing appraisal procedures criteria and instruments for all levels of educators.

The Developmental Appraisal for Educators that is not linked to Staff Development is likely to be partially effective. To attempt the management of Developmental Appraisal for Educators without an appraisal process will produce equally random, partial and peripheral outcomes. The present system of appraisal in South Africa cannot be addressed without addressing professionalism and the role of the teacher as each of these factors influence the teacher-assessment procedure (Beardall 1995:365). Properly managed Developmental Appraisal for Educators provides a focus for staff development.

An appropriate training and development strategy ensures that the Developmental Appraisal for Educators process actually leads to change and growth.

The strategies for the implementation and management of Developmental Appraisal for Educators have not yet been seriously and scientifically addressed and investigated, thus, scientific study in this respect will be essential to make it possible for educational leaders to understand, utilise, promote and implement the necessary and functional strategies to achieve successful implementation of the Developmental Appraisal for Educators.

The research will evaluate the Developmental Appraisal for Educators, assess its feasibility, determine the attitude of educators towards the Developmental Appraisal for Educators as a mechanism for effective professional management and finally propose strategies and programmes for the successful implementation and management of Developmental Appraisal for Educators.

The aim of the study is to investigate and assess existing conditions and practices in schools regarding Developmental Appraisal for Educators with the purpose of identifying and proposing possible strategies to its management and implementation in Free State schools.

The objectives of the study will be to:

1. Investigate aspects related to the Developmental Appraisal for Educators and the implementation thereof in public schools;
2. Identify factors (if any) inhibiting the successful management of the implementation phase of the Developmental Appraisal for Educators;
3. Interrogate possible strategies to ensure that the Developmental Appraisal for Educators is successfully implemented;
4. Do a literature study of the Developmental Appraisal for Educators and
5. An empirical study of the Developmental Appraisal for Educators.

The findings will provide an opportunity to improve the manner in which teachers/schools manage or have to manage the implementation of Developmental Appraisal for Educators in secondary schools in South Africa.

The field study of this research is Education Management, a sub-discipline of Education which covers an extension field of management tasks such as planning, organising, leading and exercising control are applied to various management areas.

The study has limitation in that: The information contained does not suffice to conclude that the Implementation of Developmental Appraisal for Educators is successfully managed by all the educators in other areas/districts and/or provinces and – findings from the study will best serve communities around Bloemfontein, Welkom, Kroonstad, Thaba 'Nchu and Qwa-Qwa.

However, the findings of the study as well as suggested strategies to enhance the schools management of the implementation process may be useful to schools country-wide.

The population targeted for the study is selected for secondary school educators in urban centres of the Free State. For the sample to be representative of the targeted population a combination of sampling techniques will be employed. The centres identified are Bloemfontein, Welkom, Kroonstad, Thaba 'Nchu and Qwa-Qwa. A sample of 5 secondary schools in each centre will be randomly selected to be representative of the target population of the chosen area.

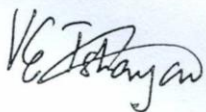
The Free State Department of Education is requested to provide the researcher with names and addresses of five schools in each identified regions namely, Bloemfontein, Welkom, Kroonstad, Thaba 'Nchu and Qwa-Qwa.

The research will be conducted during the second term (that is Mid-April to end of May).

A Questionnaire will be used to find a general picture about the research topic as well as to provide a reliable reference against which cross-referencing could be done. Only secondary educators in selected schools in the Free State will be asked to complete the Questionnaire. A Questionnaire will be a one day take home exercise. The research will be conducted AFTER school hours.

Personal interviews will be conducted. This will give the researcher an opportunity to observe the subjects and their environment. A face-to-face conversation will help clarifying some concepts to the respondents. 15-20 minutes will be spent with an individual educator as the respondent in the research.

Yours faithfully,



TSHAYANA VE (MS)