LINKING APPRAISAL WITH PROFESSIONAL DEVELOPMENT IN THE INTEGRATED QUALITY MANAGEMENT SYSTEM IN SOUTH AFRICAN SCHOOLS

by

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ABSTRACT

In recent years, the South African education system has experimented with different appraisal systems in an attempt to evaluate the performance of educators in public schools. Educator appraisal is receiving attention throughout the world as governments become aware of the need to examine educational provision critically to ensure that it is both relevant for and appropriate to, the needs of the youth. Before 1994, the appraisal of educators was mainly based on traditional approaches to evaluate their performance. For instance, it was the responsibility of the inspectors from the Department of Education (DoE) to evaluate the performance of educators in schools. Consequently, a great deal of criticism was levelled at this appraisal system such as the prevalence of political bias in the system, the unchecked power that the inspectors wielded, the incompetence of inspectors and irrelevance of some evaluation criteria and absence of contextual factors.

After 1994, there was a paradigm shift from the traditional to the developmental approach to evaluate the performance of educators in public schools. That is, there was a need to develop educators through appropriate appraisal schemes with a view to enhancing their continued professional growth. Therefore, the present education system calls for a decentralised appraisal system, which places greater emphasis on the professional development of educators. Stakeholders such as educators and teacher unions have also made higher demands for improved educator evaluation and professional growth. In 1998, at the Education Labour Relations Council (ELRC), the Department of Education (DoE) agreed to introduce the Developmental Appraisal System (DAS) followed by the Whole-School Evaluation (WSE) in 2001. Both these policies were rejected by educators and their teacher unions since they regarded these appraisal systems as summative, judgmental and that failed to offer opportunities for further development.

In August 2003, the DoE and the unions signed two collective agreements, which led to the Integrated Quality Management System (IQMS) and it was intended to integrate and strengthen various components of DAS, WSE and performance measurement (PM). The IQMS was first implemented in South African schools in 2005 with the aim of enhancing the continuing professional growth of educators.

Furthermore, the National Department of Education (NDoE) introduced the National Policy Framework on Teacher Education and Development (NPFTED) in 2006. This policy aimed to equip educators to undertake their essential and demanding tasks and to enable them to enhance their professional competence and performance on a continuing basis. Even though the IQMS was introduced as a new system to evaluate the performance of educators and to enhance their professional growth, it does not actually serve its purpose since it is not properly implemented and monitored in schools. Instead of using it as a tool to enhance the professional growth of educators, its emphasis is on getting assessment scores, which are directly related to remuneration. As a result, the ultimate aim of professional development for educators is neglected. This means that the IQMS is regarded as a separate entity that is not linked to the continuing professional growth of educators and its developmental programmes are criticised for being traditional since they are only confined to class visits, which are conducted once or twice a year for PM purposes.

Therefore, since the introduction of the IQMS in 2003 and its implementation in 2005 in South African schools, no empirical research has been conducted on the need to link appraisal to professional development in the IQMS in South African schools. The study conducted by Bisschoff and Mathye (2009) focusses on the advocacy of an appraisal system for teachers. Another study conducted by Dhlamini (2009) concentrates on the role of the IQMS to measure and improve teaching and learning in the South African further education and training (FET) sector. Furthermore, the study by Rabichund (2011) focusses on the assessment of the IQMS and its implications for whole school development. Furthermore, the study by Mahlaela (2011) investigates the IQMS as a transformational strategy for teacher development in South Africa. Accordingly, this study builds on these studies and it seeks to investigate how appraisal and professional development can be linked in the IQMS in South African schools.

Key terms:

Staff appraisal; Performance appraisal; Educator evaluation; Professional development; Integrated Quality Management System; Educator development; Continuous professional development of educators; Formative and summative evaluation practices; Continued professional growth; Decentralised appraisal system

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DECLARATION

I, **Hamilton Themba Mchunu**, hereby declare that this research project, "***Linking appraisal with professional development in the integrated quality management system in South African school"***, is my own work and all the sources used or quoted for this research have been acknowledged.

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Mchunu H.T. **Date**

LIST OF ABBREVIATIONS

ACE	Advanced Certificate in Education
ADE	Advanced Diploma in Education
ANA	Annual National Assessment
BA	Bachelor of Arts
BED	Bachelor of Education
CPD	Continuing professional development
CPTD	Continuing professional teacher development
DA	Developmental appraisal
DAS	Development Appraisal System
DBE	Department of Basic Education
DoE	Department of Education
DSG	Development Support Group
ELRC	Education Labour Relations Council
HDE	Higher Diploma in Education
HEQF	Higher Education Qualifications Framework
HET	Higher Education and Training
HOD	Head of Department
INSET	In-service education and training
IFPD	Instructional Focussed Professional Development
IPET	Initial professional training for educators
JPTD	Junior Primary Teachers' Diploma
IQMS	Integrated Quality Management System
LSEN	Learners with special educational needs
JEPD	Job-embedded professional development
MA	Master of Arts
NATU	National African Teachers Union
NDOE	National Department of Education
NEEDU	National Education Evaluation and Development Unit
NGOs	Non-governmental organisations

NPFTED	National Policy Framework on Teacher Education and Development
NQF	National Qualifications Framework
NSC	National Senior Certificate
PD	Professional development
PDPs	Professional development programmes
PGCE	Post graduate Certificate in Education
PGP	Professional growth plan
PM	Performance management
PTD	Primary Teachers' Diploma
SACE	South African Council of Educators
SADTU	South African Democratic Teachers Union
SDT	Staff development team
SEM	Specialist in education management
SIP	School Improvement Plan
SMT	School management team
SPTD	Senior Primary Teachers' Diploma
STD	Secondary Teachers Diploma
SSTD	Senior Secondary Teachers Diploma
RSA	Republic of South Africa
WSE	Whole-School Evaluation

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CHAPTER ONE

1. ORIENTATION TO THE STUDY

1.1 INTRODUCTION AND BACKGROUND TO THE STUDY

In recent years, South African education system has experimented with different methods of appraisal systems to evaluate performance of educators and to develop them continuously in public schools. Literature on appraisal reveals that educator appraisal is receiving attention throughout the world as governments become aware of the need to examine educational provisions critically to ensure that they are both relevant for and appropriate to, the needs of the youth (Steyn 2007:249).

Before 1994, there were more than one education systems prevalent in South Africa because of apartheid regime and more than one type of appraisal systems was practiced. Therefore, appraisal of educators in previously disadvantaged schools was largely based on traditional approaches to evaluate their performance. For instance, it was only the responsibility of inspectors from the department to evaluate performance of educators in schools and inspections were conducted in two main areas of development, which include administration and classroom management. Consequently, many criticisms were levelled against this appraisal system, such as the prevalence of political bias in the system, the unchecked power that inspectors wielded and the incompetence of inspectors (Ntombela, Mpehle & Penciliah 2010:362). They also include irrelevance of some evaluation criteria, the absence of contextual factors and that appraisal was used as a punitive measure rather than as a collective and developmental measure.

However, since 1994 there were so many changes which have taken place in South African education system and this was certainly also the case with educator appraisal. For instance, there was a paradigm shift from the traditional to the developmental approaches to evaluate performance of educators and to develop them continuously in schools. In this

regard, Motilal (2004:148) maintains that what is new in the South African education system is a paradigm shift from a purely judgmental system to the one that focusses on development. Odhiambo (2005:403) stresses that appropriate appraisal schemes assist to enhance PD for the educators and they also lead to the quality improvement in education.

Therefore, the present education system calls for the decentralised appraisal system, which places greater emphasis on PD of educators which is directly related to improved learner achievement in schools. Stakeholders such as educators and their unions have also made higher demands for improved educator evaluation and professional growth. In 1998, Department of Education (DoE) agreed to introduce a system of education appraisal at the Education Labour Relations Council (ELRC), namely, Development Appraisal System (DAS) and it was followed by Whole-School Evaluation (WSE) policy in 2001 which aims at monitoring the schooling system. DoE encountered serious problems and resistance from schools over implementation of these policies (De Clercq 2007:99). For instance, educators and their unions expressed feelings of dissatisfaction with regard to the introduction of DAS and WSE in schools. They further emphasise that these policies are largely characterised as summative and judgmental and they do not offer opportunities for their development.

Consequently, educator unions called for a department moratorium on WSE policy and encouraged its members to boycott WSE supervisors and refuse them access to schools. Many educators and their unions objected to the WSE policy because they believe that its supervisors continue to adopt the same fault- finding approach as ‘inspectors’ in the apartheid education system. The unions also feel that evaluation instruments are defective because they do not prioritise educator development and provinces lack capacity to implement them effectively (*The Teacher*, 2011:2). Therefore, the National Policy Framework on Teacher Education and Development (NPFTED) (2006) was introduced by the DoE. NPFTED aims to equip educators adequately to undertake their essential and demanding tasks and assists to enhance their professional competence and performance continually (DoE 2006:4). This policy also provides the basis for designing new or revised teacher education development programme known as the Initial Professional

Education of Teachers (IPET) which puts more emphasis on PD for the educators and to recruit properly qualified educators in the teaching profession (DoE 2006:30).

Furthermore, in August 2003 DoE and educator unions signed two collective agreements, which led to the Integrated Quality Management System (IQMS) (ELRC, 2003). IQMS was intended to integrate and strengthen various components of DAS, Performance management (PM) and WSE. IQMS is also criticised for putting more emphasis on remuneration rather than on professional development (Mahlaela 2011:2). As a result, people managing the system are always under pressure to meet deadlines for the DoE and give artificial scores or assessments. For instance, in most cases, the scores obtained by the appraisees do not seem be a true reflection of learner performance and achievement in most schools.

Even though IQMS was introduced as a new system to evaluate performance of educators, most schools do not adhere to its management and implementation plan and there are no follow up programmes on educator development. From my personal observations and informal interviews with my colleagues, most of them express feelings of dissatisfaction with IQMS. They further maintain that the current system to evaluate educators is still characterised by subjective and judgmental processes where School Management Team (SMT) members still use fault-finding as form of development. Furthermore, this appraisal system is time consuming with a lot of paperwork and it does not contribute on their development. In this regard, Ntombela, Mpehle and Penciliah (2010:369) share similar sentiments when they contend that numerous challenges are encountered in the implementation of IQMS, such as work overload coupled with increased paperwork. Consequently, structures constituted to implement it in schools such as Staff Development Teams (SDTs) and Development Support Groups (DSGs) have to leave learners unattended and focus on the PM processes.

Researchers agree that the main purpose of PM system in schools is to promote PD of educators and ultimately to the improvement of education (Odhiambo 2005:403; De Clercq 2008:10; Naidu *et al* 2008:48 & Ntombela *et al* 2010:364). Continued PD,

according to Wong and Yeung (2003:58), helps educators and school principals update their knowledge and skills and equip them better for coping with rapid changes. Boyle *et al* (2005:2) share similar sentiments when they assert that PD is concerned with the creation of conditions for the rapid acquisition of new knowledge and skills throughout the career. Therefore, educators need different competences such as subject knowledge, pedagogical and societal knowledge and different kinds of in-service activities, which constitute a school-based approach (De Clercq 2008:8). In this regard, in 2011 Department of Basic Education (DBE) and Higher Education and Training (HET) have recently introduced a plan known as the Integrated Strategic Framework for Teacher Education and Development. This plan addresses career paths of educators through a number of phases from recruitment through to retirement. It also places teachers firmly at the centre of all the efforts to improve teacher development and enables them to take substantial responsibility for their own development.

The problem is that PD programmes or activities that are conducted in schools to develop educators do not incorporate IQMS development programmes. This means that IQMS is not linked to the continued PD of educators. In most schools, both in urban and rural areas, PD of educators is at a critically low level. For instance, IQMS as a tool to facilitate PD does not encourage or facilitate professional growth of the educators. Furthermore, developmental programmes are only confined to traditional approaches such as class visits, which are conducted once or twice a year and there are no follow-up programmes to monitor educator development. Schools also rely on ineffective staff development programmes organised by the DoE such as short workshops and seminars. These programmes are dominated by facilitators and they do not develop skills and competencies to the educators. In addition, the content of these workshops and seminars are not related to IQMS which is currently used as a tool to facilitate PD in schools.

Consequently, IQMS is not being implemented properly in some schools including the one where the researcher is employed. For instance, it is only confined to class visits which are only conducted towards the end of a year to get assessment scores for PM purposes. If appraisal is treated as a once-off event, it tends to become judgmental and

detrimental to individual growth and development of educators (Steyn 2007:249). In this regard, formative evaluation, which places the major emphasis on continuing development of educators in schools, is neglected. More recently, most literature on staff appraisal advocates formative practices on educator PD which is directly related to learner achievement in schools and it is done for accountability purposes (Ovando & Ramirez 2007:89).

Another problematic issue in using IQMS as a tool to facilitate PD for the educators is that structures such as SDTs and DSGs including principals and their SMTs are uncertain of their responsibilities. In this regard, extremely limited training was given to these structures to capacitate them so that they could perform their duties effectively. For instance, since its inception in South African Schools seven years ago, school principals have only received a once-off IQMS advocacy training session. Thereafter, principals were required to disseminate information by training educators and to constitute structures such as SDTs to implement IQMS and to use it as a tool for their PD.

Further, there is a lack of support from the departmental officials as they do not assist in monitoring IQMS in schools and to ensure that all its procedures and processes are properly adhered to. They shift the responsibility for conducting IQMS to the school principals and their SMTs and principals in turn shift theirs to the conveners of the SDT as they view processes and procedures involved in the implementation of IQMS as time-consuming rather than as a tool for personal and PD. Another point is that no time is devoted to the implementation of IQMS in the composite school timetable. That is the reason why peer assessment as one form of evaluation is not done properly. This form of evaluation requires all DSGs members to conduct both pre and post evaluation discussions with appraisees before and after being appraised, but instead this turns to be a quick fix expedience because there is not enough time to conduct these discussions. As a result, Professional Growth Plan (PGP) which is supposed to ensure the continuing development of the educator is not monitored properly by the DSG because of the time factor.

Therefore, from the time that IQMS was introduced in 2003 and its implementation in 2005, no empirical research has been conducted on the need to link appraisal with PD in the IQMS, which is currently used as a tool to evaluate the performance of educators in South African schools. The study conducted by Bisschoff and Mathye (2009) focusses on the advocacy of an appraisal system for teachers. It also focusses on the conceptual framework of IQMS to ensure that each individual teacher's contribution contributes to the effectiveness of the system. Furthermore, a study conducted by Dhlamini (2009) concentrates on the role of IQMS to measure and improve teaching and learning in Further Education and Training sector. The study by Rabichund (2011) focusses on the assessment of IQMS and its implications to the whole school development. Its content covers issues such as the perceptions of the educators regarding IQMS as well as the challenges facing the education system in managing IQMS in schools.

Finally, the study by Mahlaela (2011) investigates IQMS as a transformational strategy for teacher development in South Africa as the majority of the educators are not clear as to how the teacher assessment should be implemented in order to facilitate PD. Therefore, this study builds on these studies and it seeks to investigate a need to link appraisal with PD in the IQMS in South African schools.

1.2 THEORETICAL FRAMEWORK

Performance appraisal, according to Deb (2009:227), helps to identify employees who need further development through training. Accordingly, Collins (2004:43) identifies two approaches to performance appraisal, namely, the judgmental and developmental approaches.

1.2.1 Judgmental approach

This approach was neither transparent nor formative and lacked any form of feedback (Heystek, Nieman, Van Rooyen, Mosoge & Biputh 2008:143). The judgmental approach is also known as the centralised or traditional approach where inspectors used to visit

schools either announced or unannounced with a view to evaluating the performance of educators in schools. Middlewood (2002:122) emphasises that the appraisal of teachers during the apartheid era was used essentially for control rather than for development purposes and it was conducted in two main areas of development only such as lesson preparation and presentation and classroom management. This appraisal system was criticised for failing to provide developmental opportunities for the educators.

The traditional form of teacher monitoring or bureaucratic accountability, according to De Clercq (2008:10), refers to line management supervision. It can be done either externally by inspectors or internally by the SMT and is usually conducted for control purposes. She further maintains that the traditional form of teacher monitoring rests on certain assumptions, such as the fact that teachers have to comply with the departmental procedures and regulations and the fact that teacher monitoring tends to reinforce the isolation of teachers. Furthermore, it rests on the assumption that it also stifles creative innovative practices, it undermines constructive dialogue among educators and it discourages teachers from improving their practices and makes them irrelevant with regard to their classroom-specific contexts. Steyn (2007:250) maintains that judgmental approach focusses on aspects which include: emphasis on weaknesses; appraisee is not involved in the PM process; summative judgment is final; emphasis falls on outputs or products such as lesson plans, the marking of books and it tends to be negative.

1.2.2 Developmental approach

The former judgmental approaches of the past have been replaced with a much more collaborative formative approach (Heystek *et al.* 2008:144). This concurs with the view by Ovando and Ramirez (2007:88) when they assert that many school systems have moved away from the more traditional evaluation practices to the more recent ones, which are more developmental in nature. As a result, the appraisal system that came into effect after 1994 was not accepted by the teachers' unions. Therefore, negotiations resulted in the current IQMS that comprises three programmes (Weber 2005:64). They include: Developmental Appraisal (DA), Performance Measurement (PM) and WSE.

IQMS, according to Naidu *et al.* (2008:49) represents attempts by the DoE to introduce a form of monitoring and evaluation of educators and schools after the demise of the inspectorate system. The decentralised or developmental approach rests on the assumption that the performance evaluation of the school-based educators is dispersed to the different school stakeholders such as SMTs, educators and certain structures such as SDTs and DSGs constituted to drive IQMS in schools. Collins (2004:43) refers to the decentralised approach as school-based supervision (SBS).

DA, according to De Clercq (2008:11), becomes an essential ingredient of school development. The developmental approach was introduced because of the need to move away from the judgmental approach to the developmental approach to evaluate the performance of educators in South African schools. The developmental approach that requires PM for the school-based educators is the responsibility of different role players in schools such as SMTs, educators and structures such as the SDTs and DSGs that must be constituted to spearhead IQMS in schools. Importantly, developmental approach rests on the assumption that it provides a framework to identify educators' strengths and weaknesses and facilitates the identification of personal and PD plans within the broader aim of school development. In addition, developmental approach focusses on strengths and appraisees are actively involved in the PM system. The implementation of formative guidelines assists to improve practice and places more emphasis on process and context and views teaching as a complex process (Steyn 2007:250). The following section explores the research problem and its aim.

1.3 PROBLEM STATEMENT AND OUTCOMES

The research problem that emanates from the above is as follows*: How can appraisal and PD be linked in the IQMS in South African schools?*

The following aim was identified for this study, namely:

The researcher will attempt to explore how appraisal and PD can be linked in the IQMS in South African schools.

This study also aims to provide documented evidence of the way in which appraisal and PD can be linked in the IQMS in South African schools.

1.4 SIGNIFICANCE OF THE STUDY

The IQMS has been ongoing for over seven years. It can therefore be assumed that it has had an impact on both performance appraisal and PD of the educators in schools. This research is designed to explore the need to link appraisal with PD in the IQMS with a view to enhancing the professional growth of the educators in South African schools. Since its first implementation in 2005, no empirical research has been carried out to explore linking appraisal with PD in the IQMS with a view to enhancing the PD of the educators in schools.

The study can be useful for the SMTs and the school-based educators because they could be able to differentiate among the staff appraisal, PD and IQMS and they will become aware that these developmental programmes can be used concurrently or supplement each other since their ultimate purpose is to facilitate PD of the educators in schools.

1.5 POPULATION AND SAMPLING

The researcher purposefully selected sixteen schools, that is, eight primary and eight secondary schools. The schools are located in Mafukuzela-Gandhi circuit at KwaMashu Township, to the north of Durban in the province of KwaZulu-Natal. These schools were selected through purposeful sampling as they were selected on the basis that they are previously disadvantaged with poor infrastructure and they were subjected to the traditional appraisal practices prior 1994. They are also located in the township which is ravaged by negative socio-economic factors such as poverty and crime. Consequently, some of these schools do not enhance academic performance and achievement of

learners. Accordingly, some of them produce poor Annual National Assessment (ANA) results from the lower grades up to the exit level (Grade 12).

The sample of this study consists of the following participants:

- A Principal from each school was interviewed using one-to-one interview.
- Five SMT members from each school were interviewed as a focus group.
- Eight educators (a repetition of three experienced educators, three educators with less than three years teaching experience and two educators who were democratically elected as SDT members in each school) were also interviewed as a focus group.

In total, sixteen principals, eighty SMT members and one hundred and twenty eight post level one educators were included to participate in this study by means of interviews. Therefore, a total of two hundred- and twenty- four participants were selected to participate by means of interviews. Table below provides a description of participants selected to participate in this study:

Table 1.1: Description of participants selected to participate in the study

Participants	**Number**
Principals	16
SMT members	80
Educators	128
Total	**224**

1.6 RESEARCH METHODS AND DESIGN

This study aims to suggest and describe a need to link appraisal with PD in the IQMS in South African schools. A literature study on the pertinent aspects of PM system, IQMS, which is currently used to evaluate performance of educators in South African schools as well as PD of educators, was explored with a view to identifying a link between them.

Primary and secondary literature sources such as journals, dissertations and theses, books and research essays were also consulted to get more information about research problem stated previously.

A qualitative research design was used in an empirical investigation in which the researcher used interviews to collect data from the participants selected to participate in the study. Principals, SMT members and educators were used for the sampling. In order to understand various school stakeholders' points of view on the need to link appraisal and PD in the IQMS in South African schools, the researcher conducted in-depth interviews. Sixteen principals, eighty SMT members and one hundred and twenty eight educators were selected to express their views on a topic. The interview guide approach was used where topics were selected in advance but the sequence and wording of the questions depended on the educators being interviewed (McMillan & Schumacher 2006:351).

The process of collecting qualitative data is inductive and the researcher built concepts from details that were obtained from the participants by means of interviews. Johnson and Christensen (2008:388) emphasise that with regard to qualitative data, researchers tend to rely on the inductive mode of the scientific method and the major objective of this type of research is exploration or discovery. Further, they generally study phenomena in an open-ended way without prior expectations.

1.7 DATA COLLECTION PROCEDURES

Data were collected by the researcher from the participants using interviews which were conducted in two steps which include:

Step 1-Personal individual interviews with principals

The researcher's aim for interviewing is to elicit other peoples' perspective and meaning they attach to their experiences (Denscombe 2007:189). The researcher used semi-

structured one- on-one interviews to elicit data from principals. One- on-one interviews involved a meeting between a researcher and one informant (principal) and it was relatively easy to arrange and transcribe. One- on -one interviews also assisted in providing the researcher with more extensive and memorable responses (Denscombe 2007:177; Briggs, Coleman & Morrison 2012:254). The purpose of adopting this approach was to gain a clear understanding of the principals' experiences, perceptions and facts regarding a need to link appraisal and PD in the IQMS in South African schools (Newby 2010:115; Bell 2010:1). All interviews with school principals were conducted in their respective schools during break times and after school to avoid disruption of effective teaching. Each interview lasted thirty to forty five minutes and all interviews were tape-recorded after getting consent from the participants.

Step 2-Focus group interviews with SMTs and educators

The researcher also used focus group interviews to collect data from the SMTs and educators. The rationale for using focus group interviews is to obtain a range of shared ideas from the experts who are knowledgeable on the topic the researcher is investigating (McMillan & Schumacher 2006:319).

Johnson and Christensen (2008:202) maintain that a focus group is a type of group interview in which the researcher leads a discussion with a small group of individuals. Five SMT members from each school were selected because staff appraisal and PD of educators form part of their management tasks (see Appendix C). Eight educators (three experienced educators, three educators with fewer than three years of experience as well as two educators democratically elected as SDT members from each school) were also selected to participate in the study (see Appendix D). The researcher tried to gain insight into how the participants were thinking and why they were thinking that way concerning the need to link appraisal and PD in the IQMS in South African schools (Bell 2010:165). In order to collect accurate data from all the participants, identical interview schedules were used. The aim of using focus group interviews is to use experts such as SMTs and educators to guide the researcher regarding the necessity to link appraisal and PD in the

IQMS in schools. Three interviews were conducted in each school, that is, one- on -one interviews conducted with principals and focus group interviews with SMT members and educators.

All interviews were conducted in schools during break times and after school to avoid the disruption of effective teaching and learning. Each interview lasted between forty five minutes and one hour and they were tape-recorded but only after getting consent from the participants.

1.8 DATA ANALYSIS AND INTERPRETATION

After data were gathered from the participants, the process of analysis and interpretation took place. Data analysis follows collecting the open-ended data by asking general questions then analysing the information supplied by the participants (Creswell 2009:148; Denscombe 2007:293).

After collecting data from the participants, the researcher classified it into manageable themes, relationships, patterns and categories for analysis (McMillan & Schumacher 2010:377). For instance, similar patterns, categories or themes were coded and grouped together. Accordingly, the data for this study were analysed using an inductive analysis approach described by McMillan and Schumacher (2010:367) as the process through which qualitative researchers synthesise and construct meaning from the data, starting with specific data and ending with categories and patterns. Further, general themes and conclusions emerged from the data rather than being formulated prior to data collection.

The researcher started by reading all the transcripts carefully followed by making a list of all the topics that emanated from the data. Similar topics were clustered together, formed into columns and arranged into major topics. The identified topics were abbreviated as codes that were written next to the appropriate segment of the text. The most appropriate descriptive wording for the topics was done by the researcher with a view to reducing the total number of categories and the related topics were also grouped together. Thereafter,

the final decision was made on the abbreviation for each category and the codes were alphabetised. Finally, the data material belonging to each category was assembled in one place and a preliminary analysis was performed. After data were analysed, data interpretation took place and it was followed by conclusions and recommendations which are covered by the last chapter of the research project.

1.9 ETHICAL MEASURES

It is vital for the researcher to take certain important ethical measures into consideration such as informed consent, voluntary participation of participants, their anonymity and confidentiality as well as permission to tape-record interviews (Johnson & Christensen 2008:102; Klein 2012:22). Before conducting research in schools, the researcher requested permission from the Research Directorate of KZN DoE. The researcher also requested permission from the school principals before entering their premises and collecting data. The researcher also applied for an ethics review and clearance using forms provided by the University of South Africa. After completing these forms, the researcher sent them to the supervisor for evaluation purposes before they were forwarded to the relevant committee for approval.

Informed consent forms were made available to the participants after informing them about purpose of the study, procedures to be followed and measures to ensure confidentiality (Klein 2012:22). The participants were also assured that their identities would not be revealed in any record or report and that there would be no link between the data and participants. Code names for the people and schools selected to participate in the study were used to ensure anonymity (Denscombe 2007:292). The researcher also informed all the participants that their participation would be voluntary since their participation was not mandatory, coerced and neither were they required to participate in a study against their will (Bell 2010:45).

In order for the researcher to capture accurate data from the participants, all the interviews were tape-recorded. All the participants were informed before the start of the

interviews that their responses would be tape-recorded. Thus, the taping of interviews proceeded with the permission of the participants.

1.10 MEASURES TO ENSURE TRUSTWORTHINESS

Since qualitative research revolves around issues of trustworthiness, the researcher selected reliable data collection techniques such as in-depth interviews with the participants. Reliability relates to the degree to which a study can be repeated with similar results (Johnson 2012:93). The researcher also ensured that each data collection technique measured what it was supposed to measure or describe. In order to minimise the chances of the researcher being biased, the following strategies were employed and they are in line with McMillan and Schumacher's (2010:330) guidelines:

- **Prolonged and persistent interviews:** Prolonged and persistent interviews allowed the researcher to undertake an interim data analysis and corroborate the results to ensure a match between the findings and the participants' reality.
- **Survey of original sources:** Relevant policy documents and regulatory frameworks were explored in more detail.
- **Mechanically recorded data:** All the interviews were tape-recorded and transcribed verbatim.
- **Verbatim account:** Direct quotations from the transcribed data were used to illustrate the participants' views.
- **Participants' language:** The interviews were conducted in English, which is the medium of instruction in all the schools selected to participate in this study but the participants were also free to use the language of their choice.
- **Field research:** Interviews were conducted at the schools in the natural location of the participants.
- **Low inference descriptions:** Concrete and precise descriptions from the interviews were used in research findings.
- **Member checking:** The researcher employed this technique to check the accuracy of the data informally during the data collection process.

- **Participant researcher:** The researcher as a participant observer recorded perceptions in diaries and captured anecdotal records for corroboration.
- **Participant review:** Each participant was asked to review the researcher's synthesis of all interviews with the person for accuracy of representation.

1.11 DEFINITION OF KEY CONCEPTS

The following concepts are relevant to this study as they outline that the ultimate purpose of educator appraisal is for their continuous PD.

1.11.1 Staff appraisal

Staff appraisal is defined by Steyn (2007:249), as a continuous and systematic process to help individual educators with their PD and career planning. It also ensures the organisation's performance and that of individual staff members. This suggests that both educators and the schools benefit from appraisal as its purpose is for the continuous PD for the educators which contribute to the whole school development.

1.11.2 Educator development

Educator development covers a variety of activities, which are designed to enhance the growth and professional competence of educators (Steyn 2007:224). DBE and HET (2011:3) point out that educator development assists and supports educators in a number of ways with regard to identifying and addressing their own PD needs. This includes issues such as interpreting learners' performance, diagnostic assessment tests, working with their peers, assessing their developmental opportunities and keeping-up-to date with them as well as making time for their PD.

1.11.3 Integrated Quality Management System

IQMS is a new appraisal system that was introduced in South African schools in 2003 with a view to evaluate performance and to develop both school-based and office-based

personnel continuously (DoE 2003:8). Weber (2005:64) explains that IQMS combines three programmes aimed at teachers and schools discussed over a period of several years by the major stakeholders. These programmes include the DAS, PM and WSE. IQMS emerged because of the need to move away from the centralised to the decentralised approach in evaluating the performance of educators in schools.

1.11.4 Performance appraisal

Larsen (2009:1) defines performance appraisal as the policy that is part of a global complex of accountability and its primary aim is to evaluate performance of the employees and motivate them to perform their tasks to the best of their abilities. Pimpa (2005:116) remarks that performance appraisal has become an increasingly important tool for both public and private organisations to manage and improve the performance of the employees. Furthermore, it assists to make more valid staffing decisions and to enhance the effectiveness of the organisation's overall performance.

Vermeulen (2008:799) maintains that performance appraisal contributes to various factors such as motivation and the improvement of skills and it offers a framework for accountability and feedback.

1.11.5 Professional development

Steyn and Van Niekerk (2002:130) maintain that PD includes properly planned learning programmes and individual follow-up through supportive observations and feedback, staff dialogue and peer coaching. PD is also viewed by Steyn (2007:29) as an ongoing process, which should be done by properly trained staff and should be accompanied by individual follow-up steps in the form of supportive observations and feedback, staff dialogue and peer coaching. She further indicates that the ultimate purpose of PD is for personal, career and organisational growth.

1.12 PLANNING OF THE STUDY

Chapter one provides the introduction and background to the study, theoretical framework, problem statement and outcomes and significance of the study. It also covers population and sampling procedures, research methods and design, data collection procedures and data analysis and interpretation. The chapter also explores ethical measures, trustworthiness of the research as well as the definition of key concepts.

Chapter two is the explication of literature review and it covers staff appraisal and its role in the PD of educators. Further, it covers negative aspects of appraisal system, roles of educational managers in facilitating appraisal system in schools as well as different models of appraisal. It also discusses the role of IQMS as a tool to facilitate educator appraisal and their PD. Aspects such as the structures constituted to implement IQMS as well as challenges that are associated with its implementation are also highlighted in this chapter.

Chapter three covers PD of educators in schools, while Chapter four discusses research methodology and it covers aspects such as population and sampling procedures, research methods and design, data collection procedures as well as data analysis and interpretation. It also explores ethical measures as well as measures to ensure trustworthiness of the research. Chapter 5 deals with the analysis and interpretation of data with the aim to make meaningful conclusions.

Finally, Chapter six of the thesis presents summary of the research findings, conclusions and recommendations of the study. It also encompasses recommendations for further research.

1.13 CONCLUSION

Different aspects have been covered in Chapter one of this study. They include the introduction and background to the study, theoretical framework, problem statement and

outcomes, significance of the study, population and sampling procedures, research methods and design, data collection procedures as well as data analysis and interpretation. The chapter also explores ethical measures and trustworthiness of the research as well as definition of the key concepts. The next chapter (Chapter 2) addresses staff appraisal, key features of effective appraisal and the role of appraisal in PD of educators and different methods of staff appraisal. It also captures the introduction of IQMS in South African schools as well as challenges encountered in its implementation.

CHAPTER TWO

2. PERFORMANCE APPRAISAL AND THE IQMS IN SOUTH AFRICAN SCHOOLS

2.1 INTRODUCTION

Chapter one of this research provided the background and motivation for the study on a need to link appraisal with professional development (PD) in the Integrated Quality Management System (IQMS) in South African schools. The literature review on staff appraisal and PD places the study in perspective. It also provides direction to the research thereby assisting the researcher to develop the conceptual framework to collect and analyse data.

This chapter reviews concept of 'performance appraisal' and its purposes, models of staff appraisal, traditional appraisal practices and a shift to the developmental practices, dimensions of performance appraisal. In addition, it discusses key features of effective appraisal, different methods of staff appraisal, performance management (PM) system in the South African school African schools as well as challenges encountered in conducting performance appraisal. As a point of departure, the concept of 'performance appraisal' and its purposes is reviewed in the following section.

2.2 PERFORMANCE APPRAISAL

2.2.1 The concept 'performance appraisal'

Performance appraisal is defined by Pimpa (2005:115) as a tool which is mostly used by both public and private organisations to manage and improve performance of the employees. Furthermore, it enhances effectiveness of the organisation's overall performance. Margulus and Melin (2005:1) echo similar sentiments when they assert that performance appraisal is the observation and evaluation of a school employee's work

behavior and accomplishments for the purpose of making decisions about the staff member. The decisions may include wage, salary and benefit determinations; promotion, demotion, transfer or termination actions and career development options. Margulus and Melin (2005:1) also identified three basic functions of an effective appraisal and they include:

- Provision of adequate feedback to staff members on their performance.
- Creation of opportunities to communicate face-to-face modifications or changes to existing performance objectives.
- Provision of data to the managers so that they can evaluate a staff member and judge future job assignments and compensation.

Furthermore, Steyn (2007:249), Lekome (2007:14) and Pattanayak (2009:116) concur when they stress that performance appraisal is the continuing and systematic process that assists educators with their PD and career planning. It also ensures that the organisations' performance is improved through the enhanced performance of individual staff members. This view is also endorsed by Zhang and Ming (2011:1) and Rabichund (2011:31) when they point out that performance appraisal is an ongoing assessment and continuous PD of educators in the workplace.

Most definitions given by different authors on performance appraisal concur that it is an ongoing process that assists employees with their continuing PD and the organisation to develop further. For the purpose of this study, performance appraisal is viewed as a tool that benefits both employees and the organisations since the organisation's performance is improved through the enhanced performance of staff members. For instance, appraisal assists educators to develop on a continuing basis. Consequently, the school fulfils its basic functional task of teaching and learning, which is directly related to improved learner performance and achievement. Since every appraisal system is administered with specific aims in mind, the purposes of performance appraisal are addressed in the next section.

2.2.2 The purposes of performance appraisal

Middlewood (2002:121) asserts that the key purpose of appraising educators is two-fold. Firstly, appraisal is used for accountability purposes and secondly, it is used for the PD of educators. He adds that a balance between accountability and PD is necessary for an active performance appraisal scheme to be operated. This suggests that formative and summative evaluation can be used concurrently and they supplement each other.

Ovando and Ramirez (2007:89) and Daley and Kim (2010:5) also echo similar sentiments when they indicate that performance appraisal can fulfil two related purposes of accountability and personal growth and further assert that accountability provides defensible and standardised information to use in human resource decisions. They further maintain that personal growth can be used to convey expectations, to access their current abilities and plan their PD and in-service training aimed at developing higher levels of professional competence.

Furthermore, the purpose of performance appraisal, according to the DoE (2004:1), is to identify those elements that indicate strengths and those where improvement is needed. This view is shared by Robbins and DeCenzo (2007:331) and Deb (2009:224) when they stress that performance appraisal assists to review past performance and to emphasise positive accomplishments as well as deficiencies of the employees. This suggests that performance appraisal also assists in identifying individual strengths and weaknesses and to provide opportunities for further development.

Monyatsi *et al* (2006:427) also identify three purposes of appraisal, which are applicable across organisations and cover a wide spectrum of fields such as commerce and industry as well as the private and public sectors including schools, namely to:

- serve as a basis for modifying behaviour to realise more working habits;
- provide adequate feedback to each employee on his/her performance;

- provide managers with data with which to evaluate future assignments; and determine compensation.

They further stress that although there are many similarities in the purposes of appraisal across organisations, the nature of the organisation dictates the type of system of appraisal to be followed. For instance, IQMS is currently used to evaluate the performance of educators in South African schools using development appraisal (DA), PM and whole school evaluation (WSE) (DoE 2008:41).

It can therefore be concluded that the ultimate purpose of performance appraisal is to assist employees to adhere to the procedures, rules and regulations of an organisation. For instance, educators need to perform their tasks by following guidelines as prescribed by the DoE as an employer. Furthermore, performance appraisal assists employees with their continued PD and it also assists them to identify their strengths and weaknesses. Therefore, employees are encouraged to develop their strengths further whilst their training needs are determined to address their weaknesses. In order to have a clear understanding of performance appraisal and its intended purposes, it is necessary to explore different models of staff appraisal and they are briefly discussed in the next section.

2.3 STAFF APPRAISAL MODELS

Different authors such as Middlewood (2002:122), Monyatsi (2002:62), Motilal (2004:150), Daley and Kim (2005:5) and De Clercq (2008:13) have identified two models of appraisal, namely, accountability and PD models.

2.3.1 Accountability model of appraisal

According to Monyatsi (2002:62), every public organisation like a school, is being called upon to be accountable. He further contends that the accountability appraisal model is hierarchical, top-down approach aims at assessing educators' performance in order to make decisions about dismissal, promotion or merit pay (Monyatsi 2002:66). De Clercq

(2008:13) and Daley and Kim (2010:5) share similar sentiments when they maintain that the accountability model provides defensible and standardised information to use in human resource decisions. It is also managerial, control-oriented, judgmental and hierarchical. However, educators and their unions are mostly against accountability model of appraisal as it is characterised by elements of being judgemental and it also fails to cater for their developmental needs. Motilal (2004:150) maintains that educators want a uniform and national system of appraisal which is developed consultatively by all the stakeholders in education.

Middlewood (2002:122) pronounces that accountability focusses on organisational needs, transactional elements, measurable outcomes and the need for quantitative data. For instance, accountability requires adherence to the departmental rules, regulations and procedures and it also leads to actions related to retention, promotion and dismissal. Middlewood (2002:122) also highlights the problems arising from the accountability model, namely alienation of staff as they perceive themselves assessed from above with little ownership for themselves in the performance appraisal scheme. Other aspects emphasised are weak and even hostile relationships between staff appraised and their appraisers; frank discussion about weaknesses is unlikely to occur as some principals are reluctant to discuss educators' weaknesses, and encouragement of a concept of education, which is narrow and focusses on what is measurable. However, it appears that educators and their unions mostly oppose the accountability model of appraisal in education. The next section discusses another model of appraisal, namely, the PD model.

2.3.2 The professional development model

Commenting on the PD model, Middlewood (2002:122) points out that it focusses on individual needs, recognition of transformational elements and stresses educational value-added outcomes and the need for qualitative data. Further, Daley and Kim (2010:5) maintain that a PD model can be used to convey expectations, assess current abilities and plan PD and in-service training of developing higher levels of professional competence. They further assert that educators regularly engage in collaborative professional learning

based on the standards of performance that are applied in their evaluations. The PD model focusses on the continuous improvement of skills and competences of the employees. This can be achieved through the identification of personal development needs and provision of subsequent training or self-development opportunities (Daley & Kim 2010:6).

Monyatsi (2002:68) contends that staff development is a *sine qua non* for any organisation to be successful in achieving its objectives and the development of human potential is extremely valuable to the success of any organisation. He also maintains that, the PD model involves the development of educators' professional knowledge, understanding and skills to provide the quality of teaching and learning in the classroom. Furthermore, the PD model has gained a considerable amount of popularity from both educators and their organisations including school managers. It encourages educators to become reflective practitioners and to participate in their appraisal and continuous PD programmes. Consequently, educators are motivated and empowered and enjoy being part and parcel of their own development. Middlewood (2002:122) highlights problems arising from the PD model, namely:

- weaker educators are insufficiently challenged; and
- there is no guarantee that the training and development programmes available are directly linked to accelerated learner performance and achievement in schools.

It is therefore necessary to conclude by saying that even though accountability and PD models are discussed separately for clarification purposes, they should complement each other and the balance between them is necessary for the operation of an effective performance appraisal scheme (Middlewood 2002:123). In addition, Middlewood (2002:119) identifies two key elements of performance appraisal, namely, accountability and PD. He further maintains that the balance between accountability and PD lies at the heart of effective performance appraisal for the educators.

Therefore, proper appraisal schemes should include both summative and formative evaluations. For instance, summative evaluation requires adherence to the departmental

rules, regulations and procedures. It also leads to actions related to retention, promotion and dismissal. Formative evaluation on the other hand, leads to actions that are directly related to improvement by means of appropriate staff development programmes (Ovando & Ramirez 2007:89). They also assist in the continuous PD for the educators. Further, accountability focusses on organisational needs, transactional elements, measurable outcomes and on a need for quantitative data and PD focusses on individual needs, recognition of transformational elements, educational value added outcomes as well as on a need for qualitative data (Middlewood 2002:122). Figure 2.1 below is a schematic representation of the two elements of performance appraisal.

Evaluation for accountability	**Evaluation for development**
Focus on organisational needs	Focus on individual needs
Focus on transactional elements	Recognition of transformational element
Focus on measurable outcomes	Focus on education value added outcomes
Need for quantitative data	Need for qualitative data

Figure 2.1: Two elements of performance appraisal (Middlewood 2002:122)

From the above discussion of the elements of performance appraisal, one can deduce that both accountability and PD elements supplement each other and are both necessary for an effective appraisal scheme to be operated. For instance, a proper appraisal scheme should include both summative and formative evaluation and the former evaluation relates to actions related to personnel decisions such as promotions and rewards whilst the latter relates to the continued professional growth of the educators (Ovando & Ramirez 2007:92). It is also necessary to explore traditional performance appraisal practices and a paradigm shift to the DA practices. Therefore, the next section discusses traditional and development performance appraisal practices.

2.4 TRADITIONAL AND DEVELOPMENTAL PERFORMANCE APPRAISAL PRACTICES

2.4.1 Traditional performance appraisal practices

According to Ovando and Ramirez (2007:88) and Goe *et al* (2011:2), in the past, educator performance appraisal systems consisted of classroom observations, usually conducted by the principals or departmental inspectors. They further maintain that most evaluations of teaching practices in the past focussed on judging an educators' classroom-based performance. De Clercq (2008:10) concurs when she asserts that supervision of educators could be done either externally by departmental subject advisors or inspectors or internally by the SMT and is usually conducted for control purposes. She further states that such monitoring session focusses on inputs and processes such as lesson planning and preparation, curriculum coverage and delivery as well as educator compliance with departmental rules, regulations and procedures. Consequently, this form of appraisal was criticised as it failed to cater for the developmental needs of the educators.

Literature on appraisal reveals that as from the 1990s there was a dramatic shift in educator appraisal approaches worldwide. For instance, more traditional appraisal approaches were replaced by developmental approaches which put more emphasis on PD for the educators in schools (Ovando & Ramirez 2007:88). Today, both scholars and practitioners are promoting educator appraisal systems as vehicles for the improvement of both teaching and learning in schools. For instance, an introduction of developmental appraisal system (DAS) by the DoE and teacher unions at the ELRC in 1998 was the first step in developing an appraisal system, which emphasised the developmental needs of the educators in South African schools. Motilal (2004:148) maintains that what is new in the South African education system is a shift in focus from a purely judgemental appraisal system to a system that focusses on development. The next section discusses DA practices.

2.4.2 Developmental performance appraisal practices

Many countries such as the United States of America, New Zealand and South Africa emphasise developing educator evaluation policies which encourage continued personal and professional growth which is directly related to accelerated learner achievement in schools (Goe *et al* 2011:9).

With regard to improving educational outcomes for the learners and ensuring increased accountability, Daley and Kim (2010:1) maintain that the public and policy-makers are calling for a better approach to the educator appraisal system. They highlight further that the element of ongoing professional growth means that educators are regularly engaged in collaborative professional learning based on the standards of performance that are applied in their evaluations. For instance, educator appraisal should address crucial issues such as more systematic observations of classrooms, use of multiple measures of educator effectiveness in improving learner outcomes. These developmental practices, according to De Clercq (2008:11), encourage educators to reflect together on ways of improving teaching practice and they focus primarily on educator practices and are based on the notion that educators have a professional responsibility to improve their practice and make it relevant to their classroom-specific contexts. She also emphasises a combination of bureaucratic and professional accountabilities because the two approaches offset one another's weaknesses. She also stresses that professional accountability only works fully with educators who are knowledgeable professionals and who are committed to improving their practices and learners' achievements.

It can therefore be concluded that as from the 1980s, different education systems all over the world of which South Africa is not an exception, emphasised the appraisal practices that promote the PD of the educators, which is directly related to accelerated learner achievement. Lastly, it is clear that many organisations have replaced traditional top-down management practices with self-directed teams that have the discretionary power to decide how best to serve customers within the scope of existing policies and procedures (Franzsen 2003:131). For instance, appraisal systems in schools are decentralised to all

the relevant stakeholders such as educators, principals and their management teams. This is the reason why all the school stakeholders, such as principals, SMTs and educators need to have a thorough knowledge of the two key elements of performance appraisal and how to apply them in their PM system and to their PD. Furthermore, a performance appraisal system is described by different researchers as having two dimensions, namely informal and formal appraisal in schools. The next section discusses the dimensions of performance appraisal.

2.5 DIMENSIONS OF PERFORMANCE APPRAISAL

Heystek *et al*, (2008:140), Pattanayak (2009:116) and Robbins and DeCenzo (2007:331) identify two dimensions of performance appraisal, namely, informal and formal processes of performance appraisal that can be used concurrently in schools.

2.5.1 Informal process of performance appraisal

Informal performance appraisal, according to Robbins and DeCenzo (2007:331) pertains to the day-to-day assessment where a supervisor monitors an employee's performance and provides ongoing feedback. Heystek *et al.* (2008:140) share similar sentiments when they assert that informal appraisal assists with assessing whether a person is performing on an acceptable level and it is conducted on a day-to-day basis and is a continuing process involved with providing feedback to the subordinates about how well they are doing their work in the organisation. They further assert that this form of appraisal is not completely divorced from the more formal process and it helps to establish a basis of trust for the more formal process of performance appraisal. It is therefore important for the school principals to implement an informal appraisal system, which should become an integral part of the school programme and benefit both the organisation and the individual. For instance, master educators assist the newly qualified educators to adapt to the teaching profession by mentoring them properly with regard to using innovative teaching and assessment strategies as well as with regard to human relations and their classroom management skills.

2.5.2 Formal process of performance appraisal

The formal process of performance evaluation, according to Heystek *et al.* (2008:141), is associated with the use of the structured process negotiated with organisations and it is also normally linked to the process of giving recognition to or incentives for outstanding performance and it also serves as the basis on which promotion takes place within an organisation. Formal performance appraisal is also associated with the use of structured processes and procedures negotiated with the DoE, educator unions and the ELRC such as the DAS, PM and the IQMS.

Robbins and DeCenzo (2007:331) maintain that formal performance appraisal should be conducted once or twice a year. Pattanayak (2009:116) concurs when he asserts that a formal performance appraisal usually occurs annually on a formalised basis at it involves appraiser and the appraisee in the appraisal process. For instance, educators are appraised once or twice a year by means of the class visits with a view to obtaining assessment scores for performance measurement purposes.

It can therefore be concluded that most authors and researchers concur that performance appraisal stresses the PD of the employees in an organisation and both summative and formative evaluation can be used to evaluate their performance. For effective appraisal to occur in schools certain key features and several elements need to be considered and following failure to adhere to them, appraisal becomes a fruitless exercise and fails to serve the purpose of PD. The next section discusses the key features of effective appraisal.

2.6 KEY FEATURES OF EFFECTIVE APPRAISAL

Piggot-Irvine (2003:172) maintains that effective appraisal occurs when appraisal interactions are non-controlling, non-defensive, supportive, educative and yet confidential. For instance, currently the role of appraising educators is decentralised to the relevant school stakeholders rather than centralised to the departmental officials as it

was done in the past. Therefore, appraisers do not have to criticise the appraisee during the appraisal process; instead, the lines of communication need to be opened up for constructive discussions. Appraisees also need to act professionally at all times and must not be defensive and they must understand that the ultimate aim of performance appraisal is PD and not to judge and criticise.

It is also crucial that the encounter between the appraisal panel and the appraisee is educative and contributes to development. For instance, during pre- and post- appraisal discussions, appraisers should state the weaknesses and strengths of the appraisees clearly and honestly and should be dealt with accordingly. The appraisee should not be defensive but should try to deal with the identified weaknesses. With regard to supportive interaction, a good relationship should prevail at all times among the appraisal panel and the appraisee and appraisees should understand that structures designated to appraise them are there to provide professional support and not to judge them. The issue of confidentiality also plays a significant role, for instance, discussions between the appraiser and the appraisee must be strictly confidential. Franzsen (2003:137) emphasises that continuing honest and constructive feedback is not only an administrative and legal requirement, but must be adhered to at all times.

Piggot-Irvine (2003:172) also maintains that effective appraisal is underpinned by a relationship of respect and has outcomes directly linked to improved learning and teaching. He further maintains that, effectiveness is also linked to appraisal processes and information underpinned by clarity, objectivity and high level of integrity where development is the goal rather than quick solutions to problems. Odhiambo (2005:403) expresses a similar sentiment when he points out that effective appraisal schemes have potential to improve the professionalisation of teaching, effective management of schools, quality of education provided to the learners, PD of educators as well as satisfying legitimate demands for accountability. Accordingly, Piggot-Irvine (2003:173) identifies several elements pertaining to appraisal effectiveness. They include: confidential and transparent processes, setting serious objectives, separation of the

disciplinary processes from appraisal as well as clarity and quality time. The elements are briefly elucidated in the next subsection.

2.6.1 Confidential and transparent processes

It is crucial to maintain confidentiality during appraisal process. The appraiser needs to provide feedback which outlines both weaknesses and strengths identified during appraisal. The appraiser must also reassure appraisees that information is not tampered with or altered (Piggot-Irvine 2003:173).

2.6.2 Setting deep objectives

A key to effective appraisal, according to Piggot-Irvine (2003:175) is the establishment of appraisal objectives and plans for improvement that are in a ‘deep’ as opposed to ‘surface’ format. ‘Deep’ refers to plans that include small action research type projects that are carried out on an individualised or group scale. The development of such a plan provides clear indicators for assessment of the achievement of the objectives. For instance, educators need to know that the ultimate aim of appraising them is to enhance their PD which contributes to accelerated learner achievement.

2.6.3 Separation of discipline processes from appraisal

Educational managers such as principals and their SMTs including structures such as SDTs need to draw a line between discipline and appraisal processes. For instance, appraisal should not be used as a tool to reprimand someone but for developmental purposes (Piggot-Irvine 2003:175). In this regard, an appraisal should not be linked to the disciplinary processes and procedures as ultimately, it is aimed at development.

2.6.4 Clarity

It is important that the whole staff is clear of the guidelines and criteria for the appraisal process. If principals, SMTs and educators are do not understand how to implement appraisal policy the whole process ends up a futile exercise. The evaluation of the process should be developed with the intention of improving the *status quo* and not merely for the sake of indulging in check-listing alone (Piggot-Irvine 2003:175). This process should also be well publicised in the school and should be explained in detail. From the onset, the aims and objectives of the appraisal need to be clearly specified, and the implementation and management plans also need to be in place in order to conduct an appraisal process properly in schools.

2.6.5 Quality time

Making and taking enough time to carry out an appraisal is considered crucial (Piggot-Irvine 2003:175). SMTs as the key implementers of the appraisal process, must be given time and support to implement the appraisal system. For instance, adherence to the appraisal implementation and management plans plays a crucial role to ensure that appraisal process is conducted uniformly and properly in schools. Therefore, an appraisal process must not to be a quick-fix procedure which is conducted once a year with the aim to get assessment scores directly related to remuneration. Instead, it is supposed to be an ongoing process which needs to be planned, implemented and managed properly.

2.6.6 Developing educative interactions

Respect, trust and open relationships are crucial for appraisal effectiveness. Openness can only be established if appraisers and appraisees create an educative process (Piggot-Irvine 2003:176). Importantly, an educative relationship is based on respect and trust where educators discuss certain problems affecting them in their profession.

2.6.7 Training

Piggot-Irvine (2003:176) maintains that SMTs are in the fore front in using appraisal as a tool for educator PD not as a quick-fix to get assessment scores directly related to their remuneration. They should train educators on the appraisal procedures and processes. Training should include: coverage of all elements of appraisal such as values, purposes, objectives setting, observation skills, data-gathering skills, interviewing and report writing. The training should also focus on helping appraisers to develop an educative process, which is conducive to teaching and learning. Figure 2.2 represents the key features of effective appraisal.

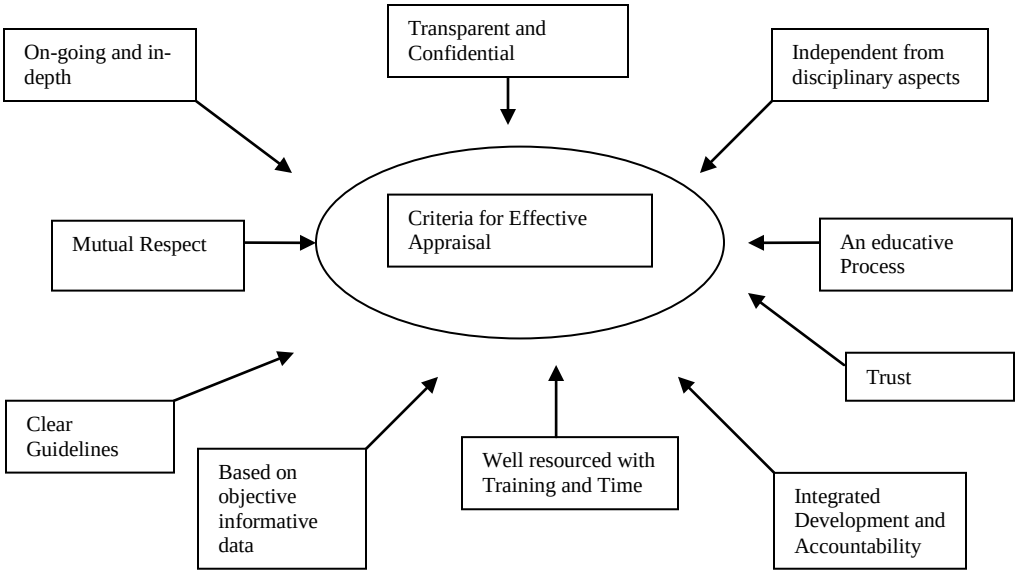

Figure 2.2: Key features of effective appraisal (Piggot- Irvine 2003:9)

It is generally agreed that appraisal is more likely to be successful if it is based on cooperation and consultation with the people being appraised. Consequently, all the school stakeholders feel to be part and parcel of their own development and participate positively in the appraisal process. The next section discusses different methods of appraisal.

2.7 DIFFERENT METHODS OF STAFF APPRAISAL

Different researchers such as and Tucker (2003:574), Steyn (2007:255) and Daley & Kim (2010:3) identify different methods of staff appraisal which include: self-appraisal, classroom observations, peer appraisal, appraisee's portfolio and appraisal interview and they are briefly elucidated in the next subsection.

2.7.1 Self-appraisal

Self-appraisal empowers educators to reflect on their own performance continuously and to set targets and time- frames for their improvement (ELRC 2003:69). Self-evaluation, according to the ELRC (2003:21) becomes an ongoing process and it does not end with summative evaluation, which is conducted for PM, which is only directed at remuneration, but it is also conducted as a form of formative evaluation, which is concerned with continuing development of the educators.

The aim of self- evaluation is to assist educators to familiarise themselves with the performance standards, criteria as well as the levels of performance in order to meet the minimum requirements for pay progression (DoE 2003:24). Furthermore, self-evaluation forms part of both DA and PM. The emphasis on self-evaluation, according to the DoE (2003:25) serves the following purposes:

- Educator becomes familiar with the instrument that will be used for DA and performance measurement.
- Educator is compelled to reflect critically on performance and to set own targets and timeframes for improvement.
- Evaluation, through self-evaluation becomes an ongoing process, which is more sustainable in the long term.
- Educator can be able to make an input when the observation takes place and this process becomes more participatory.
- Educators can be able to measure their progress and success.

Naidu, Joubert, Mestry, Mosoge and Ngcobo (2008:48) indicate that self-evaluation is premised on the assumption that the primary responsibility for quality assurance and school improvement lies with educators and institutions themselves. They further assert that this system begins with individual educators engaging in reflective practice and rating their own performances according to a set of criteria developed together with the SMT. Self-appraisal exercise, according to Dhlamini (2009:54) enables staff members to identify their strengths and weaknesses.

2.7.2 Classroom observations

Classroom observations have been recognised as a worthwhile classroom data collection mechanism to evaluate the performance of educators in the classroom (Ovando & Ramirez 2007:89). Further, regular classroom observations provide detailed feedback to the educators. Biputh (2008:30) asserts that IQMS includes lesson observations as the main source of evidence for performance measurement purposes. She further maintains that, lesson observations are preceded by a 'pre-evaluation discussions'. These discussions assist to check whether the educators understand various performance standards and criteria to be used during appraisal process. Pre-evaluation discussions also assist in giving educators an opportunity to raise issues that are hampering their performance in the classrooms (ELRC, 2003:26).

Daley and Kim (2010:3) contend that classroom observations came to be predominantly structured at the most once or twice yearly. They further assert that evaluation procedures used in classroom observations have never been geared towards helping educators improve their skills. Rabichund (2011:49) stresses that the observation of educators in their classrooms entails the use of collegial observations where colleagues observe each other. She further maintains that classroom observations involve a peer and the head of the department (HOD) observing the appraisee in action and involves arriving at a suitable score to be awarded to the educator being appraised.

2.7.3 Appraisal portfolio

A portfolio is defined by Tucker (2003:574) as the collection of information about educators' practice. He further maintains that, educator portfolios are appealing for many reasons including: their authentic nature, recognition of task complexity, active involvement of participants, encouragement of reflection and self-assessment and the facilitation of collaborative interaction. Killen (2004:181) concurs that an educator portfolio brings educators' experiences and thoughts about teaching together. Furthermore, it attempts to highlight their teaching strengths and accomplishments and it is a highly personal document that summarises the aspects that characterise individuals as teachers.

A portfolio, according to Killen (2004:182) should be an evidence-based document, not simply a piece of creative writing and is updated frequently. Steyn (2007:58) expresses a similar view, namely that an educator portfolio is a collection of information about an educator's work that is organised and presented as evidence of learning achievements over a period.

2.7.4 Peer appraisal

Peer appraisal is evident in new structures such as the DSGs constituted to conduct IQMS in schools (DoE 2003:16). For instance, an educator chooses one educator to represent him or her during the appraisal process. Pimpa (2005:117) maintains that peer appraisal presents an opportunity to educators to work more closely together and share ideas, experiences, knowledge and expertise. He further asserts that an educator's peer guides and evaluates the appraisee's profile and teaching quality. Peer appraisal is also done in the spirit of cooperation and it can help educators to improve their performance.

2.7.5 The appraisal interview

An appraisal interview is conducted between the appraiser and the appraisee. Monyatsi (2002:88) maintains that an appraisal interview offers an opportunity to the appraiser to appraise an appraisee in a formal setting and to record his or her strengths and weaknesses. Further, in order for the appraisal interview to be successful, there is a need for thorough planning by both the appraiser and the appraisee. This means that an appraisal interview demands the application of a wide range of skills from both the educator and the appraiser. It is also important that an appraisal interview is carried out in a comfortable place without any interruptions. This may or may not have been preceded by classroom observations, although classroom observations should always be followed by a discussion.

Pattanayak (2009:128) defines appraisal interview as the systematic collection and feedback of performance data from a number of stakeholders in their performance and it is done in a systematic way by means of questionnaires or interviews. Furthermore, it formalises people's judgements that come from the natural interactions they have with each other. The data are gathered and fed back to the appraisee in a clear way designed to promote understanding, acceptance and ultimately changed behaviour. The next section discusses the new PM system in the South African schools. That is, it provides an introduction of new appraisal policies for the educators with a view to enhance their continued professional growth.

2.8 PERFORMANCE MANAGEMENT SYSTEM IN SOUTH AFRICAN SCHOOLS

2.8.1 PM for the educators

Educator appraisal systems of all over the world have been debated about and revised on the grounds that a carefully crafted approach is needed to yield positive results in the era of change (De Clercq 2008:8). For instance, South Africa has recently revised its

appraisal system and introduced the IQMS in schools (ELRC, 2003). This system (the IQMS) brings different forms of monitoring and appraisal together in the hope that the new integrated system overcomes obstacles in the previous system.

Ntombela *et al* (2010:361) also contend that in keeping with the transformational imperatives of the country, the PM policies had to be revised to reflect democratic principles through which educators could be evaluated. They add that as a starting point in appraising educators, NDoE implemented DAS in 1998, followed by WSE in 2001. In 2003, a new PM policy for the school-based educators, which is known as the IQMS was introduced by merging the DAS and WSE as well as introducing the PM, system which is currently used as a tool to evaluate performance of the school-based educators in South African schools (DoE 2003:8). Therefore, different authors and researchers on performance appraisal for the school-based educators define the IQMS as follows:

2.8.2 Definitions of Integrated Quality Management System (IQMS)

IQMS is a major policy initiative by the NDoE and its aim is to improve quality of education throughout the country by means of DAS, PM and WSE (DoE 2008:41). The IQMS is further defined by De Clercq (2008:12) as a PM system that was accepted by the DoE, ELRC and educator unions in 2003 with the aim of monitoring schooling system. She further maintains that, the IQMS brings together the WSE policy, the DAS and PM, the last two making up the IQMS educator component; while the WSE is concerned with the overall performance of the school.

Weber (2004:64) and Biputh (2008:22) concur with De Clercq when they maintain that the IQMS combines three programmes that have been discussed over several years by the major stakeholders and it is aimed at educators and schools. Christie (2008:143) expresses a similar opinion when he asserts that the three programmes overlap and this proves to be confusing as there are major problems with the conceptualisation and implementation of these three programmes. Furthermore, he maintains that in a move to bring greater coherence and reduce logjams, the DAS, PM and WSE were combined in

the IQMS in 2003. Naidu *et al.* (2008:49) explains that IQMS represents attempts by the DoE to introduce a form of monitoring and evaluation of educators and schools after the demise of the inspectorate system. They further maintain that it is based on a philosophy that states that the fundamental aim of quality assurance is to determine competence; assess the strengths and areas of development. In addition, it aims to provide support and opportunities for development and assure continued growth. Further, other aims of quality assurance are to:

- promote accountability;
- monitor an institution's overall effectiveness; and
- devise the means for reducing the workloads of educators.

The SMTs execute all aspects of the accountability system, especially during the final report following the WSE and create an environment that encourages educators to maintain high standards of teaching, which are directly related to improved learner performance and achievement. Additional aims are that the staff must be visible and accessible for constant advice and support to educators by the senior managers as well as to be aware of and make plans for preventing congestion and pressure when all educators need to be evaluated at the same time.

Furthermore, IQMS is defined by Hariparsad *et al* (2006:1) as a policy initiative that assists to enhance the delivery process of quality education and it comprises three programmes, namely, DAS, PM and WSE.

IQMS was firstly implemented in South African schools in 2005 and it combines educator monitoring appraisal for development and is based on an instrument with standardised performance areas (ELRC, 2003). The first part of the instrument is used for lesson observations with four individual-based teaching performance standards and the second part is used to assess professional issues outside the classroom with three performance standards and a further four performance standards that are used to access senior management such as principals and their deputies (ELRC, 2003). Therefore,

different authors and researchers concur that, the IQMS is a new PM system that was initiated by the NDoE and teacher unions at the ELRC in 2003. Its aim is to enhance and monitor performance of the school-based educators. Importantly, it brings DAS, WSE and PM together each of which has a distinct focus and purpose (Biputh 2008:22). Therefore, the following section discusses the purposes and guiding principles of the IQMS.

2.8.3 Purposes and the guiding principles of IQMS

2.8.3.1 Purposes of IQMS

Weber (2005:64) and Hariparsad *et al.* (2006:2) list the three-fold purposes of IQMS that embrace three IQMS programmes and the purposes are to:

- appraise individual educators in a transparent manner with a view to determine areas of strengths and weaknesses and to draw up programmes for individual development;
- evaluate individual educators for salary progression, grade progression, affirmation of appointments and rewards and incentives and;
- evaluate the overall effectiveness of a school, including the support provided by the district, SMTs, infrastructure, learning resources as well as the quality of teaching and learning.

Ntombela *et al.* (2010:365) maintain that NDoE and educator unions launched IQMS on 27August 2003, a PM tool that is currently used in South African schools. They further maintain that identify the following purposes of the IQMS:

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

2.8.3.2 The guiding principles of IQMS

Ntombela *et al.* (2010:365) also identify the following guiding principles of IQMS, namely:

- the need to ensure fairness;
- the need to minimise subjectivity, use the instrument professionally, uniformly and consistently, attain credibility and professionalism, validity, reliability and relevance and;
- the need to provide a clear protocol governing the interaction of the parties; provide for and encourage diversity in teaching styles as well as to ensure that IQMS meets professional standards and a sound quality management system.

It is crucial to adhere to these guiding principles as they form the cornerstone of an effective appraisal system. Proper implementation of IQMS also requires proper adherence to the processes and procedures, starting from advocacy and training, formation of the structures to spearhead it and their responsibilities, the keeping of records and documentation as well as the implementation itself. Therefore, the following subsections discuss these structures and their responsibilities, applicable records and documentation as well as IQMS implementation process itself.

2.8.4 Structures, records and documentation and implementation process

Schools need to implement the core components of the IQMS and these core components include the constitution of structures such as the SDTs and DSGs who are responsible to spearhead the IQMS in schools (Letsoalo 2009:2). Certain records and documentation such as PGPs and SIPs, need to be kept as evidence that the evaluation process has been conducted properly. It is also crucial to adhere to the IQMS implementation process itself, which includes aspects such as advocacy and training, self-evaluation by the educators, lesson observation as well as feedback and discussions.

2.8.4.1 Structures and their responsibilities

(a) The staff development team (SDT)

Each school needs to elect a SDT which is comprised of the principal and democratically elected staff members including SMTs and educators (DoE 2003:15). Bisschoff and Mathye (2009:395) concur with the DoE when they assert that, the SDT members are formed by the democratically elected members in schools that include both SMTs and educators. The roles and responsibilities of the SDTs, according to the DoE (2003:15) are to:

- ensure that all educators are trained on the procedures and processes of the IQMS;
- coordinate staff development programmes;
- prepare, monitor IQMS management plan;
- facilitate and give guidance on the establishment of DSGs have to be established;
- prepare final schedule of DSG members;
- link DA to the SIP;
- liaise with the department, through the SMTs in respect of high priority needs such as INSET, short courses, skills programmes or learnerships;
- monitor effectiveness of the IQMS and reports to the relevant persons;
- ensure that all records and documentation on IQMS are maintained;
- oversee mentoring and support to the appraisee;
- together with the SMT, develop the SIP;
- coordinate ongoing support provided during the two developmental cycles each year;
- complete the necessary documentation for performance measurement and sign these documents to assure authenticity;
- deal with differences between appraisees and their DSGs in order to resolve them;
- coordinate internal WSE processes;

- liaise with the external WSE team and SMT to coordinate and manage the cyclical external WSE process; and
- ensure that IQMS is applied consistently.

(b) The Developmental Support Group (DSG)

The DSG consists of the educator's immediate senior and one other peer educator selected by the educator on the basis of subject expertise (DoE 2003:16). Further, an educator is free to recommend the appointment of additional DSG members. The main purpose of the DSG is to:

- provide mentoring and support;
- assist the educator with developing a PGP; and
- to work with the SDT to incorporate plans for development of the educator in the SIP.

Furthermore, the DSG is responsible for the baseline evaluation of the educator for developmental purposes while the immediate senior is responsible for the summative evaluation at the end of the year for performance measurement purposes (DoE 2003:16). Finally, the DSG must verify that the information provided for PM purposes is accurate.

2.8.4.2 Records and documentation

Certain records and documentation need to be kept in any PM system as proof that all appraisal processes and procedures are conducted properly and uniformly in the organisation. Therefore, the IQMS records and documentation include:

(a) A personal growth plan (PGP)

The PGP, according to the DoE (2003:17) is the culmination of the strategic plans of the relevant DoE and DA .The DoE further explains that, the educator in consultation with

DSG members develop PGP that is used to inform the SIP. Along with self-evaluation, the baseline evaluation and PM as well as PGP, form an important record of the needs and progress of individual educators (DoE 2003:17). Biputh (2008:31) also maintains that after evaluation and post-appraisal processes the educator is required to develop PGP taking suggestions made by the DSG members into consideration and PGP should also address areas that need improvement (ELRC, 2003:23).

(b) School Improvement Plan (SIP)

SIP, according to DoE (2003:17) enables the school to measure its own progress through a process of ongoing self-evaluation. Furthermore, it must be based on and linked to the strategic plans of the relevant DoE. This means that all schools need to have a SIP compiled by the SDT to accommodate completed instruments from DSGs and PGPs of each educator (Letsoalo 2009:32). SMTs and SDTs need to prioritise developmental needs of educators to develop a development programme which caters for in-service education and training (INSET) by the DoE (ELRC, 2003:24).

(c) District Improvement Plan (DIP)

This plan, according to DoE (2003:17) enables departmental officials to plan, coordinate and monitor the delivery of support and development opportunities in the schools in their areas and it is informed by the strategic plan of the relevant DoE. Letsoalo (2009:2) stresses a need to adhere to all procedures and processes when conducting IQMS properly in schools. The following subsection briefly discusses IQMS implementation process in schools.

2.8.4.3 Implementation process

The implementation of IQMS in schools entails a variety of processes such as advocacy and training for the IQMS, self-evaluation by the educator, and identification of DSGs by

the educators, pre and post-evaluation discussions, lesson observations, development of the PGP as well as feedback and discussion.

(a) Advocacy, planning and training

Advocacy, planning and training entails issues that relate to how IQMS is implemented in schools. For instance, all school stakeholders need to be trained on IQMS so that they become familiar with its purpose and all its procedures and processes. Further, SMTs and structures constituted to conduct IQMS in schools need to conduct workshops regularly to train educators continuously on appraisal and professional development processes. Mahlaela (2011:5) stresses that educators are only presented with documentation and little training with no support and monitoring. As a result, structures constituted to implement IQMS do not know what is expected from them and they fail to use the proper procedures and processes to evaluate educators.

(b) Self-evaluation by the educator

DoE (2003:24) maintains that immediately after the initial advocacy and training processes, educators should evaluate themselves using instruments that are used for both DA and PM. Further, self-evaluation serves the following purposes: educators become familiar with the instrument; compelled to reflect critically on their own performance and to set their own targets; become actively involved in their appraisal and to make inputs in the whole evaluation process. It is also important for the educators to familiarise themselves with the instrument and performance standards.

(c) Identification Development Support Group (DSG)

DoE (2003:25) maintains that after completing self-evaluation forms, educators need to identify their DSGs which are made up of their immediate seniors and peer educators who are expects in the learning areas. Furthermore, the main purposes of DSGs are to:

provide mentoring and support, assist educators to develop their PGPs and to work with the SDTs to incorporate plans for their development in the SIP.

(d) Pre-evaluation discussion

DoE (2003:16) maintains that each DSG must have a pre-evaluation discussion with the educator concerned before appraisal process and the following issues are firstly clarified: Firstly, DSGs must determine whether educators understand what is expected of them in terms of the various performance standards and criteria. Secondly, they are given an opportunity to clarify areas of concern that they may have. Thirdly, the DSGs inform them about procedures and processes that are followed throughout IQMS cycles. In fourth place, with respect to the remaining performance standards, DSGs explain to the educators that evaluation is based on general ongoing observations by both DSGs and documentary evidence and other information that educators may provide to the DSGs. Lastly, guidance is provided to the educators on the development of their PGPs and educators are also given an opportunity to raise issues that are hampering their performance.

(e) Lesson observations

After identifying personal DSGs, educators need to be evaluated by means of lesson observation for the purpose of determining a 'baseline' evaluation (DoE 2003:13). The purposes of lesson observations are to: confirm educator's perception of their own performance arrived at through the process of self-evaluation; enable discussions around the strengths and areas in need of development; help to reach consesus on scores for individual criteria under each of the performance standards and to provide an opportunity for INSET and other programmes provided by DoE at both district and provincial levels. Further, lesson observations are preceded by pre-evaluation discussions. The appraisees and DSGs are engaged in discussions to explore certain issues such contextual factors that may hinder their performance in the classroom. After the lesson observations are

conducted, they are followed by post-evaluation discussions where educator's strengths and weaknesses are discussed.

(f) Personal Growth Plan (PGP)

Educators together with their DSGs, according to DoE (2003:26) need to develop PGPs immediately after the observation of educators in practice. PGPs should address growth at four levels which include: areas in need of improvement; areas in respect of which the DSGs can be able to provide guidance; areas for which the district should provide assistance by means of INSET and other development programmes and where educators are unqualified or under-qualified or needs re-skilling in order to teach a new learning area. The educator's PGP along with all copies of the completed instrument must be sent to the SDT of the school.

(g) Evaluation in respect of other performance standards

DoE (2003:29) maintains that educators' evaluation in respect of other performance standards is an ongoing process. This includes discussions and feedback by the DSGs, submission of documentary evidence, proof of participation and other relevant information provided by educators.

(h) Feedback and discussion

DSGs, according to DoE (2003:29) need to discuss evaluation process with educators and provide feedback and it should focus on performance and not on personality. Furthermore, feedback needs to focus on the specific and concrete and not on the general and the abstract. That is, it should be based on sharing information and not on giving instructions.

(i) Second and subsequent years of implementation

DoE (2003:30) maintains that second and subsequent implementation of IQMS in respect of a particular educator differs from the first implementation. For instance, educators have to be evaluated by their DSGs only once per annum. This means that 'summative evaluation' at the end of the previous year becomes the "baseline evaluation" for the next year. Only new educators who are entering the system for the first time are evaluated at the beginning of the year. Various authors and researchers concur that the implementation of a new teacher performance evaluation system (the IQMS) in the South African education system, has brought about a number of challenges. The next section discusses the challenges encountered in implementing the appraisal process in schools.

2.9 CHALLENGES ENCOUNTERED IN IMPLEMENTING THE APPRAISAL PROCESS IN SCHOOLS

Many problems and challenges are encountered in implementing appraisal process in schools and the subsequent subsection addresses these challenges.

2.9.1 Challenges involved in using appraisal system in schools

Many challenges or problems are encountered in the appraisal system in schools. Pimpa (2005:119) maintains that there are three major problems involved in using appraisal system in schools and they include: that emanate from educator performance appraisal, namely: mismanagement of system, ambiguity of appraisal objectives as well as people involved in the process. These problems are briefly discussed below.

2.9.1.1 Mismanagement of the appraisal system

A myriad of problems are encountered in managing the appraisal system in the organisations. For instance, in a school situation principals and their SMTs as the main implementers of appraisal system are not doing enough to capacitate their staff on

appraisal procedures and processes. They delegate the responsibility to each other because they view staff appraisal as time- consuming rather than developmental. Consequently, they end up not adhering to the performance appraisal management plan. They also rely on class visits as the only means of developing educators rather than using innovative staff development programmes that assist in developing their competences. It can therefore be inferred that principals and their SMTs only concentrate on summative evaluation; whereas the formative evaluation, which places greater emphasis on development is neglected.

The entire process of performance appraisal requires the tasks involved in its execution to be done properly. For instance, starting from advocacy and training, formulation of the structures to spearhead the appraisal system and its implementation, management and monitoring are required. Importantly, these tasks, according to Pimpa (2005:121), need coherence, coordination and consistency with regard to each organisation. Failure to perform these tasks may lead to the appraisal system not being properly implemented in schools.

2.9.1.2 Ambiguity of appraisal objectives

The ultimate purpose of educator appraisal is for their PD. Pimpa (2005:121) maintains that some educators regard appraisal system as ‘painful’ and they feel insecure and anxious about being judged by appraisal panel. They feel that the entire process is extremely judgmental, and not really supportive with regard to their career development.

2.9.1.3 People involved in the appraisal process

Pimpa (2005:122) maintains that poor communication among the people who manage appraisal process is problematic. For instance, the committee constituted to drive the appraisal process in schools does not do the planning. The communication channel is also very poor and unwillingness by some individuals to be part and parcel of a time-consuming activity. In some instances, some individuals shift their responsibilities to

each other because they view appraisal process as time consuming. Monyatsi (2002:215) mentions a number of reasons why the staff tends to feel negative about the appraisal system. They include:

- Appraisal is seen as interference in educators' work and it is an indication that the DoE does not have confidence in educators' ability to do their jobs.
- It serves as an intimidation tool that can be used to bully educators and threaten them with "no increment."
- It is used as a tool to oppress, reprimand and punish educators rather as a tool for their development.
- Appraisal leads to conflict, punishment, ridicule and victimisation rather than PD.
- An honest discussion about the educator's weaknesses is unlikely to occur.
- It is used by seniors to oppress and intimidate juniors.
- It is questionable whether appraisal instruments are valid and/or reliable.
- Staff appraisal provides evidence that can be used in disciplinary procedures.
- Appraisal can lead to retrenchments.

Heystek *et al.* (2008:148) and Pattanayak (2009:123) also identify the following problems experienced in performance appraisal, namely:

(a) The latitude factor

Appraisers often determine a standard in terms of their personal frame of reference and evaluate other people's performance accordingly. While some appraisers always award high marks, others always award lower marks (Heystek *et al.* 2008:148). Those awarding high marks are inclined towards a higher latitude factor error. To overcome this error, the same person should appraise all the staff.

(b) The halo effect

The halo effect, according to Pattanayak (2009:124) and Heystek *et al.* (2008:148), is evident when the evaluator is influenced positively by a person's performance in other fields such as reliability and trustworthiness. This means that an appraiser uses a favourable or unfavourable general impression as the basis for judgements about more specific traits. Consequently, the evaluator awards higher marks on all criteria.

(c) Agreement errors

In this regard, the appraiser may place a greater premium on specific qualities in the appraisee, for example, tidiness may be highly valued Heystek *et al.* (2008:148). Consequently, staff members who appear tidy may obtain higher marks than others. The appraiser thus commits an agreement error.

(d) Lower evaluator motivation

If the evaluator is aware that his /her appraisal will play a decisive role in the appraisee's promotion or salary adjustment, he /she may be more diligent with the appraisal process and award a realistic value. It is difficult to obtain an accurate appraisal if the appraisee is not motivated or committed or there is no direct benefit to him/her (Heystek *et al.* 2008:148).

(e) Lower differentiation

One of the most crucial skills an appraiser should posses, is the ability to differentiate between appraisees during the appraisal process, resulting in variations in individual scores while still using the same criteria consistently (Heystek *et al.* 2008:148). Sometimes an appraisal does not differentiate between individuals and may follow the same pattern irrespective of who is being appraised. Appraisers with high differentiation ability achieve more credibility and consistent results.

(f) Pressure to meet non-performance criteria

This occurs when non-performance criteria play a role in the evaluation process that has no bearing on the performance itself. Accordingly, evaluators allow themselves to be influenced by non-performance criteria (Heystek *et al.* 2008:148).

(g) Regency error

Heystek *et al.* (2008:148) maintain that a recency error occurs when appraisers are influenced by recent events rather than basing their judgement on what happened during the entire period following the previous appraisal. Consequently, this may lead to an unbalanced or false assessment of the appraisee's actual performance.

(h) Central tendency error

A central tendency error, according to Robbins and DeCenzo (2007:344), occurs when appraisers rank nearly all appraisees in the "average" or "satisfactory" range. They further maintain that appraisers have a tendency to avoid the "excellent" category as well as the "unacceptable" category and assign all ratings around the "average" or midpoint range.

(i) Leniency error

Undoubtedly, there is a tendency for some appraisers to mark high and for others to mark low. Therefore, a positive leniency tends to overstate how well the appraisee has performed and gives the appraisee a higher appraisal than he /she deserves. On the other hand, negative appraisal understates the performance and thus gives the appraisee a lower rating than he /she deserves. Pattanayak (2009:123) maintains that some appraisers may form an overall impression based on some specific qualities or features of the appraisee at the first meeting and carry it forward. He further asserts that appraisal is influenced by the most recent behaviour ignoring the most common behaviour.

2.9.2 Challenges in the implementation of the IQMS in schools

Different researchers such as De Clercq (2008:14); Ntombela *et al.* (2010:369) and Mahlaela (2011:2) maintain that a multitude of challenges have been identified by the educators in implementing appraisal process in schools, namely:

2.9.2.1 Inadequate advocacy and training

Most school-based educators including those at the school where the researcher is employed expressed feelings of dissatisfaction with regard to the training they received when the IQMS was firstly implemented in South African schools in 2005. For instance, they emphasise that only principals were exposed in the advocacy training workshops, which extended over a short period. Thereafter, they were instructed to disseminate information to all the relevant school stakeholders. Consequently, educators view the training they received as inadequate and they lack the capacity to implement the IQMS due to the lack of training with regard to the PM system.

Mahlaela (2011:5) stresses that educators were only presented with documentation and little practical training with no support and no monitoring. In fact, educators have never undergone thorough training pertaining to the IQMS and the training they did receive was outsourced to consultants with inadequate knowledge and experience (Class Report 2007:4). Ntombela *et al.* (2010:366) share similar sentiments when they assert that not all education officials and educators received enough advocacy and training to allow for the effective implementation of appraisal process in schools.

2.9.2.2 Lack of understanding of principles, processes and procedures

Ntombela *et al.* (2010:367) maintain that limited advocacy and training on appraisal system creates difficulties in implementing it. For instance, structures constituted to implement appraisal system in schools do not have thorough knowledge of the principles, processes and procedures needed to administer it in a uniform and consistent manner. For

instance, some SDTs and DSGs do not know what is expected of them and they do not even differentiate between formative and summative evaluation.

2.9.2.3 Lack of support from relevant departmental officials

In this regard, officials from both the district and circuit office such as specialists in education management (SEMs) do not provide support concerning implementing the IQMS in schools. Accordingly, educators and their unions have repeatedly complained about the lack of effective district or senior management support for the implementation of the educator performance evaluation policy (SADTU, 2005). Instead, they shift the responsibility to the principals and their SMTs for implementing these policies. Consequently, educators and structures constituted to spearhead the IQMS do not undergo continuing development because of the lack of support from the departmental officials.

2.9.2.4 Failure by the schools to improve to the expected level of service delivery

The improvement in the service delivery by schools, according to Ntombela *et al.* (2010:368) is not significant since the implementation of the IQMS in schools. Consequently, school stakeholders such as principals, educators, SMTs are ineffective with regard to the execution of their duties (Ntombela *et al.* 2010:369). The scores they attain during their performance evaluation are not a true reflection of the learner achievement in schools. Importantly, the schools themselves are not improving to the expected level with regard to service delivery as they fail to fulfill the needs of the people they serve.

2.9.2.5 Failure by the IQMS to cater for the developmental needs for the educators

Since IQMS was firstly implemented in South African schools in 2005, it has not brought about any personal development of the educators and it is regarded as a mere “window dressing” activity (Ntombela *et al.* 2010:367). Some educators do not realise that the

purpose of IQMS as a tool is to facilitate their professional growth, because some of them view it in terms of to PM, which is directly related to remuneration. Importantly, the focus of IQMS, according to Mahlaela (2011:2), has become remuneration that is attached to the process as opposed to development and she further stresses that performance evaluation can motivate educators to improve and promote PD effectively if it functions well. This suggests that educators are only engaged in summative evaluation and tend to ignore formative evaluation, which is ongoing and developmental. This therefore becomes detrimental to the individual growth and development of educators (Steyn 2007:249).

Furthermore, PD programmes conducted by the DoE do not incorporate IQMS programmes. This means that IQMS is not linked to the continuing PD of the educators as a tool to facilitate appraisal and PD. In February 2012, teacher unions such as the National Teachers' Union (NATU) and the South African Democratic Teachers' Union (SADTU) advised its members not to conduct class visits indefinitely, since IQMS is not directly linked to their PD (NATU 2012). They maintain further that such visits are imposed on them by some of the ward managers.

Therefore, schools only rely on ineffective staff development programmes organised by the DoE such as short workshops and seminars, which are dominated by the facilitators. The content of these workshops is not aligned with IQMS, which is currently used as a tool to facilitate the PD of educators in South African schools. Steyn and Van Niekerk (2002) note that the purpose of assessment should be to help educators to get better at the work they do, in terms of their personal, career and organisational development.

2.9.2.6 Failure to adhere to the implementation and management plan

Most schools, including the one where the researcher is employed, do not adhere to the IQMS implementation and management plan. Consequently, the PM system is conducted only during the last quarter of the year with a view to getting assessment scores, which are directly related to pay progression. Consequently, the appraisal system is not

implemented properly, as some schools do not have IQMS implementation and management plan in place to implement the PM system using the proper principles, processes and procedures. Another point is that the element of PD is neglected, as there is no ongoing evaluation. This therefore leads the researcher to conclude that most schools fail to maintain a balance between formative and summative evaluation as they only focus on summative evaluation.

2.9.2.7 Work overload

Work overload coupled with increased paperwork is a problem especially for educators and SDT members who have to leave learners unattended and focus on the PM process (Ntombela *et al.* 2010:369). Moreover, no time is allocated for IQMS in the conventional timetable. One of the criticisms levelled against IQMS is that it is time-consuming as everything is rushed in order to fulfil the requirements of the policy and satisfy officials by meeting the set deadlines. SDT members who are not part of the SMTs, perceive themselves as HODs, due to the added workloads. Finally, various authors and researchers agree that there are numerous challenges that hinder effective implementation of appraisal process in schools. Ntombela *et al.* (2010:370) make the following suggestions with regard to the improvement of the implementation of the IQMS policy in schools:

- Monitoring should be intensified by external independent bodies such as non-governmental organisations (NGOs).
- Thorough and continuing training should be provided to all stakeholders at all levels.
- DA should be separated from performance measurement or educators should be paid for good performance.
- Unannounced visits by officials should be made in order to remove window dressing.
- More meetings should be held and regular feedback be given at all levels.

- More focus by IQMS should fall on teaching and learning in which case class visits could be done randomly every two months.
- Improvement of the measuring instrument should be done to make it user-friendly.
- The playing field should be levelled so that all schools should receive adequate and equal resources.

2.10 CONCLUSION

This chapter has attempted to describe performance appraisal and its purposes in organisations, such as schools in detail. For instance, different authors and researchers concur that performance appraisal is an ongoing process of evaluating and managing both the behaviour and human outcomes in the workplace. It is also concerned with those activities in the educator's day-to-day duties that are systematically designed to improve skills, knowledge and attitudes of employees which in turn assist in the whole school development. This suggests that both employees and the organisation benefit from the performance appraisal system.

Since every performance appraisal system is administered for specific reasons, its purpose is identified by different authors and researchers as being twofold. That is, its ultimate purpose is accountability and PD. With regard to accountability, performance appraisal assists employees to adhere to the processes, procedures and regulations of an organisation. It also leads to actions related to retention, promotion and dismissal. The other purpose of performance appraisal is to assist employees with their continued PD. Performance appraisal also identifies the individual strengths and weaknesses of educators to determine training needs for further improvement.

Literature on staff appraisal also discusses two models of performance appraisal, which include the accountability model of staff appraisal as well as the PD model. These models can be used concurrently as they supplement each other. This suggests that a balance between formative and summative evaluation needs to be maintained so that a proper

appraisal scheme can be operated in schools. In this regard, most schools including the one where the researcher is employed tend to neglect formative evaluation, which is directly related to continuing performance development (CPD) and concentrate on summative evaluation, which is mainly conducted during the last quarter of the academic year and is directly related to remuneration. The literature on performance appraisal also reveals two elements of performance appraisal, namely: accountability and PD of the employees. Therefore, in order for the proper appraisal scheme to be operated in an organisation, a balance also needs to be maintained between these two elements.

Furthermore, this chapter has also attempted to cover previous and judgemental performance appraisal practices that were used all over the world prior to the1980s as well as the paradigm shift from these traditional appraisal practices to the DA practices that place the a large amount of emphasis on the PD of the employees. The dimensions, key features as well as different methods of performance appraisal were also highlighted in this chapter.

Finally, PM in the new South African education system was covered. This includes an introduction of IQMS in South African schools, its purposes and guiding principles, structures constituted to implement IQMS and their responsibilities, the keeping of records and documentation as well as the implementation process itself. The next chapter focusses on the PD of educators.

CHAPTER 3

3. PROFESSIONAL DEVELOPMENT OF EDUCATORS

3.1 INTRODUCTION

Literature on PD of the educators reveals that many education systems all over the world have undergone drastic changes and the Republic of South Africa (RSA) is not an exception. For instance, in the South African education context, the National Policy Framework on Teacher Education and Development (NPFTED) (2006) was introduced by the National Department of Education (NDoE) in conjunction with various stakeholders such as South African Council of Educators (SACE), Department of Basic Education (DBE) and Higher Education and Training (HET), Education Labour Relations Council (ELRC) and educator unions (DBE & HED 2011:1). This policy focusses on two complementary subsystems, which is known as the Initial Professional Education for Teachers (IPET), which stresses the professional development (PD) of educators and the recruiting of properly qualified educators in the teaching profession as well as continuing professional teacher development (CPTD), which is concerned with educators' continuing PD (RSA 2007:2).

Therefore, in this new schooling dispensation, there is an urgent need to develop educators continuingly in order to bring about effective teaching and learning which is directly related to improved learner performance and achievement in schools. Samuel (2009:742) asserts that the starting point for improving the quality of schooling system begins with practical skills for the educators. Steyn (2009:114) concurs when she maintains that to ensure that all educators are appropriately equipped for improving learner performance, it is necessary to find suitable PD approaches. Furthermore, Hendricks *et al* (2010:32) stress that educational outcomes largely depend on educator quality. Therefore, governments, local politicians and school managers need to foster educators' continuing PD in order to cope effectively with ongoing changes.

This chapter therefore reviews the concept of 'PD' and its purposes as well as the models and approaches to PD, its structural and core features, the effectiveness of the PD and conditions for its successful implementation. In addition, it investigates the impact of PD on learner achievement and barriers with regard to its effective implementation as well as the role of the educational managers in supporting the PD of educators in schools. As a starting point, the concept 'PD' and its purposes is explored in the following section.

3.2 PROFESSIONAL DEVELOPMENT

3.2.1 The concept of 'professional development'

Villegas-Reimers (2003:11) defines PD as the development of employees in their professional roles and it includes both formal and informal experiences. Formal experiences include aspects such as attending workshops and professional meetings. On the other hand, informal experiences include activities such as reading professional publications and watching television documentaries related to an academic discipline. Furthermore, PD according to Villegas-Reimers (2003:12) has several characteristics, namely:

- PD is based on constructivism rather than on a 'transmission-oriented model' and educators are treated as active learners who are engaged in the concrete tasks of teaching, assessment, observation and reflection;
- it is also perceived as a long-term process as it acknowledges continuous development for the educators;
- it is also perceived as a process that relates to the daily activities of educators and learners;
- PD is intimately linked to school reform and educators are empowered as professionals who know what is expected of them;

- an educator is regarded as a reflective practitioner, someone with certain knowledge and experiences based on prior knowledge. Therefore, PD also assists educators to build new pedagogical theories and practices;
- PD is also conceived as a collaborative process and most effective PD occurs where there are meaningful interactions, not only among educators themselves but also between educators, managers, parents and other community members; and
- PD has a variety of dimensions and schools and educators need to design PD programmes that suit their institutions.

Steyn (2005:263); Boyle *et al* (2005:2) and Lekome (2007:18) concur when they assert that PD is concerned with the continuing updating of professional knowledge and skills throughout a staff member's career. Furthermore, it is the creation of conditions for the rapid acquisition of these new skills and knowledge. Mestry *et al* (2009:477) and Carl (2009:198) share similar sentiments when they assert that PD is seen as a process during which educators continuingly improve their skills, knowledge and attitudes while continuing their employment. They further maintain that PD embraces two related concepts, namely:

- PD assists educators to continue to develop skills and knowledge required to perform their tasks effectively and efficiently; and
- PD is the notion that knowledge acquisition and skills development should be more directly related than in the past to the substantive problems faced by educators.

Maistry (2008:119) maintains that the PD of educators should be afforded high priority if reform and restructuring initiatives are to be successful. He also emphasises that educator development has been sporadic and poorly coordinated and is characterised by once-off workshops without follow-up or support. Du Preez (2008:78) concurs by emphasising that educators need to be empowered and emancipated through the process of CPD. This view is also endorsed by Samuel (2008:15) when he asserts that teacher education

programmes need to develop educators who are competent and committed to the enterprise of organising systematic learning for their learners. Boyarko (2009:11) stresses that PD comprises a variety of activities that assist educators in learning and growing continuingly in their profession. Trehearn (2010:22) echoes similar sentiment and stresses that PD is a life-long and collaborative learning process that nourishes growth of individuals, teams and schools through daily job-embedded, learner-centred and focussed approaches. SACE (2010:2) also maintains that like all professions, educators need to grow their knowledge and skills throughout their careers. Furthermore, they also need to renew their commitment continuingly to their professions to express their pride in its ideals of service, their dedication to learners' development and their determination to contribute to a just and thriving nation.

Duley (2011:4) and Cambra *et al* (2012:23) share similar sentiments when they maintain that PD is as an ongoing, sustained, inquiry-based learning that occurs at least weekly throughout the school year. Further, this type of professional learning provides focussed and deep learning resulting in positive changes in practice and increased learner achievement. Duley (2011:25) also refers to job-embedded professional development (JEPD) as learning that is grounded in day-to-day teaching practice. It is also designed to enhance educators' content-specific instructional practices with the intent of improving learner performance and achievement in schools. She further maintains that JEPD is a shared and ongoing process that makes a direct connection between learning and application in daily practice. It also requires active educator involvement in cooperative, inquiry-based work. When done well with support from school leadership, JEPD can result in powerful learning and educators feel a great sense of ownership and investment in their teaching practices (Duley 2011:26). Hunzicker (2011:178) also concurs when she asserts that when PD is supportive, job-embedded, instructionally focussed, collaborative and ongoing, educators are more likely to consider it relevant and authentic, which is more likely to result in teacher learning and improved teaching practice. She also refers to Instructional-focussed Professional Development (IFPD), which relates directly to effective professional development programmes (PDPs) that assist educators to become interactive with regard to sharing their views on how to improve learner performance and

achievement in schools. Archibald *et al* (2011:5) share similar sentiments when they assert that through PD educators develop expertise not as isolated individuals but through job-embedded PD as members of collaborative, interdisciplinary teams with common goals for student learning.

Cambra *et al.* (2012:23) share similar sentiments when they assert that JEPD is an ongoing process that supports the transfer of newly learned knowledge and skills and such learning also needs to be evaluated and refined continuingly. It also provides comprehensive, sustained and intensive learning opportunities to expand the professional knowledge base available to educators. It also engages educators in an ongoing process of critically examining their teaching practices to find new and more effective ways to improve learner performance and achievement in schools. Furthermore, JEPD needs to address both individual educators' goals for professional growth and the other organisational learning priorities for school improvement. Consequently, JEPD and IFPD encourage educators to work with others to deepen their content knowledge, sharpening their instructional skills and develop their abilities to use data for meaningful decision-making.

In the context of this study, PD is viewed as a tool that assists employees to continue to improve their skills, knowledge and attitudes in their working environments. For instance, in a school situation, educators are required to continue to honour their professional skills and knowledge with a view to bringing effective teaching about, which is directly related to accelerated learner performance and achievement. PD is also viewed as an ongoing process, which requires all the school stakeholders to work together. In addition, the literature on PD reveals that both employees and the organisations benefit from it. For instance, effective PDPs are likely to develop competencies in educators that assist to enhance academic performance of the learners and schools improved and have good reputation. Since PD is designed for a particular purpose, the following section addresses its purposes.

3.2.2 Purposes of PD

Different authors and researchers identify the following purposes of PD. Lee (2005:40) asserts that the purpose of PD is to assist educators to engage in professional learning and it assists with the creation of new instructional materials and strategies to meet the learning needs of learners. Coe *et al* (2010:207) share similar sentiment when they assert that PD assists in bringing educators together and collaborating with regard to their teaching practices in a meaningful manner. SACE (2008:4) identifies the following purposes of continued professional teacher development (CPTD), namely, to:

- improve schooling and the quality of learner achievement;
- coordinate PD activities with a view to achieving sharper focus on effectiveness;
- revitalise the teaching profession and foster renewed commitment to the profession's seminal role in the development of our country;
- contribute to the responsible autonomy and confidence of the teaching profession; and
- enable the profession to re-establish its professional standing and role in advancing the ideas of social justice.

Mestry *et al.* (2009:477) maintain that there are many reasons for undertaking PD such as to: improve performance skills of individual educators; extend experience of individual educators for career development or promotion purposes; develop the professional knowledge and understanding of educators in order to fulfil their responsibilities more effectively and extend the personal or general education of an individual; make staff feel valued; promote job satisfaction; develop an enhanced view of the job; enable educators to anticipate and prepare for change and to derive excitement from it and to make educators feel willing and competent to contribute positively to the development of the school. Steyn (2007:224) expresses a similar view when she indicates that the ultimate purpose of PD is for personal, career and organisational development. With regard to

personal development, educators continue to deepen their knowledge and skills with a view to enriching their personal knowledge and field of study. Concerning career development, educators are assisted with upgrading their qualifications for promotion purposes whereas organisational development puts more emphasis on quality improvement in education. Furthermore, Steyn (2009:115) explains that PD assists with improving educators' professional competence and performance continually and enables and empowers educators by improving their professional confidence, the learning areas or subject knowledge and skills as well as classroom management skills. Ono and Ferreira (2010:60) share similar sentiments when they assert that the purpose of PD is for certification of unqualified educators, to upgrade and prepare them for their new roles and to develop further in their profession.

Therefore, one has to conclude that the ultimate purpose of PD is to assist educators to continue to deepen their skills, knowledge and attitudes in their profession. Furthermore, since PD is an ongoing process, it assists educators, SMTs the DoE, SEMs and community members to work together with a view to promote effective teaching and learning in schools. Consequently, educators and their learners as well as the whole school benefit from it when it is properly designed, implemented, monitored and evaluated. For instance, effective PDPs assist educators to become engaged in quality teaching, which leads to improved learner performance and achievement. Consequently, the school performs its functional task of educative teaching and learning and attains a good reputation. In order to have a clear understanding of PD and its intended outcomes, it is proper to explore models of PD as discussed by the different authors and researchers in the following section.

3.3 MODELS OF PROFESSIONAL DEVELOPMENT

Heystek *et al* (2008:164) assert that at the centre of any PD is the idea of improvement of an individual through self-development and this occurs at three levels. These are development with regard to one's general performance, by acquiring skills and knowledge elsewhere such as at university and development of the self as a professional

and as a person, by attending workshops and seminars and development of one's own performance through improving one's actions and behaviour while doing the job. Furthermore, they also identify two models of PD, namely, professional training and professional support and these models group many activities into two broad categories.

3.3.1 Professional training

Professional training includes the development of individuals in institutions such as universities and technical colleges with a view to acquiring qualifications in various professions. DoE (2006:30) maintains that professional training includes new and revised education programmes for the newly qualified educators known as IPET and they place a great deal of emphasis on developing educators professionally and recruiting properly qualified educators in the profession in South African schools. Furthermore, IPET entails two routes to be followed when becoming an educator which include: four-year Bachelor of Education degree (B.Ed.) and three-or four-year bachelor's degree, followed by a one-year Post Graduate Certificate in Education (PGCE). An Advanced Diploma in Education (ADE) is also offered to the graduates who wish to teach with an appropriate first degree. This diploma is equivalent to the PGCE and Higher Diploma in Education (HDE) (DoE 2006:15).

Once these two routes are completed an individual is classified as a professionally qualified educator. DoE (2006:14) further maintains that, IPET is the responsibility of Higher Education and qualification structure for teacher education is subject to the minister's policy in terms of the Higher Education Act, 1997 Furthermore, this policy is expressed in the Higher Education Qualifications Framework (HEQF) which provides the basis for integrating all higher education qualifications into the National Qualifications Framework (NQF).

Typically, professional training, according to Heystek *et al.* (2008:165), consists of structured learning activities delivered by an expert and their mode of delivery is mainly lectures and discussions. However, they point out that professional training often fails to

provide the crucial link between off-site training and transfer of this training to the daily activities of the school. This means that their academic or professional knowledge is not sufficient for the educators to perform their tasks effectively. Therefore, they need to continue improving their professional knowledge and skills to keep abreast of the changes taking place in their working environments.

Ntloana (2009:39) asserts that professional training assumes that empowerment of educators which is the central purpose of PD, is placed at the centre of change and it emphasises the importance of developing educators with a view to meeting their diverse professional needs. He further maintains that providers of education programmes such as universities, NGOs, provincial administrators and educators themselves should work collaboratively to meet the identified needs. Importantly, IPET programmes need to emphasise knowledge content of the subject or learning area the student teacher needs to master. They also need to comply with the minimum academic and professional requirements for beginner teachers in order to enable them to teach the new school curriculum in various contexts effectively (Lemmer & Van Wyk 2010:257).

3.3.2 Professional support

The DoE (2006:17) asserts that conceptual, content and pedagogical knowledge respectively are necessary for effective teaching and educators' willingness and ability to reflect on their own practices and experiences play a crucial role. Furthermore, these attributes need to be integrated so that educators can apply conceptual knowledge-in-practice confidently. Educators also need to know that the current initiatives devoted to their PD contribute to the improvement of quality education. It also provides them with clear guidelines about which PD activities that contribute to their professional growth. Therefore, all educators need to develop their skills and competences necessary for the delivery of the new curriculum and they need to strengthen their subject knowledge base, their pedagogical content knowledge and their teaching skills by means of CPTD system.

DoE (2011:1) also asserts that professional support encompasses activities within the school that are aimed at development based on job experience and performance. For

instance, an introduction of NPFTED policy in 2006 assists to equip educators properly to enhance their professional competence and performance continually in South African schools (RSA 2007:5). It also places educators firmly at the centre of all efforts to improve educator development and enables them to take substantial responsibility for their own development. For instance, they are engaged in peer coaching, action research, networking with other schools to develop themselves continuously. This process of co-operative sharing forms the crux of PD and is largely dependent on the sharing culture or collegiality that is found within the school (Heystek *et al.* 2008:166). Furthermore, professional support has potential to improve individual performance as well as the culture of the school by bringing educators together and binding them in a common purpose. Ntloana (2009:40) concurs when he asserts that professional support calls for more cohesive relationships among all stakeholders who are responsible for teacher education and development. Further, it requires sessions over an extended period with continuing PD support, reflections, collaboration and feedback.

Pitt (2012:46) expresses a similar sentiment with regard to professional support as it plays a crucial role in developing collaborative learning communities among educators. He also stresses that school principals and educators should support each other as they establish new skills and create leadership at every school level. Heystek *et al.* (2008:166) stress that PD activities should ideally draw from both Type A and B activities as these two activities complement each other. Type A activities may be useful in preparing educators by making them more amenable to engaging in Type B activities. Initial professional education for teachers (Type A activities) consists of structured learning activities offered in institutions such as universities and these activities assist student teachers with developing knowledge and skills in different fields of specialisation and student teachers get expert support from lecturers. On the other hand, professional support (Type B activities) assists educators to work collaboratively to increase their content knowledge, sharpen the instructional skills they have acquired during their professional training and to reflect on their teaching practices. Figure 3.1 below represents professional training (Type A activities) and professional support (Type B activities):

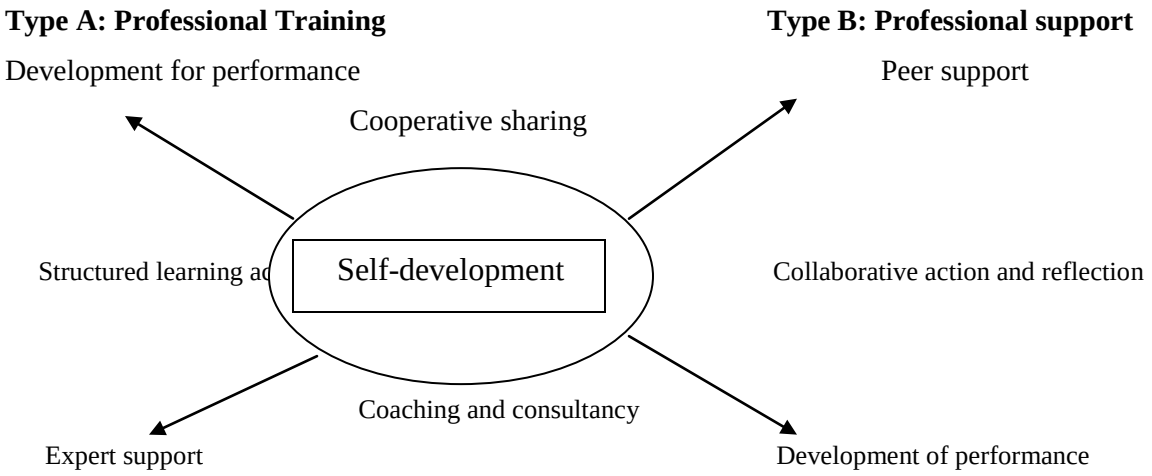

Figure 3.1: Two broad models to staff development (Oldroyd & Hall 1991:28)

It is also necessary to explore the different approaches to PD propounded by different authors and researchers and the following section addresses approaches to PD.

3.4 APPROACHES TO PROFESSIONAL DEVELOPMENT

The literature on PD reveals that there are two approaches to the PD and they include traditional and collaborative approaches (Boyle *et al.* 2005:4; Maistry 2008:120; Ono & Ferreira 2010:60).

3.4.1 Traditional approach to the PD

Boyle *et al.* (2005:4) contends that traditional approaches to PD are fragmented, incoherent collection of strategies such as short workshops and courses dominated by the facilitators and these workshops and courses have led to educator frustration since they do not contribute to their development. Steyn (2011:216) concurs when she asserts that traditional approaches such as one-session workshops, short courses and seminars do not contribute to educator development. Furthermore, traditional approaches, according to

Boyle *et al.* (2005:4) appear insufficient to foster learning as they are also characterised by fragmented "one-shot" workshops at which educators listen passively to the experts. Maistry (2008:120) expresses similar sentiments with regard to traditional approaches to PD by stressing that traditional PDs have not proved to be very effective since they do not succeed in improving educators' subject knowledge or pedagogical skills. For instance, once-off workshops and courses without follow-up courses or support have been commonplace. Such workshops and courses of limited duration, according to Maistry (2008:120) are ineffective in developing subject matter knowledge. Steyn (2009:116) also shares a similar sentiment with regard to the use of traditional PD to develop educators when she emphasises that traditional approaches such as workshops, seminars and conferences adopt a technical and simplistic view of teaching in the belief that educators' knowledge and skills can be improved by using experts from outside schools. Ono and Ferreira (2010:60) and Steyn (2011:216) concur when they stress that traditional PD programmes are delivered in the form of workshops, conferences or courses.

Traditional educator development activities, according to Pitt (2012:5) have lacked positive support from both educators and school principals due to the lack of relevance to the day-to-day tasks and responsibilities of educators. He further asserts that for the educator development to be effective, school stakeholders must comprehend that, in practice, educator development is an important learning experience that improves classroom significantly. Many researchers on PD for the educators have pointed to the importance of appropriate educator development programmes that contribute to accelerated learner performance and achievement in schools. These programmes, according to Pitt (2012:7) empower educators to work collaboratively and to perform their tasks more efficiently Therefore, the next subsection discusses the collaborative approach to the PD of the educators.

3.4.2 Collaborative approach to performance development

In comparison to the traditional "one-hit" workshops, collaborative or reform activities, according to Boyle *et al.* (2005:4), are thought to be more responsive and they take the form of collaborative action research that is of a more long-term nature than the traditional PD activities. Further, educators who are involved in collaborative activities become more reflective, critical and analytical when they think about their teaching style in the classroom. Boyle *et al.* (2005:5) also stress that the longer the PD activity, the better the results and activities that have a substantial number of contact hours and are sustained over an extended period have a stronger impact on teaching practice in general. They are also more consistent with systematic reform efforts than PD of a more limited duration. This means that these activities are sustained over an extended period and provide educators with sufficient knowledge and encourage meaningful changes in their classroom practice.

Maistry (2008:120) expresses similar sentiments with regard to collaborative or reform activities when he asserts that they are extended over a long period. Further, they utilise available resources and are much more likely to have a lasting impact on educators as compared to once-off workshops. Lee (2005:40) also stresses that the duration of PD is related to the depth of educator change and it includes the span of time over which the activity takes place. It also has a number of contact hours that participants spend in the activity. Therefore, longer PD activities are more likely to provide in-depth discussions of issues dealt with in the PD programme (Lee 2005:40).

Longer-term PD programmes, according to Boyle *et al.* (2005:22) and Steyn (2009:116) have been designed to support educators by means of direct practical experience in order to improve learner performance and achievement. In order to ensure that all educators are appropriately equipped for improving learner performance, it is necessary to find suitable PD approaches (Steyn 2009:114). Ono and Ferreira (2010:61) contend that PD programmes should be learner-knowledge and community-centred to optimise educator learning. Furthermore, the goal is to have educators who are reflective practitioners who

can make informed choices resulting in participatory learning. Collaborative approaches to PD such as group discussions, networking with other schools and peer coaching give educators the opportunity to discuss problems they encounter in their profession and how to deal with them. Table 3.2 below depicts both the traditional and collaborative approaches to the PD.

Table 3.2: Different approaches to the performance development (Ono & Ferreira 2010:62)

Traditional approach	Collaborative approach
• The goal is to have educators who are competent in following rigid and prescribed classroom routines.	• The goal is to have educators who are reflective practitioners who can make informed professional choices.
• Educators are 'trained' to follow patterns. Teachers are obliged to follow guidelines and procedures as specified by the DoE.	• Educators are prepared to be empowered professionals. They are engaged in group activities to discuss innovative teaching practices.
• Results in passive learning as the workshops or seminars are dominated by the facilitators with long speeches.	• Results in active and participatory learning where all participants are given an opportunity to participate.
• "Expert" driven as PD programmes are presented by facilitators.	• A school-based model in which all teachers participate and share their views.
• Little inclusion of "educators" knowledge" and realities of classrooms.	• Educator facilitated as educators are given an opportunity to interact with one another.
• A positivist base. PD is isolated from real classroom situation.	• A constructivist base. Learners' knowledge of their own interpretation.

It becomes clear from literature on PD that traditional approaches have been replaced by collaborative approaches that emphasise continuing PD of the educators. Therefore, PD programmes should be structured in a manner that they contribute to the development of educators. For, instance, PDPs such as short courses and workshops usually organised by the DoE do not assist in developing the needed competencies in the educators to perform their tasks effectively in the classroom. On the other hand, PDPs which are extended over a long period and which encourage educators to work collaboratively are proving to be more effective in developing competencies to them. The next section addresses structural and core features of PD.

3.5 STRUCTURAL AND CORE FEATURES OF PD

3.5.1 Structural features of professional development

PD, according to Heystek *et al.* (2008:165) consists of structured learning activities delivered by an expert and his/her mode of delivery is mainly in the form of lectures or discussions that are dominated by the facilitators. They further explain that three major structural features of the PD include form, duration and participation. Form indicates the structure of the activity, for instance, does the activity encourage presentations by facilitators or does it encourage discussions or collaboration among the individuals? In turn, duration determines the amount of time spent on a particular PD programme. For instance, courses and workshops with a short life span organised by the DoE. This also includes activities, which are sustained over a long period such as group discussions, networking with other schools and peer coaching. Kedzior and Fifield (2004:4) maintain that educators often attend one-day workshops during the school year as they hesitate to commit time to PD that extends beyond the regular school day and year.

With regard to participation, short courses or workshops are dominated by the facilitators in the form of individual presentations and the educators are not given an opportunity to participate in these workshops. On the other hand, discussions encourage educators to collaborate with one another and to share their views pertaining issues that affect them in

the profession. DoE (2011:1) maintains that activities that are sustained over a long period of time assist educators with continuing to deepen their skills, knowledge and attitudes. Boyle *et al* (*2005:*4), Hunzicker (2010:7) and Archibald *et al* (2011:6) concur when they stress that PD programmes extended over a long period of time are more likely to have impact on student achievement than those programmes which are extended over a short period of time.

3.5.2 Core features of professional development

Different authors and researchers on PD such as Harwell (2003:4); Lee (2005:39) and Steyn (2009:119) identify the following core features of PD:

- **Content focus**: Content focus includes all the aspects that are covered by the PD programme. The idea of the content focus is that to what degree does the activity focus on improving and deepening educators' content knowledge? Harwell (2003:4) maintais that the content of PD should centre on subject matter, pedagogical weaknesses within the organisation, measuring learner performance and inquire about professional questions that are relevant to the setting in which the PD is delivered. Kedzior and Fifield (2004:4) point out that PD that focusses on subject matter content and classroom practices meet with resistance as some individuals may be uncomfortable sharing their understanding and beliefs with colleagues and supervisors.

- **The duration of the PD**: Lee (2005:39) maintains that the duration of the PD influences the depth of educator change. For instance, PDPs which are extended over a longer period of time help to develop competencies better with regard to the educators than "one-shot" programmes, which often fail to emphasise subject content or pedagogical skills (Desimone, Smith & Ueno 2006:183).

- **Time**: Steyn (2009:119) stresses that, educators need blocks of time for the optimal learning to take place as quick fixes may not produce desired results. All

staff members should have the opportunity to determine how much time they should spend on PD.

- **Evaluation**: Programme evaluation forms critical and integral part of PD as it determines whether skills and competences are developed by a particular PD programme. This means that evaluation should focus on the development of these skills and their impact on educator and learner outcomes (Steyn 2009:119).
- **Presentation**: Steyn (2009:120) maintains that there are general guidelines that should be followed to ensure that PD programmes are effective. For instance, trainers should be experts and well prepared, learning outcomes should be clear to everybody; educators' learning styles should be determined before the PD programme then accommodated; different teaching aids should be used; participation should be encouraged and continuing feedback should be provided.

It is necessary to conclude by saying that PD programmes in the form of short courses and workshops are not effective since they fail to develop necessary knowledge and skills to the educators to boost academic performance of their learners. On the other hand, PD programmes which are sustained over a long period are more effective than those programmes with a short life span. They also give educators an opportunity to work collaboratively and to share their views on issues that affect them in their profession. The next subsection addresses effectiveness of PD.

3.5.3 The effectiveness of successful professional development

Recent literature on PD emphasises the importance of effective development programmes for the educators. Harwell (2003:4) maintains that for the PD to be effective, it should be based on curricular and instructional strategies that have a high probability of affecting learner performance. Furthermore, PD should improve educators' knowledge of the subjects being taught; sharpen teaching skills in the classroom; keep abreast of developments in individual fields and education in general. It should also generate and contribute new knowledge to the profession and increase the ability to monitor learners'

work in order to provide constructive feedback to them and to redirect teaching appropriately. Borko (2004:5) concurs with the viewpoint that effective PD provides evidence that high-quality PD programmes can help educators deepen their knowledge and transform their teaching. She further contends that effective PD provides evidence that intensive PDPs can assist educators with increasing their knowledge and change their instructional practices.

Boyle *et al.* (2005:4) stresses that effective PDPs should take form of collaborative action research which is of a more long-term nature than the usual PD activities. Further, these activities are reflective, critical and analytical and they assist educators in shaping their teaching styles in the classroom that lead to accelerated learner achievement. They also provide educators with sufficient time, activities and content necessary to increase their knowledge and encourage meaningful changes in the classroom. For instance, educators are engaged in team teaching and network with other educators outside the school. This also plays a considerable role in improving learner achievement because of the innovative teaching strategies used by the educators. SACE (2008:15) identifies the following PD activities grouped into three categories, namely:

(a) Teacher priority activities

These activities are chosen by educators themselves for their own development and improvement of their own practices. Teacher priority activities include: self-study in a subject area, classroom-based action research project focused on the improvement of teaching and peer group support through educator networking.

(b) School priority activities

These activities are undertaken by the school leadership and staff collectively. They focus on whole school development and institutional conditions for the improvement of learning in schools. For instance, IQMS is currently used as a tool to develop educators in schools.

(c) Professional priority activities

These activities are concerned with enhancement of professional status, practices and commitments of educators in areas where need is felt as defined by DBE, SACE, educator unions and other national professional bodies (SACE 2008:15). Pedder *et al* (2010:370) emphasis that educators' PD needs to go beyond mere acquisition of knowledge and skills if they are to rethink and redefine their roles and relationships with their learners and to reassess their expectations of what their learners can achieve. Further, educators are encouraged and supported in developing collaboration with parents, learners and other professionals such as social workers and educational psychologists. This assists educators to expand their horizons by interacting with all school stakeholders.

Cosgrove (2011:17) maintains that effective continued PD programmes focus on critical thinking and they are deeply embedded in CPD initiatives. Further, certain qualities pertaining to CPD, which are effective across the curriculum, are more likely to be relevant in promoting critical thinking. PD programmes that entail multiple meetings and processes over a long period of time are more effective than 'once-off' sessions. These PD programmes are also more effective when they are voluntary and situated within the school setting as they are more likely to focus on the problems and challenges relevant to the specific context in which educators are working (Cosgrove 2011:19).

In order for PD to be effective in schools, there is a need to comply with the conditions that can lead to its successful implementation. For instance, structures such as SMTs are at the forefront concerning the continuing development of educators in schools as well as the creation of sufficient time for their PD. Therefore, the next section discusses the conditions for successful PD in schools.

3.5.4 Conditions for successful professional development

Lowden (2003:32), Kedzior and Fifield (2004:4) and Heystek *et al.* (2008:174) identify the conditions for successful PD. Accordingly; they include the school culture, finding sufficient time for PD, follow-up and in-school support, the transfer of training as well as using adult learning principles.

3.5.4.1 School structure and culture

The school culture is seen as an important variable determining the academic achievement of learners. This implies that the performance of educators is positively or negatively affected by the prevailing school culture. Lowden (2003:32) maintains that effective staff development programmes assist to create a school culture that is more to teaching and learning. This view is shared by Heystek *et al* (2008:174) when they stress that school culture is the ethos of a school as reflected in the shared norms, symbols and traditions. Specifically, school culture refers to the way of doing things in a school that differs from school to school. For instance, the school with a positive school culture promotes effective teaching and learning. On the other hand, the school with a cold or negative school fails to promote effective teaching and learning.

Furthermore, structural measures affect PD, for instance, the principal and the HODs are ideally placed to foster educators' PD (Heystek *et al.* 2008:175). Other structural measures such as the constitution of staff development committees assists educators to become involved in the planning of their own development.

3.5.4.2 Finding sufficient time for professional development

The greatest challenge facing the implementation of PD is the lack of time (Heystek *et al.* 2008:174). PD requires more time than is available to educators. For instance, implementation of the IQMS as one form of PD has increased educators' workload to the extent that they cannot keep up with developments in their fields. Therefore, educators

have limited time left after studying textbooks, preparing appropriate learning activities, setting assessment standards and assessing learners. Lowden (2003:32) maintains that educators need time to work in collaboration, analyse data from learner assessments and determine the most important strategies to implement PD. Kedzior and Fifield (2004:4) stress that educators are hesitant about committing time to the PDPs that are extended over a long period of time and they prefer one-day workshops during the school day.

There appears to be extremely little time for working with colleagues, examining the new standards being proposed critically, developing mastering and reflecting on new approaches to working with learners. While IQMS aims at developing educators, research reveals that its implementation is poor. For instance, educators do not have the time to complete the self-evaluation forms that are necessary for mapping out their development and growth. Therefore, it is evident that educators and their management teams do not have sufficient time to devote to these activities (Heystek *et al.* 2008:175).

3.5.4.3 Follow-up and in-school support

Heystek *et al.* (2008:175) maintain that when PD is offered outside the school premises and is not an integral part of the day-to-day activities of the classroom, it is characterised by limited follow-up and support for educators. Further, an assumption that educators implement what has been learnt in workshops is often proved false because educators may attend workshops and learn nothing. The reason is that educators are left on their own to implement or attempt to continue with what they have learnt. Therefore, monitoring, follow-up actions and support for the educators, both from the district office and the school are essential to instil confidence in educators. It also assists them to face new problems and challenges and in implementing learnt practices (Heystek *et al.* 2008:177).

The success of PD is dependent on the existence of structures for consistent follow-up and support activities. For instance, Education districts offices need to appoint more Subject Advisors to support educators in different subjects in schools.

3.5.4.4 Transfer of training

Many trainers, according to Heystek *et* al (2008:178) think that their work is completed once they have designed and delivered the training programme. They also assume that trainees automatically apply their newly-learnt skills in the workplace. Further, designers of PD programme whether at school or off-site, should take heed of the following factors:

(a) Identical elements:

The more the training context approximates the workplace, the greater the chances for the transfer of skills, attitudes and knowledge to the workplace.

(b) Teaching rules and general principles:

The more emphasis on rules or practices, the greater the chances that training will be effective because trainers may be confronted with conditions that are slightly different from the training context.

(c) Stimulus variety:

This refers to the variety of training techniques used during the training session, for instance, the use of videos, simulation, role modelling and lectures. Therefore, the use of a variety of training techniques enhances the effectiveness of the programme.

(d) Conditions of practice:

This concerns the division of the training conditions, whether training was divided into segments extending over a period of time or that the programme was completed in one setting. Once training is completed, the trainees are faced with the task of applying their newly-gained skills, knowledge and attitudes in the workplace.

3.5.4.5 Using adult learning principles

Educators, as adults, bring a history of previous learning and knowledge to any PD activity. Thus, an effective programme will incorporate, recognise and validate the previous experience of the trainees. Adults prefer active participation balanced with the realities of limited time and the need to convey information efficiently. Therefore, collaborative groups that foster the sharing of similar teaching experiences, discussions and exchange of ideas are ideal (Heystek *et al*. 2008:179). Adults are motivated by practical applications and learning what is relevant to their own classrooms because adults tend to be problem-centred learners. Bickmore (2011:96) echoes a similar sentiment that adult learning theories provide an understanding of how effective educator PD may lead to teacher learning as adult learners. He further asserts that educators as adult learners are self-directed, ready to learn, life- centred, task- centred and problem-oriented with regard to learning and are highly motivated by internal rewards such as self-esteem.

Proper adherence to the conditions that lead to the successful implementation of the PD in schools is crucial since educators are assisted with their continuing professional growth. Consequently, their teaching practices are directly related to accelerated learner performance and achievement in schools. The next section addresses an impact of PD on learner performance and achievement in schools.

3.6 THE IMPACT OF PD ON LEARNER PERFORMANCE AND ACHIEVEMENT

Harwell (2003:5) remarks that PD should focus on instructional strategies that are proven in enhancing learner performance. It should also be designed around development practices that enable educators to develop subject knowledge and skills that assist learners to excel in the classrooms. Kedzior and Fifield (2004:2) concur when they assert that for PD to have a greater impact, it must be designed, implemented and evaluated to

meet the needs of particular educators in particular settings. Furthermore, they are likely to have larger positive effects on learner performance and achievement.

Heystek *et al* (2008:174) share similar sentiment and stress that PD is effective when it results in observable improvements in the classroom in the form of increased academic achievement and the overall rounding-off of learners. This means that a well designed PD creates learning opportunities that provide mutual support and focus on everyone's attention. Nelson *et al* (2010:175) concur when they stress that mutual support among educators has a potential to enhance learner performance in schools. Educators are engaged in collaborative inquiry and are dedicated to improving their performance and achievement. Importantly, effective PD programmes, according to Cosgrove (2011:18), provide direct and conclusive evidence of its impact on learner performance and achievement in specific ways, among them, educators need to:

- develop assignments with in-built opportunities for assessment and feedback;
- try to teach with less telling by rather getting learners to write;
- adopt a less didactic and more research-oriented approach;
- promote co-operative learning among learners;
- provide sufficient feedback to learners, ensure all learners have an opportunity to learn, set tasks at an appropriate level of difficulty and become learning rather than task-oriented; and
- use strategies that enable learners to contribute their own knowledge to the learning task.

Furthermore, these classroom practices, according to Cosgrove (2011:19), result in the increased sophistication of learner responses to questions as well as improvement in learner engagement, motivation and self- confidence. All these outcomes cultivate independence of thought that forms foundation of critical thinking.

Duley (2011:17) mentions certain factors that contribute to the impact of PD on learner performance in schools, namely:

- PD helps to develop educators' existing strengths;
- it helps to develop a vision for improvement and reform; and
- it also helps to determine what kind of support one needs, determines whether one needs outside help and lays the foundation for a strong relationship with an external provider.

Even though effective PDPs assist educators to update their professional skills and knowledge continuingly, they also encounter certain barriers that are addressed in the following section.

3.7 BARRIERS REGARDING IMPLEMENTING EFFECTIVE PD IN SCHOOLS

Different authors on PD such as Maistry (2008:131) and Kedzior and Fifield (2004:4) identify the following barriers regarding the effective implementation of the PD in schools and they include:

(a) Ambiguity in implementing PD

Maistry (2008:131) indicates that there is considerable ambiguity surrounding the responsibility for continuing PD and the nature of and strategies for implementation. He asserts that there is also the danger that state-initiated PD may not even occur, a situation that can lead to spontaneous initiatives by "agents" outside the state. In some cases, the task to develop educators is outsourced to the consultants who are not knowledgeable enough about educator development. Mestry *et al* (2009:476) also stress that some provinces outsource training to the institutions of higher learning and private consultants who themselves have inadequate knowledge and practical experience to undertake such training.

(b) The structure of PD and educator's time

There are different ways in which PD is structured. For instance, there are short workshops or courses that are dominated by facilitators in the form of individual presentations. Other PD initiatives are sustained over an extended period such as networking with other schools, peer coaching and group discussions. Kedzior and Fifield (2004:4) emphasise that educators are reluctant to commit time to PD that is extended over a long period and they often prefer one-day workshops during the school year. The fact is that educators are reluctant to attend PD programmes that are organised outside their teaching time at school.

(c) The content of PD

Kedzior and Fifield (2004:4) contend that PD that focusses on subject matter content and classroom practices can meet with resistance, as some individuals may be uncomfortable about sharing their understandings and beliefs with colleagues and supervisors. For instance, educators are reluctant to spend time on development programmes that are challenging and which are extended over a long period as they view them as time-consuming.

(d) School factors

It is challenging and time-consuming to design and implement PD initiatives that incorporate multiple high quality characteristics (Kedzior & Fifield 2004:4). Some of the PDPs do not lead directly to improved learner performance and achievement in schools. For instance, SMTs are reluctant to design development programmes that require a large amount of time such as networking with other schools, peer coaching and group discussions. They only rely on staff meetings, departmental meetings and short workshops to develop their educators.

(e) District factors

According to Kedzior and Fifield (2004:4), educators, often feel that district reforms are fragmented and uncoordinated ant this is likely to impede voluntary participation in the PD. For instance, the DoE has a tendency to organise short workshops that are dominated by the facilitators and they are criticised for failing to develop required skills and competencies to the educators.

(f) Costs

High quality PD is expensive, perhaps costing more than twice the amount that districts typically spend per educator (Kedzior & Fifield 2004:4). Most schools, especially previously disadvantaged schools, do not have sufficient financial resources to budget for the PD of educators. Consequently, educators are reluctant to use their own money to attend workshops and seminars conducted in different venues other than those at their own schools and they end up not attending important development programmes. Borko (2004:3) concurs when she maintains that schools spend a large amount of money on in-service seminars and other forms of PD each year.

Ntloana (2009:54) also identifies the following barriers to effective CPD practices, namely: insufficient funds are available to support available resources; follow-up procedures to implement PDPs are inadequate and inappropriate; most activities are characterised by minimal and infrequent follow-up procedures; very limited feedback or no feedback at all is provided to practising educators and the majority of programmes that involve educators from many different schools are not recognised and they do not have positive a impact on the learners at all.

Finally, proper implementation of effective PDPs in schools requires good leadership and management skills by education managers such as principals and their management teams. Therefore, the next section discusses the role of the educational managers in

supporting PD of educators with a view to boosting learner performance and achievement in schools.

3.8 THE ROLE OF EDUCATION MANAGERS IN SUPPORTING PROFESSIONAL DEVELOPMENT IN SCHOOLS

Youngs and King (2002:643) maintain that education managers play a crucial in assisting to enhance learner performance in schools. Further, principals shape school conditions and teaching practices through their beliefs and actions regarding educator PD. They can also connect their schools to sources of PD that concentrate on instruction and student outcomes and provide opportunities for feedback and assistance in educators' classrooms that are sustained and continuing. Such actions include: facilitating regular meeting times for teams of educators; to plan instruction and reflect on their own practice; aligning school-wide PD activities with school goals; promoting social trust among staff members and practising distributed leadership. Harwell (2003:2) shares similar sentiment when stresses that educational leader at all levels should recognise quality PD as key strategy for supporting significant academic improvement such as accelerated learner performance in schools. They can also articulate a critical link between improved learner performance and professional learning of educators. They also need to ensure that all relevant stakeholders such as educators, parents and SMTs are included in the PD of educators. Furthermore, they need to develop the knowledge necessary to serve as advocates for high quality PD for all staff. They also need to engage parents and other caretakers in education of their children and establish partnerships with key community institutions that promote welfare of all learners.

Skilled leaders also need to establish policies and organisational structures that support ongoing professional learning and continuing improvement. They also ensure an equitable distribution of resources to accomplish the school's goals through the ongoing evaluation of staff development's effectiveness in achieving learner performance (Harwell 2003:2). SACE (2008:10) and DBE (2010:11) concur when they assert that part of the duties and responsibilities of principals, deputy principals and heads of department

as is to assist educators develop professionally; at the same time, they also need to develop themselves professionally . This view is endorsed by Nelson *et al.* (2010:176) when they assert that education leaders such as principals need to foster professional dialogue about teaching-learning connections. They further assert that, even when educators simply share ideas with each other, fault lines can be avoided and education managers must try to work out how to lead their colleagues in deep and productive conversations themselves and sharing ideas in organisations such as schools can be fulfilled by:

- asking and answering probing questions about the reasons for, the impacts of and evidence that supports implementing specific instructional decisions;
- recognising the value of cognitive conflict as a way to gaining a deeper understanding of the complexities of teaching and learning;
- being intentional about and accountable for the nature of the dialogue in collaborative group work; and
- accessing and using tools such as protocols and question prompts to support a shift from congenial to collegial conversations.

Cosgrove (2011:20) asserts that educators are given formal support by their leaders and are encouraged to share resources and experiences and provide helpful feedback to each other. Consequently, they begin to form social networks in which they speak and share same goals and aspirations, trust and support each other. Duley (2011:15) expresses the same opinion when she states that leaders build the capacity of individuals, teams, schools and districts to improve schools and learner performance through effective PD. She further maintains that school leaders demonstrate their understanding of the importance of professional learning by setting high expectations and providing support for ongoing, job- embedded, collaborative learning focussed on increased learner performance. School leaders engage with staff and hold staff accountable for improved learner results.

Furthermore, to ensure professional learning that is systematic and cohesive to meet learner achievement goals, school leaders need to create a PD team which is responsible for certain tasks. This includes: selection of members who demonstrate commitment to improving teaching and learning with regard to all learners; selecting members who have a great deal of credibility with staff members to ensure their commitment; ensuring that team members are aware of the research and what constitutes high quality PD and that they understand the important components of an effective programme. School leaders need to make it clear to all staff who will have an input in PD design, what type of input there will be, what the decision-making process will entail and how final decisions will be made. In addition, they also need to provide enthusiastic support and resources, including the time and organisational structures necessary for professional learning, ensure coherence and the professional learning supports that will be provided concerning student learning and school improvement. Lastly, they need to oversee the entire PD process including making a needs identification, planning, implementing and evaluating the work closely together with the school leadership and the school improvement team. Further, they develop or revise school's vision and mission statement for PD to direct the planning, implementing and evaluating of new professional learning (Duley 2011:16).

School leaders, according to Marishane, Botha and du Plessis (2011:107), can exercise a positive influence on educators' effectiveness in teaching and learning by empowering them. For instance, principals can use their decision-making authority to improve the knowledge, skills and capabilities of educators. Pitt (2012:56) expresses the same sentiment when he asserts that by working together, school principals and educators become a community of professional learners using the congenial relationship to facilitate collegiality. He further remarks that the collective wisdom of school principals and educators within a school is interconnected, continuing and cyclical. Finally, according to Pitt (2012:81), principals should perform certain essential roles, which include having a direct effect on the school culture and level of collaboration among educators regarding the improvement of learner achievement. In addition, he/should have a direct impact on learner success through the development of educators by means of improved instruction. Furthermore, he/she should create the environment necessary for

the educators to become a community of learners by providing the necessary resources such as creating enough time for staff meetings and providing sufficient classroom materials.

3.9 CONCLUSION

This chapter has attempted to explore the concept 'PD' in detail. Most definitions given by different authors and researchers agree that PD assists educators continuing to deepen their skills, knowledge and attitudes in their profession with a view to accommodating changes, which take place in the education system.

The purpose of PD was also explored, for instance, the ultimate purpose of PD for the teachers is to assist them to improve their subject knowledge and to encourage them to collaborate with regard to their teaching practices. In addition, two models of PD, which include professional training and professional support, were discussed. Furthermore, two approaches to PD, namely, traditional and collaborative approaches were also discussed. Traditional approaches are delivered in the form of short workshops, seminars and courses, which are dominated, by experts or facilitators. They are criticised for not assisting educators to develop competencies in the classroom. On the other hand, collaborative approaches such as group activities, coaching and networking with other schools place considerable emphasis on the development of competencies in the educators that are directly related to improved learner performance and achievement in schools.

Structural and core features of the PD were also explored. It is important to note that structural features include aspects such as form, duration and participation. Core features on the other hand, focusses on content, active learning and coherence of PD. Effectiveness of PDPs were also discussed in this chapter. Literature on PD emphasises that PDPs with a substantial number of contact hours are more effective in developing competencies in the educators than those with a short life span such as "one off" workshops dominated by facilitators.

Furthermore, conditions for the successful implementation of PD such as the school structure and culture and finding sufficient time for PD were explored. Finally, the impact of PD on learner achievement, barriers with regard to implementing PD as well as the role of the educational managers in supporting PD in schools was covered by this chapter. The next chapter discusses research design and methodology employed in this study.

CHAPTER 4

4. RESEARCH METHODOLOGY

4.1 INTRODUCTION

Chapter two and of this research project explores literature review from both an international and local perspective on performance appraisal as well as on performance appraisal and introduction of Integrated Quality Management System (IQMS) in schools while chapter three discusses professional development of educators. A literature review on both performance appraisal and professional development (PD) thus provides a theoretical framework upon which this study is based.

Therefore, the aim of this chapter is to discuss main research question and its aim, population and sampling procedures, research methods and design, data collection procedures, data analysis and interpretation, ethical measures as well as measures to ensure trustworthiness. As a point of departure the main research question and its aim is explored in the following section.

4.2 MAIN RESEARCH QUESTION AND AIM

In this chapter, the researcher answers the general research question set out in Chapter one (see 1.3) which reads as follows:

How can appraisal and PD be linked in the IQMS in South African schools?

The following aim was identified for this study, namely:

The study attempts to explore how appraisal and PD are linked in the IQMS in South African schools.

Therefore, this study aims to provide documented evidence of the way in which appraisal and PD can be linked in the IQMS in South African schools.

4.3 POPULATION AND SAMPLING

The researcher purposefully selected sixteen schools, that is, eight primary and eight secondary schools located in Mafukuzela-Gandhi circuit at KwaMashu Township, north of Durban in the province of KwaZulu-Natal. Schools A to H (quintile 4 primary schools); Schools I to N (quintile 4 secondary schools); School O (a quintile 3 secondary school, a) and School P (a quintile 2 secondary school). These schools are ranked according to their quintiles. For instance, quintile 2 schools are classified as "poor" schools while quintile 3 and 4 schools are regarded as "richer" schools. Quintiles are used to rank South African schools according to their socio-economic status (CREAT, 2009:3). Principals, SMTs and educators were purposively selected from each of the sixteen schools to ensure that information-rich participants were included (Wiersma & Jurs 2009:342). Table 4.1 below gives a brief description of schools selected to participate in this study according to their rankings or quintiles:

Table 4.1: Description of schools according to their rankings

Schools	Level	Quintile
School A to H	Primary schools	4
Schools I to N	Secondary schools	4
School O	Secondary school	3
School P	Secondary school	2

These schools were selected on the basis that they are previously disadvantaged schools with a poor infrastructure, a scarcity of teaching and learning resources and are located in a township that is deeply affected by socio-economic factors such as crime and poverty. Furthermore, all of them were subjected to the traditional appraisal practices prior 1994. Consequently, most of the schools fail to promote the academic performance and achievement of the learners. For instance, most primary school learners perform badly in

their Annual National Assessment (ANA) results and learners in most secondary schools also obtain poor results in the National Senior Certificate (NSC) exams.

The researcher employed purposive or judgmental non-probability sampling where information-rich participants were selected for an in-depth study since they could provide the best information as well as their first-hand experiences on the performance appraisal system for the educators and their PD in schools. The logic for deciding to use purposeful sampling, according to McMillan and Schumacher (2006:319) and Wiersma and Jurs (2009:342), is that a sample of information-rich cases is selected that are studied in depth. For instance, the researcher targeted the principals, SMTs and educators who were well informed about performance management (PM) system and PD processes in schools.

The researcher therefore specified the characteristics of a population of interest and then tried to locate individuals with those characteristics (Johnson & Christensen 2008:239). McMillan and Schumacher (2010:138) concur when they maintain that purposive sampling assists the researcher to select rich-information participants. Therefore, principals, SMTs and educators were selected because they are knowledgeable and informative about performance appraisal and professional development processes. The sample of this study consists of the following participants:

a. The principal from each of the sixteen schools selected to participate in the study was interviewed using one-to-one interviews.
b. Five SMT members from each school were interviewed as focus groups.
c. Eight educators (a repetition of three experienced educators, three educators with less than three years experience as well as two educators who were democratically elected as staff development teams (SDTs) in each school) were also interviewed as focus groups.

Principals were requested to assist the researcher in selecting the participants in terms of their status which included those who were SMT members and their positions such as deputy principals and head of departments (HODs), experienced educators, educators with

less than three years experience as well as two educators who were democratically elected as SDT members in each school. Three interviews were conducted in each school, that is, one- on -one interview with the principal, focus group interview with SMT members as well as focus group interview with educators. This means that sixteen one-to-one interviews were conducted with the principals and thirty two focus group interviews with both educators and SMTs in all schools selected to participate in the study. Follow-up interviews became necessary once the researcher started transcribing and analysing the data. Interviews in schools commenced at the beginning of the second term up to the third term 2013.

In total, sixteen (16) principals, eighty (80) SMT members and one hundred- and twenty-eight (128) post level one educators were included to participate in this study. Therefore, two hundred and twenty four (224) participants were included in the study for interviews.

4.4 RESEARCH METHODS AND DESIGN

The aim of this was to describe the need to link appraisal with PD in the IQMS in South African schools. Literature study on the pertinent aspects of performance appraisal and PD of educators was explored with a view to identifying a link among them. Primary and secondary literature such as journals, dissertations and theses, books and research were explored.

A qualitative research design was used in an empirical investigation in which the researcher used interviews to collect data from the participants in order to provide a comprehensive analysis of the research problem. Qualitative researchers, according to McMillan and Schumacher (2010:23), gather data in the natural setting and it is in the form of words rather than numbers. Principals, SMTs and educators were included in the sampling. In order to understand the various school stakeholders' points of view on the need to link appraisal and PD in the IQMS in South African schools it was decided to conduct in-depth interviews. Sixteen principals together with their SMTs and the purposive sampling of educators were also selected to promote a better understanding of a link between

performance appraisal and PD in schools. The interview guide approach (See Appendices B, C and D) was used where topics were selected in advance but the sequence and wording of the questions depended on the educators being interviewed (McMillan & Schumacher 2010:335). The interpretive approach which focusses on experience and interpretation was also employed by the researcher using interviews to investigate the need to link appraisal and PD in the IQMS in South African schools (McMillan & Schumacher 2010:6). The interpretive approach, according to Sarantakos (2005:240), rests on the assumption that reality is constructed through relationships between meanings and through people's interpretation and experiences.

The process of qualitative data is inductive and the researcher built concepts from details that were obtained from the participants by means of interviews. Johnson and Christensen (2008:388) emphasise that researchers using qualitative data tend to rely on an inductive mode of the scientific method and the major objective of this type of research is exploration or discovery and they further assert that qualitative researchers generally study phenomena in an open-ended way without prior expectations.

4.5 DATA COLLECTION PROCEDURES

Data were collected from the participants using interviews, which were conducted into two steps, which include:

4.5.1 Step 1: Personal individual interviews with principals

The researcher's aim with interviewing is to enter the other person's perspective and the meaning they construct from their experiences (Denscombe 2007:189). The researcher conducted semi-structured one-on one interviews to elicit the data from the principals (See appendix B). One- on -one interviews involved a meeting between a researcher and one informant (principal) and it was relatively easy to arrange an interview. These interviews also assisted by providing the researcher with more extensive and memorable responses (Denscombe 2007:177; Briggs, Coleman & Morrison 2012:254). The purpose of adopting

this approach was to gain a clear understanding of the principals' experiences, perceptions and facts regarding the need to link appraisal and PD in the IQMS in South African schools (Newby 2010:115; Bell 2010:1). The following tables provide a brief description of primary and secondary school principals that were interviewed.

Table 4.2: Description of primary school principals

Schools	**A**	**B**	**C**	**D**	**E**	**F**	**G**	**H**
Age	49	40	48	45	52	42	38	44
Gender	Female	Female	Male	Female	Male	Male	Female	Female
Academic qualification	BA, BEd.Hons.	Bed. Hons.	BA	Matric	Matric	BA.	Bed.	BA
Professional qualification	SPTD	JPTD	PTD	PTD, ACE.	SPTD, HED.	PTD	PTD	PTD
Experience	16 years	18 years	24 yrs.	22 yrs.	25 yrs.	17 yrs	14 yrs.	20 yrs.
Trained on IQMS?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

The following is a list of acronyms used in the table above to describe qualifications for the primary school principals:

ACE : Advanced Certificate in Education
BA : Bachelor of Arts
BEd Hons. : Bachelor of Education Honours
BEd : Bachelor of Education
HED : Higher Education Diploma
IQMS : IQMS
JPTD : Junior Primary Teachers Diploma
PTD : Primary Teachers Diploma
SPTD : Senior Primary Teachers Diploma

Table 4.3: Description of secondary school principals

Schools	**I**	**J**	**K**	**L**	**M**	**N**	**O**	**P**
Age	54	52	49	47	52	44	50	49
Gender	Female	Male	Female	Male	Male	Male	Female	Male
Academic qualification	Masters of Arts	BEd. Hons	BA. Hons.	BA	Bed. Hons.	BA	Bed. Hons.	BA
Professional qualification	SSTD	STD	STD	HED	HED	SSTD	STD	STD
Experience	30 yrs.	20yrs.	28 yrs.	22yrs.	23yrs.	18yrs.	22 yrs.	14yrs.
Trained on IQMS?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes

The following is a list of acronyms used in the table above to describe qualifications for the secondary school principals:

BA : Bachelor of Arts
BA Hons : Bachelor of Arts Honours
BEd : Bachelor of Education
BEd Hons : Bachelor of Education Honours
HED : Higher Education Diploma
IQMS : Integrated Quality Management System
MA : Master of Arts
STD : Secondary Teachers Diploma
SSTD : Senior Secondary Teachers Diploma

The researcher explored a few general aspects on staff appraisal and PD to help uncover the participant's perspectives on the need to link appraisal and PD in the IQMS in South African schools (See Appendix B). Open-ended questions, according to Klein (2012:42), were structured to encourage participants to provide longer and richer answers. The researcher probed further with certain questions to ensure that the responses were those needed to elicit evidence to understand the participant's views regarding the need to link appraisal and PD in the IQMS in South African schools. Interviews were recorded by means of notes and were tape-recorded. In addition, personal individual interviews with

principals were conducted in their respective schools during break times and after school hours to avoid disrupting teaching and learning. Each interview lasted about thirty up to forty-five minutes.

4.5.2 Step 2: Focus group interviews with SMTs and educators

The researcher also used focus group interviews to collect data from the SMTs and educators (See Appendices C & D). The rationale for using focus group interviews was that the researcher was looking for a range of shared ideas from the experts who were knowledgeable on the topic the researcher was investigating (McMillan & Schumacher 2006:319).

Johnson and Christensen (2008:202) maintain that a focus group is a type of group interview in which the researcher leads a discussion with a small group of individuals. Five SMT members from each school were included to participate in this study because PM and PD of the educators form part of their management tasks. Eight educators (a repetition of three experienced educators, three educators with fewer than three years of experience as well as two educators who had been elected democratically as SDT members in each school) were also selected to participate in the study. The researcher tried to gain insight into how the participants were thinking and why they were thinking as they do concerning the need to link appraisal and PD in the IQMS in South African schools. The researcher tried to gain insight into how the participants viewed the need to link appraisal with PD in schools (Bell 2010:165). In order to collect accurate data from all participants, identical interview schedules were used.

The aim of using focus group interviews was to use experts such as SMTs and educators to guide the researcher with regard to the necessity to link appraisal and PD in the IQMS in South African schools. All the interviews were conducted at schools during break times and after school to avoid disruption of the school. Each interview lasted forty five minutes to one hour. All the interviews were tape-recorded and transcribed verbatim.

4.6 DATA ANALYSIS AND INTERPRETATION

After collecting data from participants, it was synthesised and meaning was created from it, starting with specific data and ending with categories (Denscombe 2007:293; Creswell 2009:75 & McMillan & Schumacher 2010:367). Further, similar patterns, categories or themes were coded and grouped together. Identified topics were abbreviated as codes and codes were written next to the appropriate segment.

Thereafter, final decisions were made on the abbreviation of each category and the codes were alphabetised. Data belonging to each category was assembled in one place and preliminary analysis was performed.

Thereafter, final decisions were made on the abbreviation for each category and the codes were alphabetised. Finally, the data material belonging to each category was assembled in one place and a preliminary analysis was performed. After data were analysed, interpretation was carried out next with a view to synthesise data to reach meaningful conclusions. Data analysis was followed by formulation of conclusions and recommendations, which is covered in the last chapter of this study.

4.7 ETHICAL MEASURES

Regarding data collection process, the researcher considered certain important issues such as legal issues, technical accessibility and technical issues (Johnson & Christensen 2008:102; Klein 2012:22). The following is a discussion of ethical measures that were adhered to when collecting data from participants.

4.7.1 Informed consent

Before conducting this study, permission was requested from the Research Directorate of KZN DoE to conduct research in sixteen schools (eight primary and eight secondary schools) selected to participate in the study (See Appendix E). Furthermore, the

researcher also completed the ethical clearance forms he had received from the University of South Africa and that were sent to the supervisor for evaluation purposes before they were forwarded to the evaluation committee. The researcher also obtained permission from the school principals before entering their premises and collecting data since obtaining permission from the organisational personnel requires contacting them before the commencement of the study. An informed consent form was made available to all prospective participants such as the principals, SMT members and educators after having informed them of its purpose, the procedures to be followed and the measures implemented to ensure anonymity and confidentiality (See Appendix A).

4.7.2 Voluntary participation

The researcher informed all the participants that their participation was entirely voluntary since participants were not compelled to participate (Bell 2010:45). Participants were also informed that freedom to participate or not to participate is a basic right. It also includes freedom to withdraw from the research at any time without penalty.

4.7.3 Anonymity and confidentiality

Participants were also assured that all information that would be provided by them would be strictly confidential and that their identities would not be revealed in any record or report and that there would be no link between the data and the participants (Bell 2010:45). To ensure this, code names for people and schools were used to ensure anonymity (Denscombe 2007:292).

4.7.4 Permission to tape-record interviews

In order to capture accurate data without missing any vital information, all the interviews were tape-recorded (Denscombe 2007:195). All the participants were informed before the start of interviews that their responses would be tape-recorded and that they have right to withdraw from the study if they feel uncomfortable or intimidated by the presence of the

tape recorder. Thus, the taping of interviews never proceeded without the knowledge and consent of the participants.

4.8 MEASURES TO ENSURE TRUSTWORTHINESS

The researcher selected reliable data collecting techniques such as one- on-one interviews and focus group interviews to collect data from participants. Reliability, according to Johnson (2012:93) and Newby (2010:121), relates to the degree to which a study can be repeated with similar results.

The researcher also ensured to use most appropriate data collection strategies such as in-depth interviews with participants. Briggs *et al.* (2012:81) maintain that, validity tells whether an item measures or describes what it is supposed to measure or describe. In order to minimise chances of the researcher being biased, the following strategies that are in line with those of (McMillan & Schumacher 2010:330) were used and they include:

- ***Prolonged and persistent interviews****:* the prolonged and persistent interview strategy allowed the researcher to conduct an interim data analysis and corroboration to ensure the match between findings and participant reality;
- ***Mechanically recorded data*****:** All interviews were tape-recorded and transcribed verbatim;
- ***Verbatim accounts*****:** Direct quotations from the transcribed data were used to illustrate the participants' views;
- ***Participants' language*****:** Interviews were conducted in English which is the medium of instruction in all the schools selected to participate in the study but participants are also free to use the language of their choice;
- ***Field research*****:** Interviews were conducted at the schools in the natural location of the participants;
- ***Low inference descriptions*****:** Concrete and precise descriptions of the interviews were used in the research findings;

- ***Member checking**:* The researcher employed this technique to check informally with participants for accuracy during data collection;
- ***Participant researcher*:** The researcher as a participant recorded perceptions in diaries or captured anecdotal records for corroboration; and
- ***Participant review*:** Each participant was asked to review the researcher's synthesis of all interviews with the person for accuracy of representation.

4.9 CONCLUSION

This chapter focussed on the approach employed to conduct empirical investigation. It covered sampling and population procedures, research methods and design, data collection procedures and data analysis and interpretation. It also explored ethics of conducting research and measures to ensure trustworthiness. The next chapter (Chapter five) focusses on data analysis and interpretation.

CHAPTER 5

5. DATA ANALYSIS AND INTERPRETATION

5.1 INTRODUCTION

This chapter is based on a study of eight primary and eight secondary schools from which principals, school management teams (SMTs) and educators were selected in order to explore their points of view on the need to link appraisal with professional development (PD) in the Integrated Quality Management System (IQMS) in South African schools.

The discussion commences with historical background of KwaMashu (the township in which the research was conducted). It is followed by an analysis of qualitative data that were obtained from principals, SMTs and educators using interviews.

5.2 BACKGROUND OF KWAMASHU TOWNSHIP

KwaMashu is one of the Durban's first townships that was established as a result of the Group Areas Act of 1959. This law was passed by the apartheid government to separate different racial groups. Different racial groups included: Indians, Coloureds and Africans who lived together in places such as Cato Manor in Durban, Sophiatown in Johannesburg and District Six in Cape Town. KwaMashu Township is located to the north of Durban in the province of KwaZulu-Natal and is not far from Inanda, Ntuzuma, Phoenix, Verulam and Tongaat. Most of the people who live within the borders of KwaMashu originally come from Cato Manor (UMkhumbane) and were removed from Cato Manor during the apartheid regime in 1950s.

Before the establishment of KwaMashu Township, the area was used as a sugar cane plantation owned by Marshall Campbell after whom the township was named. The first clinic in this township is KwaMashu Poly Clinic that was established in 1962. This clinic had been extended and since 2006 it is known as Community Health Centre and there is

also an HIV section called Nqobani Clinic. KwaMashu had been grouped with its neighbouring townships which include: Inanda and Ntuzuma and together they are referred to as 'INK' (Inanda, Ntuzuma and KwaMashu) by eThekwini Municipality and the area is home to an estimated 500 000 people. KwaMashu Township is surrounded by informal settlements such as Lindelani, Siyanda, Bester and Quarry Heights. These areas are characterised by low cost housing and slums and most learners who come from these informal settlements rely on KwaMashu schools for their education.

Further, KwaMashu is divided into many sections and the mode of transport that is used in this township is mostly taxis (mini buses), buses and trains. This township is also seriously affected by socio-economic factors such as crime, poverty and unemployment. It is also a home to South African's well-known art centre (the Ekhaya Multi Art Centre) and it has its own community radio station known as 'Vibe FM, 94.7'. KwaMashu also has two shopping centers, namely, Bridge City shopping centre and the KwaMashu shopping centre, which cater for the people in and around KwaMashu areas. This township also has a large number of schools which serve learners in and around the KwaMashu Township. The schools include pre-primary, primary and secondary as well as LSEN schools. For instance, there are approximately 296 schools which fall under the Mafukuzela-Gandhi circuit that was launched on 24 July 2007.

This circuit was formed as a result of the merger of Inanda, Ntuzuma, KwaMashu, Phoenix, Verulam and Tongaat and it was named after two prominent political legends, namely, Dr. John Langalibalele Dube (1871-1946), affectionately known as "Mafukuzela" and Mohandas Karamchand (1869-1948), affectionately known as "Mahatma Gandhi." Mafukuzela-Gandhi is one of the largest circuits in the Pinetown district and it is divided into different wards. These wards are Ward 134 (Inanda north), Ward 135 (Ntuzuma), Ward 139 (Verulam), Ward 140 (Phoenix west), Ward 141 (Phoenix central), Ward 142 (Phoenix north), Ward 143 (Tongaat) as well as Ward 136 (Malandela), which is a ward where sixteen schools were selected to participate in this study. Ward 136 has approximately 29 primary schools, ten secondary schools and one

learner with special educational needs (LSEN) school. The next section discusses the profile of participants of the study.

5.3 THE PROFILE OF PARTICIPANTS AND THEIR CODING

At each of the eight secondary and eight primary schools, interviews were conducted with:

- The principal (as an individual)
- Five SMT members (focus groups)
- Eight educators (focus groups)

In order to ensure that the principle of confidentiality was adhered to, each of the schools was coded as follows: Schools A to H (primary schools, quintile 4 schools), Schools I to N (secondary schools, quintile 4 schools); School O (secondary school, a quintile 3 school) and School P (secondary school, a quintile 2 school). These schools are ranked according to their quintiles. For instance, quintile 2 schools are classified as 'poor' schools while quintile 3 and 4 are classified 'richer' schools. Quintiles are used to rank South African schools according to their socio-economic status (CREAT, 2009:3). Principals were coded as follows: Principal A, Principal B, and Principal C, up to Principal P. Furthermore, SMT members and educators were also coded in terms of codes of their respective schools. For instance, SMT member A from School A, SMT member B from School B, up to SMT member P and Educator A from School a, Educator B from school B, up to Educator P.

The system of coding used ensured that there was no link between the data and the participants or between the data and the setting, thereby ensuring anonymity and confidentiality of participants (McMillan & Schumacher 2010:121). Table 5.1 depicts participant profile and coding in detail.

Table 5.1: Participant profile and coding

Schools and their rankings (Quintiles)	**Individual interviews (Principal in each of the sixteen schools)**	**Focus group interviews (Five SMT members in each school)**	**Focus group interviews (Eight educators in each school)**
Schools A to H (Prim. Q 4 schools)	Principals A to H	SMT members A to H	Educators A to H
Schools I to N (Sec. Q 4 schools)	Principals I to N	SMT members I to N	Educators I to N
School O (Sec. Q 3 school)	Principal O	SMT member O	Educators O
School P (Sec. Q 2 school).	Principal P	SMT member P.	Educators P.

Prim. : Primary school

Sec : Secondary school

SMT : School management team

Q. : Quintile

The next section discusses findings that emanate from the qualitative study undertaken by this researcher by means of interviews with principals, SMT members and educators.

5.4 FINDINGS FROM THE STUDY

In-depth interviews were conducted with participants who include: a sample of school principals, SMTs and educators. Interviews were conducted in two steps, that is, one- on -one interview with principals and focus group interviews with both SMT members and educators.

The findings from the interviews were analysed and coded into categories to show salient features and their meaning with regard to the participant's experiences. The categories and sub-categories are indicated in the following section and a discussion of each of these categories individually will ensure.

- Ambiguity purposes of IQMS.
- Non adherence to procedures and processes to implement IQMS.
- Failure by the IQMS to cater for PD of educators.

The following section discusses the ultimate purpose of appraising educators in their schools.

5.4.1 The ultimate purpose of staff appraisal

What surfaced quite prominently during interviews with principals, SMTs and educators was their dissatisfaction with regard to the absence of a link between IQMS and their PD. The predominant concern that transpired was the ambiguity purposes of IQMS as its main focus is to get assessment scores directly related to grade progression and salary increments; while the aspect of continued professional development (CPD) is overlooked. The aforementioned issue is discussed in further detail in the next section.

5.4.1.1 Identifying strengths and weaknesses of educators

Some participants in this regard revealed that the manner in which IQMS is conducted in most schools does not assist to identify their strengths and weaknesses. Principal C revealed that, "*Developmental support groups (DSGs) do not have sufficient time to identify strengths and weaknesses for the educators and they do not even finish lesson observations due to time constraints.*" This view was supported by principal F who stressed that, "*IQMS is a quick fix expedience aimed to get assessment scores as it is almost conducted once a year*." Furthermore, principal G expressed a similar view in this regard:

> *Strengths and weaknesses for the educators cannot be identified within a short period and they require extensive appraisal discussions and continuing monitoring. Further, DSGs do not even finish lesson observations as they leave their learners unattended to be part of the appraisal panels and they only spend ten to fifteen minutes observing lessons. Thereafter there will be no feedback, appraisal discussions and monitoring of the professional growth plans (PGPs) for the educators.*

The aforementioned statement was supported by Principal I who also highlighted that, "*strengths and weaknesses for the educators are identified within a short period of time and on top of that the appraisal panels do not even bother to monitor them continuingly.*" School management member A expressed a similar opinion in this regard, "*appraisal panels do not have sufficient time to deal with strengths and weaknesses identified during appraisal for the educators and they do not even monitor their professional growth plans (PGPs).*"

A valid point was raised by the SMT member D who maintained that, "*educators are not taking IQMS seriously and some of them are not even appraised. They only allocate scores that are needed by the DoE at the end of the year.*" SMT member J added that, "*the purpose of IQMS is to identify strengths and weaknesses for the educators and to deal with them accordingly but this is not the case in most schools as DSGs do not commit themselves in monitoring their strengths and weaknesses.*"

Educator B concurred with the aforementioned views and emphasised that, "*IQMS does not assist with identifying their strengths and weaknesses. Further, school management teams and appraisal panels seem not knowing as to what is expected of them as they do not monitor strengths and weaknesses identified during their appraisal.*" Educator D shared a similar view and remarked that, "*their strengths and weaknesses are identified within a short period of time and they are not monitored by their DSGs.*"

The role of IQMS in terms of identifying strengths and weaknesses for the educators as described by most participants does not comply to the PD model proposed by Daley and Kim (2010:5) which stresses that, PD can be used to convey expectations, assess current abilities and plan professional and in-service training of developing higher levels of professional competence. Furthermore, this model focusses on improving the ability of employees to perform their present or prospective roles through identification of personal development needs and the provision of subsequent training or self-development opportunities. It therefore emerged from interviews with principals, SMTs and educators that their strengths and weaknesses are identified during once-off lesson observations, which are almost conducted at the end of the year for PM purposes.

Principal I and SMT member F explained that, "*strengths and weaknesses for the educators are identified within a short period of time and on top of that, appraisal panels do not even bother to provide feedback and to monitor them continuingly.*" This view was shared by Educator E who emphasised that, "*the DSGs do not even finish lesson observations and they receive very limited or no feedback at all from them.*" It becomes apparent that IQMS neither succeeds in identifying the strengths and weaknesses of the educators nor does it provide opportunities for their further development by means of effective PD programmes. This means that staff appraisal should provide opportunities for further PD for the educators and this purpose is discussed in the subsequent section.

5.4.1.2 Contributing towards the performance development of educators

In this section, the participants also expressed feelings of dissatisfaction with the failure by IQMS to cater for their continuing PD. Principal E revealed that, *"IQMS does not that much assist to enhance continuing PD for the educators since most schools treat it as an event which is only conducted once a year for PM purposes."* This view was supported by Principal F who stressed that, *"IQMS does not assist to equip educators with the necessary skills and competences to perform their teaching tasks more effectively."* The opinion was also shared by Principal L who asserted that:

> *IQMS does not assist educators to deal with challenges they encounter in their profession since it is not sustainable. Further, there is no one who can be developed by appraisal, which is only conducted once a year in the form of class visits where proper procedures and processes are not adhered to. Consequently, educators are not assisted to develop professionally because the main focus of IQMS which is currently used to appraise educators in schools is only on financial gain rather than on their PD.*

The aforementioned statement was supported by SMT member N who emphasised that:

> ...IQMS fails to develop them continuingly as its developmental programmes which include appraisal discussions and monitoring of the strengths and weaknesses for the educators by means of their PGPs are not properly conducted. Furthermore, IQMS PD programmes do not focus on the improvement of learners' experiences through educator enhancement of knowledge, skills, values and attitudes.

This view was endorsed by Educator O who contended that, *"IQMS does not assist them to develop professionally since it is only conducted once towards the end of the year with a view to get assessment scores directly related to their remuneration."*

It became apparent from the responses provided by the participants that IQMS in most school is treated as a once-off event and it fails to cater for their continuing PD. The views highlighted by most participants on the role of staff appraisal on their PD do not coincide to a two-fold PD model proposed by Monyatsi (2002:269) and Heystek *et al.* (2008:164) which stresses development of educators' professional knowledge,

understanding and skills that provide quality of teaching and learning in the classroom. This model also encourages educators to become reflective practitioners and participate by initiating and contributing to the instruments and procedures that are used to evaluate their performance. It also leads to the motivation and empowerment of educators to develop a full understanding of the whole school programme. The views highlighted by most participants are contrary to this PD model. For instance, it was stressed by Principal E that, "*IQMS fails to enhance continuing PD for the educators since it is treated as an event in most schools for performance measurement purposes, consequently, an aspect of continuing PD is overlooked.*" This view was endorsed by the SMT member N who claimed that, "*IQMS fails to develop them continuingly as its developmental programmes such as appraisal discussions and monitoring of the PGPs for the educators is not properly conducted.*" A valid point was also raised by Educator O who stressed that, "*IQMS does not assist them to develop professionally since it is conducted about once a year with a view to get assessment scores directly related to their remuneration.*" When educators are well developed in terms of skills and competencies they perform their tasks effectively that contribute to accelerated academic performance for the learners which is discussed in the next section.

5.4.1.3 Improving learner performance

It was highlighted by Principal B that, "*IQMS which is currently used to appraise educators does not that much assist to enhance academic performance and achievement for the learners in schools.*" Principal H shared a similar opinion in this regard and stressed that:

> *The manner in which IQMS is conducted in most schools does not assist educators to develop skills and competences that relate to an improved learner performance and achievement in schools. For instance, IQMS is conducted once a year in the form of class visits that do not assist to develop required skills and competences to the educators necessary to perform their teaching tasks effectively and learners do not benefit.*

The aforementioned statement was echoed by the SMT member F who stated that:

> ...class visits which are conducted once a year with a view to get assessment scores do not assist educators to develop skills and competences required to perform their teaching tasks effectively. Consequently, learners' progress in terms of their performance and achievement is not enhanced.

In this regard, SMT member K was quick to add that, "*IQMS does not assist to develop educators to facilitate effective teaching and learning which is directly related to accelerated learner performance and achievement in schools.*" This view was also shared by the SMT member M who averred that, "*even though educators are appraised by their appraisal panels it is impossible for them to be developed by a once-off activity such as lesson observations with very limited or no feedback at all.*"

Furthermore, SMT member O shared similar sentiments and stressed that, '*IQMS fails to measure the quality of teaching which brings about improved learner performance and achievement in schools'*. Educator D agreed with this view and indicated that, "*the focus of the IQMS is on financial gain rather than on their PD.*" Educator G expressed a similar opinion:

> *Truly speaking IQMS does not assist with educator development and learner achievement as its focus is on remuneration. Further, class visits which are conducted almost once a year for performance measurement purposes do not assist to inculcate skills and competences necessary to perform their teaching tasks effectively which benefit learners and schools.*

The aforementioned statement was endorsed by Educator H who emphasised that:

> *...it is impossible for the educators to be developed by IQMS because it is not properly conducted and it is done for the sake of doing it as per the departmental directive to monitor their work and nothing else. Further, they are also not assisted to develop skills and competences that promote effective teaching and learning in schools.*

This view was also shared by Educator K who stressed that, "*IQMS has not thus far been able to meet its target to enhance educator development as well as that of improved learner performance and achievement because of many challenges in its implementation.*" It therefore became apparent from the responses provided by most

participants that IQMS fails to inculcate necessary skills and competencies to perform their teaching tasks effectively, which can benefit both learners and schools.

Therefore, most of the responses provided by the participants regarding the role of IQMS with regard to improving learner performance do not concur with the findings by Ovando and Ramirez (2007:89), Daley and Kim (2010:1) and Goe, Holdheide and Miller (2011:9), namely that proper appraisal practices should promote the PD of the educators that is directly related to increased learner performance and achievement in schools. For instance, Principals B and H, SMT member O as well as Educators D, G and K argued that, "*IQMS fails to inculcate necessary skills and competences to them that assist to enhance academic performance and achievement for the learners.*"

Furthermore, Daley and Kim (2010:1) stress that in an effort to improving educational outcomes for the learners, the public and policy-makers are calling for a better approach to educator appraisals where educators are regularly engaged in collaborative PD programmes that assist in developing skills and competencies that contribute to accelerated learner performance and achievement in schools. When schools fulfill their functional task with regard to facilitating effective teaching and learning, they attain a good reputation and are regarded as well developed schools. It becomes apparent that one of the purposes of IQMS is to develop the whole school. Therefore, the role of staff appraisal in advancing whole school development is discussed in the subsequent section.

5.4.1.4 Advancing whole school development

Importantly, some participants revealed that the manner in which the IQMS is conducted in most schools does not assist in advancing whole school development. Principal I remarked that:

> *...IQMS development programmes such as pre, during and post appraisal discussions, provision of feedback after the appraisal as well as monitoring of the PGPs for the educators is not properly conducted. Consequently, educators end up*

> *not developing skills and competences that assist them to perform their teaching tasks effectively and schools fail to develop as well.*

This view was shared by SMT member E who stressed that, *"IQMS PD programmes do not contribute to their PD and schools become dysfunctional as they fail to fulfil their functional task of effective teaching and learning."*

Educator C added that, "*IQMS doesn't have that much influence in terms of developing educators and schools as a whole."* It is important to note that for the main objective of IQMS is to ensure quality public education and to improve quality of teaching and learning in schools (ELRC, 2003:3). Quality improvement in education does not materialise in practice as most schools are dysfunctional and they keep on producing poor results. Furthermore, Educator J pointed out that:

> *...IQMS does not assist them to develop continuingly as it is treated as an event in most schools where class visits are conducted once a year with a view to get assessment scores directly related to financial gain. Consequently, educators are not assisted to develop skills and competences necessary to enhance academic performance and achievement for the learners and in advancing whole school development.*

It also became apparent from the responses provided by most participants that the purpose of staff appraisal, namely to advance whole school development does not coincide to the main objective of IQMS propounded by DoE (2003:3) to ensure quality public education for all and to improve quality of teaching and learning in schools constantly. It was also stressed by SMT member E that, "*IQMS development programmes such as appraisal discussions and monitoring of the PGPs do not contribute to their PD which benefit the whole school."* In line with appraisal for the educators, it is crucial to adhere to its procedures and processes in order to fulfil the purpose of PD in advancing whole school development. Therefore, procedures and processes for the effective implementation of the IQMS as a tool to facilitate PD for the educators form the basis of the following section.

5.4.2 Adherence to procedures and processes to implement the Integrated Quality Management System

Negative responses were received from the principals, SMTs and educators concerning adherence to procedures and processes regarding the mplementation of the IQMS in schools because of the limited IQMS advocacy training from the onset and the challenges involved in implementing the IQMS in schools. Other issues raised were the role played by the structures constituted to implement it as well as the keeping of records, documentation and the IQMS implementation process itself. The aforementioned issues are discussed in further detail in the next section.

5.4.2.1 The Integrated Quality Management System advocacy training

What surfaced prominently during interviews with the principals, SMT members and educators was that most of them expressed feelings of dissatisfaction with the limited advocacy and training they received from the onset when IQMS was firstly implemented in schools. Principal A maintained that:

> *Principals received a once-off advocacy training seven years ago when IQMS was firstly implemented in schools. With that limited knowledge, they were required to disseminate information to all educators. From then the DoE is doing nothing to monitor that IQMS is properly conducted.*

The aforementioned statement concurs with the findings by Mestry, Hendricks and Bisschoff (2009:476) that the provincial departments are not providing sufficient support to the educators in the field of IQMS and most of them undergo once-off training. This view was also expressed by SMT member C who pointed out that, *"DoE is not doing enough to capacitate all school stakeholders on IQMS procedures and processes and it doesn't bother to monitor that they are properly adhered to."* A valid point was also raised by Educator E, who stressed that, *"procedures and processes to conduct IQMS in most schools are not adhered to at all."* and postulated that:

> *According to me procedures and processes to conduct IQMS are not followed because its developmental programmes such as self-evaluation, peer evaluation, pre and post appraisal discussions, scoring of performance standards, monitoring of the PGPs for the educators are time-consuming and they are neglected.*

Educator F was of the same opinion as that expressed in the aforementioned statement and added that, "*the DSGs do not even finish lesson observations as they leave their learners unattended in the classrooms to be part and parcel of the appraisal processes.*" Educator I concurred and stated that, "*the DSGs do not even have time to monitor their PGPs*." It was further revealed by Educator D that, "*during IQMS advocacy training it was stressed by the DoE that all schools need to have action plans where the DSGs monitor PGPs for the educators but this does not materialise.*"

It therefore became apparent from the responses provided by most participants in this regard that most schools do not adhere to the procedures and processes to conduct IQMS properly; in addition, they also get very limited support from the DoE to implement it in schools. For instance, Educators E and F declared that:

> ...procedures and processes to conduct IQMS in schools are not adhered to at all. The DSGs do not even finish lesson observations as they leave their classes unattended to be part of the appraisal processes. They also do not conduct appraisal discussions and do not monitor PGPs for the educators.

The aforementioned views are the opposite of the recommendations by Biputh (2008:77) and Sishi (2012:1) that IQMS process calls for proper adherence to the prescribed procedures and processes. Furthermore, the departmental officials need to monitor IQMS process on an ongoing basis and furnish quarterly progress reports with regard to the status of its implementation in schools under their control. It also emerged from the interviews that most participants encounter many challenges in implementing IQMS in their schools and these challenges are elucidated in the subsequent section.

5.4.2.2 Challenges involved in implementing the Integrated Quality Management System in schools

Accordingly, the participants highlighted that they experience many challenges with regard to implementing IQMS in their schools such as inadequate IQMS advocacy training, lack of understanding of principles, procedures and processes and lack of support from the relevant departmental officials. Other challenges are the failure by the schools to improve to the expected level of service delivery as well as failure by IQMS to cater for the PD for the educators. The aforementioned challenges encountered in implementing IQMS in schools are discussed in detail in the following subsections.

(a) Inadequate Integrated Quality Management System advocacy training

Most principals and their SMTs, including educators expressed feelings of dissatisfaction with inadequate advocacy and training from the onset when IQMS was firstly implemented in schools. Principal B explained that:

> *Principals received once-off advocacy training on IQMS in 2005 when it was firstly implemented in schools and from there they never get support from the DoE to see to it that all educators are conversant of the procedures and processes to conduct it in schools.*

Principal C agreed with the above viewpoint by saying, "*that they were exposed in IQMS advocacy and training that extended over a short period of time and with that limited knowledge they were expected to spearhead it in schools*."

In the same vein, Principal E argued that:

> *The reason why IQMS fails to be a reality in most schools is that it is spearheaded by the people with very limited knowledge on it. The DoE failed from the onset to capacitate all school stakeholders on procedures and processes to implement IQMS effectively in schools. For instance, principals were exposed in a once-off IQMS advocacy training and with that limited knowledge they were expected to train all the school stakeholders on it. How a blind can lead another blind?*

SMT member M added that, "*they also received inadequate training on the IQMS by means of short meetings organised by the principals and most of them are not sure of the procedures and processes involved because of limited knowledge.*" A valid point was also raised by Educator G who asserted that:

> *...they were not properly trained on IQMS instead they are dished with long and boring documentation such as IQMS instrumentation which is also not properly monitored by the SMTs and the DSGs. Moreover, principals do not even bother to moderate their scores because they also have inadequate knowledge of the procedures and processes to implement IQMS in their schools.*

These views coincide to the finding by Mahlaela (2011:5) that educators were only presented with documentation and little training with no support or monitoring. Educator P also highlighted that, "they received very limited training on IQMS and they end up not knowing what is expected of them. Further, the people who trained them on IQMS did not have adequate knowledge and practical experience to undertake such training."

This view coincides to the finding by Maistry (2008:131) that, in some cases, the task to develop educators is outsourced to consultants who are not knowledgeable enough about educator development.

(b) Lack of understanding of principles, procedures and processes

Commenting on the lack of understanding of principles, procedures and processes, Principal F declared that:

> *As a result of the inadequate IQMS advocacy and training structures formed to spearhead it such as principals, SMTs and SDTs end up not having sufficient knowledge of the principles, procedures and processes to conduct it in a uniform and consistent manner in schools. Further, one of the guiding principles of IQMS is that it should be conducted uniformly in all schools and its instrumentation should be used consistently.*

Principal J expressed a similar opinion to the aforementioned statement, "*some SMTs, SDTs and DSGs do know what is expected of them and they do not even differentiate*

between summative and formative appraisal practices." It was further highlighted by SMT member A that, *"IQMS procedures and processes are time-consuming and they require a lot of paper work and educators end up not focusing on their teaching tasks so as to concentrate in paper work."*

Educator C explained that, *"due to limited training on IQMS they are not conversant with the procedures and processes to implement it properly in schools."* It became apparent from the responses provided by the participants that limited advocacy training with regard to IQMS from the onset impacts negatively on the appraisal process as structures constituted to spearhead it such as SDTs and DSGs including principals and their SMTs do not know what is expected of them in terms of their responsibilities. The views highlighted by most participants on limited advocacy and training on IQMS concur to the finding by Ntombela *et al.* (2010:366) that education officials and educators did not receive enough training to allow effective implementation of IQMS in South African schools.

(c) Lack of support from the relevant departmental officials

Some principals, SMT members and educators expressed feelings of dissatisfaction with the very limited support they received from the districts and circuits to implement IQMS in their schools. In this regard, Principal K noted:

> *Officials such as Specialists of Education Management (SEMs) do not provide the necessary support to implement IQMS in schools and they are only interested in pressurising us with due dates for the submission of assessment scores needed by the DoE PM purposes. They do not even bother to organise workshops based on IQMS with a view to update all school stakeholders on it.*

The aforementioned viewpoint was shared by Principal M who stressed that:

> *...the DoE is not doing enough to support them and their SMTs including structures such as SDTs to implement IQMS in schools. Consequently, these structures end up not properly developed and fail to perform their tasks as they are expected due to limited knowledge.*

In terms of the lack of support, a major concern was also raised by the SADTU (2005:1) about the lack of effective circuit and district or senior management support for the implementation of IQMS in schools. SMT member L also expressed dissatisfaction with the limited support they received from their principals to spearhead IQMS in schools; since some of them shifted their responsibilities to them, the SDTs and DSGs. Educator P added that, "*they do not get the necessary support from their SMTs and DSGs before, during and after they have been appraised since their PGPs are not monitored.*"

(d) Failure by the school to improve to the expected level of service delivery

A valid point in this regard was raised by Principal E who stated that, "*IQMS fails to improve schools to their expected level of service delivery such as that of enhancing learner performance and achievement.*" This view was shared by Principal H who claimed that, "*IQMS does not assist to develop skills and competences to the educators to perform their tasks effectively and efficiently.*" These views coincide with the finding by Ntombela *et al.* (2010:369) that school stakeholders such as principals, SMT members and educators were not assisted by IQMS to enhance their efficiency and effectiveness with regard to executing their duties.

SMT member I highlighted that, "*scores awarded to the educators during their appraisal is not a true reflection of learner performance and achievement in schools. Further, schools themselves are not improving as they fail to meet needs of the people they serve.*" This view was also supported by Educator N who professed that, "*IQMS does not assist them to develop skills and competences to perform their teaching tasks effectively as it is not properly conducted and monitored by the relevant structures.*"

(e) Failure by IQMS to cater for the PD needs for the educators

In this regard, most principals, SMT members and educators maintain that since IQMS was firstly implemented in schools seven years ago, it had not resulted in their personal and PD. For instance, Principal L declared that, "*IQMS developmental programmes do*

not assist to develop skills and competences to the educators to perform their teaching tasks effectively." Principal N added that they did not view IQMS as a tool to enhance continuing PD for the educators, while Principal P contended:

> *The problem with educators is that they view IQMS as only directed to financial gain rather than on their continuing PD and they are reluctant to be developed using IQMS development programmes such as appraisal discussions. Further, they maintain that IQMS development programmes are time consuming.*

The aforementioned statement concurs to the finding by Mahlaela (2011:2) that the emphasis IQMS is on remuneration as part of the process as opposed to development. Furthermore, it can motivate educators to improve and promote their PD effectively if it functions well. SMT member E stressed that, *"PD programmes organised by the DoE do not incorporate IQMS development programmes and this is the reason why IQMS is not sustainable and fails to cater for their PD."*

Educator A shared a similar sentiment and declared that:

> *...IQMS development programmes which include appraisal discussion and monitoring of their PGPs do not assist them to develop professionally as they are not properly conducted and appraisal process only focuses on once-off class observations conducted towards the end of the year which are also not properly conducted*.

In February 2012, educator unions such as the NATU and the SADTU encouraged its members not to conduct class visits indefinitely since they were not directly linked to their PD (NATU, 2012). The main concern raised by educators and their unions is that structures constituted to implement IQMS in schools are uncertain of their responsibilities due to the limited training from the onset when IQMS was firstly implemented in schools and the DoE is doing nothing to capacitate them. The role of these structures is discussed in the next section.

5.4.2.3 The role of structures constituted to implement IQMS in schools

It also emerged from interviews with principals, SMTs and educators that they are conversant of structures constituted to spearhead IQMS in schools. However, most of them complained that these structures were dysfunctional and they were uncertain of their responsibilities. Principal D maintained that, "*even though these structures are there in schools, they are not functional"* and added that:

> *Structures such as SMTs and SDTs were trained on their responsibilities but they pretend not knowing them. Some of them maintain that their responsibilities mean an extra work to them. For instance, some of the DSGs complain that IQMS procedures and processes require them to leave their classes unattended to focus on lesson observations and they also need to set time aside for appraisal discussions and monitoring of the PGPs for the educators.*

It was also alleged by Principal H that, "*structures such as the SDTs and DSGs do not keep all records and documentation on IQMS because they believe that they are time consuming and means extra work to them."* SMT member M added that, "*principals are shifting their responsibility to conduct IQMS to them and to the SDTs and DSGs and they do not even bother to develop educators and to moderate their assessment scores*." Educator B who was a member of the SDT responded by saying that, "*Structures such as SDTs and DSGs do not have sufficient time to monitor IQMS development programmes since they need to focus on effective teaching and learning."*

Educator F also raised feelings of dissatisfaction about the failure of principals and their SMTs to monitor IQMS management plan and their failure to coordinate activities pertaining to their PD. In this regard, Educator H asserted that, "*SMTs are only interested in finding their faults or weaknesses rather than developing them*." Educator A raised a crucial point and maintained that, "*the principals including their SMTs do not link developmental appraisal to the school improvement plan*." This view was further elaborated by Educator O as follows:

> *Structures such as principals, SMTs, SDTs and DSGs are uncertain of their responsibilities. For instance, the principals and SDTs do not train and update*

> *educators on IQMS procedures and processes and they do not even moderate their assessment scores. Furthermore, the DSGs do not provide ongoing support and monitoring of the PGPs for the educators.*

Educator L expressed a similar viewpoint to the aforementioned statement and stressed that, "*the DSGs do not provide mentoring and support to them and they do not assist to develop their PGPs and to work with the SDTs to incorporate plans of their development into the school improvement plan*." This view was also shared by Educator E who contended that, "*the DSGs do not even have time to verify that the information provided for performance measurement purposes is accurate.*" It therefore became apparent from the interviews with principals, SMTs and educators that they were shifting their responsibilities to each other. For instance, the principals blamed the educators, SDTs and DSGs for pretending not to know their responsibilities in spite of being trained on IQMS procedures and processes. In turn, the SMTs blamed principals for shifting their responsibility to conduct IQMS to them and the SDTs; whereas the educators blamed the DSGs for not providing ongoing support to them by means of monitoring their PGPs. Furthermore, some records and documentation needed to be kept as proof by schools that appraisal processes had been conducted properly. Such records and documentation are discussed in the next section.

5.4.2.4 Records, documentation and the Integrated Quality Management System implementation process

Interviews also revealed that most participants were familiar with the records and documentation that needed to be kept as proof that all appraisal processes and procedures had been conducted properly and uniformly. What surfaced prominently from the interviews was that most schools did not keep these records and documentation. In this regard, Principal I asserted that:

> *There is very limited encounter among educators and their appraisal panels due to time constraints, consequently structures such as DSGs do not even have sufficient time to monitor PGPs for the educators that address areas that need improvement.*

> *Further, there is not even time to compile relevant documentation such as minutes that emanate from the appraisal discussions.*

The aforementioned statement was supported by SMT member B who stressed that:

> ...before, during and after appraisal processes there is no sufficient time for the educators to discuss their strengths and weaknesses with their DSGs. Furthermore, Educator K blamed SMTs and SDTs not to prioritise their developmental needs and they do not have the School Improvement Plan (SIP) that culminates from their PGPs.

This view coincides to the finding by Letsaoalo (2009:2) that principals and their SMTs fail to put significant aspects of IQMS into effect; consequently and it ends up a futile exercise, which does not assist educators to conduct appraisal system properly in schools. It also became apparent from interviews that most schools do not keep IQMS records such as minutes for IQMS advocacy training and that of pre, during and post appraisal discussions due to time constraints. It is also crucial to conduct IQMS development programmes as they contribute to the continuing PD for the educators and the role of IQMS in the PD for the educators is discussed in detail in the next section.

5.4.3 The role of IQMS in the continuing PD

Even though there was there was a paradigm shift from the traditional to the developmental appraisal approaches from 1994 onwards, most principals, SMT members and educators raised feelings of dissatisfaction failure by IQMS to empower them on decision-making processes and in their continuing PD. The aforementioned issues are elucidated in the subsequent sections.

5.4.3.1 A shift from the traditional to the developmental appraisal approaches

For some principals, SMTs and educators, IQMS is seen as a good attempt by the DoE to move away from the traditional to the developmental appraisal approaches that emphasised their PD. In this regard, Principal A commented that:

> ...staff appraisal in these days is much better than before 1994 where inspectors made announced and unannounced class visits to appraise educators. Further, educators were not afforded an opportunity to be part and parcel of their appraisal and PD.

This view was also shared by Principal F who stressed that, 'presently educators are given an opportunity to be part of their appraisal and PD. Principal J concurred:

> *During the apartheid era staff appraisal was divorced from reality of developing educators, as they were not afforded an opportunity to be part of their appraisal and PD. Presently educators are afforded this opportunity through IQMS development programmes such as self-appraisal, peer appraisal, pre and post appraisal discussions with their appraisal panels.*

Furthermore, SMT member G expressed a similar view, "*IQMS has changed the mindset for the educators in terms of moving away from the fault-finding and judgemental approaches used by the inspectors to appraise educators during the apartheid era to the developmental approaches.*" The aforementioned views coincide with the finding by Motilal (2004:148) that after 1994 there has been a shift from a purely judgemental system to the one that focusses on development in the South African education system. Furthermore, there is a need to develop educators through appropriate appraisal schemes with a view to enhancing their PD. SMT member N stated that, "*IQMS does not assist to develop educators by means of various PD programmes such as regular lesson observations, appraisal discussions and monitoring of the PGPs for the educators.*" In addition, Educator A also believed that:

> *...IQMS plays a crucial role in encouraging them to work together and to reflect on their own teaching practices. This can only be achieved through IQMS development programmes such as appraisal discussions and ongoing monitoring of their strengths and weaknesses by means of their PGPs.*

The views highlighted by most participants regarding the paradigm shift from the traditional appraisal practices to more developmental practices, show strong agreement with the traditional and developmental appraisal approaches by Boyle *et al.* (2005:4), De Clercq (2008:11) and Maistry (2008:120). These approaches emphasise that education

systems all over the world have moved away from traditional appraisal practices to more developmental practices that place a strong emphasis on the PD of educators. Furthermore, educators should be encouraged to reflect together about ways of improving practices and to bear in mind that they have a professional responsibility to improve their practices and make them relevant to their classrooms. These views were endorsed by Principals A and F, SMT member G as well as Educator A who stressed that:

> ...presently educators are offered opportunities to be part of their appraisal and PD through structures such as their SDTs and DSGs and are empowered in decision-making processes through them provided they are functional and certain of their responsibilities.

The role of staff appraisal in empowering educators in decision-making processes is elucidated in the subsequent section.

5.4.3.2 The role of IQMS in empowering educators in decision-making processes

In this section, the aim of the researcher is to report the views of the principals, SMT members and educators concerning the contribution made by IQMS with regard to empowering them concerning decision-making processes. It emerged from their responses that IQMS do not empower them in terms of decision-making processes. Accordingly, Principal G maintained that:

IQMS does not empower educators on decision-making processes due to the manner in which it is conducted in most schools. For instance, it is conducted once a year and its main focus is on lesson observations and other PD programmes such as appraisal discussions and monitoring of the PGPs for the educators are not conducted due to limited time.

The views expressed in the aforementioned statement were echoed by Principal D who maintained that:

> ...on paper, IQMS is a good attempt to move away from the traditional to the developmental appraisal approaches that put more emphasis on discussions and consultations among educators. However, practically this does not happen because

> of limited encounter among educators and their appraisal panels. For instance, educators spend limited time with their DSGs before, during and after appraisal process.

In turn, Principal L commented that, "*the DSGs do not even finish lesson observations as they leave their learners unattended to be part and parcel of the panels.*" Furthermore, Principal P stressed that, "*the manner in which IQMS is conducted in most schools does not assist with empowering educators*" and averred:

IQMS is exposed to fraudulent scoring based on financial gain and appraisal discussions, which are regarded as the core to their empowerment is neglected. For instance, most of IQMS developmental activities such as self-appraisal by the educator, peer appraisal, pre and post appraisal discussions, which bring about continuing PD for the educators are not properly conducted due to time constraints.

The aforementioned statement was supported by SMT member B who asserted that:

> *...IQMS doesn't assist to empower educators on decision-making processes due to limited discussions among educators and their appraisal panels. Further, there is insufficient time to conduct IQMS PD programmes such as pre and post appraisal discussions as well as limited or no feedback at all.*

Educator F also expressed feelings of dissatisfaction with failure by IQMS to empower them on decision-making processes because of limited encounter with their appraisal panels.

The findings regarding failure by IQMS to empower educators on decision-making processes coincide to those of Sambumbu (2010:104) that all schools have experienced problems with the implementation of IQMS and this is largely due to a lack of consultation and decision-making with educators at school level as well as the lack of training of all educators. Furthermore, the schools were left on their own to unpack and implement IQMS process. Importantly, Ntapo (2009:13) stresses that, empowerment leads to increased professionalism as educators assume responsibility for involvement in decision-making processes and this impacts positively on educator development. The impact of IQMS on educator development is discussed in the next section.

5.4.3.3 The impact of the Integrated Quality Management System on educator development

Principals, SMTs and educators were required to share their views on the impact of IQMS on their continuing PD, learner achievement as well as the impact on the advancement of whole school development. In this regard, Principal E highlighted that, *"IQMS does not do that much to assist with the development of educators in the manner that enhances learner performance and achievement in schools*."

In addition, it was stressed by Principal G that:

> *Educators have a mindset that IQMS is only conducted for financial gain and they prefer to be evaluated once a year by means of once-off class visits with limited or no feedback at all. Consequently, educators do not develop skills and competencies that assist to facilitate effective teaching and learning in the classrooms.*

The aforementioned point was supported by Principal K who announced that, "*since IQMS is treated as an event which is only conducted with a view to get assessment scores it does not assist educators to develop skills and competences that assist to enhance academic learner performance and achievement."* Furthermore, SMT member J added that:

> ...IQMS impacts negatively on educator development, learner achievement and to the whole school development. Further, IQMS is treated as a once-off development activity in most schools and it does not assist educators to develop skills and competences necessary to enhance learner performance and achievement and in advancing whole school development.

Educators B agreed with this sentiment by stating, *"IQMS does not assist with inculcating the necessary skills and competencies, which are directly related to accelerated learner performance and achievement in schools."*

The views highlighted by most participants on the impact of IQMS on educator development do not concur to the recommendations made by Mestry *et al.* (2009:477) that, development programmes should focus on the improvement of learners' experiences through educator enhancement of their knowledge, skills, values and attitudes. This means that the essential purpose of staff appraisal is to improve the whole school system and not just the individuals associated with it.

It therefore became apparent from the responses provided by most participants that IQMS impacts negatively on educator development. For instance, it was argued by Principals E and G, SMT member J as well as Educator E that, "*IQMS does not assist them to develop skills and competencies necessary to enhance academic performance for the learners and in advancing whole school development.*"

This means that staff appraisal is not linked to their PD. The next section discusses a proposed model to link staff appraisal and PD in the IQMS in schools.

5.4.4 A model to link appraisal and PD in the IQMS in schools

This model is based on findings obtained from the interviews with participants selected to participate in the study and explains how appraisal can be used as a tool to enhance their PD. Figure 5.2 depicts how appraisal and PD are linked in the IQMS in schools. In terms of the first section of the model, various challenges pertaining to the implementation of the IQMS and PD in schools are discussed. They include: ambiguity purposes of IQMS, non-adherence to proper procedures and processes as well as failure by IQMS to cater for the continuing PD of the educators and they elucidated in the next section.

5.4.4.1 Challenges encountered in implementing IQMS PD for the educators

(a) Ambiguity purposes of staff appraisal and PD

What surfaced clearly from the interviews with principals, SMTs and educators in (section 5.4.1.1) was that IQMS failed to assist them with identifying their strengths and weaknesses due to the manner in which it was conducted in most schools. For instance, Principals C and I, SMT member A and Educator D maintained that, "*their strengths and weaknesses cannot be identified within a short period of time.*" This finding is contrary to the recommendation by Ntombela *et al.* (2010:365) that identification of strengths and specific needs for support and development for the educators requires sufficient time.

It was also revealed by the interviews that most participants are not assisted by IQMS to develop professionally. For instance, Principals F and L, SMT member N and Educator O stated that, "*IQMS fails to enhance their PD as it doesn't equip them with necessary skills and competences to perform their teaching tasks effectively.*" It was further claimed by Educator O that, *"since IQMS is only conducted once a year in most schools, its focus is on remuneration rather than on their PD."* These views show a strong concurrence to the finding by Mahlaela (2011:2) that the focus of IQMS is on remuneration, which is attached to the process as opposed to PD for educators.

Furthermore, Principals B and H, SMT members F, K and M as well as Educator D contended that, *"IQMS doesn't assist to develop them in such a way that enhances academic performance for the learners."* This view was endorsed by Educator K who contended that, *"IQMS has not thus far been able to meet its target to enhance educator development as well as that of improved learner performance and achievement because of many challenges in its implementation."* Heystek *et al.* (2008:174) argue that PD is effective when it has an observable impact in the classroom with regard to improved academic achievement and the overall rounding-off learners.

Lastly, Principal I, SMT member E and Educator C declared that, "*since IQMS development programmes do not contribute to their PD, the schools become dysfunctional as they fail to fulfil their functional tasks of effective teaching and learning.*" The main objective of IQMS according to DoE is to ensure quality public education of teaching and learning in schools but it does not materialise in practice as most schools continue producing poor results (ELRC, 2003:3). It emerged from the interviews that the reason why the IQMS failed to ensure quality education is that most schools failed to adhere to its procedures and processes and this is discussed in more detail in the subsequent section.

(b) Non- adherence to the procedures and processes to implement IQMS in schools

Interviews also revealed that most schools do not adhere to processes and procedures to implement IQMS in schools because of the limited advocacy training they received from the onset. Consequently, the structures constituted to implement IQMS ended up not knowing what was expected of them. The aforementioned aspects are elucidated briefly in the next subsections.

(1) Limited IQMS advocacy training

Principals A and E , SMT member C as well as Educator D (see section 5.4.2.1) maintained that, "*they received very limited training on IQMS when it was firstly implemented in schools seven years ago and the DoE is not doing enough to capacitate them on the procedures and processes to implement it in schools*." This view coincides to the finding by Mestry *et al.* (2009:476) that the provincial education departments are not providing sufficient support to the educators in the field of the IQMS and most of them undergo once-off training.

(2) Lack of understanding of principles, procedures and processes on IQM and PD of educators

With regard to the lack of understanding of the principles, procedures and processes, Principal F in (section 5.4.2.2) averred that, *"as a result of inadequate IQMS advocacy training structures such as SDTs and DSGs including principals and their SMTs end up not having sufficient knowledge on the principles, procedures and processes to conduct IQMS properly in schools."*

This view was also shared by SMT member A and Educator C who indicated that, *"due to limited training on IQMS they are not conversant with the procedures and processes to implement it properly in schools."* These views coincide to the findings by Ntombela *et al.* (2010:366) that education officials and educators did not receive enough advocacies and training to allow for the effective implementation of the IQMS in schools.

(3) Lack of support from the departmental officials

Commenting on the lack of support from the relevant departmental officials to implement IQMS in schools, Principals K and M asserted that:

> ...officials such as Specialists in Education Management (SEMs) do not provide necessary support to implement IQMS in schools. Furthermore, they are only interested in pressurising them with due dates for the submission of assessment scores needed by the DoE for PM purposes.

SMT member L also expressed feelings of dissatisfaction with the limited support they received from the principals to implement IQMS effectively in schools and they shifted their responsibilities onto them as well as on the SDTs and DSGs. Educator E contended that:

> *...they do not get necessary support from their SMTs and DSGs before, during and after they have been appraised. Furthermore, structures constituted to spearhead IQMS in schools are uncertain of their responsibilities due to limited training on appraisal processes.*

This view was endorsed by Educator O who alleged that, "*principals and their SMTs including structures such as SDTs and DSGs are not sure as to what is expected of them and they do not train and update all educators on IQMS procedures and processes.*"

(4) Failure by the schools to keep relevant records and documentation on appraisal and PD for the educators

It also emerged from interviews that most school do not keep records and documentation as a proof that performance appraisal has been conducted. In this regard, Principal I declared that, "*due to the limited encounter among educators and their appraisal panels they do not have sufficient and accurate records and documentation that serve as proof that appraisal processes have been properly conducted.*" This view was also shared by SMT member B who professed that, "*there is not sufficient time for the educators and their appraisal panels to keep records such as minutes of meetings that emanate from appraisal discussions. Furthermore, the DSGs do not even have sufficient time to monitor PGPs for the educators*."

These views show a strong concurrence to the finding by Letsoalo (2009:2) that principals and their SMTs fail to put significant aspects of IQMS into effect and it ends up being a futile exercise. Consequently, their PD is not enhanced and the ensuing failure by IQMS to bring about PD for the educators is discussed in the next section.

(c) Failure by IQMS to cater for the PD for the educators in schools

IQMS was also criticised by most participants selected to participate in the study. For instance, Principals L and N viewed IQMS as only directly related to financial gain rather than on PD for the educators. Further, SMT member E asserted that, "*PD programmes organised by the DoE do not incorporate IQMS development programmes and this is the reason why IQMS is not sustainable in terms of enhancing PD for the educators.*" Educator A added that, "*IQMS development programmes such as appraisal discussions*

and monitoring of their PGPs are not properly conducted and do not assist them to develop continuingly." These views coincide to the finding by Mahlaela (2011:2) that the focus of IQMS has become remuneration, which is attached to the process as opposed to the PD for the educators. In order for IQMS to fulfil its purpose for PD, there are crucial aspects that need to be considered and these core components are elucidated in the subsequent section.

5.4.4.2 The core components of IQMS

The second section of the model provides a brief exposition of the core components of the IQMS that can lead to the continuing PD for the educators. They are briefly discussed in the next subsections.

(a) The ultimate purposes of IQMS

The purpose of IQMS, according to the DoE (2004:1) is to identify those elements that indicate strengths and those where improvement is needed. Most participants selected to participate in study raised feelings of dissatisfaction with failure by IQMS in assisting them to identify their strengths and weaknesses. For instance, Principals C and I and SMT member A and Educator D averred that, *"their strengths are identified within a short period of time and are not properly monitored."* Furthermore, Robbins and DeCenzo (2007:331) argue that the purpose of performance appraisal is to assess positive accomplishments as well as the deficiencies of the employees and this requires sufficient time.

IQMS also assists educators to develop skills and competences that assist them to perform their teaching tasks effectively. It was highlighted by Principals F and L, School management team member N and Educator O in (section5.4.1.1) that:

> ...IQMS does not contribute towards their PD since it is treated as an event by most schools. Consequently, they do not develop skills and competences to

perform their teaching task effectively and learner performance for the educators is not enhanced and schools fail to develop.

Therefore, staff appraisal should assist with developing skills in the educators, which benefit both learners and schools (Ovando & Ramirez 2007:89). Furthermore, it is crucial to adhere to adhere to the procedures and processes to implement IQMS in schools and these procedures and processes are briefly discussed in the next subsection.

(b) Adherence to procedures and processes to implement IQMS

Schools need to have functional structures, which are democratically elected and that comprise principals and their SMTs as well as post level one educators. SDTs need to be conversant with their tasks and should know what is expected of them. Their tasks involve co-ordination of IQMS activities in schools and their tasks should not substitute the duties of the principals and their SMTs, but rather constitute working hand- in- hand to ensure that all educators value IQMS as a tool that can enhance their continuing PD. The roles of the SDTs, according to the DoE (2003:15) are to:

- Ensure that all educators are trained on procedures and processes of IQMS.
- Coordinate staff development activities.
- Prepare and monitor IQMS management plan.
- Prepare final schedule for DSG members.
- Link developmental appraisal to the SIP.
- Ensure that all records and documentation on IQMS are maintained.
- Oversee mentoring and support to appraisees.
- Develop SIP together with the SMTs.
- Deal with differences between appraisees and their DSGs in order to resolve them.
- Coordinate internal WSE process.

Furthermore, DSG groups that consist of educator's immediate senior and peer educator selected by the educator on the basis of subject expertise (DoE 2003:16). Educators who are subject specialists assist with identifying strengths and areas that need development and share their expertise with educators. The main purposes of the DSGs, according to the DoE (2003:16) are to:

- Provide mentoring and support.
- Assist educators with developing their PGPs.
- Work with SDTs to incorporate plans into the SIP to develop educators.
- Verify that information provided for PM purposes is accurate.

In addition, records and documentation need to be kept in any performance management system as proof that all appraisal processes and procedures have been properly conducted uniformly and consistently in schools. They include the PGP, SIP and the regional/ district/ area improvement plan.

The educator in consultation with DSG members develops a PGP that must be used to inform the SIP. It also forms an important record of needs and progress of individual educators (DoE 2003:17). The SIP, according to the DoE (2003:17) enables school to measure its own progress through a process of ongoing self-evaluation. Therefore, SDTs should compile SIPs which include completed instruments from all DSGs and PGPs of each educator (Letsoalo 2009:32). If all IQMS procedures and processes are adhered to, the continuing PD for the educators is enhanced. The contribution of staff appraisal in the continuing PD for the educators is discussed in the next section.

(c) Staff appraisal with regard to the continuing PD for the educators

(1) A shift from the traditional to the developmental appraisal approaches

Since 1994, there has been a paradigm shift from the traditional to the developmental appraisal approaches that emphasise continuing PD for the educators. Furthermore,

educators began to be part of their appraisal and PD processes. For instance, currently, they are offered an opportunity to engage themselves in the appraisal and PD processes through different appraisal development programmes such as self-appraisal, peer appraisal, appraisal discussions and lesson observations.

During interviews, Principals F and J (see section 5.4.3.1) explained that, "*educators in these days are given an opportunity to be part of their appraisal and PD through IQMS developmental programmes such as appraisal discussions as well as monitoring of the PGPs for the educators.*" Motilal (2004:148) insists that there is a need to develop educators using proper development programmes that can assist in enhancing their continuing PD.

(2) Empowerment of educators through decision-making processes

It was alleged by Principal G in (section 5.3.3.2) that:

> *...the manner in which IQMS is conducted in most schools does not empower educators in decision-making processes. For instance, IQMS is conducted once a year for performance measurement purposes. Furthermore, it developmental programmes such as appraisal discussions and monitoring of the PGPs are not conducted due to time constraints.*

SMT member B added that, "*educators are not empowered in on decision-making processes due to limited encounter among educators and their appraisal panels.*" It is important to note that educator empowerment, according to Ntapo (2009:13) leads to increased professionalism as educators assume responsibility for their involvement in decision-making processes.

(3) The impact of IQMS on educator development

Literature on educator appraisal reveals that IQMS plays a crucial role if it is properly conducted and it can also help to develop the skills and competencies of educators that can facilitate effective teaching and learning. Principals E and K (section 5.3.3.3) stressed

that, *"IQMS is treated as an event in most schools and it fails to develop the required skills and competencies to the educators."* It was also argued by SMT member J and Educator B that, *"IQMS does not assist with inculcating the skills and competencies necessary to enhance the PD of the educators."* Most schools participated in the study revealed that they do not conduct IQMS development programmes that put more emphasis on educator development. Mestry *et al.* (2009:477) maintain that, educator development programmes should focus on the improvement of learners' experiences through educator enhancement of their knowledge, skills, values and attitudes. The next section discusses the role of IQMS and PD in promoting accountability and quality improvement in education.

5.4.4.3 The role of IQMS and PD in promoting accountability and quality improvement in education

Third part of the model discusses how IQMS and PD can be used to promote accountability and quality improvement in education. Furthermore, different aspects such participation in co-curricular and extra-curricular activities, provision of ongoing support and career development as well as the role of staff appraisal in advancing whole school development are elucidated in the next subsections.

(a) Participation in co-curricular and extra-curricular activities

It emerged from interviews with principals, SMT members and educators that staff appraisal and PD if properly conducted assist them to participate in co-curricular and extra-curricular activities. For instance, Principals B and E maintained that:

> *...'educators were previously disinclined to assume their duties beyond their classrooms but with the introduction of IQMS they are cognisant of the fact that they are rated for their contribution to the corporate life of the school and displayed their skills and competences by engaging themselves in co-curricular and extra-curricular activities.*

Performance standards in the IQMS instrumentation require educator participation in these activities on which they are appraised. For instance, educators and their immediate seniors such as HODs and their DSGs should organise departmental meetings from time to time to discuss crucial issues pertaining curriculum development. SMT member J maintaned that, "*DSGs together with immediate seniors for the educators are required to organise departmental meetings from time to time to develop innovative curriculum development strategies.*" Furthermore, SMT member M intimated that:

> *Educators are appraised on their active participation in co-curricular activities such as participation in curriculum development and this can be achieved through IQMS PD programmes such as appraisal discussions, feedback and monitoring of the PGPs for the educators.*

SMT member P stated that, "*educators are also appraised on their active participation in extra-curricular activities such as taking part in sports and other activities outside the classroom*." Further, Educator A mentioned that, "*IQMS assists them to keep their work up to date as they are aware that their work is monitored.*" In this regard, Educator E declared that, "*Since educators are aware that they are going to be monitored, they engage in better planning and preparation of lessons, keep meticulous educator portfolios, learner records and supervise learners' portfolio.*"

Educator H added that:

> ...they are happy to grab an opportunity to use IQMS as a tool that promote their PD as their strengths and weaknesses identified during their appraisal are properly dealt with by means of different PD programmes such as self-appraisal, peer appraisal, pre and post appraisal discussions, lesson observations, feedback as well as the monitoring of the PGPs for the educators.

The aforementioned views coincide to the finding by Sambumbu (2010:88) that IQMS is seen as a motivator for educators to achieve excellence in the classroom, to become effective, responsible and accountable facilitators and guides them in the accomplishment of their tasks.

Educator J endorsed the aforementioned statements and stressed that, *"IQMS assists them with the development of skills and competencies necessary to perform their teaching tasks effectively."* It therefore became apparent from the interviews that most principals, SMTs and educators criticise IQMS for its failure to provide opportunities for their continuing PD. For instance, Principals E and K, SMT member J as well as Educator B stress that the IQMS does not assist to develop them. The reason is that it is not conducted properly and the DoE fails to monitor it. Very few participants commended IQMS in their continued professional growth. For instance, it was highlighted by Educator H that they are happy to grab an opportunity to use IQMS as a tool to promote their PD. The following subsection discusses the role of IQMS in providing ongoing support and career development.

(b) Provision of ongoing support and career development

Most authors such as Heystek, Nieman, Rooyen, Mosoge and Biputh (2008:166) and Ntloana (2009:40) concur that, staff appraisal and PD play a crucial role in the provision of ongoing support and career development for the educators. Interviews with principals, SMT members and educators revealed that most of them regard IQMS and PD as separate entities. For instance, Principal E in (section 5.4.1.2) highlighted that, *"IQMS which is currently used as a tool to evaluate their performance and to develop them is only directed on financial gain rather than on the PD."* Principal L raised feelings of dissatisfaction with failure by IQMS to provide opportunities for their PD. In this regard, Principal P indicates, *"Since IQMS is only conducted once a year with a view to get assessment scores which are directly related to remuneration and educators end up not getting ongoing support from structures such as SDTs and DSGs and their career development is not enhanced."*

The aforementioned statement was shared by the SMT member N who maintained that:

> *...the manner in which IQMS is conducted in most schools does not help to provide ongoing support and career development to the educators. The reason is that its developmental activities, which include self-evaluation, peer- appraisal, pre and post appraisal discussions and monitoring of the PGPs for the educators are not*

> *properly conducted. Consequently, staff appraisal fails to fulfil its purpose for the continued PD for the educators.*

In addition, Educator O announced that, "staff appraisal contributes to various factors such as motivation and the improvement of skills and it offers a framework for accountability and feedback."

Furthermore, DoE (2006:17) stresses that, the current initiatives devoted to performance appraisal aims at PD for the educators that contribute more effectively and directly to the improvement of the quality of teaching. DoE (2011:1) also stresses that, ongoing professional support encompasses activities within the school that aimed at the development of job experience and performance. To fulfil this purpose, the DoE introduced the NPFTED, which equips educators with the necessary skills to enhance their professional competence and performance in schools on a continuing basis. The process of co-operative sharing forms the main delivery of the PD and it is largely depended on the sharing culture or collegiality that is found within the school (Heystek *et al.* 2008:166). For instance, the DSGs provide ongoing support to the educators by means of feedback after they have been appraised and by monitoring their PGPs.

Ntloana (2009:40) concurs that professional support calls for more cohesive relationships among all the school stakeholders who are responsible for teacher education and development. For instance, professional support requires regular sessions over an extended period where there is continuing PD support, reflections, collaboration, monitoring and feedback. Furthermore, this view was shared by Pitt (2012:46) who stresses that, ongoing professional support plays a crucial role in developing collaborative learning communities among principals and their SMTs and educators and they support each other as they establish new skills and create leadership at every level of the school. For instance, the principals and their SMTs need to capacitate all educators on performance management procedures and processes as well as on their PD and they need to know that there is a connection between staff appraisal and PD. Further, professional support assists educators to work collaboratively to deepen their content knowledge,

sharpening their instructional skills they acquired during their professional training and reflect on their teaching practices. This can only be achieved by using proper appraisal schemes that assist to enhance their PD. Therefore, it becomes apparent that staff appraisal and PD are closely linked as their focus is on continuing PD for the employees and their organisations. Finally, the contribution of staff appraisal and PD to the whole school development is discussed in the next subsection.

(c) The role of staff appraisal and PD in advancing whole school development

What was evident during the interviews with principals, SMT members and educators, was that most of them criticised IQMS for its failure to cater for their PD due to the manner in which it was conducted in most schools. Principal J agued that, *"IQMS process strives to enhance educator competence, however this does not transpire in practice since the process is done as a quick-fix expedience in ensuring compliance to the departmental time frames."*

SMT member F added that, "*IQMS does not equip educators with skills and competences necessary to perform their teaching tasks effectively since it is almost conducted once a year for PM purposes."* In spite of these criticisms levelled at the IQMS, some educators commended it as a valuable tool for their continuing PD. SMT member K indicated that, "*IQMS is a good attempt by the DoE to monitor their continuing PD but only if it is properly conducted and all its procedures and processes are adhered to."* In turn, Educator C stressed that, *"the aforementioned point is not practical in terms of time constraints" while* Educator H maintained:

> *If the principals and their SMTs including structures such as SDTs and DSGs want IQMS to achieve its purpose it was intended for, that is, for their PD, they must create time for all the IQMS activities such as appraisal discussions and monitoring of the PGPs for the educators.*

The aforementioned statement was supported by Educator L who contended, "*if staff appraisal and PD programmes are properly conducted, all school stakeholders are*

capacitated in terms of skills and competences that assist them to perform their tasks effectively which benefit the school as a whole." In turn, Educator M was of the opinion that:

> ...IQMS development programmes assist them to collaborate on issues affecting the school and to develop a strong sense of ownership of the school since they require them to work together and to develop each other continuingly. Further, some educators maintained that, 'the process of developing a whole school is gradual rather than rapid and IQMS assists to direct the staff's attention to aspects of the curriculum or pedagogy which they felt could be used to serve their schools' long-term purposes.

IQMS has capacitated educators with regard to participative management since they are part of their own appraisal and PD processes. Furthermore, the introduction of participative structures such as SDTs and DSGs assist educators to work collaboratively with their SMTs to design strategies appropriate for their development and they motivate them to work together and develop collegiality and collective involvement in all the school activities. This view concurs with the findings by Ramnarian (2008:9) that the major strengths of the IQMS are that it seeks to develop accountability among educators and promotes a partnership approach to school practices and development. Ntloana (2009:14) shares a similar sentiment when he stresses that, IQMS helps to equip educators with leadership qualities. They are also willing to learn and commit themselves to the development and improvement of the school as a whole.

Educators from different schools indicated that, "*the whole school development is an inclusive process that promotes partnership of mutual support and accountability among all those involved in the life of the school."* In this regard, Educator B explained that:

> *The whole school development includes all aspects of the school life such as basic functionality of the school, effective curriculum development and delivery, relationship among educators, SMTs and learners, relationship between management and governance, educator development as well as effective management of teaching and learning resources.*

It became apparent from the interviews with principals, SMT members and educators that certain schools facilitated the growth of IQMS and whole school development; while in most schools, it is hampered by different factors, which include: the absence and availability of resources, lack of commitment of the educators and people in strategic positions and the socio-economic factors of the school impacted negatively on the whole school development.

The categories and sub-categories are diagrammatically represented as follows:

Categories and sub-categories

- **Ambiguity purposes of IQMS;**
- **Non adherence to procedures and processes to implement IQMS in schools; and**
- **Failure by the IQMS to cater for the continuing PD for the educators.**

The role of IQMS in the continuing professional development

- A shift from the traditional to the developmental appraisal practices
- The role of IQMS in empowering educators in decision-making processes
- The impact of IQMS on educators' development

Adherence to the IQMS and PD procedures and processes

- IQMS advocacy training
- The use of effective PD programmes
- The role of structures constituted to implement IQMS in schools
- Record, documentation and IQMS implementation process

Purposes of IQMS and PD

- Identification of strengths and weaknesses for the educators
- Contributing towards PD for the educators
- Improving learner performance
- Advancing whole school development

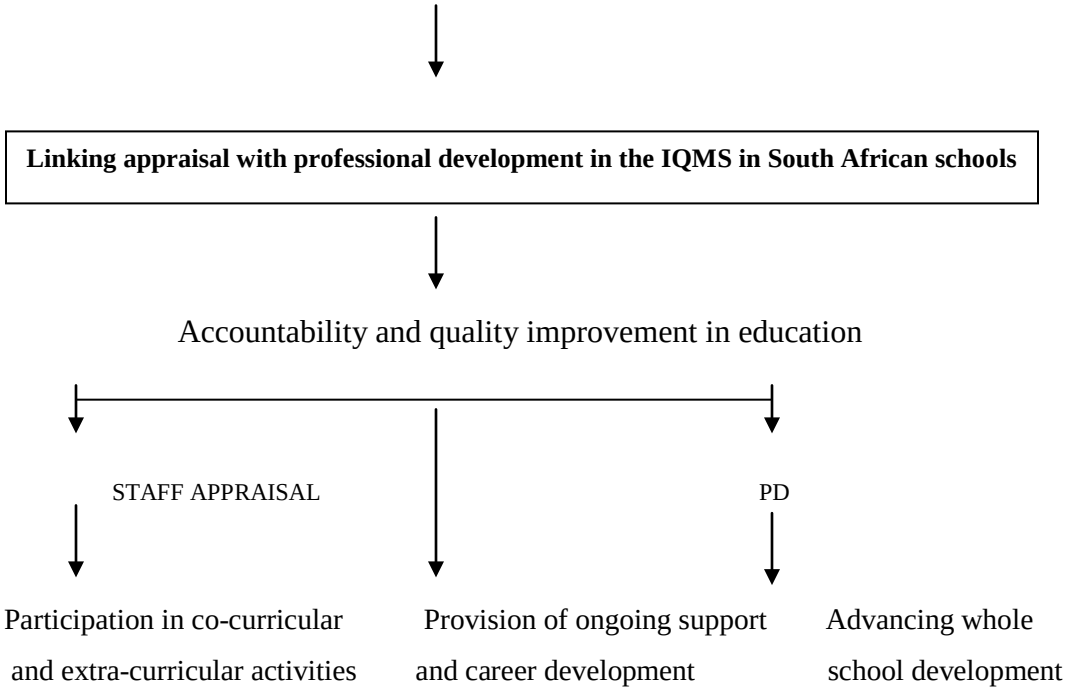

Figure 5.2: Diagrammatic representations of categories and sub-categories for qualitative analysis

Each of the categories and sub-categories are linked to each other and they also indicate that the ultimate purpose of educator appraisal is for their PD and they are briefly elucidated in the next subsections.

(1) Ultimate purposes of IQMS and PD

It therefore became apparent from the interviews with principals, SMTs and educators that IQMS, which is currently used as a tool to appraise them, aims at their PD. This can be achieved by developing them by identifying their strengths and weaknesses and providing continuing support. Furthermore, educators are assisted to develop skills and competences that contribute to accelerated learner performance and achievement, which benefit the whole schools. For instance, the schools become more functional and fulfil objectives for the people they serve by producing good result at exit level such as in Grade 12. Furthermore, Mestry *et al.* (2009:477) state that the purposes of PD for the educators is to improve performance skills of individual educators; promote their career

development; develop their professional knowledge to fulfil their responsibilities more effectively and contribute positively to the development of the school. Steyn (2007:224) stresses that the ultimate purpose of PD is for personal, career and organisational development.

(2) Adherence to procedures and processes to implement IQMS and PD in schools

In order for IQMS to fulfil its purpose regarding the continuing PD for the educators, schools need to adhere to the procedures and processes to implement it. Further, it needs to engage educators in effective PD that assists to deepen skills and knowledge of the subjects they teach and sharpen their teaching skills in the classroom (Harwell 2003:4). Therefore, all school stakeholders need to be trained and to be conversant with IQMS procedures and processes and to be engaged in effective PD programmes that assist with enhancing their continuing PD. Further, structures constituted to implement IQMS and to develop educators also need to be conversant of their responsibilities. For instance, principals and their SMTs including structures such as SDTs should organise and design effective PD programmes that focus on the development of skills and competences for the educators. IQMS also requires the keeping of relevant records and documentation as a proof that appraisal and PD processes have been properly conducted. It also became clear from the literature on appraisal for the educators that as from 1994 there was a paradigm shift from the traditional to the developmental appraisal practices that emphasise their continuing PD strongly. This can only become possible by engaging educators in proper appraisal and PD processes. Therefore, IQMS development programmes such as appraisal discussions and monitoring of the PGPs for the educators should focus on the improvement of skills and knowledge for the educators. When educators are well developed in terms of skills and competencies, both learners and schools benefit. For instance, the academic performance of the learners is enhanced and the schools achieve a good reputation as they fulfil the needs of the people they serve.

(3) The role of IQMS in the continuing PD

Lastly, when IQMS is properly conducted as a tool to facilitate continuing PD for the educators it can lead to accountability and quality improvement in education. Educators are encouraged to participate in co-curricular and extra-curricular activities. They also receive ongoing support and career development and the whole school benefit. Samuel (2008:15) stresses that educators need to be empowered and emancipated through the process of PD. In addition, PD programmes need to develop educators who are competent and committed to the enterprise of organising systematic learning for their learners. Furthermore, PD is viewed by Mestry *et al.* (2008:15) and Carl (2009:198) as a process whereby educators continually improve their skills, knowledge and attitudes while continuing their employment. Mestry *et al.* (2009:488) and Mahlaela (2011:6) share similar sentiments and stress that, IQMS as an essential tool to enhance PD for the educators is a powerful strategy to improve knowledge and skills for the educators in order to enhance accountability and quality improvement in education. The main objective of IQMS, according to DoE (2003:3), is to promote accountability and quality improvement in education which is covered by the last section of the model.

(4) Accountability and quality improvement in education

Literature on staff and PD for the educators reveals that previously educators were disinclined to assume duties going beyond their classrooms. With the introduction of IQMS and the use of effective PD programmes educators become cognisant of the fact that they need to be appraised and developed continuously. They display their skills and competencies by engaging in co-curricular and extra-curricular activities as this is dictated by the performance standards in the IQMS instrumentation. In this regard, SMT P declared that, *"educators are appraised on their active participation in extra-curricular and co-curricular activities such as taking part in sports and other activities outside the classroom."*

(5) Provision of ongoing support and career development

Staff appraisal and PD play a crucial role in the provision of ongoing support and career development (Heystek *et al.* 2008:166). Further, ongoing support and career development require regular sessions over an extended period where there is a continuing PD support, reflections, collaboration, monitoring and feedback. Pitt (2012:46) stresses that ongoing professional support is very important for developing collaborative learning communities among principals and their school management teams including educators and all relevant school stakeholders. They support each other as they establish new skills and create leadership at every level of the school.

(6) Staff appraisal and professional development in advancing whole school

Staff appraisal and PD assist all school stakeholders to develop skills and competencies that assist them to perform their tasks effectively and efficiently who that benefit both learners and schools. Ntloana (2009:14) maintains that, IQMS assists with equipping educators with leadership qualities. They are also willing to learn and commit themselves towards their continuing PD and improvement of the school as a whole. Educator B explained that:

> *...the whole school development includes all aspects of the school life such as basic functionality of the school, effective curriculum development and delivery, relationship among SMTs, educators and learners, relationship between management and governance, educator development as well as the effective management of teaching and learning resources.*

5.5 Summary

This chapter presented findings of empirical investigation. It also included an analysis of the research findings after in-depth interviews had been conducted in eight primary and eight secondary schools located in Mafukuzela-Gandhi circuit at KwaMashu, to the north

of Durban in the province of KwaZulu-Natal. Accordingly, interviews were conducted with principals, school management teams and educators.

The researcher indicated how data from the interview transcripts were analysed by identifying the main themes, categories and sub-categories. In addition, the research findings resulting from the emergent themes were discussed using the participant's verbatim accounts. Furthermore, appropriate models and theories, as well as relevant evidence from literature study conducted in chapters two and three were used to support findings. Research findings were then used to develop a model to link appraisal and PD in the IQMS in South African schools. The following chapter, which is the final chapter, will provide recommendations to address the problem of linking appraisal with PD with a view to promoting accountability and quality improvement in education. It will also outline limitations of study and demarcate areas for further research.

CHAPTER 6

6. SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

The final chapter of this study serves a two-fold purpose. Accordingly, a synopsis of the foregoing chapters will be provided as well as synthesis of key findings. Furthermore, the recommendations that emanate from the investigation will be outlined with regard to exploring the need to link appraisal with professional development (PD) in the Integrated Quality Management System (IQMS) in South African schools.

Literature on appraisal revealed that there has been a paradigm shift from the traditional to the developmental approaches to evaluate performance of educators in schools with a view to enhance their continuous PD (Motilal 2004:148). Odhiambo (2005:403) also maintains that, there is a crucial need to develop educators through appropriate appraisal schemes with a view to promote their PD which directly relates to accelerated learner performance and achievement in schools. Therefore, the present education system calls for a decentralised appraisal system, which emphasises PD of educators, which is directly related to improved learner performance and achievement and is aimed at advancing whole school development.

Furthermore, stakeholders such as educators and their teacher unions have also called for improved educator appraisal and their PD. In line with this call, the National Department of Education (NDoE) with other stakeholders such as educator unions introduced National Policy Framework on Teacher Education and Development (NPFTED) policy in 2006. This aims to develop a teaching profession ready to meet the need for the PD of educators in South African schools (RSA 2007:5). This policy also aims to equip educators adequately with skills and competences to perform their tasks on a continuous basis.

Furthermore, in 1998 at the Education Labour Relations Council (ELRC), the NDoE with other stakeholders such as educators and their unions, agreed to introduce system of educator appraisal, namely, developmental appraisal system (DAS). It was followed by whole school evaluation (WSE) in 2001 with the aim of monitoring the schooling system. DoE met with serious problems such as resistance from educators and their unions to implement these policies in schools (De Clercq 2007:99). Educators and their unions criticised these appraisal systems as they felt that they were still characterised by summative and judgmental practices, which are similar to those used during the apartheid era and they did not offer opportunities for PD. Consequently, they called for a departmental moratorium on DAS and WSE and they boycott these appraisal systems.

In August 2003, DoE in conjunction with stakeholders such as educators and their unions signed two collective agreements which led to IQMS (ELRC, 2003). IQMS was intended to integrate and strengthen various components of DAS, PM and WSE and was firstly implemented in South African schools in 2005. Even though IQMS was introduced as a tool to evaluate performance of educators and to enhance their PD, it is also criticised by educators and their unions for placing the greatest emphasis on financial gain rather than on their PD. Furthermore, it is conducted once a year in most schools with a view to get assessment scores directly related to their remuneration (Mahlaela 2011:2). Consequently, an aspect of their continuous professional development (CPD), which is the ultimate purpose of staff appraisal, is neglected.

6.2 SUMMARY

The aim of conducting this study was to explore how staff appraisal and PD can be linked in the IQMS in South African schools. From the aim, an objective was formulated, namely, to probe perceptions of principals, SMTs and educators regarding the need to link appraisal with PD in the IQMS in sixteen schools located in Mafukuzela-Gandhi circuit at KwaMashu Township, north of Durban in the province of KwaZulu-Natal.

The study introduced the reader to the appraisal systems that were used to evaluate performance of educators prior 1994. Furthermore, since then, there has been a paradigm shift from the traditional appraisal practices like those conducted by inspectors to appraise educators to the developmental approaches that place greater emphasis on their PD (see section 1.2). A research question was formulated, namely: How can appraisal and PD can be linked in the IQMS in South African schools? Section 1.4 stated the significance of conducting this study; while, section 1.5 outlined the population and sampling procedures. An overview of the research methods and design, mainly qualitative research design was then discussed in section 1.6 as well as the data collection procedures that entailed the two steps discussed in section 1.7. Section 1.8 gave an overview of data analysis and interpretation. In turn, section 1.9 discussed the ethical measures taken whilst section 1.10 provided an overview of the measures used to ensure the trustworthiness of this research and the terminology was defined in section 1.11. The chapter concluded with the chapter divisions as described in section 1.12.

In turn, the literature review was described in sections 2 and 3. Chapter 2 focusses on the performance appraisal of educators and in the introduction of IQMS as a tool to facilitate their PD. The section commences with a description of performance appraisal and its purposes (see section 2.2). Furthermore, a brief overview of the models of staff appraisal was expounded in section 2.3 and both traditional and developmental practices of performance appraisal were elaborated in section 2.4. The dimensions of performance appraisal, which include informal and formal processes, were outlined in section 2.5. Section 2.6 discussed the key features of effective appraisal; whilst section 2.7 discussed the different methods of staff appraisal. In turn, section 2.8 outlined the performance management system in a new education dispensation in South African schools; whereas section 2.9 explored the challenges encountered in implementing the appraisal process in schools.

Chapter three focussed on the PD of educators. Accordingly, section 3.1 provided a brief introduction to PD for educators; whilst section 3.2 provided a description of the concept ‘PD,’ followed by models of PD (see section 3.3). Section 3.4 discussed various

approaches to PD and section 3.5 was devoted to the structural and core features of PD. Furthermore, the impact of PD on learner performance and achievement formed the focus of section 3.6; whilst section 3.7 discussed the barriers regarding the effective implementation of PD in schools. This chapter concluded by discussing the role of educational managers in supporting PD in schools (see section 3.8).

Chapter four outlined the methodology and data collection methods employed to investigate the research question and it also detailed how the study was undertaken. Firstly, attention was paid to the research question and aim (see section 4.2) whereas section 4.3 described the detailed population and sampling procedures. Furthermore, the research methods and research design were outlined in section 4.4. Next, the data collection procedures were discussed in section 4.5 and the aforementioned section was further divided into two sections, namely step 1 (entailing personal individual interviews with principals) and step 2 (entailing focus group interviews with both SMTs and educators). Section 4.6 covered the data analysis process and interpretation of the data; while the chapter concluded with the ethical measures taken (see section 4.7). Following that, chapter five provided analysis and interpretation of data.

6.3 FINDINGS

Conclusions of this study were drawn from literature study and empirical findings of the research.

6.3.1 Findings from the literature study

The following findings were derived from examination of literature related the performance appraisal and PD for the educators in schools. They include:

- Performance appraisal is an ongoing process that not only assists employees with their continuing PD, but also the further development of the organisation (see section 2.3). Furthermore, the ultimate purpose of performance appraisal is to help

employees with their continuing PD. It also aims to update their professional knowledge and skills to perform their tasks effectively and efficiently.

- Literature also revealed that accountability and PD models play a crucial role in the PD of educators (see section 2.3.2). Even though these models are discussed separately for clarification purposes, it is necessary to emphasise that they should complement each other and a balance between them is essential for an effective appraisal scheme to be operated (Middlewood 2002:123). This means that proper appraisal scheme should include both formative and summative practices (see Figure 2.1). In general, the researcher concluded that this does not happen in most schools as the principals, SMTs and educators stressed during the interviews that they were appraised once a year in the form of lesson observations with a view to obtaining an assessment score directly related to their remuneration. Therefore, an aspect of formative assessment is overlooked where educators are engaged in continuous PD programmes.

- There are different methods of staff appraisal such as self-appraisal, classroom observations, appraisal portfolios, peer appraisal and appraisal interviews (see section 2.7). Interviews with the participants revealed that most schools relied on one method such as lesson observations in the form of class visits to appraise educators.

- With regard to the revision of educator appraisal systems all over the world, South Africa was no exception when it introduced a new system to evaluate educators in 2003, namely, IQMS with a view to promoting a quality education system (De Clercq 2008:8).

- Purposes and guiding principles underlying IQMS were discussed in section 2.8.3. These purposes are threefold as they embrace all three IQMS programmes, which include DAS, Performance Measurement (PM) and WSE. In general, the

researcher was able to conclude that most schools focus on performance measurement and tend to neglect both the DAS and WSE.

- These guiding principles of IQMS were described in section 2.8.3.2. They include a need to ensure fairness, minimise subjectivity and use instruments professionally, uniformly and consistently. Other principles include: credibility, professionalism, validity, reliability, relevance as well as provision of clear protocol governing the interaction of parties and encouragement of diversity in teaching styles (Ntombela, Mpehle & Penciliah 2010:365). It is crucial to adhere to these principles as they form the cornerstone of the appraisal system, failing which; appraisal system is a futile exercise that fails to cater PD for the educators.

- With regard to IQMS implementation, schools need to implement their core components in the form of structures such as SDTs and DSGs that are responsible for spearheading IQMS in schools (see section 2.8.4). Certain records and documentation such as PGPs and SIPs need to be kept as evidence that the appraisal processes have been conducted properly. Interviews with principals, SMTs and educators revealed that most schools did not keep IQMS relevant records and documents as proof that it had been conducted in the proper manner. For instance, most educators revealed that their DSGs did not keep records such as the minutes of from the appraisal discussions and neither did they monitor their PGPs. What surfaced prominently during the interviews with all the school stakeholders was that there was not sufficient time to compile these records. This therefore led the researcher to conclude that procedures and processes to conduct IQMS were not adhered to in most schools.

- IQMS implementation process also includes a variety of processes starting with advocacy and training, identification of educator's DSGs, self-evaluation by the educator, pre- and post-evaluation discussions, lesson observations as well as monitoring of the PGPs for educators (see section 2.8.4.3). The researcher concluded that most interviewed principals, SMTs and educators were dissatisfied

with the processes involved in implementing IQMS in schools as they regarded them as time- consuming. Consequently, they only relied on lesson observations when conducting performance appraisals and other aspects such as pre- and post appraisal discussions and monitoring of the PGPs for the educators were neglected.

- Furthermore, PD was explored in section 3.2 and viewed as a tool that assists employees with continuously deepening their skills, knowledge and attitudes in the working environment. The ultimate purpose of PD was discussed in section 3.2.2.

- Two models of PD, namely professional training and professional support were discussed in section 3.3. The former model included the development of individuals in institutions such as universities and technical colleges with a view to acquiring qualifications in various professions. The latter model emphasises that all employees including educators need to enhance their skills, not only for their qualifications but also for the delivery of new curriculum (RSA 2007:5). These two models are illustrated in Figure 3.1.

- Two approaches to PD were discussed in section 3.4 and they are the traditional and collaborative approaches. Traditional approaches include ineffective PD programmes such as short courses and workshops, which did not assist in developing educator competencies. Collaborative approaches on the other hand, are more responsive with regard to how educators learn and how much more influence they have concerning changing teaching practice. These two approaches to PD were discussed in section 3.2.

- The structural and core features of the PD were discussed in (section 3.5). Three major structural features of the PD were identified, namely form, duration and participation. Further, core features of the PD, which includes content, focus, duration of the PD, time, evaluation and presentation.

- The impact of the PD on learner performance and achievement was discussed in section 3.6. PD is effective when it results in improved academic achievement and the overall rounding-off of learners (Heystek *et al.* 2008:174). In this regard, the researcher was able to conclude that the impact of the PD on learner performance and achievement was not extensive, since the educators criticised the short courses and workshops organised by the DoE. They further maintained that these did not assist with developing the necessary knowledge and skills to perform their teaching tasks effectively and efficiently.

- There are specific barriers regarding the effective implementation of the PD in schools (see section 3.7). The literature on PD revealed that the DoE outsources the task to develop a PD programme to consultants who are not knowledgeable enough about educator development. Mestry, Hendricks and Bisschoff's (2009:476) express similar views when they assert that some provinces outsourced training to the institutions of higher learning and private consultants who themselves did not have inadequate knowledge and practical experience to undertake such a task.

- Finally, literature on staff appraisal and PD revealed that educational managers such as principals and their SMTs play crucial role in supporting staff appraisal and PD in schools. They should regard staff appraisal and PD as key strategies in the process of bringing about significant improvements in educator development that can lead to accelerated learner performance and achievement and that can advance whole school development (see section 3.8).

6.3.2 Findings from empirical investigation

Findings from empirical investigation are based on the results obtained from interviews with principals, SMTs and educators. They include ambiguity purposes of IQMS, non-adherence to IQMS procedures and processes and failure by IQMS to cater for the

continuing PD of educators. The aforementioned conclusions are discussed in detail in the subsequent sections.

6.3.2.1 Ambiguity purposes of IQMS

What surfaced prominently during interviews with principals, SMTs and educators (see section 5.4.1) was that IQMS, which is currently used as a tool to evaluate educators' performance, fails to identify their strengths and the areas that need development. The reason is that it is only conduct once a year in most schools because to get assessment scores directly related to remuneration; while the important aspect of CPD is neglected. Consequently, IQMS fails to cater for their PD as it does not help with inculcating the skills and competencies in them necessary to enhance the academic performance and achievement of the learners, nor does it succeed in advancing whole school development.

6.3.2.2 Non –adherence to the Integrated Quality Management System procedures and processes

The study revealed that principals, SMTs and structures such as SDTs and DSGs (section 5.4.2) do not adhere to proper procedures and processes to conduct IQMS in schools. For instance, IQMS development programmes such as pre- and post- appraisal discussions, self-evaluation, classroom observations and monitoring of the educators' PGPs and the provision of feedback after the appraisal process were not conducted properly due to time constraints. It also emerged from the interviews, that many challenges were experienced in implementing IQMS in schools. This includes aspects such as inadequate IQMS advocacy training, lack of understanding of its principles, procedures and processes and failure by the schools to improve to their expected level of service delivery. Failure by IQMS to cater for the PD for the educators is a major challenge since most schools treat it as an event only aims at salary increment (see section 5.4.2.2). Furthermore, due to limited IQMS advocacy training, structures such as SDTs and DSGs ended up not knowing what was expected of them in terms of their responsibilities. For instance, the DSGs did not monitor the educators' PGPs.

Interviews also revealed that most schools do not keep records and documentation as proof that appraisal processes had been carried out (see section 5.4.2.4). For instance, it became apparent from interviews with participants that most schools do not keep required IQMS records such as minutes of meetings that emanate from appraisal discussions.

6.3.2.3 Failure by IQMS to cater for the continuous PD of educators

It was also revealed by the interviews that even though there was a paradigm shift from the traditional to the developmental appraisal practices from 1994 to evaluate the performance of educators and to develop them, IQMS failed to achieve this purpose (section 5.4.3). Furthermore, it did not empower them with regard to decision-making processes because of the limited amount of contact among educators and their appraisal panels and the insufficient time available to conduct IQMS PD programmes such as pre- and post- appraisal discussions, provision of feedback as well as monitoring of the PGPs for the educators.

Finally, it emerged from the interviews that IQMS impacted negatively on educator development as it fails equip with necessary skills and competences to perform their tasks effectively (see section 5.4.3.3).

Educator appraisal and PD are of great importance and are important vehicles for promoting accountability and quality improvement in education and there is a close relationship between appraisal and PD.

The conclusions derived from this study provide a platform for recommendations that can be used to motivate the need to link appraisal with PD in the IQMS in South African schools. The next section focusses on the recommendations for the study.

6.4 RECOMMENDATIONS

This section integrates the prior research and theory reviewed in Chapters 2 and 3 with the significant themes uncovered in the empirical investigation. The findings relate to linking appraisal with PD in the IQMS in eight primary and eight secondary schools in Mafukuzela-Gandhi circuit at KwaMashu Township, north of Durban in the province of KwaZulu-Natal.

6.4.1 The ultimate purposes of IQMS

DoE stresses that, the ultimate purpose of IQMS is for PD of educators and educators need to bear in their minds that the purpose of appraising them is two-fold, firstly, it is used for accountability and secondly it is used for their PD (Ovando & Ramirez 2007:89; Daley & Kim 2010:5). However, during interviews, participants highlighted that they only conducted IQMS to get assessment scores directly related to their remuneration rather than as a tool to assist them with their PD. Principals should also see to it that a balance between accountability and PD is maintained so that active performance appraisal scheme can be operated. They should also monitor that educators are appraised continuously and not only once per year.

Furthermore, principals and their SMTs together with structures such as SDTs should workshop educators on regular basis on purposes of IQMS, its procedures and processes and why it is crucial to adhere to them, failing which, it ends up being a futile exercise. Furthermore, structures also need to be workshopped regularly by the SMTs to make them aware of what is expected of them in terms of their tasks and responsibilities. Educators also need to be encouraged to use IQMS as an important vehicle for promoting accountability and quality improvement in education. They also need to know that its ultimate aim is for their PD and there is a close relationship between appraisal and PD (Mahlaela 2011:6). DoE should also monitor that all IQMS activities or developmental programmes are conducted consistently and uniformly in schools.

In addition, departmental officials should assume responsibility for controlling and co-ordinating the IQMS development activities and should not shift their responsibilities to the principals. Furthermore, the DoE should organise regular developmental workshops based on IQMS with a view to updating all educators with regard to the performance management system and the role it plays in their PD. The researcher recommends that in order for IQMS to be effective in schools, DoE needs to train all the school stakeholders to be conversant with ultimate purposes of appraising them. For instance, they should know how IQMS contributes in identifying their strengths as well as those areas that need improvement and also how they can use it as a tool that promotes their continuing development to the benefit of both learners and schools.

6.4.2 Adherence to IQMS procedures and processes

Principals, SMTs as well as the structures constituted to implement IQMS such as SDTs and DSGs, should be encouraged to adhere to all procedures and processes to implement it in schools. For instance, principals should ensure that all schools have an IQMS management plan that outlines all the appraisal procedures and processes, starting with the selection of DSGs for the educators up to the monitoring of their PGPs. Sufficient time also needs to be allocated to every appraisal activity and IQMS should be conducted uniformly in schools and not just piecemeal. For instance, time should be allowed for the pre- and post- appraisal discussions as well as immediate feedback after the appraisal processes.

Therefore, the researcher recommends that all school stakeholders including both the experienced and inexperienced stakeholders should be retrained regarding the procedures and processes concerning conducting the IQMS uniformly and consistently in schools. Furthermore, the DoE should monitor that enough time is allowed by the principals and their SMTs and structures such as SDTs, to conduct all the IQMS development programmes and ensure that all relevant records and documentation are kept as proof that all the relevant appraisal processes have been conducted.

6.4.3 The role of IQMS in continuing PD

In order for IQMS to fulfil its purpose regarding PD of educators, it should not be treated as an event, but as a process that takes place continuously. All its concomitant activities such as peer appraisal, self-appraisal, pre and post- appraisal discussions, provision of feedback after appraisal as well as the monitoring of the PGPs for the educators should be conducted. The researcher strongly believes that staff appraisal is directly related to the continuous PD of educators. From the analysis of literature study and empirical findings, it is evident that IQMS fails to cater for the CPD of educators due to the manner in which it is conducted in most schools. For instance, it is conducted mainly once a year in the form of lesson observations towards the end of the year.

Therefore, principals and their SMTs should encourage educators to embrace IQMS as a tool that promotes their continuous PD and not as an exercise that fulfils the "letter of the law" without achieving its purpose (Biputh 2008:162). Importantly, consultations and discussions should be encouraged among educators. For instance, the DSGs together with the immediate seniors of the educators such as HODs, should allow enough time to conduct all IQMS developmental programmes, which include pre- and post- appraisal discussions, lesson observations, provision of feedback as well as monitoring of the PGPs of the educators. Educators also need to be provided with sufficient time to discuss and to reflect on their own teaching practices and this can empower them with regard to the decision-making processes.

Since staff appraisal is regarded as a crucial aspect that promotes accountability and quality improvement in education, the researcher feels that most schools are using it for financial gain rather than for their PD. Therefore, educators need to be aware that appropriate appraisal schemes contribute to their PD. Further, school leaders need to:

- Encourage educators to display their skills and competencies by engaging themselves in co-curricular and extra-curricular activities. Furthermore, they should receive ongoing support and opportunities for their career development by

attending workshops and seminars. Lastly, relevant information should be disseminated to all the relevant school stakeholders.

- Ensure that principals and their SMTs including structures such as SDTs and DSGs offer professional support through regular sessions that extend over an extended period where there is continuing PD support, reflections, collaboration, monitoring and feedback.

- Make sure that staff appraisal plays a pivotal role in advancing whole school development. With the introduction of IQMS in schools, educators at all levels are capacitated in leadership roles and are willing to learn and commit themselves to develop and improve schools.

6.5 RECOMMENDATIONS FOR FURTHER RESEARCH

The following recommendations are made for further study:

- Since only principals, SMTs and educators were part of the study, further studies should incorporate the viewpoints of departmental officials such as circuit and district managers as well, to add to the literature currently available.

- The study was conducted in one district and in one circuit. Not all schools from this district and circuit were involved in the study. Therefore, similar study needs to be conducted in other districts and circuits in order to assess whether the study could yield similar findings on the need to link appraisal with PD in the IQMS in South African schools.

- Research on a national level is necessary to develop programmes to facilitate implementation of IQMS to ensure that it contributes to the PD of educators, which is directly linked to accelerated learner performance and achievement and advancing whole school development.

- A study is also necessary to determine whether a balance is maintained between accountability and PD for the educators when implementing IQMS in schools.

- This study focusses on limited number of quintile one to four schools in one district and in one circuit. Therefore, there is a need to conduct similar study in quintile five schools and in other districts and circuits.

- This study was conducted in urban schools specifically. Further study on the same phenomenon could be researched in rural schools as well.

6.6 LIMITATIONS OF STUDY

The researcher notes the following limitations with regard to this study:

- Only sixteen out of forty primary and secondary schools ranked from quintile one up to four was selected for the study in Mafukuzela-Gandhi circuit and not all educators in these schools participated. Furthermore, the study was also conducted in one district and in circuit. Therefore, possibly different results would be obtained if more districts and circuits including quintile 5 schools are involved. Therefore, as the researcher indicated in his recommendations for further studies, other schools in other districts and circuits could express other viewpoints on linking appraisal with PD in the IQMS in schools.

- Authenticity of this study is dependent on detailed literature review from both primary and secondary sources. Whilst the researcher believes that he consulted adequate quantity of literature on staff appraisal and PD for the educators, there is a possibility that he may not have consulted certain important literature on the topic. However, he is convinced that such omissions are not significant enough to render his findings in the literature study unscientific.

6.7 CONCLUSION

This study set out to explore the need to link appraisal with PD with regard to the IQMS in South African schools with specific reference to sixteen schools located in the Mafukuzela-Gandhi circuit in the KwaMashu Township in the province of KwaZulu-Natal. It further sought to establish the various ways in which appraisal and PD can be linked in the IQMS with a view to ensuring accountability and quality improvement in education.

A qualitative research design and methodology was adopted to investigate the necessity to link appraisal and PD in the IQMS in schools through interviews with participants from both primary and secondary schools. The principals (as individuals), five SMT members (as part of the focus group) and eight educators (as part of the focus group) in each school. Subsequently, study revealed that IQMS that is currently used as a tool to evaluate educator performance is not linked to their PD because of the way in which it is conducted. For instance, most schools treat IQMS as an event, which is conducted once a year with a view to obtaining assessment scores for grade progression and salary increments. Consequently, an aspect of their continuous development, which is the ultimate purpose of performance appraisal, is overlooked.

In order to address this problem, various performance appraisal and PD models pertaining to educators were explored and strategies were recommended to link appraisal with PD in the IQMS in schools. These recommendations are intended for principals, SMTs and educators to become cognisant of the ultimate purpose of their appraisal. Furthermore, the use of proper appraisal procedures and processes need to be employed by educators to develop knowledge and skills that assist to accelerate learner performance and achievement in schools. Limitations of the study as well as recommendations for further study were outlined.

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APPENDICES

Appendix A: Informed consent form

213Copperfield Crescent
Newlands West
Durban
4037
05 February 2013

Researcher: Mr.H.T.Mchunu
Cell phone: 073 134 1255
Work : 031-503 5507
Home : 031 578 3151

Dear Principal

I want to thank you for agreeing to participate in this study which will take place as from the beginning of the second term of 2013 academic year up to the end of the third term. As a researcher, the title of my study is: *LINKING APPRAISAL WITH PROFESSIONAL DEVELOPMENT IN THE INTEGRATED QUALITY MANAGEMENT SYSTEM IN SOUTH AFRICAN SCHOOLS.*

This form outlines the purpose of the study and provides a description of your involvement and rights as a participant. The purpose of this study is to:

Determine the perceptions of the principals, SMTs, educators and those structures constituted to implement appraisal system on how can appraisal and professional development be linked in the IQMS in South African schools.

The data will be collected by means of personal individual interviews. At least sixteen principals will be interviewed using one-to-one interviews and each interview will last about thirty to forty five minutes. Eighty SMT members and one hundred and twenty eight educators (a repetition of three experienced educator, three educators with less than three years experience and two educators who were democratically elected as

SDT members in each school) will also be interviewed using focus group interviews which will last about forty five minutes to one hour.

You are encouraged to ask any questions at any time about the nature of the study and the methods that I am using. Your suggestions and concerns are important to me and you are free to contact me at any time at the telephone numbers listed above.

My final report of this data will be made available to all research participants who may put you in a position to have a better understanding of a need to link appraisal and professional development in the Integrated Quality Management System (IQMS) in South African schools. I also guarantee that the following conditions will be met:

1] The right to anonymity and confidentiality of the participants will be guaranteed in the collection of data.
2] Participants are not by any means forced to participate in the study.
3] Since anonymity and confidentiality will be upheld participants' cell phone numbers will be requested to make follow up on interviews.

I have read the information presented in the information letter about the study on: Linking appraisal with professional development in the IQMS in South African schools. I have had the opportunity to ask any questions related to this study, to receive satisfactory answers to my questions and any additional details I wanted. I am aware that I have the option of allowing my interview to be audio recorded to ensure an accurate recording of my responses. With full knowledge of all foregoing, I agree, of my own free will, to participate in this study.

Participant name: …….(Pleaseprint)
Participant signature: ……
Researcher name: Mr. Hamilton Themba Mchunu
Researcher signature: ……..
Date : 05 February 2013

Appendix B: Interview schedule for the principals

(LINKING APPRAISAL WITH PROFESSIONAL DEVELOPMENT IN THE INTEGRATED QUALITY MANAGEMENT SYSTEM IN SOUTH AFRICAN SCHOOLS)

Dear Principal

Thank you for having been involved in this study. The purpose of this one-to-one interview is to gather detailed information about your overall impression regarding a need to link appraisal with professional development in the Integrated Quality Management System in South African schools. I regard you as someone who can provide such detailed information. However, please note that although you are regarded as someone who is likely to provide detailed information, you are under no obligation to participate in the interview and can therefore choose not to be interviewed. Kindly note that even though I will be making notes in a book, the voice recorder will be switched on during the interview to ensure that as much information as possible is captured. Also note that all information will be treated confidentially. Please do not hesitate to ask any question regarding what I have just explained.

Do you agree/disagree to be interviewed?

Thank you for agreeing/disagreeing to be interviewed.

If you are willing to participate in the interview kindly note and remember the following:

- You are allowed to ask me to repeat or rephrase a question, where necessary.
- Please answer questions as honestly as possible, and note that there is no right or wrong answer but only your honest opinion will be appreciated.

Please tell me about your opinion about a need to link appraisal with professional development in the IQMS in South African schools by answering the following questions:

1. What do you think is the ultimate purpose for appraising educators in your school?
2. How are all the school stakeholders kept well informed of the processes and procedures of the current appraisal system in your school?
3. As your school is using IQMS does it contribute to educator development, learner achievement and development of the school as a whole?
4. How do you instil a sense of accountability and responsibility among educators and structures constituted to implement staff appraisal in your school?
5. As a principal how do you ensure that staff appraisal fulfils its purpose for continued professional development for the educators in your school?
6. How do you ensure that both newly qualified and experienced educators are kept well-informed about the current appraisal system?
7. How supportive is the Department of Education (DoE) in capacitating all the school stakeholders on performance management system in your school?
8. How do you ensure that there are follow-up developmental programmes based on staff appraisal and professional development for the educators in your school?

Appendix C: Interview schedule for the SMTs

(LINKING APPRAISAL WITH PROFESSIONAL DEVELOPMENT IN THE IQMS IN SOUTH AFRICAN SCHOOLS)

Dear SMT member

I want to thank you as a group for participating in this study. The purpose of this focus group discussion is to get detailed information about your overall impressions regarding a need to link appraisal with professional development in the IQMS in South African schools. I therefore regard you as someone who can provide such detailed, rich and valuable information in this study.

However, please not that, although you are regarded as a group likely to provide detailed information on the topic, your participation is completely voluntary. You are under no obligation to participate in this focus group discussion. You may also withdraw your participation at any time for any reason without penalty.

If you do participate, please allow me to assure you of your anonymity and the confidentiality with which your views, comments and opinions will be treated. So please feel free to participate with ease. I really do value your honest contribution.

The voice recorder will be switched on during the interview to ensure that all the information is captured. Please do not hesitate to ask any question what I have just explained.

Do you agree/disagree to participate in a tape recorded interview?

If you are willing to participate in the interview kindly note and remember the following:

- You are allowed to ask me to repeat or rephrase a question, where necessary.
- Please answer questions as honestly as possible, and note that there is no right or wrong answer but only your honest opinion will be appreciated.

Please tell me about your experiences on a need to link appraisal with professional development in the IQMS in South African schools by answering the following questions:

1. What do you think is the purpose for appraising educators in your school?
2. As your school is using IQMS to evaluate performance of educators, to what extent does it contribute to their personal and professional development?
3. Since one of your tasks is to appraise and develop educators, how do you ensure that proper appraisal procedures and processes are properly conducted?
4. What are your views on using IQMS as a strategy for improving schools and empowering educators in decision –making processes in your school?
5. How do you deal with strengths and weaknesses of the educators identified during their appraisal?
6. What do you think are the attitudes of educators towards staff appraisal?
7. How can you encourage educators to improve their knowledge, skills, values and attitudes through staff appraisal?
8. What is the impact of appraisal on educator development and learner achievement in your school?

Appendix D: Interview schedule for the educators

(LINKING APPRAISAL WITH PROFESSIONAL DEVELOPMENT IN THE IQMS IN SOUTH AFRICAN SCHOOLS)

Dear Educator

I want to thank you as a group for participating in this study. The purpose of this focus group discussion is to get detailed information about your overall impression regarding a need to link appraisal with professional development in the IQMS in South African schools. You have been therefore selected to participate in this study so as to provide detailed, rich and valuable information.

However, please note, that although you are regarded as a group likely to provide detailed information on the topic, your participation is completely voluntary. You are under no obligation to participate in this focus group discussion. You may also withdraw your participation at any time for any reason without penalty.

If you do participate, please allow me to assure you of your anonymity and the confidentiality with which your views, comments and opinions will be treated. So please feel free to participate with ease. I really do value your honest contribution.

The voice recorder will be switched on during the interview to ensure that all the information is captured. Please do not hesitate to ask any questions regarding what I have just explained.

Do you agree/disagree to participate in a tape recorded interview?

If you are willing to participate in the interview kindly note and remember the following:

- You are allowed to ask me to repeat or rephrase a question, where necessary.

- Please answer questions as honestly as possible, and note that there is no right or wrong answer but only your honest opinion will be appreciated.

Please tell me your views on a need to link appraisal and professional development in the IQMS in South African schools by answering the following questions:

1. What do you think is the purpose for your appraisal in your school?
2. As your school is using IQMS to appraise educators, does it contribute to your personal and professional development?
3. To what extent does staff appraisal assist you to develop skills and competences to perform your tasks effectively in the classroom?
4. What are your views on a link between the current appraisal system and classroom practice in your school?
5. To what extent does the current appraisal system assist you to develop continuously in your profession?
6. What are your perceptions on the support you get from the SMTs and SDTs before, during and after your appraisal?
7. How do the structures such as SMTs and SDTs deal with strengths and weaknesses identified during your appraisal?
8. What is the impact of appraisal on educator development and learner achievement in your school?

Appendix E: A letter to the Research Directorate

213 Copperfield Crescent
Newlands West
Durban
4037
08 January 2013

Att. THE HOD (DR. SNP SISHI)
Department of Education
PIETERMARITZBURG
3200

Dear Doctor Sishi

REQUEST FOR PERMISSION TO CONDUCT RESEARCH IN SCHOOLS

I kindly request permission to conduct research during the second and third terms of 2013 academic year in the schools which fall under your jurisdiction. This includes eight primary and eight secondary schools and all of them are located in Ward 136, Mafukuzela-Gandhi circuit, at KwaMashu Township north of Durban. The schools are listed as follows: **Gugulethu J.P. School, Phakama S.P. School, Phumelela S.P. School, Ngazana J.P. School, Kwazi P. School, Daloxolo J.P. School, Khethamahle S.P. School and Thobile S.P. School.** The schools also include the following secondary schools: **Dr.J.L.Dube, Inhlakanipho, Mandlenkosi, Mzuvele, J.E. Ndlovu, Nqabakazulu, Zeph Dhlomo and uMtapo secondary schools.**

Currently, I'm employed by the DoE as a Deputy Principal, stationed at Dr.J.L.Dube secondary school. The title of my research project is as follows: **Linking appraisal with professional development in the integrated quality management system in South African schools.** This research project is the partial fulfillment of the Doctor of Education (Education Management) carried out at the University of South Africa under the supervision of Prof. G.M.Steyn. I promise that such research will not

disrupt effective teaching and learning in schools as all interviews will be conducted after school hours. I'm looking forward to your reply, thanking you in advance.

Yours Faithfully

Mr. Hamilton Themba Mchunu
Cell no. 073 134 1255 / Email: htmchunu@polka.co.za

Appendix F: A letter to the principals

213 Copperfield Crescent
Newlands West
Durban
4037
05 February 2013

THE PRINCIPAL
Dr. J.L. Dube Secondary School
Private Bag X020
KwaMashu
4360

Dear Principal

A REQUEST FOR PERMISSION TO CONDUCT RESEARCH IN YOUR SCHOOL

I hereby request permission to conduct interviews with the principal, SMT members and post level one educators in your school. I am currently registered at the University of South Africa and is studying DEd. (Educational Management) under the supervision of Prof. G.M.Steyn. The data collected will be used in my thesis titled: *Linking Appraisal with Professional Development in the Integrated Quality Management System in South African Schools*. Permission to conduct interviews has been granted by the Department of Education.

The duration of the interviews will be 45 minutes to an hour. The date and time of the interviews will be negotiated with all the participants selected to participate in the study in order to avoid any interruption to the school education programme. I would like to assure you that all information gathered will be utilised for the purposes of this study.

I would like to thank you for your assistance and co-operation.

Yours Faithfully

Mr. H.T.Mchunu (Researcher)

Cell Phone: 073 134 1255

E-mail Address: htmchunu@polka.co.za

Appendix G: Letter from the Research Directorate

education

Department:
Education
PROVINCE OF KWAZULU-NATAL

Enquiries: Sibusiso Alwar | Tel: 033 341 8610 | Ref.:2/4/8/346

Mr HT Mchunu
213 Copperfield Crescent
Newlands West
DURBAN
4037

Dear Mr Mchunu

PERMISSION TO CONDUCT RESEARCH IN THE KZN DoE INSTITUTIONS

Your application to conduct research entitled: **LINKING APPRAISAL WITH PROFESSIONAL DEVELOPMENT IN THE INTERGRATED QUALITY MANAGEMENT SYSTEM IN SOUTH AFRICAN SCHOOLS,** in the KwaZulu-Natal Department of Education Institutions has been approved. The conditions of the approval are as follows:

1. The researcher will make all the arrangements concerning the research and interviews.
2. The researcher must ensure that Educator and learning programmes are not interrupted.
3. Interviews are not conducted during the time of writing examinations in schools.
4. Learners, Educators, Schools and Institutions are not identifiable in any way from the results of the research.
5. A copy of this letter is submitted to District Managers, Principals and Heads of Institutions where the intended research and interviews are to be conducted.
6. The period of investigation is limited to the period from 01 April to 30 October 2013.
7. Your research and interviews will be limited to the schools you have proposed and approved by the Head of Department. Please note that Principals, Educators, Departmental Officials and Learners are under no obligation to participate or assist you in your investigation.
8. Should you wish to extend the period of your survey at the school(s), please contact Mr. Alwar at the contact numbers below.
9. Upon completion of the research, a brief summary of the findings, recommendations or a full report / dissertation / thesis must be submitted to the research office of the Department. Please address it to The Director-Resources Planning, Private Bag X9137, Pietermaritzburg, 3200.
10. Please note that your research and interviews will be limited to schools and institutions in Kwazulu Natal Department of Education as per attached list.

Nkosinathi S.P. Sishi, PhD
Head of Department: Education

2013/04/25
Date

KWAZULU-NATAL DEPARTMENT OF EDUCATION

POSTAL: Private Bag X 9137, Pietermaritzburg, 3200, KwaZulu-Natal, Republic of South Africa

PHYSICAL: 247 Burger Street, Anton Lembede House, Pietermaritzburg, 3201. Tel. 033 3921053 Fax: 033 392 1216

...dedicated to service and performance
Bayoxhobela ukuSebenza

EMAIL ADDRESS: Slindile.hadebe@kzndoe.gov.za; CALL CENTRE: 0860 596 363;

WEBSITE: WWW.kzneducation.gov.za