A CRITICAL ANALYSIS OF THE NATIONAL POLICY ON WHOLE SCHOOL EVALUATION AND ITS IMPACT ON THE MANAGEMENT CAPACITIES OF SCHOOL PRINCIPALS IN THE DURBAN SOUTH REGION IN KWAZULU-NATAL

By

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Dedication

I dedicate this Doctoral thesis to my late father Mr Sewsunker Neerachand; my mother Pranpathie Neerachand; my wife Sheritha and my two lovely children Rishai and Rishta for being the inspiration in my life.

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Rajesh Neerachand

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Abstract

The purpose of the study is to critically analyse the National Policy on Whole School evaluation and its impact on the management capacities of school principals in the Durban South Region of Kwa-Zulu Natal. This thesis focuses on how this policy came to be understood and interpreted during its implementation phase. The study also engages with the emergence of the discourse of performance and accountability within the South African context, setting the stage for the policy context of Whole School Evaluation. Both quantitative and qualitative research methods were used in the data collection strategy. A survey questionnaire was administered to 74 educators, 24 members of the school management team and 6 school principals in the Durban South Region in Kwa-Zulu Natal. In-depth, semi-structured interviews were conducted using six school principals whose schools were chosen by the Department of Education to undergo Whole School Evaluation focussing on Policy Goals, Policy Implementation, and Policy Effect.

The specific research questions that guided this research investigation aimed to discover firstly what the contents, claims, objectives and assumptions of the key propositions of the National Policy for Whole School Evaluation are, and secondly, to establish the impact of the policy on the management capacities of school principals. The insights to be gained from this study hold practical as well as theoretical significance. The findings deepen understanding of the problems faced in implementing planned change in transforming contexts, even in cases where there is a receptiveness to change.

Critical findings include the fact that 'top-down' and 'bottom-up' approaches to policy implementation need to be integrated smoothly forsaking the historic legacy of mainly 'top-down' methods. Those responsible for policy formulation and design will, in future have to allow for input by a widening range of stakeholders. Proposed interventions will need to be shaped to fit local conditions and specific contexts, as will tools of measurement for quality. Decentralization of the standards for quality needs to be implemented which would accommodate variations in locality, culture, resources and history, all of which have an effect on whether circumstances can be deemed fair and valid. Such decentralization could result in achieveable and realistic benchmarks which

would allow schools to work within individual constraints and circumstances. Change certainly need to become a negotiated process. Quality needs to become a characteristic which is born out by the ethos of the system rather than something handed down in template form which is passively accepted.

The core of this thesis is that the Whole School Evaluation policy and the implementation thereof must be all-embracing, inviting dissention and consultation from a wide range of stakeholders. In the final analysis policy can neither be formulated nor implemented in isolation.

It is thus hoped that this study informs practice and can be of use to policy-makers in helping to assess the effectiveness of current accountability practices and in suggesting the inclusion of role-players in the design and planning phases of policy-making. This thesis advocates that to ensure quality assurance in schools, there must be a balance between centralization and decentralization of standards for quality. This is not merely desirable, but critical to systemic change. School principals should have greater input during the formulation and design phases, as well as the implementation stage, thus becoming initiators rather than simply serving as 'implementers' of 'received formulated policy'. In addition, education policies which regard the school as a basic unit of accountability have to contend with a number of inherent problems if they wish to effect any organizational change.

It is hoped that the recommendations contribute to fostering an accountability system that is truly performance-based and which can be implemented without many of the obstacles which have beset policy implementation thus far according to my study.

Declaration

I

RAJESH NEERACHAND

do solemnly declare that this research work is my original work. This research report has not been previously submitted for a degree at another university.

This declaration was signed by me on the 31 day of January 2007

RAJESH NEERACHAND

Professor M.A. Samuel

Promoter

Contents

CHAPTER TWO: REVIEW OF LITERATURE: POLICY IMPLEMENTATION

CHAPTER THREE: FACTORS IMPACTING ON POLICY IMPLEMENTATION

CHAPTER FOUR: THE USE OF EVALUATION SYSTEMS: AN INTERNATIONAL PERSPECTIVE

CHAPTER FIVE: THE METHODLOGICAL FRAME

CHAPTER SEVEN: POLICY IMPLEMENTATION IN THE SCHOOL CONTEXT: LINKING QUALITATIVE AND QUANTITATIVE DATA

CHAPTER EIGHT: SYNTHESIS AND THESIS

List of Tables

List of Figures

List of Abbreviations

ADEA	Association for the Development of Education in Africa
ANC	African National Congress
COLTS	Culture of Learning, Teaching and Service
CPTD	Continuing Professional Teacher Development
C2005	Curriculum 2005
DAS	Development Appraisal System
DoE	Department of Education
DAE	Donors to African Education
DST	District Support Team
ELRC	Education Labour Relations Council
ETQA	Education and Training Quality Assurance
EVA	Danish Evaluation Institute
FET	Further Education and Training
FEFC	Further Education Funding Council
HSRC	Human Sciences Research Council of South Africa
INSET	In-service Education and Training
IQMS	Integrated Quality Management System
LSEN	Learner with Special Education Needs
NAPTOSA	National Professional Teachers Organisation of South Africa
NEPA	National Education Policy Act

NQACC	National Quality Assurance Co-ordinating Committee
OBE	Outcomes-Based Education
OFSTED	Office for Standards in Education
PEP	Post Evaluation Plan
SSIP	Seychelles School Improvement Programme
SIP	School Improvement Plan
SADTU	South African Democratic Teachers' Association
SAQA	South African Democratic Teachers' Union
SDT	Staff Development Plan
SE	Systemic Evaluation
SMT	School Management Team
TIMSS	Third International Mathematics and Science Study
WSE	Whole School Evaluation
WPET	White Paper on Education and Training

LIST OF APPENDICES

CHAPTER ONE

ORIENTATION AND BACKGROUND TO THE STUDY

I.1 Introduction

This chapter provides the background to the study, outlining the purpose and rationale of the study and the critical research questions. It also highlights the emergence of the discourse of performance and accountability within the South African context; setting the stage for the policy context for Whole School Evaluation. This chapter also conveys the limitations of the study and provides an overview of the chapters.

Education in most countries of the world is increasingly being seen as providing a major contribution to national economic and (human) development. This trend, coupled with the economic public expenditure devoted to education, has precipitated demands by governments and the public for higher levels of scrutiny and accountability concerning the quality of education. Such demands can only be managed by education planners if they are able to gather and interpret valid evidence concerning educational outcomes, and to compare these with the learning goals of the educational systems in which the students are located.

The literature indicates that quality assurance approaches to school review and improvement are now a core element of state and government school systems in many parts of the world; for example, England (Barber, Gough and Johnson 1995; OFSTED 1993), and Scandinavia (Lander and Ekholm, 1998); and New Zealand (NZERO, 1991).

The National Policy on Whole School Evaluation is no different, in that the policy tends to link together teacher evaluation and school development.

The international literature reviewed reflected on the difficulty of the use of school evaluations (both self-evaluations and external evaluations) as a means of achieving school improvement and school effectiveness within the different systems in the world, for example, England (Barber, Gough & Johnson, 1995; OFSTED, 1993), Australia (Department of Education, Victoria, 1997), Scandinavia (Lander and Ekholm, 1998); and New Zealand (NZERO, 1991). South Africa is no exception in its exploration of several interventions in the quest for better performing education systems. One of these educational interventions has been the introduction of the National Policy of Whole School Evaluation.

1.2 Discourse of Performance and Accountability: A History

The emergence of the discourse of performance and accountability within the South African context merits an introduction. This discourse only really came into being after the legal termination of apartheid in the early 1990s, the inauguration of the first democratic and non-racial government in April 1994 under the presidency of Nelson Mandela[1], and the emergence of a new education system later that year. The quality assurance-related policies post-1994 until June 2000 will be traced from the time when

[1] Nelson Mandela was the first president of the new democratic South Africa. He is a member of the African National Congress (former exiled liberation movement) which is now the dominant political party in South Africa.

the new Minister of Education (Professor Kader Asmal)[2] introduced the national policy on Whole School Evaluation to our country.

The visionary "Yellow Book" (1994), of the African National Congress (ANC) may be regarded as the base document for all subsequent policies. It demonstrated a commitment to participation and "process" in policy work. It was surprising, therefore, that the first official policy documents of the new state were premised on statements of final outcomes, on expert-driven change, on a 'top-down' policy-making apparatus that marginalized stakeholder involvement in the planning and execution of educational change, and individual as well as institutional performance (Jansen, 2001c).

The "Yellow Book" was followed in 1995 by the first White Paper on Education and Training (WPET) of the new government. Officially, this document, which framed the core values and vision of the newly established Government of National Unity, stated that particular attention would be paid to "the performance of the education and training system in the improvement of quality, equity, productivity (effectiveness) and efficiency" (*ibid*, p.14). According to this comprehensive policy statement, "improving efficiency and productivity is essential to justify the cost of the system to the public, to secure more funds for developments when they are needed, to raise the quality of performance across the system, and thus improve the life chances of the learners" (*ibid*, p.23). Furthermore, it claims that "the restoration of the culture of teaching, learning and management involves the creation of a culture of accountability" *(ibid*, p.22). The WPET holds that there must

[2]The first post- apartheid Minister of Education was Professor Sibusiso Bengu who held the post from 1994-1999. Professor Kader Asmal became the second Minister of Education in 1999.

be a common purpose or mission among principals, educators, learners and governing bodies, with mutually agreed and understood responsibilities, and lines of cooperation and accountability.

It is the WPET (1995) that first makes reference to concepts such as quality, productivity, effectiveness, efficiency and accountability in the system, all of which seem to foreshadow the WSE initiative.

While practitioners continued with their individual battles of teaching and assessment in the classrooms, another policy initiative relating directly to the measurement of performance was released. The South African Qualifications Authority (SAQA) Act of 1995, which requires that the Education and Training Quality Assurance (ETQA) bodies be established for the purpose of monitoring and auditing achievements in terms of national standards and qualifications, made its entrance into the policy arena. Highlighted in this Act are the processes of monitoring and auditing on the basis of national standards.

As South African policy-makers and decision-makers became consumed with the drive to improve "effectiveness" and "efficiency" of the education system, a decision was taken that South Africa would participate in the Third International Mathematics and Science Study (TIMSS)[3] in 1994/1995, and South Africa was one of 38 countries to participate in the repeat study in 1998/1999. For the first time in history, international studies that

[3]The TIMMS study was conducted by the Human Science Research Council (HSRC). Learners were tested in Mathematics and Science. Contextual data was collected in addition to quantative data

indicate comparative standings in pupil attainment were conducted and taken seriously by governments (Taylor & Vinjevold, 1999). It is not difficult to understand why a developing country such as South Africa needed to participate in such a study. There was a desperate need for baseline information on learner performance in mathematics and science education to promote informed decision-making on the development of curricula, organization and management of schooling, as well as pedagogical approaches at class level. Furthermore, since international comparisons are assuming greater importance owing to shared global economic realities, South Africa's participation was imperative if it wanted to remain globally competitive (Howie, 2001).

After the first TIMSS study, The National Education Policy Act No.27 of 1996, describing in law, the policy, legislative and monitoring responsibilities of the Minister of Education, and formalizing the relations between the national and provincial authorities, was released. According to this policy, the Minister is mandated to "direct that standards of education provision, delivery and performance throughout the Republic be monitored and evaluated by the Department annually at specified intervals, with the objective of assessing progress" (paragraph 8, section 3(3)). One method for the achievement of this mandate is for the national educational education system to undertake monitoring and evaluation in co-operation with the provincial departments of education. Furthermore, the national education system is charged with the responsibility of enhancing professional capacities in monitoring and evaluation, as well as with assisting authorities with available public resources to improve the standards of education provision and performance.

In this policy, reference is made to concepts such as monitoring and evaluations, and time-frames are provided, stipulating that these have to be effected annually, or at specified intervals. Particular reference is also made to the use of public resources to improve the standards of education provision and performance.

1.3 Emphasis of this Study

This study will focus on the new government policy in South Africa on "Whole School Evaluation" (WSE) which requires that schools conduct internal self-evaluations, to be followed by external evaluations, and the implementation of school development plans for the purpose of bringing about school improvement.

Education systems throughout the world are constantly challenged to improve their quality, effectiveness and efficiency. In order achieve to this, education ministries have introduced accountability systems at various levels within their education systems. Before moving on to detail how education systems function within these areas, it is necessary to examine further the two key areas of quality and effectiveness. These characteristics evoke concern as they are value-laden and problematic, in that often, they are used interchangeably by those who are unaware of any distinction between the two. It needs to be pointed out though, that while evoking ideas of different concepts, the distinction between the two is never clearly delineated and a discussion of the difference and sameness of these qualities does not transcend the institutional realm. Quality remains something which, in order to gauge its efficacy, has to be measured in some way.

Achieving a culture of 'quality' in education is a long process involving major effort over a lengthy time-span. Arcaro maintains that it takes five years before an organisation realizes any benefit from a quality effort (Arcaro, 1995: 27). Initiatives towards attaining quality in education invariably require measurement by means of developed systems to produce data which serve to provide proof of quality delivery and assurance.

Effectiveness on the other hand, becomes indicative in what is actually carried out in schools, for instance, while 'effective' schools are only one component of effective education, they are an important part and are amenable to change. Sergiovanni (1998), Miles (1998) and Fullan (1999) point to the need in effective schools not only for technical competence (in curriculum, teaching, management and administration), but high quality resources (curriculum materials, ideas and available support). Thus effectiveness will be contributed to by the theoretical, academic issues in tandem with awareness and purpose which must however by driven by the more substantial and practical surge towards quality embodied in processes and systems set in place to achieve the desired combination of the two.

Mortimore (1998) characterises an effective school as having the following qualities:

- Professional leadership
- Shared vision and goals
- Learning environment; a learning organization
- Concentration on teaching and learning
- Purposeful teaching

- High expectations and positive reinforcement
- Monitoring of progress
- Concern for pupils' rights and responsibilities
- Home-school partnerships

The quality concept, in turn, consists of the following five vital elements:

- Customer focus
- Systematic improvement of operations
- Development of human resources
- Long-term thinking
- Commitment to quality

The contexts in which educational systems are situated are now changing rapidly as the international economic, social and political systems change. In virtually all societies there are pressures upon educational systems to increase the range of outcomes that they produce. The development of systems of performance indicators for undertaking school evaluation has meant that schools possess the capacity for "data richness". School improvement itself has emerged with quite a robust knowledge base concerning those processes that are needed to improve both individual schools, and entire educational systems.

In South Africa, the nature of educational reform continues to be shaped by the demands of the government to meet the basic needs within the context of fiscal uncertainty, lack of human capacity and contestations over policy by different social groups.

The provinces are faced with the urgency of delivery and visible education reforms. While important initiatives are underway on a national level, the gap between policy design and vision, and the actual implementation of these appears to be widening.

The abovementioned scenario takes place within the constraints of the central-authority-determined policy parameters. School principals are affected by the phenomenon just described. The evaluation of teachers and schools was associated with the hated system of state inspections in which bureaucratic assessments were done in order to control teachers, curriculum and examinations in line with the apartheid ideology (Kallaway, 1984; Taylor & Vinjevold, 1999; Hartshorne, 1999).

1.4 Rationale

This section is founded on three areas of concern related to 1) My personal experience in the field of education; 2) How this study may contribute to the discourse on quality assurance as policy practice and, 3) Evidence of gaps in existing literature and a lack of analytical case studies.

The reasons for engaging in the study can be attributed to various sources. My teaching career began in 1980, and included serving the Department of Education in various

capacities. My breadth of experience included serving as an educator, an education planner, a lecturer at a pre-service teacher training college, a lecturer at an in-service training college, and a senior lecturer at a technical college; a head of department and, a principal. My experiences in the different positions enabled me to accumulate a store of practical knowledge of management and evaluation of performances. Each post was accompanied by challenges particularly with regards to performance and accountability, requiring me to regularly adjust to different forms of management and evaluation criteria. It was whilst serving in the post of principal that I developed an interest in quality management and decided to engage in this study.

In terms of personal experience, as a teacher, I was subjected to being inspected by a subject advisor and a circuit inspector in my first year of teaching, and again in my third year. During the same year the performance of the whole school was evaluated. This type of evaluation was called the "A Form Inspection" where all aspects of the school's performance were evaluated. My experience of the inspections was that they were based on fault-finding, and no effort was made to put support programmes in place to support and develop the educators and the schools. These types of inspections were unannounced and were conducted in an authoritarian, instructional and high-handed manner. Such inspections placed a tremendous amount of strain and anxiety on the researcher in the capacity of educator, and similarly on other colleagues at the time.

As a principal, I was approached by the Superintendent of Education (Management) requesting permission for the school to be part of a pilot for Whole School Evaluation.

The procedures and processes of the evaluation were outlined to me. After consultation with the school management team, staff and the school governing body, I acceded to the request. The evaluation of the school proceeded smoothly and the school received a good assessment. I was also informed by the leader of the Whole School Evaluation team that the school would receive support from the District Office in areas in which it required development. Despite regular appeals to the District Office, this support was not received.

As a school leader it was necessary for me to acquire new and further skills. This desire was driven by the changing school system in South Africa. There was a transition from the mid-1990s onwards. As the old apartheid system gave way to new structures, strong management skills and leadership emerged as the core competencies for this function.
This desire to enhance my skills and refocus was so imbued in me, that I applied for a visitorship to Denmark to study the school management and school evaluation in the Scandinavian countries. I spent two weeks as a guest of the school principal of Tinkerskoelen which is situated in a region called Odense. On my second visit to Denmark, I was part of a study group which visited a sample of schools and colleges in Copenhagen and Sweden to obtain further insights into the school systems in the respective countries. These visits proved invaluable to this research, and provided me with different perspectives on school management and governance, school evaluation and school improvement. The visits also provided me with further insights as to how performance and accountability within the school system is played out.

As a teacher/researcher, my personal knowledge and experience provides a rich source which can reflectively and critically be mined, in order to develop a wealth of ideas for the generation of concepts and theories, as well as to inform my practice. It allows me to examine my own assumptions and experiences as a school principal, as well as those of others and thereby assess their implications. This study also makes available my management experience, as well the observations, feelings and insights of other school principals for reflection and analysis.

New policies and legislation have redefined the concepts of leadership, management and governance in a school environment. Schools are now encouraged to become more democratic, self-managed and self-reliant. Although such ideals are advocated in the policies of the Education Department, these have not, however, been embraced or translated into implementable good practice on the ground. Many school leaders and managers are struggling to translate policy into practice in a way that best enables their educators and learners to achieve a relevant quality education.

This study seeks to understand how the policy of Whole School Evaluation (WSE) is implemented in a school context, and to determine whether there is a readiness on the part of school principals to receive and manage the change. The Whole School Evaluation policy is aimed at complementing other quality assurance initiatives such as Systemic Evaluation (SE), and the Development Appraisal System (DAS). The Whole School Evaluation model was the culmination of the school education improvement policies initiated since 1994.

Quality assurance from above was overtaken by the introduction of the Integrated Quality Management System. (IQMS). However, this study is still significant, as Whole School Evaluation forms an important component of IQMS, and any current research can only add value and insight to the progress of IQMS.

The delay created in the release of current operational challenges surrounding IQMS gives this study greater significance, as it could pre-empt the many operational and policy challenges faced by the implementation of Whole School Evaluation. A study on WSE is thus still significant as findings of this study can contribute to the formative structure and application of IQMS.

The policy standards regarding IQMS are - presumably – still a work in progress, and a study of Whole School Evaluation – though obviously reflecting some of this "uncertainty" – provides a valuable, tangible and living map for the formalization of such standards. Principals and educators who are on the receiving end of these policies have been overwhelmed by the 'policy overload' from the Department of Education. This research will assess the role of the principal in understanding how the policy of WSE is understood and acted upon.

In South Africa, one policy after another has been introduced over the past seven years in an endeavour to activate reform. Few policies have penetrated the school system in a deep sense (Dalin, 1998). It seems clear that no matter how noble the intentions of the

policy are, the stipulated goals might not be achieved due to the reality of the situation prevailing at schools. Furthermore, problems have been created by the frequent reversal of policy decisions, postponement of implementation dates, ambiguity about the interpretation of the decisions and the lack of specific time-frames being stipulated, or the non-observation of time-frames for implementation. The mandatory central government innovations were too heavy for a cyclic approach to planning for school improvement, especially where the content, timing and resourcing of those improvements was so forcibly defined and imposed externally.

In part, because of a lack of a rigorous advocacy programme, principals and educators remain confused about the expectations of the Whole School Evaluation policy, as well as the roles which they are required to fulfil, as stipulated in the policy. These policies have specifically hindered management capacities of school principals, placing them in crisis-management modes. A question that needs to be asked is to what extent the development planning framework provided a means of management planning for the introduction of the policy of Whole School Evaluation, and other changes that all school principals face and are required to initiate and implement.

The implementation of the Whole School Evaluation Policy is fundamentally different from the school inspection system of the past. The role of the principal in this regard and the value such officials add to our education system can never be adequately captured. Leadership is essential in the implementation of change. It is the duty of the school leader to establish an environment in which learners can best achieve their potential. Quality

Management in schools starts with the commitment of a leader in school improvement. Leaders need to embrace and espouse the 'quality philosophy' in order for Quality Management to be successfully implemented. The manager's commitment is to be measured in terms of tangible and visible things, not rhetoric. In directly managing a school, there are a range of challenges that face school principals. These challenges – the societal paradigm shift, changing local contexts, and the expansion of children's learning needs place great demands on them.

Further expectations are aroused by this new policy, which brings with it an almost new educational discourse, and a range of new demands for managing teaching and learning. Exactly how school principals and their identities can be comprehended in relation to their work and existing accountability practices in schools is poorly understood. It is envisaged that this study will have a great influence on future policy-making because the present developments in South Africa compel a reconceptualisation of the role of school principals. My unique background of training, experience, professional belief and attitudes to my own performance and accountability practices as a school principal will be brought to bear on this issue.

The capacities of school principals to manage schools on their own, at school level, is of crucial importance in order for the school to realize its mission and goals. This is at the heart of the concept of self-managing schools, and is also at the core of The South African Schools Act (Act 84 of 1996). It can thus occur that principals are asked to do more than what they may, at a given time be capable of. While principals are trying to

manage their schools and at the same time process the changes in terms of rapid adjustment to the demands of change and transformation challenges, the Department of Education exerts considerable pressure on them, and demands certain expectations. Principals must be seen to be delivering in terms of social improvement, effective leadership and efficiency.

This study is located within the quality assurance framework which attempts to determine whether WSE will influence quality management in schools in a positive way.

Thus, in the education system, quality management means that schools should manage themselves in such a way as to satisfy their customers (learners, educators, sponsors, community school governing bodies, and all other relevant stakeholders). In a school, everyone is a manager regardless of status, position or role, because of the responsibilities they have in improving the quality in the school. For school improvement, principals should engage themselves in activities which are aimed at bringing essential changes in order to improve quality (Van der Westhuisen, 2000).

Quality management encourages school improvement. Hopkins *et al* (1994) regard improvement as a distinct approach to educational change. This enhances student outcomes as well as strengthening the school's capacity for managing change. This means that school improvement is about raising the learner's attainment by focusing on the teaching and learning process and the conditions which support it.

Sallis (1996), states that quality assurance is concerned with preventing faults from occurring. This means that a panel of experts in teaching develop evaluation instruments which seek to itemize the characteristics of effective teachers. Quality assurance was established in order for stakeholders to take responsibility for their own quality improvement by being more accountable for their own failures, and to achieve the required results in teaching.

The educational nature of this research is reflected in the fact that it is grounded in the problems and perspectives of education practices, and its enriched self-critical reflection helps to make judgments which inform educational practice. Furthermore, it stresses ways in which the subjective interpretations of educational practitioners are constitutive of educational realities, and the facilitation of dialogue and communication between interested parties.

In acknowledging that there are a few studies which examine the policy-implementation relationship, the general literature on Whole School Development and school improvement lacks analytical case studies of schools involved in systematic and strategic innovation (Jansen, 1995; Harber, 1999; Hartshorne, 1999; Kallaway, 1994; Jansen and Christie, 1999). There is, in my opinion, a need for fine-grained analytical case studies which reflect the experience of schools that are managing change in these turbulent times. Most of the literature and theorizing in public policy and implementation has been based on American and limited European experiences, which differed considerably from those of many developing countries (Hargreaves, 1998; Fullan, 1998; Gray, Hopkins,

Reynolds, Wilcox, Farrell & Jesson, 1999; Mortimore, 1998; Barth, 1990; Hopkins, 1990, 1996, 2001(b)). Therefore, in seeking to understand the world of policy-makers and that of implementers, I believe this study can contribute to the rather limited knowledge on policy implementation in developing countries.

The Whole School Evaluation policy is a new policy being implemented in relation to Quality Management Systems in South Africa. This study will be useful to the National, Provincial and Regional policy-makers as well as to the Department of Education. It will enable the Department to be in a better position to determine what the actual needs of school principals are, so that the necessary support can be provided to them. This study will play a significant role in informing strategic management plans and interventions at a national, provincial and regional level. Therefore, the interpretation of and engagement with the policy of WSE by school principals, school management teams and teachers will be useful in understanding policy implementation.

Superintendents of Education (Management) and District School Managers could focus on how the stakeholders of the school can be assisted and supported in respect of school improvement, school development, and whole school evaluation. Relevant interpretation programmes based on experiences at school level can be tailored towards the needs of different groups of teachers in different circuits or districts, as well as for the purpose of planning in-service training to support quality assurance initiatives. They can also re-examine ways of policy designing, policy implementation and monitoring procedures.

This research is a study that offers researchers scope for further research in respect of how principals, school management teams and educators engage with their practice in a rapidly changing context. The experiences of these stakeholders will be useful to inform policies that regulate whole school evaluation.

The school management teams would be in a better position to determine factors which positively influence a teacher's performance. The school management teams can play a critical role by making the principal aware of their positive and negative experiences of how the policy on Whole School Evaluation impacts on their teaching practice. The experiences in respect of their teaching practice can be supported by the relevant structures i.e. via the school management team to higher structures, to enable them to understand policy implementation better. Hence, the principal, teachers and the school management team would be regarded as critical role players in policy implementation, instead of being technical implementers of policy.

The findings of this study could sensitize and create awareness, as well as a realization in principals that they are the centre of dialogue and debate surrounding issues of policy formulation, implementation and review of school policies; so that policy-makers who design policies for schools ensure that such policies take into account practitioner beliefs and practices.

Generalisability of the findings is limited, as this is a qualitative and quantitative evaluation of only a few schools. A case study approach could use both qualitative and

quantitative methodologies. Although both forms of data were obtained, the research net would need to have been cast wider, in order to discount the limiting of generalisability. The notion exists that with a wider sample, as in more schools offering greater variety, generalisability would have been able to range more effectively. The counter-argument, however, is that with more schools the amount of time and focus spent per school would have had to reduced to accommodate the higher work-rate, thus limiting the study in other ways. Nevertheless, this study can inform practice and be of use to policy-makers in helping to access the effectiveness of current accountability practices. It is hoped that the recommendations contribute to fostering an accountability system that is truly performance-based.

1.5 The Research Study

1.5.1 Purpose of the Study

The purpose of the study is to critically analyse the National Policy on Whole School Evaluation and its impact on the management capacities of school principals in the Durban South Region of Kwa-Zulu Natal.

1.5.2 The Objectives of the Study

The objectives of the study are:

- To critically analyse the National Policy on Whole School Evaluation.
- To determine the impact of the National Policy on Whole School Evaluation on the management experiences of school principals.

1.6 Research Questions

The research addresses the following critical questions:

- What are the contents, claims, objectives and assumptions of the key propositions of the national policy of Whole School Evaluation?
- What is the impact of the National Policy of Whole School Evaluation on the management capacities of school principals?

My discussion will then culminate in a brief description of the WSE policy in which the practice of performance and accountability is prominently expressed.

1.7 Focus on Quality

Since 1995 much of the attention to quality has continued to be at a legislative, rather than an operational level. By 1999, notions of efficiency, effectiveness and standards were increasingly under discussion, and certain initiatives were taken in that year to institutionalize quality functions and to address quality concerns directly. These included the re-launch of the Culture of Learning, Teaching and Service (COLTS) campaign, and the establishment of the Quality Assurance Directorate in the National Department of Education.

The argument here is that the introduction of the quality assurance system although beneficial, is also a means of controlling and regulating performance and practice. The subtleties of the quality assurance system indicate that it is a system which, while existing in order to control and regulate, serves to manipulate by means of downward pressure in

terms of control. Therefore, such a system has received varied responses from different sectors who believe that their autonomy and professionalism is being eroded by the controlling mechanisms of the system.

The obsession with the need to improve performance in education continued with policy and legislation acting as major levers for fundamental change. The Further Education and Training (FET) Act (Act No.98 of 1998) was launched. According to this Act, it is obligatory for the Director-General, subject to the norms set by the Minister, as contained in the National Education Policy Act, to assess and report on the quality of education provided in the FET Phase 10. The spotlight then turned from learner performance to focus on teacher performance with the release of the Developmental Appraisal System (DAS) of 1998. In official terms, the goal of the DAS was to outline a model for developmental appraisal in order to facilitate personal and professional development of educators, so as to improve the quality of teaching practice and education management (DoE, 1998a, p.3). The impetus for the historical development of the new developmental appraisal system has been linked to the breakdown of inspectorate and subject advisory services in the majority of schools in the country. Between 1985 and the early 1990s, it was almost impossible for inspectors and subject advisors to go into schools, therefore "within the organized teaching profession the need was felt to develop an appraisal instrument which would be acceptable to all stakeholders and would enhance the development of competency of educators and the quality of public education in South Africa" (DoE, 1998a). In this document, reference is made to concepts such as quality and effectiveness. It also emphatically states that enhancing the development of

competency of educators may raise the standards of the education system (DoE, 1998a, p.68). These two objectives aim to provide exploration of the considerations often, though erroneously labelled as 'interchangeable' of both 'quality' and 'effectiveness'.

The process was agreed to and signed by all stakeholders (Education Labour Relations Council Resolution Number 4 of 1998). A comprehensive training manual for development appraisal was launched, and training also took place in pockets in the various provinces. The new DAS was to be implemented in 1999 with structural and other arrangements being put in place in 1998. It appears, however, that the DAS document was not, and to date has not been, implemented in most schools in the country.

All the policies mentioned epitomize similar understandings that the new democratic South Africa is committed to providing schools that will function effectively and provide quality education for all learners. Also highlighted in these policies is the need to develop accountability at all levels of the system. This was not unproblematically accepted and understood, hence the need for the study.

On 25 June 1999, President Mbeki[4] in his State of the Nation Address to Parliament acknowledged that South Africa possessed committed leaders, and excellent policies and laws, but that at the same time, large parts of the system were seriously dysfunctional. Rampant inequality existed, teacher morale was low, governance and management were yet to strengthen, and quality and learning outcomes were poor (DoE, 2001b). Against

[4]President Thabo Mbeki who became the second president of South Africa was also a prominent member of the African National Congress, the dominant political party in South Africa.

this backdrop, Minister Kader Asmal outlined his call to action in July 1999 which was operationalised in January 2000 in a plan known as Tirisano, a Sotho word meaning "working together". Tirisano identified nine strategic priorities, which are divided into five programme areas as the basic building blocks to enable the development of a fully functioning education system. Tirisano is in line with global shifts in school and educational reform which focus on outcomes and outputs, accountability, efficiency and performance.

Programme 2 of the five-part Tirisano programme focuses on the issue of school effectiveness and educator development. The new national policy on WSE was released with the intention of contributing towards achieving Programme 2. However, the origins and impetus of WSE must be seen more broadly, and in the historical context of school supervision in South Africa.

It is critical at this point to remind ourselves of the South African model of supervision pre-1994. In the apartheid era there existed not *one* system with 19 different racial and ethnic departments, but 19 *different* systems. In most of these systems there were specific "panels for inspection" which consisted of an *ad-hoc* group of departmental officials who were generally not specialists in any particular field. In the new model (WSE) it is proposed that only specialists who have accreditation and who have been registered as supervisors should form part of the evaluation panel.

Inspections started off as quality control measures but later slipped into controlling instruments giving rise to numerous complaints about nepotism and victimization (Lucen, 2003, p.11). A criticism levelled against this type of supervision was that it was not system-wide, organized, or professionally executed. It was generally regarded as a political instrument for ensuring conformity with the ideology of apartheid. The inadequacy of existing systems of school supervision and evaluation is one of the main reasons for the emergence of WSE.

Given the limitations of "inspection panels", matriculation results have been used as the only indicator of school effectiveness. It appears as if the consistently low "matric" results might be another reason for embarking on the WSE. An article in the Sunday Times [5] newspaper (1999) titled the "Schools of Fame and the Schools of Shame" clearly exposed schools which were achieving and those which were underperforming. Comprehensive 'lists' of schools falling into these categories were published in national newspapers. Government generated these lists as a public measure of accountability and a point of political pressure on schools to 'perform'. This push for external accountability through internal improvements further explains the emergence of WSE.

There was also growing discontent regarding ineffective schools coupled with negative media coverage of educational dysfunction in public schools (DoE, 2001b). The subsequent political pressure on government to intervene effectively in this context of dysfunctionality may therefore be seen as another reason for the introduction of the WSE policy by the DoE (Lucen, 2003, p.12).

[5]Sunday Times is a leading newspaper in South Africa with a readership of over a million

Whole School Evaluation was crafted as a 'top-down' quality assurance initiative which had to be reworked to incorporate the DAS in an Integrated Quality Management System. According to the Department of Education (DoE,2001c), all quality management initiatives should be planned together with schools, and aligned in a coherent way to avoid duplication, repetition, and an unnecessary increase in workload.

In order to improve the quality of education in South Africa, the government has used the concept of quality management to underpin many policies. To ensure the quality of education in this country the government introduced a policy called the Integrated Quality Management System (IQMS). IQMS is an integration of three quality assurance policies, Development Appraisal, Whole School Evaluation and Performance Measurement. These policies cannot be separated when they are implemented. The preamble of the IQMS Collective Agreement Number 8 is that the main objective of IQMS is to ensure quality in public education for all, and to constantly improve the quality of teaching and learning. (Education Labour Relations Council: Collective Agreement Number 8 of 2003). Quality Management seeks to monitor and support these processes.

The programmes which are in place in order to enhance and monitor performance of the education system are:

- Development Appraisal
- Performance Measurement

- Whole School Evaluation
- Integrated Quality Management System

The purpose of Development Appraisal (DA) is to appraise individual educators in a transparent manner, with a view to determining areas of strength and weakness, and to draw up programmes for individual development. The purpose of Performance Measurement (PM) is to evaluate individual teachers for salary progression, grade progression, affirmation of appointments and rewards and incentives. The purpose of Whole School Evaluation (WSE) is to evaluate the overall effectiveness of a school, including the support provided by the District school management infrastructure and learning resources, as well as the quality of teaching and learning.

The philosophy underpinning the Integrated Quality Management System (IQMS) is based upon the fundamental belief that the purposes of QMS are fivefold:

- To determine competence
- To assess strengths and areas for development
- To provide support and opportunities for development to assure continued growth
- To promote accountability
- To monitor an institution's overall effectiveness

It must be stated that performance and accountability feature prominently in the philosophy underpinning the Integrated Quality Management System (IQMS).

The main purposes of the alignment process of the Integrated Quality Management System is to enable the different QMS programmes to inform and strengthen one another, to define the relationship among the different programmes of an Integrated Quality Management System, to avoid unnecessary duplication in order to optimise the use of human resources, and to ensure that there is ongoing support and improvement to advocate accountability.

One of the features of this model for the implementation of an Integrated Quality Management System, Development Appraisal and Performance Management is that it must inform and strengthen Whole School Evaluation.

Innovations are neither developed nor implemented in a vacuum. It has long been recognized that the policy context surrounding an innovation is a significant factor influencing its course. The artificiality of focusing on single innovations has been questioned, since they rarely appear conveniently in one single form (Bolam, 1982a; Fullan, Anderson, and Newton, 1986). Schools' staff are likely to face multiple innovations together with unplanned change, such as demographic shifts in population, which are likely to interact with the innovation at hand, especially with managerial innovations which are intended as a framework for stimulating and managing other innovations.

In terms of exploratory research into the management of multiple innovations, and the part played by interaction between diverse policies in the implementation of a single

innovation, Wallace (1996) suggests firstly that principals take the lead in the managerial task of juggling a continually evolving profile of innovations, regardless whether these originate inside or outside the school, and exist at different stages along the road from adoption, through implementation, to institutionalization or abandonment, alongside other changes and the other ongoing work.

This study does not, however, focus on IQMS, but on the implementation of the WSE in schools. The study has had to place WSE in context though, by seeing it in its position of inter-relation and connection to IQMS and other educational policy and innovations which are concerned with quality in education. The effect of these innovations indicates some mediation of 'quality assurance from above', and directs the study back again to the role of the principal who functions at the interface of state policy and the school context. His understanding and experience of the Whole School Evaluation as a quality assurance policy from above is critical.

A study of accountability from a school's perspective reveals that strong internal leadership is a key to developing an effective performance-based accountability system. The aim of accountability is to define and sustain good schools, while weeding out and improving the bad ones. Public school accountability, understood through educational bureaucracy, is often viewed as a series of rules, regulations, and constraints that stifle innovation and reform (Nathan, 1996).

According to Dubnick (2002), "Accountability has traditionally been regarded as the means used to control and direct administrative behavior by requiring "answerability" to some external authority", while Lander and Ekholm (1998) argue that too much accountability results in a reduction of professional commitment and autonomy. According to Lander and Ekholm (1998) policymakers' "view of evaluation is more as a means of gathering information and achieving control rather than as a tool for school improvement". Schools which strive to use evaluation as a means of school improvement are likely to have their efforts negated by the predominant notion of evaluation as management orthodoxy.

However it is clear from the discussion here that evaluation, and its modest contribution to school improvement, may well get lost in the struggle between the social technology of teaching and the running of schools. If evaluation as management becomes too dormant, it is likely that teachers will administer the death to the whole idea of evaluation as improvement (Lander and Ekholm, 1998).

1.8 Whole School Evaluation: The Policy

1.8.1 Key Proposals contained in the Policy of Whole School Evaluation

In this section the key quality assurance systems and individual considerations are highlighted.

The key proposals in the policy are:

1) That schools will conduct self-evaluations based on nationally accepted criteria. It is the responsibility of the school principal to undertake the school's self-

evaluation activities, as well as to identify an evaluation co-ordinator to liaise with the monitoring and evaluation team which visits the school.

2) That well-trained supervisors will conduct an external evaluation of the school. A pre-evaluation visit will first be carried out by an accredited supervisor to build a profile of the general level of functionality of the school.

3) That nine key areas will be evaluated. The nine focus areas identified are: basic functionality of the school; leadership, management and communication; governance and relationship; quality of teaching and learning; curriculum provision and resources; learner achievement; school safety, security and discipline; school infrastructure, and parents and community. The supervisory team will consist of accredited supervisors balanced across all nine focus areas.

4) That the number of supervisors will depend upon the size of the school and the resources of the school. Reviews will be conducted between three and four days of the week depending on the size of the school. If there is an urgent need to set the school on an improvement course, then follow-up surveys will be conducted within 6 to 9 months of the whole school review.

5) That multiple sources of evidence will be used to enable valid and reliable judgements to be made and sound feedback to be provided, both to the schools

and to decision-makers. There are nine specific detailed instruments that will be used in the evaluation of schools.

6) That when summarizing the scores on the various aspects evaluated, the overall school performance will be rated using the following scale: 5 (Outstanding); 4 (Good); 3 (Acceptable, needs improvement); 2 (Unsatisfactory); 1 (Acceptable); and 0 (Grade is Irrelevant or Inapplicable).

7) That the supervisory team will present the school with an overall report in a recorded meeting before they leave the school. A written report will then be submitted to the District Office and the school within four weeks of the evaluation. If schools believe that they have been unfairly evaluated, they can register their complaint with the office of the Head of Department. The National Department will act as the final arbiter in any complaints procedure.

8) That the evaluations are linked to a development strategy where each school will use its evaluation reports to develop its own development plans. The District Support Teams (DSTs) will assist schools to implement the recommendations of the evaluation reports through school improvement planning. School evaluation reports and improvement plans should lead to district, provincial and national improvement plans which address areas needing improvements within specified time-frames.

The WSE policy monitoring and evaluation process "is regarded as vital to the improvement of quality and standards of performance in schools" (DoE, 2001c, p.7). It is therefore a tool, both for the improvement of a school's performance, and for more effective accountability of the school system. The purpose of this policy is not to look at the individual aspects of the school but to look at the school as a unit. The prescribed model is expected to be supportive and developmental rather than punitive, with a built-in feedback mechanism that enables schools and their support structures to agree on improvement targets and developmental plans. WSE, which also involves multiple stakeholder roles, will have to be implemented together with other competing policy influences in schools; therefore there is a need to understand how this policy will unfold given this context.

1.9 Limitations of the Study

- One of the limitations of this research is that the study focused on four primary schools and two secondary schools implementing Whole School Evaluation and therefore the results will not be universally generalisable.
- Research was conducted on six schools in the Durban South Region, which may not be representative of other provinces, circuits or regions.
- The issue of Whole School Evaluation is ongoing, and this study captures only a certain period.
- The study only focuses on the perspectives of school principals, and those of school management teams and educators.

- Another limitation pertains to the choice of the schools. Since WSE was only conducted at specified schools identified by the Department of Education, the researcher had to select from a list of schools identified for Whole School Evaluation.
- Only short-term changes and effects will be captured, as the data for this study was collected over a one-year period. However, medium-term to long-term changes will only begin to surface after a period of at least two to three years of the implementation of the school development plan, and therefore cannot be reported on in this research.

1.10 Preview of Forthcoming Chapters

An overview of the chapters comprising this research follows below:

Chapter One, *Orientation and Background* is the introduction that sets out the background to the study, outlining the purpose, rationale and critical research questions. It discusses the emergence of the discourse of performance and accountability within the South African context, setting the stage for the policy context for Whole School Evaluation. This chapter also details the limitations of the study and provides an overview of the forthcoming chapters.

Chapter Two, *Review of Literature: Policy Implementation*. This chapter provides a literature review of the relevant available knowledge base on policy implementation, offering a synthesis of the literature framing the problems of policy implementation.

Chapter Three. *Factors impacting on Policy Implementation.* This chapter focuses on an analysis of the critical factors which impact on policy implementation and offers key insights into lessons learnt.

Chapter Four. *The Use of Evaluation Systems: An International Perspective.* This chapter focuses on trends and current thinking in the field of quality assurance and school evaluation, the purpose of which is to compare monitoring and evaluation strategies to illuminate innovations, successes and challenges with a view to improving the successful implementation of the policy of Whole School Evaluation in local schools.

Chapter Five, *The Methodological Frame* describes the research methodology in the enquiry. The researcher provides a detailed account of the research processes engaged in, and then discusses the development of the research instrument, the choosing of the sample, data-gathering, processing and analysis of the data.

Chapter Six, *Education Policy: The Case of WSE: An Analysis of the National Education Department's Policy on Whole School Evaluation* focuses predominantly on a critical documentary analysis of the policy of Whole School Evaluation, the purpose of which is to unpack the underlying managerial, psychological, instructional, political and epistemological claims, assumptions, gaps and silences in the National Policy of Whole School Evaluation.

Chapter Seven, *Policy Implementation in the School Context* presents the *findings* of the impact of the Whole School Evaluation policy on the management capacities of school principals. Statistical findings which inform the questionnaires are infused in this discussion.

Chapter Eight, *Synthesis and Thesis* draws on all the previous chapters, pulling together the main concerns of the research enquiry. It concludes with a full synthesis and recommendations for future research. Theories concerning change in the implementation of quality assurance initiatives paying particular attention to the policy of Whole School Evaluation are expounded, and a set of conclusions, suggestions and points of consideration is presented.

1.11 Chapter Summary

In this chapter I have attempted to explain the background to the study; outlining the purpose, rationale, critical research questions. The emergence of the discourse of performance and accountability within the South African context, and the provision of the policy context for the WSE with the specific purpose of locating the policy on WSE within a growing governmental concern with performance (reflected in a suite of evaluation-related policies which seek to raise the standard, improve quality and evaluate "performance" against specified outcomes) will be explained. The chapter concludes by discussing the limitations of the study and an overview of the forthcoming chapters.

In the next chapter, a literature review of the relevant knowledge base on policy implementation is provided, offering a synthesis of the literature framing the problems of policy implementation.

CHAPTER TWO

REVIEW OF LITERATURE: POLICY IMPLEMENTATION

2.1 Introduction

In this chapter I engage in a critical synthesis of the relevant knowledge base of the literature on policy implementation, which sets the stage for the inquiry into the policy implementation debates. I also examine the definition of implementation research, and outline the origins of policy implementation research. An overview of policy implementation in developing countries, and policy implementation in the sub-Saharan region is undertaken. In this chapter I identify implementation models and finally draw on the information gleaned from the literature surveyed on policy implementation, in order to obtain key insights into policy implementation and practice. A review and consultation of the available relevant literature is necessary, not only to contribute valuable information to my own research, but also to enable me to discern what gaps there may be in current literature, and to address these issues, so that this thesis may hopefully bridge some of these areas in this field of study. The identified focal areas arise as a response to the critical research questions of this study which are directed towards a critical analysis of the National Policy on Whole School Evaluation, and the impact of this policy on the management capacities of school principals.

2.2 Defining Policy Implementation

In this section I clarify definitions of policy implementation reviewing four contending definitions.

According to Fowler (2000, p.270), implementation is the stage of the policy process in which a policy formally adopted by a government body is put into practice. Nakamura and Smallwood (1980) define it as "the process of carrying out authoritative public policy directives". Fullan (1998, p.217) defines the term 'implementation' as "what was happening (or not) in practice". According to Fullan and Promfret (1977), implementation refers to the actual use of an innovation or what an innovation consists of in practice.

For this research, all four perceptions of policy implementation are appropriate, as it is evident that the focus of each concept is to "put policy into practice". However, in this research I will adopt Fowler's concept of policy implementation to simply mean a process in which government policy is put into practice. Fowler's concept has been adopted because this is the most commonly held meaning of policy implementation in the South African context. As mentioned in Chapter One, the Whole School Evaluation policy is one of the innovations devised by the South African Dept of Education in terms of upgrading schools and improving the education system, which now forms an integral part of the more recent IQMS or Integrated Quality Management System.

A further probe towards a definition, namely, the meaning of success and failure with respect to implementation needs to be conducted here. It is perhaps tempting to think of implementation in either/or terms: either a policy is implemented, or it is not. The temptation should be resisted. It is almost impossible, even in developed countries, to find policies of far less significance which are implemented precisely as intended. There are probably few formally adopted policies that have no effects in practice or that have effects totally unrelated to or inconsistent with the original intention (Majone & Wildavsky, 1978). Thus it is more appropriate to think of success and failure as ends of a continuum, and to be prepared to assess policies in terms of degrees of implementation (Choguill, 1980). It is also important to recognize that a policy can be over-implemented, in the sense that its targets are over-fulfilled.

2.3 The Policy Implementation Problem

The national and international literature is replete with studies of policies that have failed to be implemented as planned (Louis and Miles, 1990; Miles and Huberman, 1984a; Grace, 1995; Mclaughlin, 1987, 1998; Giacqinta, 1998a; DoE, 2000a, 2001b). The most common flaw discerned in policy planning is usually cited as being a misjudgement of the simplicity of the actual implementation process (Haddad, 1995). Mclaughlin (1998, p.12) reminds us of the complexity of implementations in her findings on the well-known Rand Agent Study:

> "It is exceedingly difficult for policy to change practice, especially across levels of government. Contrary to the one relationship assumed to exist between policy

and practice, the nature, amount and pace of change at school level is a product of local factors that are largely beyond the control of higher – level policy-makers".

Revisiting these findings in the light of current changed practices and understandings reinforces some of Rand's findings, and suggests modifications in others. This reconsideration also underscores the essential contribution of teachers' perspectives as informants and as guides to policies, and suggests that the challenges lie in understanding how policy can enable and facilitate effective practice.

A comprehensive search of national databases (e.g. NEXUS database on current and completed research in Africa) and international data sources (Educational Resources Information Centre) was concluded to access the relevant literature. The literature was also generated from manual searches of existing policy journals available in South African libraries, and literature available at policy centres which does not ordinarily appear in scholarly journals (e.g. Centre for Education Policy Development). The literature focuses mainly on policy implementation in Europe and North America, with a reasonable literature base on policy implementation practice in African countries. This synthesis also includes Donors to African Education (DAE) and World Bank literature on educational reform in developing countries.

Undoubtedly, the discovery of the "implementation problem" came as a surprise to policy planners and analysts, since at that time the almost unanimous view among them was that public policies, once in place, were automatically implemented in full. Complexities and

uncertainties were at that time all associated with policy-making, *not* with implementation (Lucen: 2003, p.23). Lucen continues to suggest four main factors which contributed to this oversight.

Initially, policy-makers rely on their assumptions of the world as a 'rational' place, rather than the chaotic reality. In such a Utopian situation, a sound policy would meet no resistance in its implementation. Secondly, the policy-makers' intentions are primarily to have their policies adopted, and follow-up after the adoption phase is not considered. Thirdly, in the past, the study and analysis of the public policy system was not an organized activity which enjoyed attention. Finally, empirical data was not previously available for analysis, and, as Lucen indicates:

> "A comprehensive analysis of implementation requires that attention be given to multiple actions over an extended period of time, thus involving an enormous outlay of time and resources. It was perhaps for this reason, above all, that the discovery of implementation as a major issue did not emerge until the 1970s" (Lucen: 2003, p.23).

2.4 The Growth of Policy Implementation Research

According to Firestone & Corbert (1988) implementation research grew out of practical concerns. In the 1950s and 1960s, the federal government of the United States of America wanted to know if the money it invested was achieving the intended results. Quantitative evaluations of these programmes resulted in statistical findings that were puzzling. Researchers then decided to use qualitative research methods to observe what

was actually going on at the programme sites. Their statistical results were confusing, because many programmes were non-events. No change was experienced because, quite simply, nothing was happening. This discovery stimulated research on implementation itself (Firestone & Corbett, 1988). On the other hand, in developing countries, the primary impetus came from the numerous five-year-plans for national development adopted in the "First Development Decade".

Also, in the early 1970s, it became clearer that with new inter-governmental initiatives, implementation was no longer just a management problem confined to relations between a boss and a subordinate, or a teacher and principal, or even to processes within a single school. Implementation of education policies stretched across levels of government, from national education ministries to local districts and schools, as well as across the legislative, executive and administrative agents of government. As officials developed responses to the new education policies, the complexity of policy implementation was revealed.

2.5 Policy Implementation Research: The Generation Debate

Implementation research that developed may be divided into two generations, although a third generation of research originated based on a blending of, and a reaction to the first two generations of policy implementation research. I intend to provide a background to all three as they inform my own approach.

2.5.1 First Generation Policy Implementation Research

The first generation began to appear in print in the early 1970s; the second in the late 1970s. The first generation research indicates that implementation is difficult, and that policies are implemented only if the implementers are willing and able to work hard to put them in place. First generation research also suggests why policy implementation fails. The research conducted by Gross *et al* (1971) at Cambire School (pseudonym) in New England, highlights many of the reasons for implementation failure. Firstly, implementers did not understand what they were supposed to do. A second problem revealed by the first-generation implementation literature is that implementers often lacked the knowledge and skills necessary to implement the policy. Finally; first-generation implementation research underscores the critical importance of resources (i.e. both materials and time).

2.5.2 Second Generation Policy Implementation Research

The research of the second generation also suggests that the implementation is difficult, and that many policies, perhaps most, are never really implemented. Instead, a watered-down version is put in place, and sometimes nothing changes at all. Unlike the first-generation research, the research of the second generation is more positive, however, and suggests that implementation is possible. Although in successful implementation "Mutual Adaptations" occur involving changes in both the implementers' behaviour and in details of the policy design, the new policy does take effect (McLaughlin, 1976). Most importantly, second generation research suggests why some implementations succeed whereas others fail. Second-generation researchers have used carefully constructed

quantitative and qualitative research designs to isolate the characteristics of strong and weak implementation.

The first generation of implementation analysts discovered the problem of policy implementation – the uncertain relationship between policies and implemented programs, and sketched the broad parameters of the situation. The second generation research began to unpack implementation processes, and to zero-in on relations between policy and practice.

2.5.3 Third Generation Policy Implementation Research

Both generations of implementation research, although emanating from different time periods, are still very current, providing policymakers and implementers with valuable insights.

Together, these examinations generate a number of important lessons for policy, practice, and analysis; for example, policy cannot always mandate what matters to outcomes at the local level; individual incentives and beliefs are central to local responses; effective implementation requires a strategic balance of pressure and support; policy-directed change is ultimately the problem of the smallest unit.

These lessons frame the conceptual and instrumental challenge for a third generation of implementation analysts, integrating the macro-world of policy-makers with the micro-world of individual implementers. But these are all developments to which research in

developing countries, and particularly research on education in developing countries has made a negligible contribution. Almost all of the progress toward the development of appropriate frameworks and testable hypotheses has developed from the basis of research conducted on the policies in western countries, particularly in the United States.

A major challenge for the next generation of policy implementation research will be to apply the lessons of the past implementation studies in building a more powerful conceptual framework and, at the same time, producing more useful information for policy-makers. The focus must be on the notion of alternative methods, or the mechanisms that translate substantive policy goals into concrete actions.

Taking into account the somewhat negative response of First Generation Policy Implementation, restructuring, and tempering this with the more positive reaction of the Second Generation research, and then incorporating the information from the Third Generation research which is more conceptual and instrumental, it is possible to gain a fairly holistic approach to the research with which this study is concerned. As this study's primary goal is to analyse a policy which was implemented in certain schools, and its resulting impact, it is vital to consider the theoretical examples provided by such literature, as well as the practical input obtained by the researcher in the form of data.

This particular study lends itself to a third generation approach, although some intersection with second generation research also occurs. As my study will go on to examine and substantiate the theory that a 'one-size-fits-all' policy is not suitable for

implementation in a country with such diverse circumstances and local conditions, and to suggest that decentralisation of control regarding standards of quality would enable local needs and conditions to be accommodated, third generation research, which acknowledges the effect that local variances have on policy implementation and success, seems the most suitable.

To adapt and include all circumstances and differing needs, an approach is required which is flexible, forming and re-forming itself as needs dictate, rather than a fairly rigid set structure which implies conformation (a one-sided activity) rather than interaction (a reciprocal activity). Intuitively therefore, rather than in a designed and planned format, the research for this study has been influenced by a third generation research approach, although the background of both the first generation and second generation have provided a platform on which to build the structure formed by my research.

2.6 Experiences in Implementing Policies

Implementation analysis identifies specific implementation models and factors impacting on policy implementation and is dominated by two broad and competing models. Here I will offer a comparison and discussion of both models.

2.6.1 The Planning and Control Model (Majone & Wildavsky, 1978)

Although I have titled this section 'The Planning and Control Model', this model has also been referred to as the research, development and diffusion (RDD) model (Havelock & Huberman, 1977), the rational model (Jones, 1982) or the top-down model (Hambleton,

1983). Whatever the label, the model can be thought of as the Weberian notions of bureaucratic rationality long identified with public administration in order to take fuller account of possible barriers to policy implementation (Craig, 1990). This model judges the success of implementation by the degree to which a policy is actually put into practice, or by the degree to which the effects of a policy match the planned or intended effects. It assumes the policy embodies clear and consistent objectives, that the administration is neutral, well-informed, and that the implementation is an entirely separate enterprise that occurs after a policy is formulated. Resistance from individual or organized groups is commonly attributed to unwarranted selfishness or to irrationality. In sum, if a policy and a target population come into conflict, it is expected that the latter give way. The policy remains inviolable.

2.6.1.1 Limitations

These include the "hyper-rationality and technocratic" nature of the model and the fact that the model is often seen as linear and hierarchical. This model has been regarded as being completely insensitive to the complex and unique properties of school cultures partly because of its failure to recognize that people faced with changes respond differently to different initiatives; therefore planned change is seldom achieved as anticipated.

The model is based on the assumption that people have to be forced, controlled and directed towards achieving goals. It is also limited by the fact that success is recognised only in terms of direct fit between policy and practice.

2.6.2 The Mutual Adaptation Model (Berman & McLaughlin, 1978)

This competing model also appears with different labels such as the process model (Fullen & Pomfret, 1977), the interaction model (Majone & Wildavsky, 1978), the political model (Jones, 1982), the "implementation game" model, (Bardach, 1977), the participative and self-help model (Havelock & Huberman, 1977) and the bottom-up model (Hambleton, 1983). In this case, it is inappropriate to describe a pure form or ideal type, since central to the model is an emphasis on the messiness, uncertainties and unintended consequences which characterise the implementation process. Scholars in this camp do not automatically assume that the administration in question is disinterested or adequately informed. They tend to see individual and group resistance to policies as rational rather than irrational, and the focus on the interaction of competing interests, the conflict, compromise, and negotiation transforms policies in the course of their implementation. Adherents of this model favour muting the distinction between policy formulation and policy implementation, arguing that conflict over implementation is often a continuation of other means of earlier conflict due to the contestation of the substance of a policy.

2.6.2.1 Limitations

Although this model exhibits positive qualities such as emphasizing messiness, uncertainty and unintended consequences, and there is no assumption that administration is disinterested or adequately informed, and individual or group resistance is perceived as

rational, and, while the model focuses on interaction of competing interests, conflict, compromise and negotiation, it also displays several limitations.

The weaknesses of this model are that it is time-consuming, and in instances where there is already a political mandate for a policy to be implemented, there is usually no time for this process. Another limitation is that although the policy is designed after extensive consultation with role players at the various levels and in various contexts, it is extremely difficult to design a policy that will be equally effective in the varying contexts.

This also indicates why a third generation research approach is most compatible with this particular study, as the aforementioned format provides room for inclusion and consideration of variances inherent in situations due to locality and community.

2.6.3 The Radical or Political Economy Approach

The third perspective is the radical or political economy approach which sees a preoccupation with implementation as misguided, if not intentionally deceptive, in that it largely assumes away the systemic, structural relationship that shape and constrain the societal development.

Optimistic proponents of this perspective see change as possible, but not through the implementation of specific policies directed at social engineering. What is needed is a direct assault on structural and institutional obstacles to change, for example, prior

economic and political changes are necessary conditions for any serious effort at reform (Papagiannis, Klees & Bockel, 1982; Simmons, 1980).

2.6.3.1 Limitations

This approach, however, sees a preoccupation with implementation as misguided, and the limitation here is that, as my study will prove, implementation needs a tremendous amount of planning, preparation and strategy to ensure that it proceeds effectively and smoothly.

2.6.4 Understanding models

An understanding and awareness of these models puts us in a better position to evaluate and develop the implication of the theoretical studies that have been produced on policy implementation in sub-Saharan Africa, and also makes it easier for us to comprehend the disparate and conflicting perspectives of the individuals responsible for, or affected by these policies.

This relates to my study in that it indicates that there is no single perfect model by which the burning issues of policy implementation can be satisfactorily addressed. It shows further that, as my research will emphasise later in the study, the facts prove that what works wonderfully in theory (as per any specific model) is subjected to many more pressures which cause these models to display their weakness under stress.

2.7 Implementing a New Government Policy: Insights obtained from the Literature

2.7.1 Policy Adoption

It is also essential to probe the main reasons for adopting a policy. The first of these is that a policy may help solve a well-recognised problem, and the second is to build the capacity of the implementer so that s/he can introduce other changes. Linked to this is a need for establishing the appropriateness of a new policy. According to Fullan (1991), it is difficult to determine which of the many possible changes are suitable for the specific context within which one operates. A third important issue to consider is an assessment of the level of support that the proposed policy enjoys (Berman & McLaughlin, 1978; Fullan, 1991). The policy adoption process itself should include ongoing dialogue with all the individuals who will be involved in the implementation process. Lack of involvement of the major implementers in the adoption of policy is a key reason for resistance. Some implementers may have been persuaded, whilst others will suggest modification to the change proposal. Although leaders must be careful not to midgetise the policy change (Miles & Huberman, 1984a), all policy implementation involves some mutual adaptation between the policy and the setting (Mclaughlin, 1998). Such negotiations are important to the adoption process. The onus is on the leaders at this stage to listen carefully to what other stakeholders say. As Fullan (19910, p.95) observes: "Educational change is a process of coming to grips with the multiple realities of people, who are the main participants in implementing change. The leader who presupposes what the change should be and acts in ways that preclude others' realities is bound to fail".

On the other hand, a leader who is planning to resist a policy must be clear as to whether the policy is symbolic or not. Symbolic policies are adopted for purely political rather than for substantive reasons (Fullan, 1991) and implementation fails. Even though symbolic policies are adopted, it does not mean that anyone cares much about their implementation, which is often *pro forma*, poorly planned, underfunded, and understaffed (Fowler, 2000). However, if the new policy was motivated by substantive reasons, then resistance becomes a serious issue. Motives for resistance include commitment to philosophical, professional or religious principles especially not that it directly relates to the interest of the learners. Issues of self-interest must be carefully analysed to determine if *bona fide* conflicts of interest exist, and if the best interests of the learners do not outweigh one's personal self-interest. It is possible for resistance to force the abandonment, or major amendment of a policy. In most instances, opposition changes nothing; the power balance is such that implementation rolls right over all resistance (Grace, 1995). Only after the proposed policy change has gone through this transformative process should leaders move to adopt it officially.

2.7.2 Planning for Policy Implementation

Once a policy has been adopted, the leader must plan for implementation, but must be cautious not to overplan (Fullan, 1991, Louis and Miles, 1990). McGinn (1979) asserts that "the model of planning" which Louis and Miles refer to as "*evolutionary planning*" means that there is a plan for the first weeks of implementation, and as the project evolves, this plan should be revised and adapted to meet the changed circumstances. Representatives of key stakeholder groups should be involved in the planning process.

According to Weimer and Vining (1992) planning by forward mapping allows for the identification of needs ahead of time. With *rational planning* implementation however, implementation is expected to proceed as the plan directs. Fullan (1991) maintains that there can be no blueprints for change.

At this point it is critical to give attention to restructuring and reculturing during the process of implementation. Restructuring involves changing behaviours, roles and relationships by changing organizational structures. Three reasons are offered by Elmore (1995) as to why attention is to be focussed on changing structures. These include:

- Changing a highly visible fixture in a school signals that something important is happening. Disrupting established patterns means that the reformers are serious about change.
- Reformers like to change structures because they are easier than other candidates for change.
- Reformers like to change structures because they believe that structures exert a strong influence over their work, and that structural changes can remove barriers to learning for students, and encourage alternative approaches to teaching.

Reculturing is the process of developing new values, beliefs and norms. "For systemic reform it involves building new conceptions about instruction .... and new forms of professionalism for teachers" (Fullan, 1996). Reculturing also requires schools to deal with the micro-political aspects that influence the institution (Ball, 1987). Restructuring has to be balanced with reculturing.

2.7.3 Gathering of Resources

The third step of mobilising for policy implementation is gathering resources. A frequent cause of implementation failure is the lack of or unwise allocation of resources (Fullan, 1991; Louis & Miles, 1990; Miles & Hauberman, 1984a; Reynolds and Teedlie, 2000). Funds are an important resource, and sufficient funding must be ensured for the implementation process. Time and personnel are other crucial resources (Fullan, 1991; Louis & Miles, 1990; Prestine and McGreal, 1997; Reynolds & Teedlie, 2000).

2.7.4 Stages in the Implementation Process

There are two stages in the implementation process viz, early implementation and late implementation.

2.7.4.1 Early Implementation

The key characteristic of this stage is that the implementers will most likely feel overloaded, tired, anxious and sometimes confused. Miles and Huberman (1984a) found that adequate preparation and provision of resources in the mobilisation stage could overcome these difficulties. In-service training and other assistance throughout early implementation also helped. A negative way to assist teachers would be by responding to complaints by agreeing to downsize the magnitude of the required policy change. Such "midgetising" eliminated most of the potential headaches, but also threw out most of the potential rewards (Miles & Huberman, 1984). A smooth early implementation is actually a "bad sign" (Miles & Huberman, 1984a). Ultimately, there are three predictors of success: firstly, a rough start, secondly, pressure by the leaders to continue with the

implementation and, thirdly, ongoing assistance. A combination of both pressure and support is key to surviving early implementation.

2.7.4.2 Late Implementation

In this case two scenarios are considered, namely, late implementation in failed projects, and late implementation in downsized successful projects. When policy implementation fails, the implementers are usually disappointed and discouraged. Many will revert to their earlier practices - if they had abandoned them in the first place. The problem that accompanies this is that when leaders suggest new policies they will be met with cynicism, the usual legacy of a failed implementation (Miles & Huberman, 1998a; Louis & Miles, 1990; Prestine & McGreal, 1997).

Midgetised implementation often enters the late implementation stage after five or six months. Truly successful implementations do not mature to this stage until after eighteen months have elapsed (Fowler, 2000). When this occurs, the implementers feel comfortable with the new policy and proud of their accomplishments. They may even adapt the policy for a different student population, or use some of its features in other parts of the curriculum. At this stage problems are less frequent, and not as severe as in the early implementation. Problems do still, however, exist. Louis and Miles (1990, p.272) caution that:

> Implementation of serious change ....is a problem-rich enterprise ... Problems of the programme itself are easiest to solve; 'people problems' come next; and 'setting' problems of structures and procedures are most difficult to solve.

Problems may still exist in the late implementation stage which will need to be solved if the policy is to be successfully institutionalised.

Successful implementation is dependent on three components from beginning to end. Firstly, monitoring and feedback, secondly, ongoing assistance, and thirdly, handling of problems. There has to be rigorous monitoring and feedback by the principal/leader. Presence of leaders at the site, questions about progress, and words of encouragement will signal to implementers the seriousness of their efforts (McLaughlin, 1987). In addition, there should be ongoing help which should be "intense, relevant to local needs, varied, and sustained" (Louis and Miles, 1990). The problems that are encountered, as already stated which could be programme-related, people-related or setting-related are the most difficult to address (Fowler, 2000). Successful leaders are those who detect problems early, converse with implementers for possible solutions, and do not look for someone to blame. Louis and Miles (1990) suggest three broad coping strategies that can be used. Technical strategies involve analysing the problem and making resources available. Political strategies involve mobilising power to force people to act in a particular way, whilst cultural strategies focus on shared values and beliefs.

2.7.5 Institutionalisation of the Policy

The final stage is that of institutionalisation of the policy. This is the period during which an innovation is incorporated into the organisation (Hopkins, 1996; Fullan & Steigelbauer, 1992; Fowler, 2000). A policy is only institutionalised when it becomes

integrated into the routine practices of the school or district. Leaders have to modify formal procedures of the organization to accommodate the policy change permanently. Institutionalisation may be seen as the third phase of implementation, but in practice, it overlaps with late implementation and is rarely accomplished all at once - it usually a piecemeal process.

This section has presented an analysis and explanation of specific implementation models, reasons for adopting a policy, and obstacles or resistance to the implementation of a policy, as well as methods for coping with such trends. In considering this, the various stages of policy implementation have been identified, and possible ingredients for the successful implementation of policy have been focused on.

2.8 Policy Implementation: A Theoretical Perspective

In this section I present the van Meter and Van Horn Model (1995) of policy implementation for two reasons. Firstly, it provides considerations on a theoretical basis for policy implementation and, secondly, it shows the different variables impacting on policy implementation. I also present the model proposed by Lucen and developed for continuing teacher development. The Van Meter and Van Horn (1975) theoretical framework gives primary attention to the literature on organizational change and control in developing a framework. They argue that policies are classified according to two distinguishing characteristics, that is, the amount of change involved, and the extent to which there is goal consensus between the participants in the implementation process.

Incremental changes are more likely to engender a positive response than will drastic ones (Van Meter & Van Horn, 1975; Pressman & Wildavsky, 1973).

Several factors affect goal consensus – and thus, implementation. According to Gross et *al* (1971), participation leads to:

- higher staff morale which is necessary for successful implementation;
- greater commitment, as a high degree of commitment is required for effecting change;
- greater clarity about innovation; and clarity is necessary for implementation;
- a beginning with the postulate of basic resistance to change, the argument being that participation will reduce initial resistance and thereby facilitate successful implementation; and
- co-operation, as subordinates will tend to resist any innovation that they are expected to implement if it is initiated solely by their subordinates.

The combination of the two sets of factors described above produces a typology of policies as reflected in figure 2.1.

Based on this, Van Meter and Van Horn suggest that when only marginal change is required and goal consensus is low, the prospects for successful implementation will be most doubtful. Similarly, major change/high consensus policies will be implemented more effectively than policy involving minor change and low consensus expecting that

goal consensus will have a greater effect on the policy implementation process than will the element of change.

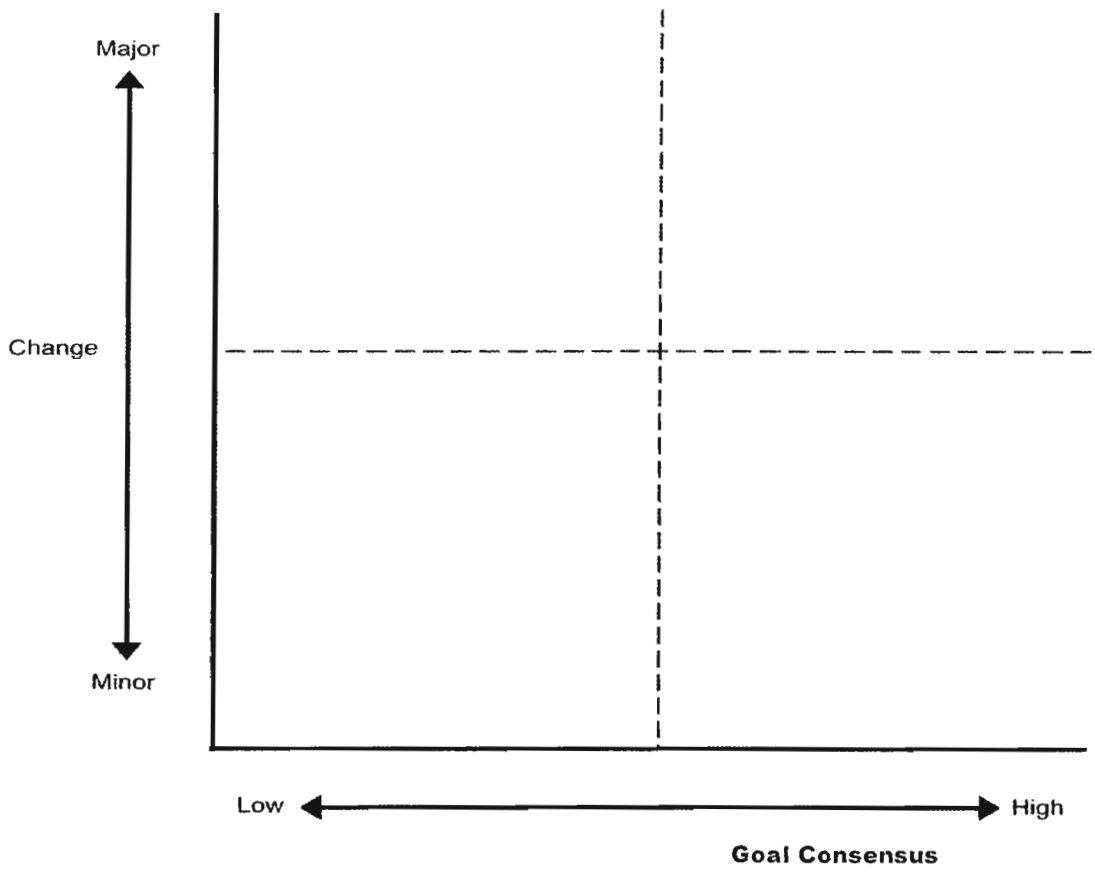

FIG. 2.1 Dimension of policy affecting implementation (Van Meter & Van Horn, 1975)

Using the theoretical perspective explained above as in Van Meter and Horn (1975), I present a basic model (depicted in figure 2.2) that posits six variables which shape the linkage between policy and performance. The model not only specifies the relationships between the independent variables and the ultimate dependent variables of interest, but also makes explicit the relationships among the independent variables.

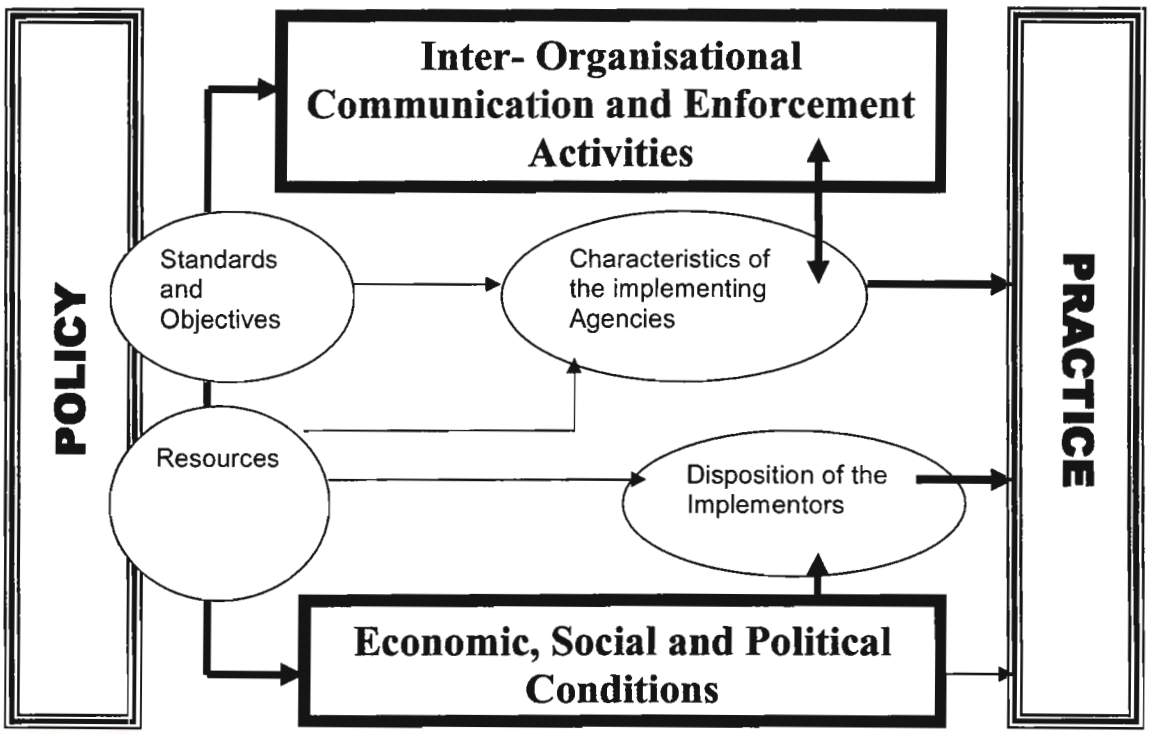

Figure 2.2 A Model of the policy implementation process (Van Meter & Van Horn, 1975)(Adapted)

The model advanced here has several noteworthy features. A positive contribution of the model is that it delineates several factors that shape the linkage between policy and

performance, and specifies the relationship between these independent variables. Furthermore, it aids in the description of the policy implementation process. This model is relatively complex, and I believe that an examination of its several linkages will lead to a more systematic explanation of policy performance.

On closer observation of the above model there is one major criticism that can be levelled. The model appears to be too linear. As in the case of other linear models, the usability and applicability of the model is often debated.

There is usually not a direct translation, but more a negotiation, between the many policy implementation expectations on the one side, and schools and teachers on the other (Ottevanger, 2001). Several factors, as have already been shown, influence implementation of a new policy (See Fowler, 2000; Fullan, 1991,1998; Giacquinta, 1998, Dyer, 1999; McLaughlin, 1976,1987,1998; Prestine & McGreal, 1997; Grace, 1995; Hargreaves, 1994,1998; Hopkins *et al*, 1994, Ainskow & Hopkins, 1992; West, 2000; Stoll & Fink, 1994; Hopkins, 2001b; Harley *et al*, 1999; Miles and Huberman, 1984a, Louis & Miles, 1990; McGinn, 1979; Reynolds & Teedlie, 2000; Elmore, 1995; Ball, 1987; Weimer & Vining, 1992). One of these factors concerns the characteristics of the change, that is, the need, clarity and complexity of the change. Another factor, which is especially important, is the degree to which the staff and the community support the policy that is to be implemented. Furthermore, the stimulating role of the principal, as well as the organizational structure of the school is of utmost importance in the implementation (Joyce & Showers, 1990; Hopkins, 1990, 1996, 2001b; Fullan; Elmore,

1995). Teachers' beliefs, their views on their new roles, level of training, expertise and professionalism are all important factors which influence policy implementation. Finally, there is also an important role for professional communities in the implementation process (Joyce & Showers, 1998; Mc Laughlin, 1998, Hopkins, 1996, 2001b).

These factors are incorporated in a framework for policy implementation developed by Lucen (2003) as presented in fig.2.3.below. Lucen (2003) in her study "Tracing the Implementation Trajectory of an Education Policy: The Case of Whole School Evaluation Policy" developed a Model (figure 2.3), which represents the three different evaluation policies and their focus areas. The overall expectation in the case of all three policies which are expected to be simultaneously implemented in schools, is that they will ultimately lead to school improvement.

The diagram presents implementation as the link between the intentions of policymakers on the one hand, and the policy effects on the other. Competing policy influences, stakeholder understandings, context, and professional learning communities impact directly on policy implementation, resulting in specific policy effects.

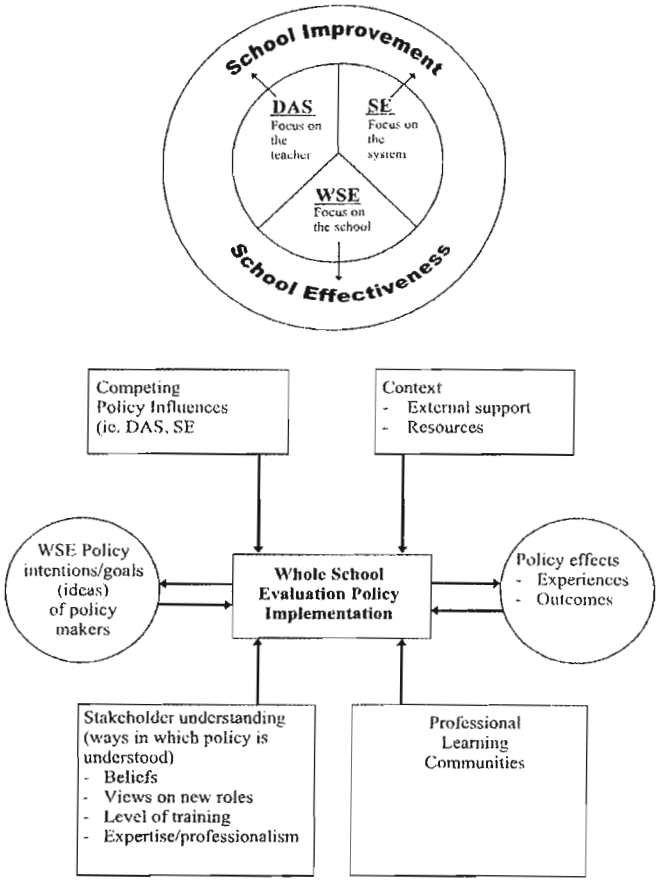

Figure 2.3: A framework for policy implementation

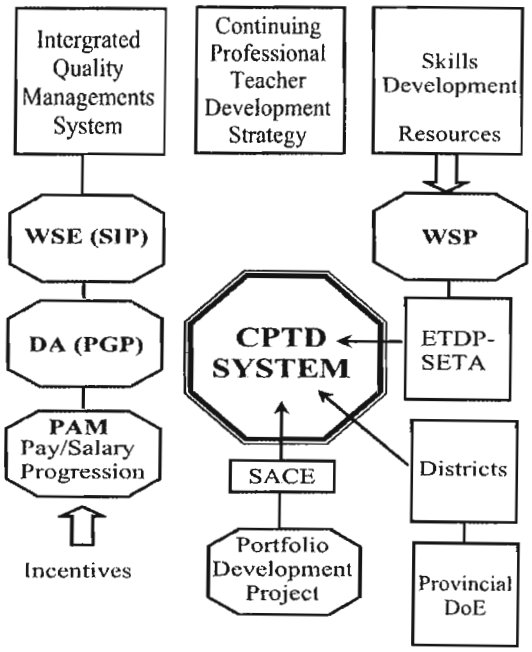

Figure 2.4 A Complementary System of Continuing Professional Teacher Development (developed by the Ministerial Committee on Teacher Education, 2005)

A complementary system of continuing professional teacher development has been developed. This is an all-encompassing model where the issue of performance features prominently. It is must be noted that the IQMS is built into this. However this model does not consider community input, the role of the commerce and industry sector and the necessary contribution of tertiary institutions.

Currently, a policy is being formulated ready for Gazetting to become a National policy which includes WSE, IQMS and CPTD giving credence to the fact that they can be viewed as complementary to one another and practically applicable in conjunction (Report of the Ministerial Committee on Teacher Education, 2005).

In studying the planning for implementation the Planning and Control Model, the Mutual Adaptation Model and the Radical or Economy Approach were discussed in terms of their positive and useful contributory factors, as well as the disadvantages of these approaches. In order to consider the theoretical perspective creating the foundational backdrop for this study, Van Meter & Van Horne's (1975) two models relating to Dimension of Policy affecting Implementation and Model of Policy Implementation were presented and discussed. Advantages and weaknesses of these were indicated and, following on from these models, the actual Framework for Policy Implementation was examined as per Fig 2.3 while a more holistic view was considered in presenting the model of the Complementary System of Continuing Professional Teacher Development.

2.9 Key Findings

There are four different perceptions of policy implementation, as described by Fowler (2000), Nakamura and Smallwood (2980), Fullan (1998) and Fullan and Pomfret (1977) which apply to this research, as it is evident that the focus is to 'put policy into practice'. It is an almost impossible expectation, however, that a policy will be implemented precisely as it was planned. Probing the reasons for adoption of a policy and establishing the appropriateness, as well as considering the level of support it is likely to enjoy would be the ideal approach in advance of implementation.

Policy implementation is not a guarantee of change of practice or perception. Several factors contributed to a myopia regarding the fact that policy implementation is a process fraught with problems. These included the assumption that the 'real' world functions as an ideal place in which theoretical concepts slide smoothly into place; the lack of depth of involvement and attention of policy-makers after policies have been adopted; the lack of or limitation of available scholarly research to enable an indepth study of public policy; data constraints.

Implementers will feel disillusioned while proceeding with their task, but many remedies are to be found, including adequate preparation in the mobilization stage, and in in-service training in early implementation, as well as effective communication. Successful implementation relies on monitoring and feedback, ongoing assistance and effective handling of problems.

Literature of policy focuses mainly on this process in Europe or North America, while research into policy implementation was generated in phases known as the "Generation Debate" and divided into First, Second and Third generation categories. Although the classic examples were the first two, the third was an amalgamation of and reaction to its predecessors. It is evident that a balanced approach to the study of policy implementation would have to engage with all these, bringing their different foci to bear on the subject.

2.10 Chapter Summary

In this chapter I engaged in a critical synthesis of the relevant knowledge base of the literature on policy implementation. I traced the origins of policy implementation research. Implementation models were identified and the theoretical perspectives for policy implementation were highlighted. I also drew on the information gleaned to obtain key insights into policy implementation and practice, focussing on how to implement a new government policy.

In the next chapter I engage in an analysis of the critical factors that affect policy implementation.

CHAPTER 3

FACTORS IMPACTING ON POLICY IMPLEMENTATION

3.1 Introduction

Whereas the previous chapter focused on models of understanding policy implementation, in this chapter I present an analysis of the critical factors which impact on policy implementation. A number of factors crucial to the policy implementation process are identified, and the relevance of the existing literature to these conditions is discussed. . The factors which have been identified will include political implementation, the policy message, administrative implementation, the experimental implementation, resource constraints and the client population all of which will be discussed individually. I will also present key insights into lessons learnt as a result of this process.

3.2 Critical Factors impacting on Policy Implementation

3.2.1 Political Implementation

'Top-down' approaches are defined as policies generated and disseminated by the state without consultation of the various stakeholders. The State as policymaker has been criticized because it has been unable to control the complex nature of organizational institutions and micro-politics operating at school level. The reality is different. One must not expect policies to be transferred smoothly into practice.

Jansen (1999) argued, for example, that very little research had influenced education policy formulation including decision-making after 1994. He advances many reasons for the disjuncture between research and policy formulation. These include:

- Educational research conducted in South Africa had been used to justify policy decisions.
- Educational research had been driven by external international consultants with different expectations.
- Commissioned research had been used to justify, or obtain confirmatory data to legitimize policy decisions.
- Many research topics conducted under the auspices of the Department were actually intended to 'rubber-stamp' state policy.

Jansen (*ibid*) strongly criticized this 'Top-down' approach to policy formulation for its narrow definition and its politically crafted conceptualisations. He believed that education policy makers must value research-based data from the lowest level (at school) to inform policy decisions and planning.

'Bottom-up' processing is a process of consultation that happens at the lowest level by bringing representative, community and stakeholder participation together during the policy formulation stage. The 'bottom-up' policy development refers to the process of dialogue between the practitioners and the policy-makers where the practitioners suggest, debate or offer what should be the ingredients of the policy to be enacted (Carrim, 2001).

De Clercq (1997, p.27) indicates that the ANC policy proposals on education restructuring "do not fulfill their promised intentions of bringing about greater development, equity, participation and redress". Many of the policies do not directly take care of the needs and interests of the majority. She also added that many educational policies fail, thus perpetuating the social and educational inequalities that existed during the apartheid era. This failure was due to a number of reasons:

- Education policies do not take cognizance of the context and dynamics taking place at grassroots level.
- Education authorities of the new government are not in a favorable position to generate and develop strategies to positively influence new developments in the reform process.
- Understanding policy in those countries undergoing transition in a similar manner to the socio-political context in South Africa was not attempted.
- No emphasis was placed on how to manage and monitor the implementation process.

De Clercq (1997, p.27) concluded that the new government has a fragmented understanding of the bureaucratic structures, processes, actions, and the link between intended policies and implemented policies. It is known from theory that there is a disjuncture between policy and practice. Policy formulation in South Africa since the advent of democracy in 1994 has been heavily underscored by the moral injunctions of restoration, renovation, renewal and redress. Landmark laws and regulations have been

promulgated which presage new non-discriminatory social arrangements, efficient administrative practices and participatory modes of governance in a range of public services. Education, not unexpectedly, given its place in the social engineering agenda of the apartheid government, has been a notable beneficiary of those processes (Soudien *et al*, 2001).

Jansen (1998, p.3) maintains that the lack of attention to policy implementation strategy is compounded by poorly-managed policy decisions. Jansen (1998, p.4) argues that the problem can be explained by the over-investment in the political processes underpinning policy. It must be stated however that Jansen (*ibid*) is not arguing that policy should be devoid of politics. This is impossible. Political commitment is an inescapable component of policy formulation and implementation. States everywhere invest political values and choices through policy. However, when the short-term political gains from elaborate policy declaration over-ride concerns about making such policies work in the interest of those marginalised in the education system; then policy needs to be queried.

Policy documents are generally interpreted as expressions of political purpose, that is, as statements of the courses of action that the policy-makers and administrators intend to follow. According to Codd (1988, p.237) the analysis of the policy document becomes a quest for the authorial intentions presumed to lie behind the text. It is a form of analysis which is frequently part of an instrumentalist approach to the whole policy-making process. Discrete functions are assigned to the policy researcher (who is the disinterested provider of information), the policy-maker (who produces the policy), and the policy

recipient (who interprets and implements the policy). The document itself is regarded as a vehicle for communication between these agents within the process.

In seeking to comprehend South Africa's education policy, the full panorama or landscape in which policy is implicated, or even present, must be digested, as Ball (1990, 1994) and Bowe *et al* (1996) have pointed out. This includes recognition of the continuities and discontinuities between policy generation and implementation, and, critically, the process of policy critique. The point is that policy is a site of interpellation in which a multiplicity of negotiations, formal and informal, and sleights-of-hand take place recursively. These are initiated at a point where policies are originated, are present in the moment of their inscription, are active when policies are mediated to the public, are signally present when they are implemented, and continue to shape the meaning of particular policies when they are subjected to critique in the academy or elsewhere. Policy is constituted and reconstituted within a continuum of activities and events, from the textual to the practical. Within these processes of constitution and reconstitution arise outcomes which are both intended and unintended. These are complex. As regimes of practice and trends they could be coherent in so far as the intended and the unintended are in alignment, or they could be structured in manifest contradiction. The contradiction could, moreover, present itself as the assertion of one or other hegemonic, ideological, or value framework (Soudien *et al,* 2001).

Successful school change on a wide-spread basis continues to be infuriatingly elusive. One reason is that educational change is not just a technical process of management

states have great difficulty collecting the data needed to design sound policies, particularly data from the rural areas (Wildavsky, 1986). Another constraint is that research and evaluation are commonly expected to show what the government wants shown, and no more (Levin, 1981; Levy, 1986). National leaders obsessed with strengthening their grip on power also dominate and distort policy-making by announcing reforms on their own initiative without consulting the responsible ministerial agencies.

The goal is to reap short-run political advantage either from the actual reform or, perhaps more commonly, from the very announcement of the reform (Nkinyangi, 1982; Saunders & Vulliamy, 1983; Stock, 1985). Policies adopted in this way are likely to enhance the regime's control or legitimacy. Such policies tend to fall into two overlapping categories: policies that are responsive to strongly-expressed public opinion, and policies that mobilize public resources that can be distributed selectively. (Urwick cited in Craig, 1990, p.32) has explained the logic in the latter case as follows:

> "Political leaders, through management of the educational system, are able to distribute a variety of benefits, both material and symbolic, to selected clients, and to vocal groups of potential supporters. These benefits, appointments and contracts, community prestige, the hope of personal advancement for staff employed and pupils certified, are exchanged for short-term gains in political influence. Not infrequently, the attractions of such exchanges to rulers cause outright distortions of educational policy in which professional advice and issues are wilfully ignored".

Attitudes and actions such as these are largely responsible for the deficiencies of policy design already discussed, and for the associated problems with policy implementation. Such reforms are nothing but exercises in the political posturing of obfuscation; political leaders have no real desire to see the reforms put into effect, and in the case of radical reforms may actually have cause to fear the consequences should the reforms succeed (Bray, 1981; Lulat, 1982; Nkinyangi, 1982). At this stage, the policy-making process in South Africa has been described as a struggle for the achievement of a broad political symbolism that would mark the shift from apartheid to post-apartheid (Jansen, 2001b). Therefore, a focus on details of implementation will not be fruitful, since it will miss the broader political intentions that underpin policy-making after apartheid (*ibid)*.

If innovative policies are to be successfully implemented, there is a need for sincere, strong and continuing support from political leaders, as this will help to break down the resistance that may come from the affected populations. The most appropriate strategy is to mount a propaganda campaign designed to publicise the policy and the rationale behind it and, perhaps, to create a mystique about the policy that may generate a bandwagon effect. As to the implementation agents, rhetorical devices may also be used to accomplish little unless accompanied by incentives for task-oriented performance (Bowden, 1982: Brett, 1986).

The issues at the core of the struggle in education are still those of power in the decision-making process and control over the distribution of resources in the system. However, in

the shift towards formulating reconstructive post-apartheid policy, the contest for power is one of the main priorities (Chetty *et al*, 1993, p.4).

The grids along which power flows in a new constitutional dispensation, and the social order which a constitution calls into being will undoubtedly affect the key questions about the nature of decision-making, and the allocation of resources in education. The education system, likewise, will embody the values which underpin a new social contract. As the focus of power and its distribution shifts in the relationship between state and society; policy will change. Policy is therefore an intangible evanescent substance (Chetty *et al*, 1993). The business of making public policy has not only received a new lease of life, but it has also required a sense of unprecedented urgency (Chisholm, 1992; Unterhalter *et al,* 2001).

New institutional arrangements have come into being with the purpose of policy analysis, policy studies and policy generation. The NEPI, an initiative of the National Education Coordinating Committee has set itself the task of investigating policy options as opposed to policy implementation, or making policy choices. The essential distinction being drawn here is between the political act of adopting particular policies and the generation of policy options.

The language created to describe this range of activities is beginning to reflect the complexity and the ambiguity of policy-related research. Policy actors, both researchers and constituencies, have created a specific discourse which is distinguishable from the

cruder ideological positions which have, until recently, dominated ways of representing and addressing fundamental issues in education.

One of the most powerful influences on the development of education systems is its prevailing political atmosphere. Education in itself cannot bring about change, but it follows the political and social trends of the country concerned (Van der Westhuizen, 2000). This is to say that the ruling political party in a country has a direct influence on the education system it controls; and directs and administers the education channels at all levels. It also exerts a direct influence on the content of education and its objectives, methods and character.

The "policy technologies" of the market, managerialism, and what Ball (2002a) calls "performativity" have given rise to politically attractive alternatives to state investment and ownership of public sector services such as education, and marginalized those who have traditionally acted as the intellectual guardians of schools and the teaching profession. An essential part of this new performance culture has been the rise of systems of individual and institutional audit, as teachers deal with a multitude of systems for monitoring their work, a prescribed and intrusive national curriculum, a semi-autonomous agency to regulate teacher supply and 'quality' (the Teacher Training Agency) and a national system of external inspection (led by the Office for Standards in Education – OFSTED) in the United Kingdom are among some of the most significant mechanisms.

Such technologies have led to a form of "regulated autonomy" for teachers and have given rise to the possibility of a "post-professional" future where notions such as ethical and moral responsibility, independent decision-making and critical judgement have been dissolved, and replaced by a docile, at times cynical, compliance.

A new kind of teacher and new kinds of knowledge are "called up" by education reform – a teacher who can maximize performance, who can set aside irrelevant principles or outmoded social commitments. Under a regime of performativity, identity depends on the facility for projecting discursive organization/practices, themselves driven by external contingencies (Bernstein, 2000: 1942 cited in Ball, 2002a).

For Ball (1998) and Shilling (1992), British sociology of education, still attached to its functionalist roots, has failed to elaborate and make accessible theoretical tools to enable many of those working in the field of education to move beyond the level of *ad hoc* policy analysis and policy prescription. Rather, the "ascendancy" of management studies (Shilling, 1992, p.77) has encouraged a "retreat from theory' in many areas of education, causing much research to be willingly subjugated into the discourse of "policy engineering", highlighting technically optimal strategies to what are, in effect, political problems. School effectiveness and school improvement research, with their focus on policy prescriptions rather than the generation of abstract and vigorous theoretical insight, are particular examples from the field of educational studies where:

> "The epistemic assumptions of order, structure, function, cause and effect are variously mobilized to represent "the social", and in doing so, exclude many of

> the mobile, complex, *ad hoc*, messy and fleeting qualities of lived experience. We become locked into the simple but powerful and very productive assumption that "the social" is susceptible to parsimonious and orderly totalizing conceptions" (Ball, 1998, p.265).

While Ball and others direct their criticisms at the increasingly influential fields of school effectiveness and school improvement, they nevertheless see the limitations of these fields as being increasingly typical of much Anglo-Saxon educational research, where "inquiry is replaced by belief; questioning by subjects becomes resistance; research is replaced by experience and common sense (and) data are replaced by anecdotes" (Ball, 1998, p.265).

The political nature of the policy process is important, not only in policy formation, but in implementation, evaluation and modification. Part of this is the idea that:

> "Change depends on the smallest unit in education, the teacher in his or her classroom, and people at all higher management levels. In fact, policies are seldom implemented as imagined, and a change in policy makes incredibly little impact on what actually happens in schools" (Malcolm, 2001, p.1).

The lack of attention to policy implementation in a country such as South Africa which is undergoing fundamental political change, may be understood slightly differently.

When the newly elected African National Congress (ANC)-led government assumed power in 1994, it had to reflect through its policies the way in which the past inequities

were to be redressed, and this had to be done at rapid pace, otherwise impatience would be generated and the party would lose credibility amongst the masses. For the ANC-led government it was important to secure the transition process, and several policies had to be crafted in a context where ensuring a smooth transition was as important as developing progressive policies for social transformation (Nzimande, 2001).

Government policy-making was about compromise and negotiation, with very little attention, if any, to the implementation process. Change in the country was urgently required, and the ANC-led government was compelled to deliver speedily on their promises to the nation (Manganyi, 2001). Thus multiple policies have made their entrance into the education arena with few, if any, giving attention to implementation (Lucen, 2003). Developing countries must endeavour to become more familiar with implementation issues as this will pave the path for national development. Evaluation as a political tool for improving or managing schools, and teaching, is largely suggested from above, not introduced from below. It may be argued that the policy-makers, by insisting on evaluations at school level, seek to pursue accountability, and thus to influence power relationships within the educational system.

3.2.2 Global Factors

When the democratic government took power in 1994 from the apartheid government, it meant that there would be changes in all South African government sectors. In 1994 a White Paper in Education and Training was realized. This paper emphasized the importance of delivering quality education to learners regardless of race. It mainly tried

to correct the errors and damages made by the apartheid government in the education sector. Policies like the School Act of 1996 which followed this paper, emphasized quality education and school improvement. The democratic government adopted the concept of quality management from other countries in order to fit into the global world.

South Africa, like so many countries is caught between globalization and the development of social justice. Globalization exacerbates inequities (material, social and political) between and within countries. The government is caught between lowering taxes, etc. to participate in the global economy, yet still attempting to satisfy the expectations of the "new democracy" in a context where disparities in wealth education and access have been set historically. This reminds us that policy formation, even at the national level, cannot be made independent of global systems and 'global trends and borrowing'.

In an era of enormous and apparent change that is driven by technology and globalization, marketisation and massification we often forget that change is about people – their ideas, their fears, and the capacity to imagine and work together for a different future

According to Van der Westhuisen (2000), globalisation can be described as a technical and economic process with its own imperatives which cannot be ignored. Around the world the technology has increased, not only in communication, but also in financial markets and between people. So globalisation is not only about the economy, it is also

about education. Education is the key to everything, particularly, as the spread of democracy and the advocacy of human rights reached South Africa and became a subject concerning which society had to be educated. Other relevant issues include those of information technology which dictates that, in order to lock into resources and information, and to fit in with the processes by which other countries operate, one's own systems have to be upgraded and correlated, and environmental consciousness which globalisation has made a huge focus as a core issue that affects the entire world and not just particularly threatened regions. To be part of globalisation, a country has to follow, or rather adopt in a particular way what is happening in other global countries.

To explain change that happens in a country when it adopts the concept of globalization, Preedy, Glalter and Wise (2003) use Green's (1999) research in analyzing change in education. Green concluded that, as a result of the impact of common global forces, there was a clear evidence of convergence around broad policy themes, such as lifelong learning, decentralization of governance, and the growing use of quality control and evaluation measures. In South Africa, globalization has been witnessed since 1994 when the democratic government took over. Several policies which were meant to introduce change such as Outcomes Based Education (OBE) were introduced. OBE meant a change in the quality education and evaluation measures.

Policy cannot mandate what matters. This can be 'good 'or 'bad' – depending on where one thinks wisdom resides. It is interesting to ask: what are the roles of "knowledge' and 'research' in the entire process, and which 'ways of knowing' (of which rational, scientific knowledge is but one) are the most relevant? In this process there are certain

'philosophies' that prevail almost as a fashion – e.g., economic rationalism (neo-Liberalism), Marxism and post-modernism. Positions which appear at first glance to be essentially contradictory can end up supporting each other (e.g., post-modernism and neo-liberal-globalization). This can be utilized in policy (such as happens in OBE in South Africa). In essence, for example, the OBE policy adopted in South Africa is an attempt to create from a melting pot of positions, for instance, post-modernism which advocates a decentralization, a release from traditional frameworks; and liberalism, a freeing, a movement beyond conservative boundaries – the widest range of democratic notions; and globalization, a paralleling of separate and individual nations and constructs, a harmony in an education policy which, in borrowing a little from each, allows diverse positions to support rather then overwhelm one another. Diversity creates opportunity and the OBE system aims at cultivating skills to take effective advantage of opportunity.

3.2.3 The Policy Presentation: Conflict and Ambiguity

There is unanimity among serious students of policy processes that the results of the formulation stage of a policy puts constraints on implementation, and can decisively affect the probability of success. This is true if those responsible for formulation of policies are unconcerned or uninformed about issues bearing on implementation (Lucen, 2003). The three major components of the way in which policy is presented can be identified as:

- the substance of a policy
- the means specified for putting policy into practice
- the way in which the substance and the means are communicated

3.2.4 The Substance of a Policy

With respect to the substance of a policy, the fundamental issue is one of realism: can the policy be implemented under any foreseeable circumstances considering the changes proposed? There are three general, and in some respects, incompatible positions among those who maintain that implementation failures can be traced back to unrealistic policies. The first argues that the problems defined and ostensibly addressed by particular policies are in fact intractable, or at least cannot be resolved in the absence of massive social and attitudinal changes.

The second position concerning unrealistic policies assumes that the problems addressed are tractable and without any revolutionary changes in the environment, and are rather faults in the particular strategy adopted. There are two sets of studies within this category. The first focuses on the unrealistic assumptions or projections concerning monetary resources. With respect to Africa, several studies argue that policies were much too ambitious given the funds likely to be available (Adeniyi, 1980; Williams, 1977), while others criticize policies for failing to take proper consideration of recurrent costs (Bray & Cooper, 1979); Olsen 1984). The second set of studies emphasises what might be labelled 'unrecognized jointness', that is, the dependence of particular initiatives on other policies that have not been introduced or perhaps even contemplated. Fapohunda (1980) notes that policies of educational expansion have been adopted without appropriate provisions for physical facilities, textbooks or other material resources that would be needed. Other studies point to the supply and quality of teachers, the key issues being that reforms have

often been compromised because there was an unavailability of teachers to carry them out (Bray, 1981; Sjostrom & Sjostrom, 1983).

The third position stressing lack of realism at the formulation stage concerns policies that may perhaps be implemented, but are not conducive to the larger objectives being sought. Studies of these "educational policy mishaps" as they have been referred to (Psacharopoulos, 1984), fall into two categories. Those in the first category focus narrowly on efficiency, and argue that, in view of the particular objectives sought, the changes introduced by a particular policy are inappropriate. The second category of studies focuses on side-effects, arguing that particular policies, however efficient when viewed narrowly, have undesirable larger consequences that should have been taken into account. Examples of studies in the first group are those that have criticized African policy-makers as putting too much emphasis on physical facilities as opposed to teaching (Wallace, 1980); on changes in the curriculum as opposed to textbook provision (Heyneman, 1984); and on secondary and higher education as opposed to basic education (Psacharoupoulos, 1984). Examples of studies in the group that emphasises unanticipated side effects include studies that put blame on misguided educational policies for what are considered high levels of urbanization, youth employment, rural poverty, ethnic rivalry and other economic and social problems (Dore, 1976; Oxenham, 1984; Dexter, 1981; Stone, 1985).

3.2.4.1 Means specified for putting Policy into Effect

The second major component of a policy presentation is the means specified for putting the policy into effect. There may be numerous possible approaches to implementation for any given policy, and the best approach may not be evident given that the goals of major policies are commonly multiple, vague and often conflicting (Majone & Wildavsky, 1978). It is for this reason that policy-makers identify and institute an appropriate implementation strategy. Judging from the literature, this is the responsibility that education planners and policy-makers in sub-Saharan Africa have frequently failed to meet or even recognize (Craig 1990).

In cases here, infrastructure was not available, and it was not created (Bowden, 1986; Jolly & McCullough, 1972). If infrastructure did not exist, either specific duties were not assigned, or else they were distributed across inevitably competing ministries and agencies without adequate provisions for co-ordination (Ayoade, 1983) or for continued links between the planners and the implementers (Choguil, 1980; Fullan & Pomfret, 1977). In many cases, these lapses on the part of policy-makers - these deficiencies in the policy presentation - seem to have been the root causes of the implementation problems that followed.

3.2.4.2 Communication of the Policy Presentation

The third and final component of a policy presentation is that the way in which a policy is communicated may also have important effects on the prospects for implementation. Implementation is most likely if a policy is straight forward, and if its goals and

mechanisms are expressed precisely. Complexity works against clarity and openness, and incoherence or vagueness may leave those responsible for implementation without needed guidance, and provide opportunity for those bent on obstruction (Lucen, 2003).

3.2.5 Bureaucrats and Administrators

A range of problems was highlighted in relation to management and administration of policy decisions. The most significant is the lack of a clearly defined relationship between political and administrative centres. As a result, senior administrators such as Directors-General are often bypassed, and major decisions are taken by the political leadership of the provinces. Other concerns are insufficient strategic directions given by Directors-General, over-centralised management, and control and lack of communication between provincial administrations. Strategic planning was also a variable quality, and sufficient co-ordination and communication of a strategic plan resulted in weak ownership of these plans by the different levels of management (Motala, 1997, p.7).

Jansen (1998, p.3) maintains that a further exacerbating factor is that of the policy environment within which education officials work. The education bureaucrats function under enormous political pressure to respond to the multiple crises pervading the education system, without any long-term systematic, strategic and informed policy deliberations which would lead to a deeper sense of education transformation in the nation's schools. Time is managed poorly and politically (Jansen, 1998, p.4).

The orthodox liberal view of education and society emphasises the role that schooling plays in promoting social mobility. Within this view, the state has a neutral function to protect the interests of all members of society by a system of universally accepted rules and regulations. Accordingly, the state will promote policies which are in 'the public interest' and whether or not individuals take advantage of those policies is assumed to be a matter that is largely their own responsibility. Because the state has a particular interest in promoting public discussion of educational policy, its agencies produce various policy documents which can be said to constitute the official discourse of the state (Codd, 1985).

Thus policies produced by, and for the state are obvious instances in which language serves a political purpose, constructing particular meanings and signs that work to mask social conflict, and to foster commitment to the notion of a universal public interest. In this way, policy documents produce real social effects through the production and maintenance of consent. These effects, however, remain unrecognized by the traditional forms of policy analysis which are derived from an idealist view of language, and enshrined within the technical-empiricist view of policy-making (Codd, 1988, p.237).

Civil servants are often saddled with the task of implementing hastily conceived policies that they consider misguided or unworkable. The frequency with which political leaders change their priorities, and with which countries change their leaders, creates a climate of uncertainty, not conducive to the careful planning and continuity that effective administration requires. The outcome is considerable distrust and fear of political leaders, and the development within the civil service of an insular and defensive outlook of siege mentality (Hofferbert & Erguder, 1985).

This outlook, together with deep-rooted control orientation often results in behaviour that is superficially correct, but which, in action, is unproductive or even counterproductive. Therefore in the African context, the common hierarchical structure considered a hallmark of bureaucratic rationality may actually work against effective administration in two ways. Firstly, it is an obstacle to the inter-ministerial collaboration and the formation of inter-sectoral teams to be balanced and sustain development (Choguill, 1980). Secondly, it inhibits the free flow of information essential for productive administrations.

Differences in official rank tend to be associated with differences in social status, and this, together with the preoccupation with control makes open communication across the ranks difficult, and sometimes impossible. Feedback from those lower in the hierarchy is commonly interpreted as criticism, and is therefore neither encouraged nor readily volunteered (Wildavsky, 1986). Mainly for these reasons, the morale of provincial, regional and district/local administration officials is low. Officials believe, usually with cause, that they occupy dead-end positions in which they are expected to do much with minimal resources and no incentives to motivate them. They typically respond by coping as best as they can which may entail deceptive behaviour and resisting accountability. The result is a bureaucracy, focused less on the completion of assigned tasks, than on the avoidance of error (and error-detection), and on the protective covering provided by the adherence to routines (Grindle, 1981; Jones, 1982; Stone, 1985; Wildavsky, 1986). To be effective, educational administrators must know that their superiors support them. However the literature reflects that the situation that prevails is bleak. Regional and local

offices are chronically understaffed and overworked, with the result that little may be accomplished other than essential paperwork, if that. Tied to their desks or limited by inadequate funds and facilities for travel, district officials frequently do not know what is really transpiring in the schools, and hence may be in no position to help principals and teachers understand new policies or adjust to changes they mandate (Taylor, 1981).

Another factor which may impact on policy implementation relates to the interaction of administrators and teachers. From the administrator's perspective, policy implementation problems result primarily from the low quality and inattention to duty of the teachers (Craig, 1990). The major obstacles, the literature suggests, are the poor quality of pre-service training that teachers receive, and the lack of attention given to in-service training. They often lack the experience and training required to guide teachers in the process of policy implementation. Management structures and styles will also influence the way in which teachers will implement policy at a classroom level.

While there remains considerable room for improvement in both the effectiveness and the integrity of educational administrations, the picture is not entirely bleak. There are implications that the general situation may be improving, with ministries placing more emphasis on results and less on adherence to routine, giving greater discretion to local officials, encouraging team work and even input from local communities, and instituting better procedures for monitoring and evaluating the results (Conyers, 1981; Wilks, 1985).

3.2.6 The Teachers

Christie (1999, p.286) maintains that policy-makers cannot avoid responsibility for strategic engagement to implement change at the point of delivery, and that a policy approach which separates formulation from implementation, and which does not recognize the importance of interactive processes in implementation cannot hope to achieve the change it envisages. According to Khan (1989, p.855) the implementation process is assumed to be a "series of mundane decisions and interactions unworthy of any scholarly attention".

Policy expectations of educators, as outlined in policies, are neat, defined and orderly; in practice they are social, negotiated and dynamic. Policy suggests uniformity; but in practice, where teachers are expected to perform the same functions, there will be marked differences in the ways in which these will be executed. Simply put, local practice is the site where teachers determine what policy means for their work.

According to Spillane *et al* (1999), teachers respond to the ideas they construe from policy, rather than some uniform, fixed vision of policy. In this view, relations between policy and practice are not unidirectional: while policy may shape practice; practice in turn may shape policy in that it influences what local teachers make of policy-makers' proposals.

In these terms, differences between intention and practice correspond to the distinction Keddie (1971) draws between the 'educationist' context and 'teacher' context. In the "educationist" context, which has a strong resemblance to policy, teachers can outline their educational philosophies in such a way that they are uninhibited by the reality of the social world of their classrooms. In the 'teacher' context, teachers cope as best as they can given their unique situational constraints, and make the most of what opportunity exists for realizing beliefs as educationists. In some contexts, the scope for realizing educationists' beliefs is severely circumscribed; the 'ideal' is not always in accord with the 'real'.

Implementers are unlikely to support the notion that they are perceived as being contrary to their own self-interest (McDonnell, 1994). This is clearly documented in Prestine and McGreal's (1997) study, where an outside organization insisted that teachers implement authentic assessment. Authentic assessment requires more time than traditional assessment does, yet no one proposed raising the teachers' salaries or even reducing the class size. Not surprisingly, Prestine and McGreal (1997, p.390) found that teachers were sceptical of the value of the new policy, and that "both across and within these schools, authentic assessment never achieved anything close to systemic implementation".

The teacher's own value system impacts on the effectiveness with which s/he plays certain roles. There is a gap between what educators are able to do, what they believe they should do, and what they actually do. For example, the policy position might be to encourage critical and creative thinking, whilst in practice it may be such that critical and

creative thinking is not valued in communities that place a premium on "culturally agreed" values and social consensus.

Educators are likely to oppose implementing policies which conflict with their basic professional values (McDonnell, 1994). Grace (1995) describes a situation in the United Kingdom in the 1980s when government reforms involved principals and teachers. Prior to these reforms, principals were involved with pedagogical and moral leadership in their schools. The new policies required them to work as managers in a competitive market environment, publicizing their schools' results on examinations, based on a new curriculum.

Some principals made this transition easily, others experienced difficulty, as they had to deal with contradictions of their own understanding of their profession and demands of the policies. A few resisted openly, by voicing their disapproval and ignoring some aspects of the reforms. The British experience demonstrates that many educators are deeply attached to professional values, and are unwilling to surrender them lightly. Such conflicts in values, whether recognized or not, are the roots of many incomplete or failed implementations. What policy-shapers see as ideal, teachers may see as unreasonable (Rousmaniere, 1997, p.335), and voicing such concerns about new policies may be conceptualized as disloyalty (Reay, 1998, p.181). Hargreaves (1998, p.560) argues that another misconception about emotions is that they are somehow separate from reasoning, and cautions "consistently dispassionate educators are highly dysfunctional ones".

Weimer and Vining (1992) argue that three responses are possible when asked to implement a policy with which one disagrees: firstly, exit (leaving the organization), secondly, voice (speaking up about problems), and thirdly, disloyalty (quietly or openly failing to conform to policy). A single individual may combine these three approaches. Usually speaking up about it is the first step, and if this fails s/he may exit the system (if the value conflict is too intense). If the exit is not a feasible option, the individual may choose one or more of the various forms of disloyalty. The individual may involve others in what is known as token compliance by streamlining activities and completing only certain tasks. Another approach may be delayed compliance (Bardach, 1977), where individuals participating in the project are given extra time to complete a task that they could have completed in a specific time.

The potential conflict between policy and practice does not only arise from differences in values, but from meanings of concepts being subject to different interpretations – terms do not speak for themselves as policy may assume. How the policy texts are conceived and understood depends on the framework of references, personal assumptions and presuppositions along with prior knowledge construction within the different contexts. Bowe *et al*, (1992, p.22) elaborate on this, emphasizing that:

> "Practitioners do not confront policy texts as naïve readers; they come from histories with experience, with values and with purposes of their own, they have vested interests in the meaning of policy. Policies will be interpreted differently as the histories, experiences; values amid interests which make up the arena differ. The simple point is that policy writers cannot control the meaning of their texts.

Part of their text will be rejected, selected out, ignored, deliberated, misunderstood; responses may be frivolous, etc."

Research has shown that school leadership is an important influence on teacher retention by helping to foster a stimulating and supportive school culture, as well as helping to buffer teachers against mounting, and sometimes contradictory external pressures (Mulford, 2003). Skilled leaders can help foster a sense of ownership and purpose in the way teachers approach their job, introduce shared leadership and build collegiality, provide professional autonomy to teachers, and help teachers achieve better job satisfaction and continue developing professionally. Teachers who can work together in meaningful and purposeful way have been found to be more likely to remain in the profession because they feel valued and supported in their work (OFSTED, 1993).

All countries are seeking to improve their schools and to respond better to higher social and economic expectations. As the most significant resource in schools, teachers are central to school improvement efforts. Improving the efficiency and equity of schooling depends, in large measure, on ensuring that competent people want to work as teachers that are of high quality, and that all students have access to high quality teaching.

Jansen (1998, p.8) argues that governments in developing countries make conscious policy choices which, while bathed in rhetoric about equity and justice, have the direct consequence of placing teachers and teaching in crisis. The argument implies at the very least, the need for a critical evaluation of policy choices and consequences by scholars

within developing countries, but an equally rigorous scrutiny of the external knowledge claims upon which such policies are legitimated (Jansen, 1988, p.4).

People often resist the new and innovative because they are afraid of what is 'new', precisely because it is not 'familiar'.

Teachers have been swamped by innovations. Since teachers are left out of policy discussions, they have often resisted ill-designed and poorly implemented change projects. Resistance is a natural and predictable response. For teachers who subscribe to the 'practicality ethic', that is, 'it has to be relevant to me in my classroom with these students', change has usually been something 'done to' teachers, as opposed to something 'done with' them (Doyle & Ponder, 1977). Richardson (1990, p.11) suggests that in recent years, the change literature has moved from "viewing teachers as recalcitrant and resistant to change to examining the structure of the organization and personal attributes of teachers that affect whether or not they implement new programmes".

A particular dilemma for those who are trying to bring about change in schools is the issue of overload (Fullan & Hargreaves, 1991). With the best will in the world, teachers who have become bombarded by an unrelenting plethora of changes over a short period of time tend to be exhausted, and find it hard to keep up with their energy, enthusiasm and, ultimately, willingness for change (Helsby & McCulloch, in press). It is, therefore, not necessarily the characteristics of teachers, *per se,* that cause resistance and the

continuity it perpetuates, but the pressures on them and the limits placed on their involvement in making the decisions to change.

Teacher quality is a major problem in African countries and so is the low morale and low level of commitment which characterises the profession. Basically, the politicians and administrators have not adequately put mechanisms in place to provide the sustained support and assistance needed to upgrade the teaching corps (Adams, 1983). Furthermore, planners have failed to adequately take into account the limitations of those expected to put policy in place in the classrooms. However, it is clear that teachers who are poorly trained and have low levels of motivation are not effective agents of reform (Adams, 1983; Brooke, 1980; Lillis, 1985).

Even if teacher quality were not an issue, teachers could still be a major barrier to the implementation of new polices for three general reasons. The first is that teachers may doubt that putting such policies into practice is worth the effort. Teachers with more confidence in their abilities and expertise may believe that the reform being proposed cannot attain the intended goal. They may reject the pedagogical theory given to justify the policy, or believe that the resources will not be available on time, or simply believe that the policy cannot be made to work with their pupils (Adams, 1983; Brooke, 1980; Lillis, 1985). Also, teachers often conclude that the reform will mean more work without additional compensation. Simply put, this means that there will be new learning required without any incentives and no more than minimal in-service instruction. This often results in the teacher's workload increasing, since new reforms have a tendency to add

new responsibilities without removing old ones (Kolawole, 1980; Lillis and Hogan, 1985). If teachers are persuaded that the new policies are an improvement on the old, they may be willing to make the sacrifices demanded of them, but no serious attempt to persuade teachers is usually made.

Another reason for resistance to innovation relates to status concerns of teachers, and particularly of rural teachers. They tend to resist any policy that requires them to literally dirty their hands, obvious examples being various attempts to introduce practical, work-related activities into the curriculum, or to set time to work on a farm (Lillis & Hogan, 1983; Ndongko, 1980; Saunders & Vuilliamy, 1983). The teacher derives much from his/her social status, and self-image from his identification with the academic curriculum and from his role in preparing the youth to seek positions in the modern sector. Therefore, to challenge these associations is to invite resistance and non-compliance.

A third set of reasons why teachers resist innovations relates to their positions in their respective communities. The teacher may have specific preferences, and may sometimes find him/herself caught in the middle between a ministry promoting major curriculum reform and a community which does not approve. Teachers normally live in the communities in which they teach, and tend to consider local preferences as 'rational' when conflicts arise (Bude, 1982; Sjostrom & Sjostrom, 1983). Exceptions probably occur when teachers see their personal interests as furthered by the ministry's position rather than in the local community's. Such exceptions seem infrequent.

Attempts to coerce teachers into change through assessment systems or other policy initiatives have resulted in the intensification of teachers' work (Apple, 1993), the de-skilling of teachers (Apple & Teitelbaum, 1986), guilt (Hargreaves, 1994).

Efforts to use school-based management as a vehicle to deliver government policies have met with teacher indifference, cynicism (Smith, 1991) and have divided teachers and principals from each other (Bishop & Mulford, 1996). There appears little evidence to suggest that many of these efforts have brought much positive change to classrooms. Greater attention, therefore, might be paid to the personal and biographical influences on teachers and what teachers do. Several writers argue that an understanding of how teachers' lives affect their work is necessary to grasp how teachers relate to educational change (Ball & Goodson, 1985; Louden, 1991; Huberman, 1993).

Schools are human institutions, and as such, non-rational (not irrational). Change strategies that ignore the meanings, emotions and cultures of schools, are doomed to failure (Fink & Stoll, 1994). The Whole School Evaluation Policy may be interpreted as an attempt or a move by the government to coerce teachers into change through assessment systems.

School are micro-political organizations (Hoyle, 1986; Woods, 1986; Ball, 1987; Blasé; 1988). It is therefore necessary to know more about the micro-politics of schools. How can the natural political activities of people within schools contribute to the goals of the organization? How do schools promote positive politics? (Blasé, 1988). How can schools promote the self-organizing networks which lead to creative solutions to complex

problems (Stacey, 1995) without encouraging divisiveness? Answers to these questions will help change agents to promote change 'with teachers' rather than apply change 'to teachers'.

According to Wallace (1983), one common reason why an innovation (a planned change in practice) may produce implementation problems and fail to realize the potential envisaged by its advocates, is that their limited understanding of what changing practice entails or uses leads to poor design or an inadequate implementation strategy. Where the innovation is evaluated and lessons are learned, our revised understanding of the change process should enable us to do better next time.

Wallace(1983) argues further that the increasing pace and complexity of educational change in recent years gives rise to another danger: we may unwittingly base tomorrow's intervention on yesterday's comprehension of change, progressively outmoded, as the political and administrative context of schooling shifts in ways that alter the process and content of educational change experienced by school staff. It may take time before our grasp of the changing nature of change has caught up: meanwhile, implementation of our intervention brings new problems, limiting its ability to make much difference.

Post-apartheid South Africa has often been characterized by a conscious attempt to include the practitioners in the policy-making process. This has been achieved through "stakeholder participation". The 'bottom-up' process is to inject changes (from the 'practitioner's' world-view) into the policy world. This may or may not be achieved. In South Africa, one cannot consult every single practitioner in relation to feeding into the

policy during the formulation stage. Therefore, a representative of the teachers is required to be included in a representative, democratic fashion. Carrim (2001, p.104) argues that there are several problems and limitations of interest groups. He highlighted the following:

- that people claiming to represent particular interest groups need to be really 'representative' of organised interest groups, and
- that people claiming to represent the interest groups of such organised groups need to demonstrate that they have the mandate to act as 'representative of that group and therefore, legitimately to speak in their name, on their behalf.

For example, the unions nominate their representatives to the committee that is established to design, formulate and develop policies. During the process of consultation and negotiation, what really happens is that power relations and group dynamics ultimately determine the end result of the policy. Therefore, a practical consequence during the process of consultation might be that the representatives may come to reflect neither the views of their constituencies, nor the interest group in the negotiation process surrounding the policy. The dynamics of power within the policy development process might overtake the representative's original mandate. Consequently, what occurs is that the representatives on the committee are finally left to accept or reject the committee's emerging worldviews. The question is: who or what then do the stakeholders represent? (Gounden, 2002).

According to an HSRC research report on participation in education policy development fallacies and challenges of representative democracy in South Africa, it is argued that

forms of representative participation emerged as most dominant, in spite of the historical promise for participatory democracy. A major factor in mediating the nature of participation, especially the meaningful participation of citizens and key actors, is the nature of power relations between state and civil society. The research report contends that a combination of economic, political and international factors have mediated the democratization of South Africa's policy process during the transition period. This has resulted in the marginalization of significant sectors of the population from participating in the education policy process.

Teachers perceive the Whole School Evaluation Policy as an "outside policy' that involves an inspection type of evaluation. The Department of Education (2001, p.3) argues that there is a clear shift from the terminology 'inspection' to "Whole School Evaluation". The Whole School Evaluation policy focuses on both internal monitoring which is conducted by the school itself, and external evaluation which is carried out by the supervisory units, with mentoring and support provided by the district-based support teams. Yet there is still resistance from the teachers.

Gounden (2002, p.30) maintains that this is the reason why teacher unions are more vociferous against other policies where their power base is not strong. Teacher unions are not the designers of the Whole School Evaluation Policy. Their objection to this policy is linked not only to the origin and powerbase, but perhaps also to the shift in emphasis (unit of analysis) away from the 'individual teacher' in the Development Appraisal Policy to the 'institutional context' in the Whole School Evaluation Policy.

It is important then to note that the discursive space of policy is driven by its own agenda such as politics, the power struggle and the intentionalities of economies. Singh (1992, p.66) outlines some of the key actors and constituencies in the policy arena viz:

- The client takes the form of government, political party, social agency or any interest group.
- The researcher takes the form of the individual "expert" or a research institution, network or agency.
- The funder takes the form of government, the private sector.
- The beneficiary takes the form of the 'public' or citizenry viewed as passive object and consumer or as active participant in shaping policy.

Thus in terms of this study it is clear that implementation of any education policy, not just the Whole School Evaluation policy is fraught with many complications, some of which are initiated by the very act of formulating the policy itself. Although many factors which obstruct the successful implementation of policies occur at the actual implementation phase, participation and representation during the inception of the policy are crucial, while a consideration of other practical issues prior to final acceptance and implementation of a policy should take place.

3.2.7 Resource Constraints

Developed states invest many resources on 'implementation', while developing countries continue to focus minimum attention on it. The implementation process in developing countries is seen as being less prestigious than policy-making. Verspoor (1992, p.234) claims that, in a review of 19 developing countries, there is "an almost universal neglect of implementation issues". The conclusion drawn is that policy-makers tend to assume that a decision to bring about change will automatically result in changed policy or institutional behaviour, instead of planning out the implementation stages which follow from the decision to initiate change. The greatest weakness identified is that policy implementation is not seen as an integral part of policy formulation, with most policy-makers viewing it as a mere add-on.

The third step of mobilising for policy implementation is gathering resources. A frequent cause of implementation failure is the lack of or unwise allocation of resources (Fullan, 1991; Louis & Miles, 1990; Miles and Huberman, 1984a; Reynolds & Teedlie, 2000). Money is an important resource, and the leader must be sure that there is sufficient funding for the implementation process. Time is another crucial resource (Fullan, 1991; Louis & Miles, 1990; Prestine & McGreal, 1997; Reynolds & Teedlie, 2000). Sufficient personnel are important to achieve even a modest change. According to Louis and Miles (1990) there is also a need for an individual to assume major responsibility for the project. The demands of such a person's tasks would involve monitoring progress, handling communication, and taking the initiative to solve the problems. Ensuring that there is sufficient space is also important. Such constraints can take many forms: not

enough classrooms, too small classrooms, or no space at all. Finally, policy changes are dependent on the availability of machines and materials, for example, computers, hands-on science curricula and chemicals for experiments.

Failure to implement educational policies is often blamed on resource constraints (Nyerere, 1985). It is risky to accept such categorisations at face-value, and it is important for analytical purposes to differentiate between those constraints which could have been foreseen and those which are unpredictable. In the former category should be placed the many examples in which resource difficulties arise for reasons relating to mistakes at the design stage; mainly because costs have been ignored or underestimated, or because of inappropriate budgeting procedures (Bray & Cooper, 1979; Ergas, 1982; Mosha, 1983; Olsen, 1984). In view of this, resource constraints should be cited as a reason for possible policy failure only when resources that have been promised, or could realistically have been projected have failed to materialize.

There are two observations that I would like to make at this stage. Firstly, and contrary to common belief, resource constraints do appear to have had a major effect on the implementation of educational policies in Africa (Craig, 1990). In most cases, foreign donor agencies have been slow in delivering funds and this has delayed the implementation of projects (Adams & Chen, 1981). Secondly, shifts in the political climate or the economic situation have also resulted in some African governments not following through on funding commitments (Ayode, 1983; Enaohwo, 1985; Nyerere, 1985). A related critical issue which emerges is that we should not think that providing

abundant resources will improve the policy implementation. All this simply points to is the fact that we should not only look at resource constraints when attempting to account for implementation failures (Stoll and Fink, 1994).

The disparities in provision within South Africa cannot be overlooked just because they are 'outside the influence' of the (curriculum-oriented) researcher: schools that 'fail' surely fail largely because of impoverishment of teachers and communities which is inextricably linked to 'race' in South Africa. These factors, so obvious to everyone, do not seem to make for 'interesting research'. This is not so: what do teachers, managers, students, communities, etc. actually *do* despite their problems? What can policy-makers learn from them in a 'backward mapping' (or backwards and forwards at once) strategy or achieve? (unpublished document – Malcolm, 2001).

The school context also has a profound influence on the way in which teachers make sense of, prioritise and practise policy (Fullan, 1991; Fullan & Pomfret, 1977; Hargreaves, 1994, 1998; Hopkins, Ainscow & West, 1994; West, 2000; Stoll & Fink, 1994). To ignore contexts is to ignore the very elements that make policy implementation a 'problem', and to contribute to the highly variable local responses that trouble policy-makers (Mclaughlin, 1998). Such contexts will include school ethos, resources, and management styles, as well as the nature and level of community involvement. Clearly, schools that depict a sense of purpose, discipline and respect influence the way teachers will be implementing policies. The availability of resources (or the lack of them) has clear implications for the possibilities and opportunities for teaching and learning.

Obviously, a lack of resources will place constraints on the teacher, and, in the process, some teaching and learning possibilities will either be eliminated outright, or largely hampered. For instance, crowded/spacious classes in some schools, or availability/lack of a laboratory in others imply a form of pedagogy: whole-class teaching or group work; teacher demonstration, or individual participation/instruction.

3.2.8 The Client Population

No type of educational planning will succeed unless it is based upon the aspirations and expectations of the majority of the population, or has provided incentive structures that will allow these aspirations to be modified to accord with the national goals (Foster, 1975, p.375). There can be no stronger statement of the potential impact of the client population on the implementation of education policies. The implementation stage in the policy process is often marked by the continuation of earlier struggles over the content of policy. Often client populations are denied input during policy formulation, and hence compensate by concentrating their energies on transforming policies while efforts are being made to put them into effect (Kay, 1978; Samoff, 1983; Grindle, 1981). Local communities can put pressure on politicians or education ministries, and this can result in modification to the policy, or a joining of forces with teachers or district officials in a campaign to neutralize a policy that not been accepted.

The literature points to two sets of observations which relate to the success of such tactics. Firstly, the activity of the client population is less likely to prevent implementation of a policy than it is to transform the policy that is implemented. Samoff (1983, p.63) in a study of educational reform in Tanzania, best summarises this pattern. It

is important to note here that most often, where educational reform efforts have not reached their stated goals, they have frequently been diverted rather than blocked. That is, in a situation where a progressive leadership for the most part controls the terms of political discourse, and where there is little outspoken opposition to major policy directives, resistance to changes takes the form of deflection. New policies are converted into mechanisms to maintain the older ways (Samoff, 1983, p.63).

The second set of observations concerns the sources of opposition to policy. Different kinds of policy or procedures for school finance can perhaps only be derailed by organized resistance that has the support of local institutions. On the other hand, if such policies gain the support of the local chief or the school governing bodies, then resistance can be futile (Adams & Chen, 1981: Lungu, 1982). Also, attempts to introduce new pedagogical practices in African schools flounder when confronted with students who are neither inquisitive nor assertive and who are often malnourished (Brooke, 1980). Parents in much of sub-Saharan Africa can still resort to what may be considered as the most effective weapon when presented with unacceptable education policies; they keep their children out of school (Stock, 1985; Mutuhaba, 1974). Putting policy into practice, especially at the classroom level is a highly complex process.

Furthermore, the nature and level of community involvement either constrains or complements the teachers' roles, and therefore policy implementation (Harley, Bertram, & Mattson, 1999). While many policies make reference to community and stakeholder

participation, it can be argued that these policies do not accommodate the diversity of contexts and value systems that such participation will invite.

Many teachers are part of a learning community. Teachers who are members of a learning community share aspects of their own and others' practices, use different forms of teaching technology, and participate in different types of social relationships than teachers teaching in other professional settings. Members are drawn together to discover new knowledge and understandings through social means. Learning communities when challenged with change are forced to rethink existing routines, and learn when and how to use new practices by rigorously debating issues among themselves. Learning communities also review policies for compatibility with shared understandings of members and this buffers members from negative conditions existing in a larger context. A common goal for such learning communities is enhanced student learning. I cannot agree more with McLaughlin (1998) who states that the answer to the question, 'why are policies not implemented as ***planned***?' resides in the teacher-learning community.

What this amounts to then is that a 'teacher' reaction to a policy will be determined by whether his/her professional community has embraced, ignored, rejected or undermined the goals advanced by the policy. Thus teachers' professional communities have the power to transform policy intentions, for better, or for worse. Since there are multiple teachers' professional communities, policy will pass through, and be interpreted by multiple communities, complicating and amplifying opportunities for a "policy effect" (McLaughlin, 1998). These communities operate at different levels, for example,

districts, schools and department, and will exert a direct influence on teachers' conceptions of practice. When professional communities accept policy goals, policies will be carried smoothly into the classrooms compared to when policy goals are contested.

Superficial change, if any at all, may be expected at classroom level in cases where teachers do not form part of learning communities. According to McLaughlin (1998), the connection between policy and practice will ultimately be made or missed in teachers' professional communities.

Whole School Evaluation can be regarded as a school model. All the arguments presented above are supported by Fullan (1991, p.201) who identified six major obstacles to school- based models. These are:

- inadequate time, training and technical assistance
- difficulties of stimulating consideration and adaptation of inconvenient changes
- unresolved issues involving administrative leadership on the one hand, and enhanced power among other participants on the other
- constraints on teacher participation in decision-making
- reluctance of administrators at all levels to give up traditional prerogatives
- restrictions imposed by school boards

The foregoing discussion suggests that policies inherently contain internal contradictions and tensions. Therefore, the underlying assumptions of policy, the social and historic context and the extent of compatibility of policy with teachers' existing beliefs,

commitments and practices may influence the policy process, both in the context of policy production and the context of policy practice.

South African schools are being flooded with new educational policies, and principals, school management teams and teachers are expected to change their roles and behaviours at an alarmingly rapid pace, leaving teacher morale at an all-time low. New policies have to be implemented, in most cases, before the successful implementation of previous policies. Schools do not have the luxury of linking the amount of change that they want to embark on. I therefore argue that most schools have not yet developed the "capacity to change": therefore successive cycles of change become more difficult and probably impossible in most cases.

Hargreaves (2003, p.130) has drawn attention to the difficulties of building collaborative cultures in schools, and of extending these beyond the few enthusiastic well-led schools and school districts. He argued that the approach adopted in a number of school systems amounts to "contrived collegiality", that is, collaboration imposed from above that:

> by crowding the collegial agenda with the requirements about what is to be done and with whom, it inhibits 'bottom-up' professional initiative ...As a result teachers sometimes actually collaborate ways of working once the urgency of implementation or creating a school improvement plan has passed.

He argues instead for the creation of professional learning communities within and beyond schools, which policy can be stimulated by policy that includes:

- Leadership development strategies that describe how to build and sustain learning communities.
- Building indicators for professional learning communities into a process of school inspection and accreditation.
- Linking evidence of commitment to professional learning communities to performance-related pay, and measures of teacher competence used in recertification.
- Providing seed money for self-learning in schools and among schools.
- Professional self-regulation through processes and organizations that include all teachers.
- Supporting the development and extension of professional networks of teachers.

Teachers are rarely involved with implementation of just one innovation at a time. This places stress on the organizational capacity of the school and the confidence of those leading the change process.

The lack, or loss of predictability in the educational change process is due not only to the fact that the environment in which educational change takes place is increasingly complex and turbulent, but also because of the multi-dimensional nature of educational change itself. Fullen (1991) points out that schools today work in contexts of multiple, rather than singular innovations, having to coordinate and integrate numerous changes (some self-initiated, some externally imposed) all at once. Moreover, each change is itself also multi-dimensional in nature. And while the change literature (and change

management practices) tends to focus on two or three of these dimensions only – especially cultural, structural and strategic ones - there are many more which demand equivalent attention: especially moral, political and emotional ones (Hargreaves, 1998, p.562).

In the early stages of any school improvement efforts, the process of initiation, implementation and institutionalization will be taking place on at least two levels. Firstly, at the classroom level, where teachers will be involved in putting into practice a change in curriculum and teaching, and, secondly, at the school level which is concerned with capacity building. As soon as the school has developed the "capacity to change" then successive cycles of change become easier (Ainscow & Hopkins, 1992; Hopkins, 2001a, 2001b). If a school is not well attuned to change, greater effort must be given initially to building capacity and the amount of classroom change should also be limited. Once the capacity is in place in the school, the management of multiple innovations become both possible and desirable (Hopkins, 1990, 1996, 2001a, 2001b).

A second issue raised by the implementation analysis is the skill required of change agents in the school context. For a policy to have the desired effects, the implementers of the policy must have certain skills. Hopkins (2001b) in a review of the research, suggests that the most important abilities are to:

a) generate trust;

b) understand and diagnose the condition of the school's organization;

c) plan for the medium-term and to gauge the holistic picture;

d) work constructively and productively in groups;

e) access the technical resources needed, and to advise on research, good practice and specifications of teaching and learning;

f) encourage people and give them the confidence to continue; and,

g) be able to deal with the complexity of change bearing in mind that the rational approaches will not work in the current climate.

Therefore, in understanding how a policy impacts on those who must implement it, it becomes more evident how all-encompassing the impact of the WSE could be on the management of school principals. In order for principals to effectively manage and administer change brought about by new policy implementation, certain duties and responsibilities rest firmly on the shoulders of policy implementers, whose task can be made easier by those formulating and approving policy in its design phase.

3.4 Key Insights

- 'Top-down' approaches are defined as policies generated and disseminated by the state without consultation of the various stakeholders. This approach to policy formulation has been criticised for its narrow definition and its politically crafted conceptualisations.
- There are a number of reasons why education policies fail in South Africa, some of which include the following factors.
    - Policy-makers not taking cognizance of the context and dynamics occurring at grassroots level.

- Education authorities of the new government not being in a favourable position to generate and develop strategies to positively influence new developments in the reform process.
- No emphasis being placed on how to manage and monitor the implementation.
- The new government having a fragmented understanding of the bureaucratic structures, processes, actions, and the link between intended polices and implemented policies.
- The lack of attention to policy implementation strategy being compounded by poorly-managed policy decisions.

- A major educational challenge today is how to define and manage educational change in a politically contested and multidimensional environment. However, in the shift towards formulating reconstructive post-apartheid policy, the contest for power has become one of the main priorities.
- One of the most powerful influences on the development of education systems is the prevailing political atmosphere, namely that the ruling political party in a country has a direct influence on the education system it controls.
- The political nature of the policy process is important, not only in policy formation but in implementation, evaluation and modification.
- The democratic government adopted the concept of quality management from other countries in order to adapt to the global world in an era of enormous and apparent change. Because this world is driven by technology and globalisation, marketisation and massification, the fact that change is about people – (their

ideas, their fears and their capacity to imagine and work together for a different future) is often forgotten or neglected in the pursuit of other issues.

- As a result of the impact of common global forces, there was clear evidence of a convergence around broad policy themes such as lifelong learning, decentralisation of governance, and the growing use of quality control and evaluation measures.
- Short-term political gains may often over-ride concerns about making policies work.
- Change in terms of policy implementation may depend on the smallest unit in education.
- Policy-making has largely been seen to be about compromise and negotiation with little attention to actual implementation.
- The best possible approach towards presentation of a policy in the implementation phase is not always obvious.
- In many cases, deficiencies in presentation of policy have been the primary causes of implementation problems which ensued.
- Furthermore, the way in which a policy is communicated may have important effects on the implementation process.
- Many problems in policy implementation occur because of a lack in the relationships between political and administrative centres.
- Responses by education bureaucrats are triggered by exigencies rather than emanating from long-term planning.

- Civil servants are thus often obliged to implement hastily-conceived policies which they themselves consider to be misguided.
- Feedback is not forthcoming, as when it emanates from lower hierarchical positions it is regarded as criticism, and is thus not encouraged or volunteered.
- Major obstacles to policy implementation are to be found in the poor quality of pre-service training which teachers receive, the lack of in-service training and the inexperience of trainers.
- Greater discretion needs (as is slowly occurring) to be granted to local officials encouraging input from communities.
- Local practice is the site where teachers will be able to determine what policy will mean to them in terms of their work.
- While policy may shape practice, practice can certainly shape policy, as it influences what local teachers make of policy-makers' proposals.
- Potential conflict between policy and practice may arise from differences in values, but also from the meanings of concepts being subject to varying interpretations.
- Teachers, who are the most significant resource in schools, should be regarded as central to school improvement efforts.
- Planners fail to take into account the inadequacies of those expected to implement the policy.
- Using school-based management as a vehicle to deliver government policies meets with teacher indifference and causes rifts between teachers and principals.

- Schools need to be able to promote the self-organizing networks which lead to problem-solving without encouraging divisiveness.
- Policy-makers' inability to understand what changing practice entails or uses may lead to poor design or inadequate implementation strategy.
- In this era of fast-paced changes and technological advances it is easy for policy to become outmoded before implementation is complete.
- Despite the democratic climate in the country today, the inequalities of the past have resulted in the marginalization of sectors of the population which has inhibited their participation in the education policy process.
- Policy-makers assume that a decision to bring about change will have precisely that effect hence phases of planned implementation are lacking.
- A lack of or unwise allocation of resources is to blame for many failures in policy implementation.
- Contexts should not be ignored when policy is to be implemented, as these are responsible for variable reactions which can be problematic.
- Many policies do not accommodate the full diversity of contexts and value systems that participation in implementation of policy brings forth.
- Policies will be implemented smoothly when professional communities accept them.
- Schools are obliged to operate on multiple levels regarding change at any given time, and the coordination of all these dimensions is not always possible on an equal scale.

3.5 Key Findings

Scant research influenced education policy formation, resulting in disjuncture between research and policy formulation while formulation of reconstructive post-apartheid policies (even in education) still involves a contest for power (Chetty *et al*, 1993). Development of education systems is deeply enmeshed in the prevailing political climate, as education follows the political and social trends of the country concerned (Westhuizen, 2000). A major challenge to educational change is the struggle to define and manage change in a politically contested diverse environment. The policy environment causes pressure to react to momentary crises without any focused long-term planning. Diversity of conditions ensures that policy will have varying effects, and will be executed in different ways, meaning that location and context will determine what the policy means to individuals. Internal, contextual issues, such as interpretation may also affect how policy is implemented, based on how its implications are understood.

An incomplete understanding of the link between intended policies and implemented policies exists. Policy-making has generally paid little attention to implementation, and has been a rushed process seeking to deliver speedy results. It is often not recognised how slight the effect of a change in policy is on what actually happens. Policies often miss the 'big picture' in their formulation phase. Poorly-managed policy decisions focusing on short-term political gains detract from concerns of making policies work, and encourage marginalization. Co-ordination between planners and implementers is essential to ensure continuity and comprehensibility of the policy presentation. Policy implementation is not seen as integral to policy formulation. Participation in policy implementation is

interpreted and managed restrictively, rather than to the widest range of its possibilities. Policy-makers exclude the limitations of those expected to implement policy

Quality management was a process adopted by the democratic government to match the systems in the global world. Globalisation has caused adherence to common policy themes which include lifelong learning, decentralization of governance, and an increasing use of quality control and evaluation measures. Teachers are the most critical resources in schools and will always be key to school improvement efforts.

African policy-makers have been criticized for neglecting teaching in favour of physical facilities (Wallace, 1980), for changing curricula rather than providing facilitators (Heyneman, 1984), and for offering higher and secondary education instead of basic education (Psacharopolous, 1984). Major obstacles to implementation are poor in-service training, and the lack of attention paid to the process of in-service training. Policy implementation is not seen as integral to policy formulation. Implementation failure often also results from injudicious allocation of resources. Frequency of change in terms of policy priority creates uncertainty which is not conducive to the planning and continuity required to implement policies. The situation improves as the focus shifts from perfection to outcomes.

The way in which a policy is communicated may have important effects on the prospects for implementation. Communication and synchronicity are often thwarted by the lack of a clearly defined relationship between political and administration centres. Feedback which

should be regarded as valuable and critical is often considered to be criticism when it is received from those lower in the hierarchy.

3.6 Chapter Summary

In this chapter I focussed on the factors impacting on policy implementation. In the next chapter I focus on the review of literature pertaining to the various forms of evaluation as experienced in different countries.

CHAPTER FOUR

THE USE OF EVALUATION SYSTEMS: AN INTERNATIONAL PESPECTIVE

4.1 Introduction

In this chapter I focus on trends and current thinking in the field of quality assurance and school evaluation as this study is located and driven by the quality management framework which is a tool for quality assurance. I also identify gaps in the literature and indicate how this study will address some of these gaps. A further aim of this section is to compare monitoring and evaluation strategies and, through comparisons, to illuminate innovations, success and challenges and to obtain key insights that will help to improve the successful implementation of the policy of Whole School Evaluation in local schools.

4.2 The Use of Evaluation Systems

Evaluation ***of*** school improvement is of a summative nature, which involves drawing conclusions about the worth, rationality, effects and implications of the area being evaluated. Evaluation ***for*** school improvement is often intended to function as formative evaluation, seeking to stimulate and guide those trying to improve schools (Holly & Hopkins, 1988). Evaluation ***as*** school improvement can be seen as action research, improvement work and evaluation, where all three are tightly integrated. The distinction between evaluation ***as*** and evaluation ***for*** is clear: the latter presupposes a dichotomy between the evaluation and its utilization, while the former suspends the difference.

Evaluation ***as*** improvement implies that improvers themselves know how to use evaluation in the improvement process. This is not necessarily the case with the other two uses (Lander and Ekholm, 1998).

According to Cangelosi (1991) there are two main forms of evaluation, formative and summative. Each process is linked to a specific set of outcomes. Summative evaluation differs from formative evaluation because it is mainly a tool used to make judgement on instructional effectiveness, and is used for a purpose other than helping educators to decide on how to improve teaching, but rather to assist in administrative decisions in order to effect promotion, retention, medical boarding, etc. This is a teacher-centred form of evaluation.

Formative evaluation on the other hand seeks to identify the weak points and the strong points of the teacher in order to develop a growth plan. These two forms of evaluation do not measure specifically the performance of an institution, but deal indirectly with the teacher's performance and function.

Whole School Evaluation on the other hand assesses the performance of the school and very indirectly the performance of teachers (Department of Education, 2001). It should be noted that while the policy allows that Whole School Evaluation information be considered for School Improvement Plans, it may not be used for administrative purposes.

Cangelosi (1991) maintains that the inclusion of both formative and summative evaluations in one system poses a threat to, and is a source of discomfort to educators. Data gathered for one purpose should not be used for other purposes. If educators suspect that the evaluator's formative evaluation may influence administrative decisions such as retention, salaries or promotion, the trusting, collegial relationship necessary for effective instructional supervision may be threatened.

Stake (1989) warns that the formative and summative purposes of evaluation "co-exist" and that they sometimes "got in each other's way." Evaluators therefore, should attempt to make a clear distinction between the two forms of evaluation without affecting the goals of the institution. Whole School Evaluation is also a form of formative evaluation directed at institutional level and not at the level of an individual teacher. Scriven (1988), as cited by Cangelosi (1991) also warns "Formative evaluation of instruction can hardly serve its purpose unless it is completely divorced from summative evaluation".

Theoretically, evaluation can be used for school improvement in at least two ways:

1) By commissioning external evaluations, or by stimulating or demanding internal self-evaluations, stakeholders can cause schools as systems to open up and offer a better insight into when and where to intervene. Evaluations initiated within the schools can have similar effects, and the desire to make the school system more open may indeed be one of the main aims of such an evaluation.

2) Evaluation can be used for learning about the system and its improvement process.

In this instance it is often assumed that evaluation initiates the process with an analysis of the system, and is later used to monitor the improvement process and look for results and consequences. In the case of quality assurance, evaluation is used as a finely-tuned feedback mechanism in successive adjustments of working methods (Lander and Ekholm, 1998).

The Whole School Evaluation is premised on the use of "Evaluations" as a catalyst for school improvement. Given the negative connotation that evaluations have in the South African context, one can ponder whether the noble intentions of the policy will be met. The question that emerges is: What is the success rate with the use of evaluations as a means of school improvement in the international arena? In this section I provide a window into the international experience in the use of evaluations as a means of encouraging school improvement.

The literature indicates that quality assurance approaches to school review and improvement are now a core element of state and government school systems in many parts of the world. For example, England (Barber, Gough & Johnson 1995; OFSTED, 1993), Australia (Department of Education, Victoria 1997); Scandinavia (Lander and Ekholm, 1998) and New Zealand (NZERO, 1991). The South African policy on Whole School Evaluation is no different, in that the policy tends to link together evaluation and development.

4.3 School Evaluation in the Scandinavian Countries

My reason for choosing the Scandinavian countries is that school improvement in Scandinavia is centrally concerned with the implications of a national policy that links together evaluation and development, and school improvement plays a considerable part in the interwoven nets of causes and development that constitute change. The choice of these countries was also influenced by my visits to the Scandinavian countries. During my visits I obtained insights as to how school evaluation was undertaken in these countries, and how performance and accountability within the schooling system is played out. The operational system invites comparison, and provides ideas and suggestions for the South African schooling system. As a result of the fact that I had personally observed the systems in operation in these countries, I felt that the data were more accessible and could be more easily qualified by own evidence garnered by first-hand experience, thus making these countries more suitable for evaluative interest and comparison.

Evaluation as a political tool for improving or managing schools and teaching is an idea suggested mainly from above, not one which is introduced from below. Governments in Scandinavia have urged schools to engage in evaluation.

In Scandinavia, Denmark, Norway and Sweden a process of change started during the "seventies". At the political and administrative levels there has been a shift of focus, from trying to directly influence individual teachers, to influencing schools and thereby indirectly their teaching staff. According to (Lander and Ekholm, 1998) this change in strategy by no means implies that teachers have ceased to be the main targets of policy.

There are very few examples of the systematic and skilled use of evaluation *in* school improvement within individual Scandinavian schools; and, in particular, very few examples of evaluations *as* improvement. Despite this, it is interesting to note that policy-makers have kept faith with their tool of evaluation during the years it has been in operation. The strategy has however changed, and there are indications that its sphere of influence is growing. Lander and Ekholm (1998) argue that opening up schools to stakeholder influences is the most common and tested way of using evaluation for improvement, and that it is this use at present which overshadows the use of evaluations *of* or *as* improvement, as well as their heuristic functions.

Evaluation in the Scandinavian context is an over-arching concept which embraces both single evaluation studies of discrete areas and monitoring, for example, of assessment and indicator systems, and monitoring of work done by students or teachers. The Lander and Ekholm (1998, p.1119) account of school improvement in Scandinavia is centrally concerned with the implication of a national policy that links together evaluation and development. In this account, a series of case studies is used to explore the impact of such national policies. The focus is on the relationship between evaluation demands, methods and results involving adults in the educational system, including those who are the stakeholders. Lander and Ekholm (1998, p.1120) maintain that it is this relationship that makes evaluation a tool for improvement. They do, however, recognize that the objects of evaluation are very often the students.

It was also recognized that use could be made of evaluation to stimulate school improvement. This was largely due to the increasing interest in more efficient and productive schools. In a different form, 'management by objective,' attracted most interest at the political level during this period, especially in Sweden and Norway, where today it is the 'official policy' philosophy behind both local and national government.

During the past decade, the Scandinavian countries have tried to marry central control with decentralization. Through the adoption of "management by objectives", central regulation has been abolished, and centralized functions are achieved instead by formulating clearer goals by evaluation.

It is important to note that by insisting on evaluation at all levels, policy-makers seek to pursue accountability, and thus to influence power relations within the educational systems. This links to my consideration of how the Whole School Evaluation policy impacts on the management capacities of school principals, and the theoretical considerations of design, planning and implementation of policy, and the effects these factors have on how policy is received and implemented. In Scandinavia, evaluation is often said to be the democratic check on the decentralization of power (Lander and Ekholm, 1998, p.1123) of the Kommuns and the school. By using evaluation and urging schools to self-evaluate, policy-makers cause schools to self-evaluate, thus opening them up to external scrutiny. The notional monopoly by the teachers of pedagogic knowledge has been challenged more than ever before.

In Scandinavia today, policy-makers often seem to view school improvement as evaluation rather than the other way around. When evaluation is introduced from above as it is in Scandinavia, it is more often used to satisfy the policy-makers' need to know and thus influences methods of evaluation which are more suited to these needs, and less to the needs of the schools who are still struggling with their informal analysis of the internal school process - that is, the process of evaluation as school improvement (Landers and Ekholm, 1998). What follows is a review of school evaluations in each of the Scandinavian countries.

4.3.1 School Evaluation in Denmark

Since the beginning of the 1990s, systematic efforts have been under way to improve the quality of educational provision in the Danish education system through quality development and quality assurance. The overall task of systematic quality development builds on common principles which are nevertheless implemented in different ways in the various areas of education. The development of methods for assessing goal achievement is a continuous task and not an easy one. The aims of educational policy are not static, but are subject to changing political priorities (Harslof, 1997).

The Danish approach to quality involves a number of elements. Traditional standards such as common guidelines, a testing and examination system, approval of provision and inspection, as well as the involvement of stakeholders are already commonly acknowledged. Furthermore, the task of concretising and operationalising the overall goals set out in the educational legislation and converting these into measurable units, be

they qualitative or quantitative is a difficult one. This task was unlikely to be achieved without international experience.

The defining characteristic of Danish educational provision is the fact that it rests on a common set of rules (curricular) setting out aims, content and duration of programmes of study and individual subjects. In addition, this often includes rules governing assessment, examination and the required number of written assignments, as well as regulations covering attendance in basic and general vocational upper secondary education. Finally, teachers must fulfil a number of pedagogical requirements for teaching a particular subject or programme of study (Nymark, 1997).

The establishment of a common set of rules or 'standards' relating to the input aspect is motivated by the fact that this ensures uniformity, as well as a minimum standard and quality levels. Over the last decade, however, requirements relating to the content have tended to be less detailed. Institutions have been given greater scope to organise programmes of study and instruction, and to employ the staff and methods deemed most suitable. This focus on improvement of education can be likened to the drive in South Africa to raise the standards of education, and to provide quality education for all, although initiated and perpetuated by differing political and motivational factors. It must be stated however, that unlike South Africa, Denmark being a first world country has the financial resources to undertake improvements in the education system. And that, given our historic past in terms of unequal allocation of resourses, implementation of a common standard for all schools will not only be difficult, but also impractical. Unlike Denmark,

South Africa begins the process with such diversity in resources, not only equipment, facilities, books, but also in terms of human resources such as interested, motivated and qualified staff, pupils who are not handicapped by past inequalities, transport, funding, etc. This complicates the process as to simply apply a template of evaluation and/or upliftment is never going to be successful in the face of such variance and obstructions.

In Denmark, the Minister of Education has overall responsibility for all fields of education, and institutions are under obligation to provide, upon request, any information deemed relevant. Thus the Minister of Education systematically collects data from institutions in all fields of education on finance, graduation rates, student flow and grade averages etc. (Nymark, 1997).

The various forms of institutional government across the educational sector determine the forms of inspection conducted by the ministry. The Ministry of Education undertakes systematic legal, financial and academic-pedagogical inspection of all general and vocational upper secondary educational provision, as well as of short-cycle higher education. In addition, the ministry undertakes legal and financial inspection of 'liberal' that is private independent schools, and folk high schools. In the field of primary education, inspection is the responsibility of the local government.

The actual process of inspection may be confined to desktop inspection involving analysis of the data supplied by the institutions. Inspection typically focuses on a particular area, for instance, compliance with qualification requirements for teachers,

observance of timetables, guidance provisions, the implementation and use of ICT, etc. As mentioned above, there is evidence of a trend towards increasing result orientation.

Higher education institutions are exempt from inspection. Instead, they are subject to educational contracts, where the allocation of funds is dependent on the extent to which institutions live up to a number of predetermined goals. It is the task of the ministry to oversee this, and to procure, based on this assessment, information regarding various areas of institutional activity.

Harslof (1997) maintains that such a regulatory approach is advantageous for higher education institutions in that they become performance-driven, which requires them to be self-motivated in achieving their particular goals in order to acquire the necessary funding. A disadvantage of this method is that the means by which they thus achieve these goals is not assessed along the way, and thus the sacrifices made, or actions taken in producing a result are not open and subject to analysis.

In the South African context, this might be a less autocratic and overtly discriminatory practice, which could find appeal for those precise reasons; however, assurances of quality and continuity are not implicit in such a system. On the other hand, a newly-forged democratic nation would not accept too readily the kind of totality of control implied by the inspection format of the Danish approach.

One central principle of the Danish approach to quality is the demand for systematic self-evaluation and follow-up. In a number of educational fields, special rules governing quality development and quality assurance have thus been introduced. Institutions providing, for instance, vocational education and short-cycle higher education are therefore under obligation to employ a system of continuous quality development and assessment of results. Accordingly, these institutions must have procedures for systematic self-evaluation of central areas of educational activity. These ensure, for instance, that teaching measures up to the predetermined goals, the employment of well-chosen teaching methods, that the school/teachers consult the students on their assessment of the instruction provided, as well as of the institution's organisation of the course or programme of study, and the systemic continuing training of teachers. In addition, examination results and any external evaluations must form part of self-evaluation (Harslof, 1997).

On the basis of a school's self-evaluation, a follow-up plan specifying the ways in which the pre-determined goals are to be achieved must be devised. It is an explicit requirement that teachers, students and the local education committee must be involved in this process.

It is up to the individual institutions to determine their specific system of quality assurance since the ministry does not impose a specific system or method, with the exception of adult vocational training. Institutions vary considerably in size and complexity, for example as regards educational provision and branch structures.

Furthermore, the choice of a quality system crucially depends on local organisational culture. It is paramount that the administrators choose a system that is deemed to strengthen local affiliation and responsibility, and thus yield the best results. Primary and general upper secondary education is characterised by an altogether different ownership structure due to the fact that the decision-making powers rest with local government (community and county authorities). It is the task of the ministry to offer support and inspiration to local initiatives. This has been accomplished through advising individual institutions in the various educational fields on quality systems (Jensen *et al*, 1992). The question begging to be asked is to what extent advice to individual institutions on quality/quality systems is provided to our schools, and what decision-making powers rest with the District Offices of the Department of Education in respect of school evaluation, performance and accountability? As will be indicated later in my study, the data acquired by means of interviews and responses to questionnaires will indicate a dearth in response and responsibility by the District Offices in South Africa which creates many problems in terms of a lack of support for those educational institutions attempting to successfully implement new and crucial policy. It seems evident that this is not the case in Denmark where the role of the District is important and seems to function appropriately.

The Danish Evaluation Institute (EVA) is an external, independent body for the quality assurance and development of Danish education and instruction. The EVA was established in 1999. The EVA is responsible for all fields of education under the Ministry of Education, but also takes on commissioned tasks. The EVA is a government institution managed by an independent board of governors. Each year, the EVA submits a plan of

action outlining evaluations to be undertaken in the coming year. It is the task of the Ministry of Education to ensure that this plan of action is in line with the objectives set out for the EVA.

The EVA's task is to evaluate education and instruction, with limited focus on the evaluation of institutions and the way these are run. In addition, the EVA develops methods of evaluation and puts this expertise at the disposal of institutions. Thus the EVA is the Danish knowledge centre in the field of evaluation and must therefore seek to establish international contacts. The institute's evaluation reports are public documents, and the institutions which have undertaken self-evaluation as part of the process of evaluation are under obligation to publish follow-up plans. The South African education system should also consider the establishment of an external independent body for quality assurance. This could also be an innovation in South Africa where such a body could provide invaluable assistance in terms of advice and innovative new methods to institutions struggling to find ways to implement policy so that it is acceptable to, and can be adapted by the community the institutions serve, yet ensure that the standards which are met and maintained are equitable with the rest of the country (Harslof, 1997).

The Danish experience is that local evaluation with similar state-commissioned projects has also experienced severe difficulties in fulfilling both national and local needs (Kruchov, 1993). It is for this reason that researchers are increasingly being used by the state to collate and analyze local implementation on evaluation. Equally depressing is the finding that local project reports are rarely read by other schools, even though they are

printed and published by the state (Lander, 1995). What seems to be common to both the Swedish and Danish situations is that evaluation is used *for* improvement within schools, but rarely *as* improvement.

According to Lander and Ekholm (1998), in those schools with a deeper tradition of improvement, work experience of diagnosis appeared inextricably linked to a constructive debate following the feedback of the NU evaluations. The quality of the debate related more to data utilization than to diagnosis, which suggests that the ability of the school to debate constructively facilities the ability to see diagnostic possibilities in external input. In schools with less of an improvement tradition, but where there was some success in utilizing the data, the diagnosis and data was intertwined with negative feelings about the feedback itself, and to negative attitudes about the validity of the NU tests. It would seem that data utilization in these schools developed through some kind of turmoil, connected to the feedback process. Some members of staff reacted to what they saw as a threat to their pedagogical practice .This turmoil, however, usually resolved itself in a positive way. This occurred because the process of utilization only affected small numbers of staff in these schools. The teachers who utilized the data seemed able to legitimize their own improvement efforts within the school without involving the rest.

This indicates that, as with the implementation of a policy like the WSE in a South African context, response and effect would vary between schools, for example, even in a South African context, some schools would utilise and feed off the process of evaluation, while others who harboured more negative perceptions of the process, perhaps viewing it

more as an imposition than an asset, would be likely to resist the implementation or, not to see as advantageous the results and effects thereof. The notion that some teachers perceived the insistence on the obtaining and utilisation of data as a threat to their pedagogical status would certainly be a perception likely to be found in response to the implementation of WSE, regardless of the different nations and policies concerned in the process. It is thus interesting to observe that, although local conditions and even educational policies may differ from country to country, many similar responses and anticipated behavioural trends can be noted. Cultural bias can be a tremendous obstacle to change which is inherent in most policy implementation. It is thus that initiatives which support change and difference are often viewed as threatening, and seen as a device by which to remove authority and/or independence from teachers. Although cultures may vary from nation to nation, the notion of threat implied by change and difference to what is culturally 'normative' can be perceived across borders of country and identity.

4.3.2 School Evaluation in Norway

The Norwegian Government has a high regard for evaluation as a means of improving schools. Teachers are advised and instructed on how local evaluation should be undertaken by being provided with a booklet entitled Undervleis. According to Granstrom and Lander (1995, p.5), the booklet claims that staff perform evaluation collaboratively, and that this process should also include parents as stakeholders. Democratic involvement is used as the justification for engaging parents, but there is also fear that the interests of stakeholders may harm schools if they are based on ignorance and misinformation. Thus school-based evaluation also needs to build legitimacy for the

school "to strengthen the school's position in the community" (Granstrom and Lander, 1995, p.5).

According to Lander and Ekholm (1998) the important issue here is the social technology implied in quality assurance. Teachers' roles are expected to change by the introduction of the booklet. Partly overt, partly implied, is the intention to stimulate a local process which limits the rights of individual teachers to work in isolation, and to involve them in collaborative norm-setting related to teaching and learning. The booklet seeks to give assurance that school-based evaluation is not concerned with judgments about the achievements of individual teachers, and no examples of this usage are given, however, neither is the function of the collaborative process. In achieving a common standard of acceptable teacher performance discussed, it is clearly stated however that the collaborative process is not voluntary: "It is not... up to the individual teacher to decide if he or she wants to take part" (Granstrom and Lander 1995, p.6). Many officials are confused about what school-based evaluation means for both school improvement and school governance. There is a fear that many schools look upon evaluation as one improvement project among many, one that is finite and not for everyday use.

The booklet cites head teachers, students and parents as part of the process, without going into detail about their respective roles. Especially important is the head teacher, who is responsible for school-based evaluation taking place. Nothing is said, however, about how any standardization of teaching quality can be achieved. It may be reasonable to

believe that some head teachers use teacher appraisal to this end, as part of the process of Quality Assurance in their schools (Lander and Ekholm, 1988).

The Norwegian Ministry of Education adheres to a model of quality assurance in giving advice about school-based evaluations. It is not a fully-fledged model, but it is one that is designed to suit education and the perceived pressing need to change its social technology. The booklet seems to be written not to provoke resistance among teachers, but to present them with professional challenges. It is the most explicit example in Scandinavian education of what central political authorities expect from evaluation as a tool of school government at a local level.

In the Ministry's plan for a national evaluation and assessment scheme, school-based evaluation is a part, with no formal connection to other parts of the scheme. It is stressed that the school "owns" its evaluation.

In the case of Norway, however, school-based evaluation is re-defined. It is no longer the instrument of improvement through the implementation of challenging new ideas derived from cognitive learning, it is rather a tool for piecemeal refinement of existing order. Evaluation is clearly subordinated to the need for a change, and that change to more powerful leadership and staff collaboration is supposed to produce higher levels of teacher quality. School improvement takes on a partly new gestalt, by "using what you can in a better manner, rather than transforming and improving yourself".

This example is by no means a success story about the use of evaluation for school improvement. Teachers have generally reacted with suspicious resistance to such government initiatives. What the NU project mainly indicates is that only schools already engaged in a process of school improvement can make good use of external feedback from an evaluation of their systems.

Other research provides an even more negative picture. Case studies of successful schools suggest that school evaluation does not play a leading role in the school improvement process (Vasstrom, 1995; Ekholm, 1990; Hameyer, Anderson, van den Akker and Ekholm, 1995). Schools utilizing feedback from the NU project responded to the offer made, but may not have opted for evaluation if they had to look for external help themselves. In the review of school improvement literature by Louis and Miles (1987), evaluation as a vehicle for change was not presented. However, in analyzing improvement processes in urban high schools, Louis and Miles (1990) identified aspects of evaluation in the first of the four vital components of the process - evolutionary planning, vision building, resource management and problem-solving.

The somewhat gloomy outlook regarding the role of school evaluation may partly be explained by the manner in which schools and staff respond to evaluation processes which are often (as mentioned previously) characterised by words such as 'suspicion', 'negative' or 'threat'. Of course, as mentioned in my earlier chapters, the manner in which policy implementation is received is largely determined by the planning, foresight, presentation and method of implementation.

4.3.3 School Evaluation in Sweden

The demands of policy-makers for evaluation *as* school improvement in Sweden are encoded in the Swedish National curriculum of 1980. Since then, the Swedish schools, have been expected to make working (or development) plans. These working plans combine a school's interpretation of political goals with its own priorities. Schools are thus required to synthesise the results of their own evaluations with the municipal and national priorities. The implementation of these working plans has been very slow, but nevertheless the intentions of the policy-makers have been longstanding and clear. The use of the term 'special support' instead of 'special needs' is intended to widen the focus from the individual's difficulties to the ambient environment and the efforts at school.

The Swedish National Agency for Education is the central administrative authority for the Swedish public school system The Swedish National Agency for School Improvement's aim is to support local efforts towards the fulfilment of national goals for education and training. The agency initiates and supports local development and improvement to ensure high quality and equal opportunities for pupils and students. The agency targets pre-school, school and adult education in this regard.

A notable function of the Swedish National Agency is the provision of monetary steering instruments to enable municipalities and schools to better achieve their goals, and to guarantee quality and equivalence. The allocation of monetary steering instruments is evaluated on an ongoing basis to determine whether school authorities are meeting the

goals for which the funding was provided. Such a method could certainly be useful in the South African situation as a motivational tool which encourages schools to strive for high goals for which they will receive funding, and to put in the required effort to meet those goals, knowing full well that the result is being monitored, and that future funding may depend upon each current project. The ultimate benefit to schools is implicit as with funding, many positive changes can be made.

The National Agency for Education communicates with Swedish Parliament and Government. Providing information to influence policy can involve making the results of the National Agency for Education reviews and evaluations readily accessible and comprehensible to parents, so that they have a good idea of how their children's school works. With this knowledge to support them, parents can engage in a constructive dialogue with teachers and school administrators concerning how their individual schools can be developed.

The National Agency for Education establishes by way of educational inspections, whether, and how well an educational activity is functioning in relation to the regulations set out in the Educational Act and school curriculum, and draws attention to areas where a municipality or board of an independent school needs to invest their efforts in their own development work. There is a focus on areas where development is needed at national level by means of national evaluations, as well as the provision of the underlying basis for this development, for example, by helping school principals and supervisors in their efforts to lead and rejuvenate activities at school level, by participating in international

evaluations in order to gain more in-depth knowledge on comparable education systems, and on how other countries have dealt with areas similar to those needing improvement in the Swedish education system.

The Scandinavian countries encourage and nurture comparison with other countries and actively engage in international debate, dialogue and research viewing this as a means of improving and updating their own information and methods. We, in South Africa, could take a leaf out of their book, as simply giving consideration to international policies, methods and techniques does not mean that our own Education Ministry has to actively buy into them. Rather, such input of fresh and new ideas inspires adaptations and solutions to South Africa's unique structures and difficulties by virtue of engaging with alternatives other than our own.

Within the objectives and framework established by Government and Parliament, the individual municipality may determine how its schools are run. A local school plan describing the funding, organization, development and evaluation of school activities is to be adopted. Using the approved curriculum, national objectives and the local school plan, the principal of each school draws up a local work plan. This is to be done in consultation with the school's teachers and other personnel.

The National Agency for Education is to evaluate, follow up and supervise the public school system in Sweden. Every three years, the National Agency for Education presents a current overview of the school system to Government and Parliament. This forms the

basis of a national development plan for schools. The National Agency for Education has a supervisory role to ensure that the provisions of the Education Act are complied with and that the rights of the individual student are respected.

In 2003, the Swedish National Agency for Education began to inspect municipal and independent schools throughout the country. This initiative was based on a government mandate stating that all activities for which local and independent school authorities are responsible would be reviewed over a six year period. The Educational Inspectorate is now a high-priority operation within the National Agency for Education. As the conditions for the inspectorate's work change, the model it uses will also change. For example, over time, it will be affected, as the local self-assessment presented each year in the quality report evolves. The question we need to ask is why the role of South African District Offices does not become a high-priority issue within the education department, focusing firstly on the contribution they make towards school evaluation, and secondly, on their changed roles after schools have undergone WSE. Their function currently seems to be static, but placing this under the microscope could go a long way to determining how to revise and restructure their position and function, so that it is not simply integral to the system, but is instrumental in assuming some of the burden of implementation and maintenance.

The inspectorate's method of gathering data, its focus on the review, and its methods for evaluating quality will also be followed up and revisited as needed. One overall goal is to

design and carry out educational inspection to ensure that every pupil in each school obtains the best possible education.

4.4 Synthesis: School Evaluation and School Improvement in Scandinavia

In Scandinavia, policy-makers often seem to avoid school improvement *as* evaluation rather than the other way around, which is a view which is almost certain to over-burden evaluation as a concept. When evaluation is used from above, it is often used to justify what the policy-makers need to know and influence. Methods of evaluation are therefore more suited to these needs and less to the needs of schools, which are often struggling with their internal analysis of the internal school improvement process - the process of evaluation *as* school improvement.

It is clear that evaluation and its modest contribution to school improvement may well get lost in the struggle between the social technology of teaching and the everyday running of schools. Evaluation, in whatever form it may take, implies a certain expenditure of effort on behalf of teachers and staff, and a particular allocation of time, as well as certain administrative processes. In many schools, particularly in the South African context, the practicalities of day-to-day teaching may allow little leeway for extra tasks, more so in regard to those in respect of which the benefits or results are not really evident. Also, the noble and usually rather theoretical aims of evaluation, with its inherent potential benefit to learners, and in a more obscure way to teachers, may become subsumed by the actual physical process of teaching necessary for the maintenance of the primary function of

education. My concern is that if evaluation as management and control becomes too dominant, it is likely that teachers will administer the kiss of death to the whole idea of Whole School Evaluation as a means of improving schools (Ekholm and Lander, 1998).

It is thus vital that an evaluation process make clear its benefits and advantages while appearing as collaborative and participative as possible. Essential ingredients of successful policy could be viewed as flexibility, transparency, sustainability, manageability and finally, the preservation of a delicate balance between quality control and manipulation.

According to Lander and Ekholm (1998) there has been an emerging focus on evaluation as management, that is, on making evaluation an integrated part of management of staff and organization of schools. Following their review of research and an analysis of Scandinavian policy initiatives, Lander and Ekholm conclude that policy makers' view of evaluation is more a means of gathering information and achieving control, than a tool for school improvement. Schools that are striving to use evaluation as a means of school improvement are, on the basis of this evidence, likely to have their efforts negated by the predominating notion of evaluation as management orthodoxy. On the basis of their data, Lander and Ekholm argue that too great an emphasis on goal-based accountability results in a reduction of professional commitment and autonomy.

The Scandinavian countries have, during the past decades, tried to marry central control with decentralisation. Central regulation has been abolished through the adoption of

'management by objectives' and centralised functions are achieved instead, by formulating clearer goals, and by evaluation.

In all three countries the municipalities are the 'owners' of the schools. The municipalities are referred to as 'kommuns', to emphasis that these historical entities have always been quite powerful, and that with decentralisation they have become even more powerful. This shift in power to kommuns is most marked in Sweden. In Denmark and Norway, kommuns have traditionally had a greater say. As this policy of 'ownership' of schools which emanates from the decentralisation of authority to the municipalities has proved very effective in ensuring commitment and interest which are highly positive motivators towards change and improvement, it would be a sound strategy to consider in South Africa, where the current 'top-heavy' structure could be made leaner and power spread more widely, thus encouraging similar sentiments in regard to schools.

4.5 The United Kingdom's Inspection Model

4.5.1 The United Kingdom's Process of Inspection

In the United Kingdom's process of Inspection, besides curriculum delivery, inspectors look at a "Whole College Provision", governance, management, general resources, quality assurance and student support. Inspectors identify the strengths and weaknesses of provision, and summary judgements are expressed as grades. Typically between nine and thirteen aspects of provision are graded. These include five aspects of whole college

provision, and anywhere between four and eight curriculum areas. All inspection reports are published.

Self-assessment is integral to the process of inspection. Before this inspection, a college will carry out a self-assessment that is used to help plan the inspection and to identify issues which might be followed up during inspection.

More importantly, self-assessment has played a key role in helping colleges understand what is involved in carrying out objective assessments and in making judgements. It has also helped them understand that these processes can be used to drive quality improvement. Mutual understanding between inspectors and college staff is important. Well-focused quality improvement depends on inspections being carried out and received in a constructive way.

Beech, Harper and Row (1989) maintain that it is essential that inspectors develop the right kind of relationship with those who are inspected, if a strong culture of quality improvement is to be ensured. In other words, the practice of inspection is much more significant in relation to raising standards, than the words used to describe the process of inspections (e.g. 'assessment' or 'evaluation'), or the titles of inspectors themselves (e.g. 'evaluators' or 'supervisors').

Inspections in the United Kingdom have two clear overriding purposes: (Head Teachers Training Module, 1993, Commonwealth Secretariat). These purposes are:

1) To underpin public accountability to a wide audience, including parents, the general public and government, all of whom have a right to know whether education provision is effective and is making good use of public funds.

2) To act as a catalyst for quality improvement for the benefit of the learners. Inspection must be a means to an end. Inspectors are there to help make things better, and the people who benefit from the inspection have to be learners.

The overall aim of the United Kingdom's inspection procedure is to be objective and consistent. In South Africa's evaluation system, the elements of objectivity and consistency are somewhat compromised in that there is no clear-cut procedure regarding the mediation of appeals by the schools. Appeals are currently sent to the same directorate responsible for evaluation of schools. This situation is untenable, in that the directorate responsible for evaluation is then expected to play referee at the same time. The question thus arises as to whether it would not be more appropriate in South Africa to create a separate body to be responsible for appeals and queries, thus ruling out the prospects of bias, prejudice, confusion and the uncomfortable position of having one body of officials wearing two hats. This would ensure that schools felt at liberty to direct appeals and queries, or indeed, complaints to this body, as they could be guaranteed that such communications would be handled with objectivity and in a neutral manner.

In conclusion, the British model of inspection compares very closely to the South African evaluation system in that many of its features characterize our own system of evaluation. These include:

- It is developmental in nature, and the process is structured in the same way as Whole School Evaluation.
- Striking features of similarity are the pre-evaluation visits and the on-site briefing by the inspectorate on self-assessment. As these activities are similar, one could equate them to our own system of self-evaluations.
- It underpins public accountability.
- It acts as a catalyst for school improvement.

Britain is classified as a first world country, and British schools would, by comparison to our own, differ in many respects. In South Africa, the historical imbalances of the past are still the hallmark of the legacy of apartheid. The separate funding of evaluated colleges, the funding for outstanding colleges and the granting of accredited status are but a few of the striking differences we need to consider including in our South African system of evaluation.

However, research into these schemes (Clift et al., 1987; Hopkins, 1989; Cuttance, 1994) revealed that they had limited impact or connected reasons relating to their status as innovators. The findings suggested firstly, that school self-evaluation was an unwelcome and threatening exercise where teaching staff believed that schooling should be left to the professionals, especially where reporting to outsiders was involved. The values

underpinning school self-evaluation were inimical to this professional culture. Consequently there was limited perception of a need for the innovation. Those experiencing the OFSTED application suffered from the 'top-down' approach which caused problems of advocacy. The reasons for the implementation of the programme were not adequately explained which led to communication problems. The programme was perceived as an inspection conducted by the Department of Science Education and its implementation in a somewhat 'high-handed' manner angered and frustrated teachers who felt they were being victimized by the application of the programme.

While none of these side-effects were intentional, the manner by which implementation took place and the handling of the process by the department authorities led to teacher stress and the feeling by teachers that they were threatened by the process. Uncertainty prevailed, and educators argued that, as employees of the state, they had the right to input regarding their performance. They felt excluded by a process which subjected their performance to measurement. The closure of a number of failing schools added to the emotional trauma and a feeling of inadequacy and hopelessness among teachers (Hanushek, 2003).

Secondly, there was a lack of clarity at LEA and school levels over two potentially conflicting purposes: promoting internal school-wide development which would entail acknowledgement of strengths and frankness in revealing weaknesses, and increasing external accountability, where admitting weaknesses could be perceived by school staff as inviting retribution, leading to many weaknesses being those (like provision of

facilities) which were LEA responsibilities, and to avoidance of issues at the heart of schooling, like teaching styles and their impact on pupil learning.

Implementation strategies did not solve the problem. Mandates ensured minimal compliance, but not commitment: invitation to participate in voluntary schemes was not much of an incentive, resulting in many school staff declining the offer or abandoning the implementation later on (Wallace, 1996). Thirdly, LEA initiators appear to have made false assumptions about the ease of implementation, underestimating the complexity of school self-evaluation for novice users, since little guidance was provided on the process. Collecting data on present practice, identifying and agreeing areas for improvement and implementation changes turned out to require skills that many staff did not have: staff was often overly ambitious in undertaking extensive efforts that then dragged on while no action for improvement was taken, and the initiative took an inordinate amount of time which competed with other priorities. The quality and practicality of the schemes was therefore low, and the absence of related staff development and resource assistance in the form of preparatory training and facilitation in school did nothing to help implementation along.

Finally, the balance between environmental stability and turbulence, while variable, was weighted towards stability in most schools. Strong professional control over schooling meant that most innovations connected with teaching and management were either initiated in school, or were optional, so principals/head teachers could keep the turbulence brought about by the changes within bounds.

The staff lacked experience in implementing substantial planned changes including managing redeployment of resources. It seemed that the associated lack of skill in managing change at school level may have been mirrored by the lack of skill amongst LEA officials in managing change to be implemented by users in schools (Wallace, 1996).

4.5.2 Conclusions /Comparison/Questions

These could be broadly related to some of the general difficulties experienced with any policy implementations, and more closely to some of the obstacles facing the implementation of WSE; particularly the lack of frankness, where staff pinpoint weaknesses which can be attributed to external sources or conditions beyond their control, and indicative rather of errors in the system. This is a form of defence mechanism which relates back to the negative perceptions with which change and new policies are viewed, particularly the perception of such processes as 'threats'.

4.6 The Seychelles Schools Improvement Plan (SSIP)

The Seychelles Schools Improvement Programme (SSIP) exhibits many practical lessons for the South African system, especially the Whole School Evaluation system (WSE). While there are not many differences between SSIP and WSE, the former proves to be largely focused on a more practical basis, and seeks to give the school more responsibility for the maintenance and development of education standards.

The vision of the SSIP is to use school-initiated interventions, accompanied by appropriate support from their ministry to transform the management structures and school ethos. WSE and other previous South African policies have been primarily 'top-down' initiatives as discussed previously and this deprives schools of the ability and the licence to be creative and forward-thinking in their approach to education.

This vision is seen to be the basis for quality education. Its conceptualisation is also based on the belief that local needs can best be addressed through local strategies. The implementation of the SSIP is the responsibility of a series of dedicated and highly coordinative structures established within a clearly defined quality assurance framework of the ministry. The ministry's quality assurance framework is principally comprised of the research and evaluation section; quality assurance service and the School Improvement (SI) Secretariat. It would be good practice if the Directorate of quality assurance had a Research Section attached to it.

The quality assurance framework is mainly responsible for knowledge innovation; maintenance of standards and improvement, respectively. The programme is coordinated nationally by the School Improvement Secretariat and is comprised of the director, two office-based staff and five regional coordinators. The secretariat implements its programmes through dedicated structures comprising regional coordinators and school-based school improvement teams (Khosa, Kanjee & Monyooe, 2002).

At the national level, the programme is coordinated by the Steering Committee and Support Committee which provide strategic direction and technical support respectively. These structures are representative of sections responsible for resourcing, school development and the accountability of the system, including the semi-independent National Institute for Education (NIE). These committees provide their advice and support through the SIP secretariat (Khosa, Kanjee & Monyooe, 2002).

In terms of similarities between Whole School Evaluation and the Seychelles School Improvement Programmes, both are concerned with improving quality. They both use self-evaluation methods and external support, and they assume a whole school approach to reviews and planning. Both countries cite self-evaluation; ongoing district support: monitoring and development; and external evaluations, as aspects of Whole School Evaluation.

The differences between Whole School Evaluation and The Seychelles School Improvement Programme are that Whole School Evaluation assumes a mix of purposes: accountability of schools to the system and improvement through self-evaluation. Ideally, the two purposes would be effectively promoted through different methodologies. It is theoretically held that evaluation for accountability purposes is 'top-down', and requires tight enforcement from outside the school, while improvement should be driven from the bottom and supported externally.

The latter will therefore require the development of a skills base, ownership and the right ethos at school level. The theoretical quiz that follows then is whether inspection (for accountability purposes) can be done alongside development of skills and the right ethos at the school by one agent.

In evaluating the Seychelles programme it can be concluded that the SI system:

- Is highly participatory right from ministry level to school level. It is strongly based on the notion of school-initiated improvements and complemented by external support.
- Also deals separately with the often counteracting, but essential elements of 'organizational maintenance systems' that are 'development' and 'accountability interventions'.
- Displays the striking level of practical research expertise among the school-based staff. Schools claim to have gathered this experience over time and mainly at the school site.
- Displays the noteworthy level of commitment to the SI by the school-based staff. This could be due to the direct fruits of the sense of ownership that the programme emphasizes. Such high level ownership is usually characteristic of genuine devolution of development programmes to the locals.
- Further confirms 'ownership' by the fair amount of difference in the approaches that individual schools take towards school development. For instance, schools individually develop their self-evaluation instruments that are based on their

specific contexts and needs, although they will follow a whole school development approach.

- Encourages the facilitation of networking among the schools by the regional coordinators.
- Produces a two page report update covering school improvement plans at Ministry and school levels (Khosa, Kanjee & Monyooe, 2002).

4.7 Key Findings

Whole School Evaluation assesses the performance of the school and very indirectly, the performance of the teachers. Whole School Evaluation is a form of formative evaluation directed at institutional level, not at individuals within the system. The Whole School Evaluation system operates from the foundation that it will serve as a catalyst for school improvement.

School evaluation in Scandinavian countries embraces single evaluation studies and monitoring of assessment, indicator systems and monitoring of work done by students or teachers. Scandinavian countries have tried to balance central control with decentralization. In Norway today, school-based evaluation is a tool used simply to refine the existing order – operating on the basis of using what there is in an improved manner, rather than serving as a process of self-transformation.

Denmark's educational provision rests on a common set of rules which prescribes aims, content and duration of programs of study and individual subjects. This ensures

uniformity as well as a minimum standard and quality level. In Danish vocational education, the Ministry of Education confers upon institutions the right to provide programmes of study, and ministerial approval, which may be revoked, is subject to a number of established quality criteria.

The Danish regulatory approach allows higher education institutions to become performance-driven, thus requiring them to be self-motivational in achieving goals in order to acquire funding. The downside of this is that the means by which the goals are achieved is not assessed. The Danish and South African systems differ, in that the Danish system views parents as major stakeholders, allowing a client-centred approach which permits smooth-flowing communication, and a vested interest by parents in their children's education. While South African systems also respect the input of parents, the level of perception of the adequacy of a large, illiterate population negates many parents' involvement. In Denmark, labour-market partners are also an integral link for vocational schools and local education committees, and this ensures a match between schools' educational provision and industry needs.

Other positive aspects of the Danish system include the presence of the EVA (Evaluation Institute); legislation relating to the transparency and openness in education, as well as participation in international surveys and research.

In South Africa, an operational system like the Danish one would be more difficult to manage successfully, given the vast disparity in reception, for instance of WSE, and also,

in context, for example, taking into account the difference in availability of resources and qualified and trained educators. In our country, the evaluation system has not been able to provide objectivity and consistency, and the process of evaluation, which involves expenditure of effort on behalf of teachers and staff has been accommodated with great difficulty into a day-to-day teaching practice which allows little time for extra tasks.

South Africa's educational accountability levels have lain largely with a central authority, rather than a local one, as the country's historical background has promoted a reluctance to relinquish control from a base of power to smaller satellites. Implementation in South Africa of a 'one-size-fits-all' model was the largest source of contention. Applying one template to such a range of sites with such diverse circumstances and conditions left the policy implementation open to a number of inconsistencies and obstacles.

South Africa exhibits many similarities to the educational system's history of evaluation and development in Namibia due to poor timing of policy release, radical change in government, confusion as to processes and procedures, and attention being given to reform, rather than the means by which reform was communicated, so that understanding of the need for reform and the benefits thereof could be disseminated. A major difference exists in the means by which communication was handled.

In South Africa, vocabulary which could be construed as negative, such as the word 'inspections', was replaced with terminology like 'evaluations', and an attempt was made to shift the focus to developmental rather than judgemental change.

The Seychelles Schools Improvement Plan (SSIP) uses school-initiated interventions to transform management structures and school ethos. WSE and SSIP are both involved with improving quality using self-evaluative methods and external support, however, WSE assumes a mix of purposes comprised of accountability of schools and improvement through self-evaluation.

4.8 Chapter Summary

Theoretically, evaluation can be used for school improvement in at least two ways – by commissioning external evaluations or demanding internal self-evaluations, and evaluation can be used for learning about the system and its improvement process. Whole School Evaluation is premised on the use of evaluations as a catalyst for school improvement. The literature indicates that quality assurance approaches to school review and school improvement are now a core element of state and government schools in many parts of the world By insisting on evaluation at all levels, policy-makers seek to pursue accountability, and thus influence power relations within the school environment. Compared with the earlier system of teacher inspection in South Africa, the most novel feature of the new Whole School Evaluation approach is that the policy-makers, by using evaluations and pressing schools to self-evaluation are opening up schools to external scrutiny. The National monopoly of pedagogic knowledge enjoyed by teachers is being challenged more than ever before. For teachers, evaluations can offer the prospect of a more focused professional development and a richer, more equal, partnership with stakeholders. It also, however, threatens the hegemony of their professional judgments in matters of education (Lander and Ekholm, 1998)

The new evaluation tool is most likely to be first experienced by administrators at all levels. Politicians will employ administrators, and for evaluation, probably new kinds of administrators. Traditionally many administrators are former head teachers, but they often lack knowledge of evaluation methodology. This may give rise to competition between administrators and education professionals (Granstrom and Lander, 1995).

In this research it is presupposed that for the time being it still makes sense to attempt democratic 'community' within and around a school. A tool for evaluating schools through mutual contributions from all key stakeholders is presented, in which pupils teachers, pedagogues, leaders, and parents are approximately equally represented in choosing basic criteria, scoring the school based on the criteria, interpreting the quantitative results, pointing out strengths and needs, and recommending target areas for special development. The basic idea is that one person has one voice in every phase of school improvement, thus contributing individually and proportionately to the emergence of democratic order.

My aim in this chapter was to evaluate features common to other systems of school evaluation in the different countries and to determine their success rates. This chapter also presented key insights following the assessment of the use of evaluations as a means of school improvement which can be considered in the implementation of Whole School Evaluation in our country. The next chapter describes and plots the methodological frame in this research inquiry.

CHAPTER 5

THE METHODOLOGICAL FRAME

5.1 Introduction

By way of recollection this study set out to answer two main research questions, firstly, to examine the contents, claims, objectives, assumptions and silences in the key propositions regarding the policy of Whole School Evaluation, and secondly, to examine the impact the Whole School Evaluation policy had on the management capacities of school principals.

The purpose of this chapter is to outline the research methodology used in the study. I shall provide a detailed account of the research processes engaged in, then proceed to the development of the research instruments, piloting the instruments, choosing the sample, data gathering, processing and analysis of the data. In plotting the methodological frame of my research, it is important to emphasise that the choice of the method is determined by the chosen topic and the kind of data to be collected (Hitchcock, and Hughes, 1995, p.95). Social research calls for a combination of qualitative and quantitative research methodology (Cohen *et al,* 1995, p.370) because quantitative data complement qualitative analysis.

While "number depends on meaning" (Dey, 1993, p.28), it is not always the case that meaning depends on number. Dey (1993, p.28) points out further that "the more ambiguous and elastic our concepts, the less possible it is to quantify your data in a meaningful way". Qualitative data are associated with such concepts, and are characterised by their richness and fullness based on your opportunity to explore a subject in as real a manner as possible (Robson, 2002). A contrast can thus be drawn between the "thin" abstraction or description that results from quantitative data collection and the "thick" or "thorough abstraction or description associated with qualitative data" (Dey, 1993; Robson, 2002).

The nature of qualitative data therefore has implications for both its collection and its analysis. To be able to capture the richness and fullness associated with qualitative data, they cannot be collected in a standardized way, as can quantitative data. During analysis, however, the non-standard and complex nature of the data that is collected will mean that data will probably need to be classified into categories before they can be meaningfully analyzed, otherwise the result may simply be an impressionist view of what they mean.

In plotting the methodological frame of this research, it is important to emphasise what good research is. Any research is "messy business". However, good research demands that the researcher to make every attempt to verify his or her findings, and to provide reliable results. Cohen and Manion (1995) argue that triangulation is one means of verifying and ensuring greater reliability of results.

Cohen and Manion define triangulation as "the use of two or more methods of data collection in the study of some aspect of human behaviour" (1995, p.233). The term triangulation refers to a technique of physical measurement which emerged from the field of surveyors and military strategists, and which used two or more location markers as a guide to locate the next. By analogy, the use of triangulation in my research is an attempt to map out and critique more fully the richness and complexity of human action and behaviour by studying it from more than one standpoint.

Altrichter, Posh and Somekh (1993) also argue for the use of triangulation in research. They highlight the importance and significance of triangulation. The following advantages were emphasised:

Triangulation is an important method for contrasting and comparing different accounts of the same situation. Through identifying differences in perspective, contradictions and discrepancies can emerge which help in the interpretation of the situation. It gives a more detailed and balanced picture of the situation. The contradictions which are often hidden in situations become visible enabling a more profound interpretation (1993, p.117).

I made use of triangulation to get a "deep and thick" critique of the Whole School Evaluation policy at the school level. In trying to achieve this outcome, I used methodological triangulation which brought together different methods of data collection such as questionnaires and interviews to study Whole School Evaluation in an analysis of same in Chapter Seven.

The data was collected from three main sources namely: documentary analysis, questionnaires and interviews. The latter two sources will be discussed in this chapter while the in-depth discussion relating to documentary analysis will occur primarily in the following chapter, Chapter 6. The chapter next analyses in depth the National Education Department Policy on Whole School Evaluation which is the primary (policy) document of this study.

The impact of the Whole School Evaluation policy on the management experiences of six school principals in the Durban South Region was examined. This study has opted to use the case study method, since it provides an opportunity to examine perceptions and experiences of principals at a single institution in-depth, and allows for comparison across the six schools in my sample. Case studies allow rapid reporting and a rich description that comes from a small sampling of detailed case studies. In this way patterns can be identified which could lead to in-depth analysis. Case study enables the researcher to get "beneath the skin" of a situation instead of studying it in a detached way (Nisbeth, 1980, p.6). Walker (1983) describes case study methodology as "the science of the singular," whilst Cohen and Manion (1995, pp.106-107) describe the aim of case study as: "To probe deeply and to analyse intensively the multifarious phenomena that constitute the life cycle of the unit with the view to establishing generalizations about the wider population to which the unit belongs". Merriman (1998) maintains that there are four characteristics which are essential properties of a qualitative case study. These are particularistic, descriptive, heuristic and inductive. Particularistic means that the case

study focuses on a particular situation, event and programme of phenomenon; whilst descriptive means that the end product is a rich, "thick" description of the phenomenon under study. It also means, "interpreting the meaning of demographic and descriptive data in terms of cultural norms and morals, community values, deep-seated attitudes and notions, and the like" (Guba & Lincoln, 1981, p.119).

The chapter is divided into three parts and outlines the methods used to gather and interpret the data. In each of these parts I will present the methodological approach for each of the critical questions.

Part One: Document analysis with critical research

Question one: What are the contents, claims, objectives, assumptions and silences of the key propositions regarding the Whole School Evaluation policy?

Document analysis is a research technique for making replicable and valid references from data to their context (Krippendorf 1980, p.12). This context includes the purpose of the document as well as the institutional, social and cultural aspects. It also emphasises that reliability and validity are central in document analysis.

The National Policy on Whole School Evaluation, 31 August 2000. Government Gazette,) Pretoria 6 September 2000, vol.423, no.21539) will be analysed. The policy document will be analysed in terms of underlying principles and areas of focus.

In the analysis of the policy documents I will examine the contents, claims, objectives, assumptions and silences of the key propositions of the policy of Whole School Evaluation. The aim will be to capture what the policy intends to achieve in order to be able to compare this to the impact it has on the management capacities of school principals.

The purpose of this instrument is to unpack the underlying management, psychological instructional and epistemological claims, assumptions, gaps and silences of the National Policy on Whole School Evaluation.

The National Policy on Whole School Evaluation will be subjected to critical examination in terms of the following questions which were adapted and formulated by me with reference to Bell (1989) and Bennet *et al* (1994):

- What is the source of the policy? Where did the policy come from and for whom was it intended? What led to the formulation of such a policy? Who was actually instrumental in formulating the policy?

- What is the purpose, goal and intention of the policy? What were the authors' intentions? Was it to inform the implementer, command the implementer, or to remind the implementer?

- What is the concept of Whole School Evaluation in the policy document? What view of Whole School Evaluation is the document presenting to the reader, or is the document merely presenting the issues that need to be dealt with?

- What view of the policy does the document project? Through careful reading of the policy document the researcher intends to discern the view of the policy being projected and how the authors actually convey this view.

- What are the critical issues discussed in the document? Here the researcher intends to focus on critical issues discussed in the policy. How did the policy-makers conclude that these are the critical issues?

- What structure will need to be set in place to facilitate this process?

- What time-frames are considered in terms of the implementation of the policy? How much time did the policy-makers set before the implementation of the policy? Is the time-frame, realistic and workable? (Bell, 1989, Bennet *et al,* 1994).

Part Two: Questionnaire analysis and interviews dealing with critical research

Question two: What is the impact of the Whole School Evaluation policy on the management capacities of school principals?

The aim of this critical question is to understand the impact of the policy of Whole School Evaluation on the management capacities of school principals. The researcher used a survey method to generate qualitative and quantitative data pertaining to the principals' experiences and evaluations of the policy of Whole School Evaluation.

A pilot study was conducted with the principals of two schools before the actual survey was carried out. The principals of these schools were accessible to the researcher since the researcher was a principal in the circuit to which these schools belong. The principals were told about the purpose of the questionnaire and were assured of confidentiality. The pilot study allowed the researcher to reflect on the questionnaire. I thus established that some questions were too vague, the choices for some questions were too ambiguous, and some statements were confusing. On the basis of the pilot study, the researcher adapted the questionnaire and the interview schedule, sharpened its focus, omitted repetition and clarified ambiguous statements.

Therefore, the purpose of Chapter Five is to explain and justify the design of the study to yield the best possible data to answer the two critical questions:

The following eight areas will be explained and justified in greater depth.

- Reasons for data collection.
- My research perspective.
- The initial research process.

- Data collection instruments.
- The research process.
- Sampling.
- Data analysis.
- Linking quantitative and qualitative data.

5.2 Reasons for Data Collection

The data collection from my questionnaire and interviews will be used to answer my second critical question as indicated above. The main reasons for the process of data collection are outlined below:

- **To examine educators' perceptions of how school managers managed the Whole School Evaluation process.**

Four aspects are important in relation to the Whole School Evaluation policy. These are:

- How educators perceive the intentions of the Whole School Evaluation policy. **(Policy Goals)**
- How the information in respect of the Whole School Evaluation policy was disseminated to the educators. **(Policy Dissemination)**
- How the school management team engaged with the Whole School Evaluation process. **(Policy Implementation)**

- An examination of the perceptions of the educators on the role of the management teams in the implementation of the Whole School Evaluation policy and the effect this had on the educators. **(Policy Effect)**

- **To examine the perceptions of the school management team with regard to the implementation of the Whole School Evaluation policy.**

Here too, four aspects are important in relation to the Whole School Evaluation policy. These are:

- How schools' management teams perceive the intentions of the Whole School Evaluation Policy. **(Policy Goals)**
- Policy dissemination which enquires about how the information in respect of the Whole School Evaluation policy was disseminated to the school management teams. **(Policy Dissemination)**
- How the school principals engaged with the Whole School Evaluation process? **(Policy Implementation)**
- An examination of the perceptions of the school management teams on the role of the principals in the implementation of the Whole School Evaluation policy and the effect this had on the school management teams. **(Policy Effect)**

- **To examine the principals' perceptions on the implementation of the Whole School Evaluation policy.**

Here three aspects are important in relation to the Whole School Evaluation policy. These are:

- How principals perceive the intentions of the Whole School Evaluation. **(Policy Goals)**
- How the information in respect of the Whole School Evaluation policy was disseminated. **(Policy Dissemination)**
- The effects the implementation of the Whole School Evaluation policy had on the management capacity of the school principals. **(Policy Effect)**

5.3 My Research Perspective

According to Clandinin (1986, p.10) research on what teachers think about their practice can be "distinguished roughly into two classes: research adopting a theoretical researcher's perspective and research adopting a teacher's practitioner's perspective". In the first class of research the following is highlighted:

- The teacher is seen as transferring theory, implementing policy or engaging in planned curriculum change.
- The researcher's view of how the teacher thinks or develops in the class is divided into categories such as planning of work, integration of learners, reflection and evaluation of teaching.
- The categories are predetermined and included as part of the main structure of the data collection instrument such as survey questionnaire or observation instruments.

- With this perspective, the teachers are believed to fit or respond favourably to the already perceived framework of teacher thinking or teacher development.

Clandinin (1986, p.11) also highlights "the second class of research which focuses on the teacher practitioner perspective". In this perspective, the teacher is understood from his or her own perspective. This perspective taps into the teachers' understandings of their own thought processes and how they develop in their teaching practices, not by using the researcher's perceptions of teaching. This perspective uses data collection methods such as interviews to probe more deeply why teachers think the way they do, or to probe factors that influence their teaching practice.

In my research I have used both the theoretical researcher's perspectives and research adopting a teacher practitioner's perspective. This will be demonstrated in the choice and the design of my research instruments.

5.4 The Initial Research Process

A detailed letter was sent to the Department of Education on the 1st April 2004 to seek permission to conduct research in six schools in the Durban South Region. The letter provided a detailed explanation of the nature of my study, my research focus, the type of data collection strategies to be used and the benefits of my research findings to the broader community.

Permission was also requested from the Directorate: Quality Assurance, to obtain the list of schools which were identified as schools that were to undergo Whole School Evaluation to identify my target population and sample group. It is important to locate the region in relation to the province-Kwa-Zulu Natal (KZN). There are eight educational regions in KZN namely Durban South, Empangeni, Ladysmith, North Durban, Pietermaritzburg, Port Shepstone, Ulundi and Vryheid.

Permission for me to conduct my research study was granted to me by the Department of Education-South Durban Region on 23rd April 2004. Preliminary visits were made to the principals to explain my choices of schools and the aims and purpose of the research. Thereafter I made contact with the principals of the schools, and set up appointments to conduct the interviews and to administer the questionnaires to the principals, members of the schools' management teams and the educators. I was received very favorably in all schools and all the stakeholders were very cooperative.

5.5 Data collection methods

5.5.1 The Choice of Research Instruments

I used descriptive and quantitative research methods to answer the two critical questions. I gave considerable thought to the different types of data collection methods that would best suit the type of information I needed. The research instruments were carefully selected for my study. I found that questionnaires and semi-structured interviews were the most suitable instruments for data collection to answer my Critical Question Two. Merriam (1988, p.69) argues that the reason for using different techniques in data

collection is that "the flaws of one method are often the strengths of the other and by combining the methods one would be able to achieve the best of each method". The use of multiple methods includes both quantitative and qualitative data within the school context.

Maher (1996) stresses that methods used in research both have advantages and disadvantages. This was also the case in this research. Interviewing is a procedure that is both demanding and difficult, but the demands of this research favoured the interviews as it relied heavily on conversation. The importance of conversation in a social research is well echoed by Kvale (1996, p.5) where she states that:

> "Conversation is a basic mode of human interaction. Human beings talk with each other; they interact, pose and answer questions. Through conversation we get to know other people, get to learn about their experiences, feelings, hopes and the world they live in".

Benyard *et al*, (2000, p.435) regard semi-structured interviews as more difficult to analyse and more difficult to draw generalizations from, but add that they offer insight into people's personal worlds. In this research, interviews were complemented by questionnaires in the data collection process. My reliance on questionnaires in this research is also supported by Grayson (2000, p.434), because of the potential in finding out what people think, feel and do. They are designed to draw out information from people in such a way that researchers can make generalizations about the topic.

My reliance on this type of open-ended question was based on the need for this research to leave the respondents completely free to express their responses/feelings as they wished, in as detailed or complex a manner, or in as lengthy or short a form as they felt appropriate. Shaughnessy *et al* (1992, p.445) regards open-ended questionnaires as "an efficient way to obtain information needed to describe people's thoughts, opinions and feelings". Open-ended questions are also viewed as not being based on already conceived answers, but as well-suited to exploratory studies, or studies based on quantative analysis of data (Bless *et al,* 2000, pp.115-120).

Smith (1995, p.9) regards semi-structured interviews as the only way to allow for a greater flexibility and to produce rich data, by allowing the interviewee to pursue areas of interest that arise throughout the interview. The process credits interviewees with the power and ability to narrate their own experiences; it encourages their agency, sense of personhood and ability to affect their own lives.

5.5.2 Designing the Survey Questionnaire

The survey method of primary data collection was implemented for the study. This method is generally linked to the deductive approach as observed by Sanders, Lewis and Thornhill (2000, p.93). It is known for its popularity, and is the most common method of primary data collection in the education environment. Surveys are more efficient and economical than observation or focus group methods. Surveys are noted for their versatility and for the gathering of abstract information by simply questioning

respondents. They offer more control over the research process, and furthermore possess the advantages of ease, reliability and simplicity.

My survey questionnaire was developed systematically to obtain data on the second critical question. I decided to develop my own instruments and validate them before use. Designing my instruments was extremely difficult because there **are** no studies **that** have been conducted with similar instrument designs being used. There was no valid instrument which could be used to ascertain the impact of the implementation of the Whole School Evaluation policy on the management capacities of school principals.

- **Reasons for choice of questionnaire design**

I felt that the responses from the various questionnaires would be the official response concerning what members of the school management team and educators think about how principals are managing the process of implementing the Whole School Evaluation policy.

This level of data collection would reveal a broad spectrum of views, perceptions and experiences of principals with regard to the intentions, implementation and the effects the Whole School Evaluation policy has on their management experiences.

Judd, Smith and Kidder (1991) support the use of questionnaires in social science research. They outline many advantages of using written questionnaires. Firstly, the

primary advantage of administering questionnaires is the low cost factor. The low cost factor also allows responses to be obtained from more respondents, thus increasing the sample size. Secondly, the filling in of the questionnaires avoids the potential interview bias. Written questionnaires have the advantage of eliminating researcher bias. Thirdly, written questionnaires give the respondents a greater feeling of anonymity, and a sense of openness and encouragement for the respondent to answer sensitive questions. Fourthly, the written questionnaires place less stress and pressure on an immediate response to the issues concerned.

In the closed questions, the respondents were offered a choice of alternative replies. Closed questions are generally seen as easier and quicker to answer. They are viewed as straight forward, and more questions can be asked since respondents just have to tick a selected response. The disadvantage of closed questions is the loss of spontaneity and expressiveness; there is also a bias by forcing respondents to choose between given alternatives. Most respondents prefer to respond solely to closed-ended questions.

The questionnaires requested no names or addresses. The purpose of this was to ensure confidentiality, and this was a way of honoring the principals. The questionnaire comprised fourteen pages, and the sections were widely spaced. Only one side of each page was used to avoid pages being overlooked **(see Appendices 2a, 2b, 2c).**

♣Designing the layout of the questionnaire:

I felt that the general appearance of the questionnaire was crucial, and in many ways an important factor in determining the return rate of my questionnaires. The layout of the questionnaire was attractive, appealing and simple to fill in.

The aim of my questionnaire was to explore five main questions viz:

1. What do educators, school management teams and school principals perceive as the intentions of the policy of Whole School Evaluation?
2. How was the policy implemented at each school?
3. How was information about the policy disseminated to the principals by the Department of Education, and by the principals to the members of the school management teams and the educators?
4. What were the educators and school management teams' perceptions regarding how the principals managed the implementation of the Whole School Evaluation policy and the effect it had on them?
5. What impact did the implementation of the Whole School Evaluation policy make in terms of the management capacities of school principals?

The four parts that made up the questionnaire for the educators and school management teams are indicated in the table below.

Part A	This section outlined the **biographical details** to be filled by the respondents. The biographical details consisted of the name of the school, type of school, designation of educator, main teaching learning area, age, teaching experience in years, gender, nature of appointment, formal qualification completed and whether or not the respondent is a member of a teaching union.
Part B	This part concerned the **policy intentions.**
Part C	This part of the questionnaire was concerned with **dissemination** of the Whole School Evaluation policy.
Part D	This part of the questionnaire concerned the **implementation** of the Whole School Evaluation policy.
Part E	This part was concerned with the **effects** of the policy of Whole School Evaluation.

Table 5.1 The parts that make up the questionnaire for the Educators and the School Management team.

The four parts that made up the questionnaire for the principals are indicated in the table below.

Part A	This section outlined the biographical details to be filled in by the principals. The biographical profile consisted of the name of the school, the type of school, description of the post level of the school, biographical profile of the manager, gender, age, and formal qualification completed and management experience.

Part B	This part is concerned with the **policy intentions.**
Part C	This part is concerned with **policy dissemination.**
Part D	This section is concerned with the **effects of the policy** of Whole School Evaluation on the principal as s/he engages with the implementation of the policy.

Table. 5.2. The parts that make up the questionnaires for the principals

Having served as a school principal, as well as the principal of a school which was chosen as a pilot school for the implementation of the Whole School Evaluation policy, I was able to think about the various issues, concerns and important matters which needed to be included in each of the three sub-questions. I strongly believed that the choice of a Likert-type scale was the most appropriate, and was the best format to elicit data in response to my questionnaire. The range of agreement and disagreement responses permitted in a Likert Scale also makes the respondents feel more comfortable in indicating their position, as opposed to straightforward answers such as 'agree' or 'disagree'. There were several key factors which were kept in mind while designing my Likert Scale. Some of which are the following:

- Using a single sentence with one complete idea.
- Keeping the various statements concise.
- Keeping sentences in the present tense.
- Avoiding ambiguous statements.

- Using simple wording which would be understood by my respondents.
- Choosing statements to cover a wide range of responses likely to be endorsed by experts in the field of Whole School Evaluation.

Table 5.3 indicates a Likert type of scale, which was used in drawing up parts B, D, and E of the questionnaire.

Parts A, B & C					
Part A	Strongly agree	Agree	Not sure	Disagree	Strongly disagree
Part B	Strongly agree	Agree	Not sure	Disagree	Strongly disagree
Part C	Strongly agree	Agree	Not sure	Disagree	Strongly disagree

Table 5.3. Likert Type Scale

I believe that this type of scale was excellent in capturing the educators, school management teams and the principals' perceptions, attitudes and influences or contributions to the policy of Whole School Evaluation, as well as how the principal had managed the process, and the impact the policy on Whole School Evaluation had on his management capacities.

Furthermore, it is an easier and unambiguous way for the respondents to answer questions. The experiences of the educators in respect of the Whole School Evaluation policy were listed in the form of statements one below the other. These experiences were gathered from conversations with principals, heads of departments, educators, and members of the supervisory unit of the Whole School Evaluation team and from my literature review. According to Best and Khan (1986, p.181) "the correctness of the statements is not important as long as they express opinions held by a substantial number of people". However, the statements were balanced with both positives and negatives. The Likert scale was used in order to ascertain the extent to which the respondents agree or disagree with a particular statement of the Whole School Evaluation policy.

I started off with a clear and unambiguous instruction which guided the respondents. For example, the idea of placing a tick (✓) made it inviting and easier for my respondents to complete the questionnaire. Placing ticks in boxes and columns as a way of answering the questionnaire is a process most respondents are familiar with compared to questionnaires with graphs which may require interpretation. The technique of subdividing the questionnaires was useful. I grouped the questions in such a way that each of them dealt with a specific category such as the "Intentions of the Whole School Evaluation Policy". The initial questions were very simple and of direct interest to the respondents. This encouraged participation.

I included a one-page covering letter. The main purpose of the covering letter was to provide a background to my study, the main critical questions, the time it would take to

complete the questionnaire, to assure anonymity and confidentiality, and explain the direct benefits of this research to my respondents and the teaching profession as a whole. The issue of confidentiality is very important. I assured respondents that all the information collected would be undertaken in the strictest confidence, using a pseudonym to disguise the respondents' identities in respect of all information provided.

5.5.3 Pilot testing the Questionnaire

I found that it was difficult to criticize the content of my own questionnaire. Although the instruments were being developed, statements refined, revised, deleted and ambiguity cleared, I believed that the idea of pilot testing my instruments was important. Slavin (1984) supported the idea of pilot testing of research instruments. However, he argued that it is very difficult to construct a perfect protocol, but it is always wise to pilot the instruments so that weaknesses can be detected and corrected.

I conducted a pilot test of the questionnaire. The pilot sample was representative of the main sample study. The main purpose of this was to sharpen the research instruments (Bell, 1989; Best & Khan, 1986; Slavin, 1984; Tuckman, 1978). A comprehensive pilot was conducted with 20 respondents. These respondents included Principals, Heads of Department and Educators from another circuit.

The principals were told about the purpose of the questionnaire and were assured of confidentiality. The pilot study allowed the researcher to reflect on the questionnaire and, in doing so, found some questions to be too vague, the choices to some questions too

ambiguous and some statements to be confusing. On the basis of the pilot study the researcher adapted the questionnaire, sharpened the focus, omitted repetitions and clarified ambiguous statements.

5.5.4 Designing the Interview Schedule

The responses from the semi-structured interviews will be responses from school principals outside of the actual practice of school. In other words, beyond what principals publicly espouse. The following aspects would be of key importance during the qualitative process:

- I hoped to get 'close' to my respondents and the situations being investigated, to be able to understand and carefully record the depth and detail of how principals perceived the intentions of the Whole School Evaluation Policy. My aim was also to glean information about how the implementation of the Whole School Evaluation Policy was disseminated, as well as to discover the effect which engaging with the Whole School Evaluation Policy had on school principals.
- My main aim in the qualitative data collection was to capture the 'reality' of what goes on within the school context, and to record what principals and the school management team had to say about the 'perceived facts'.
- To highlight the richness of the qualitative data, I hoped to probe more deeply the 'voices' of principals, and how they engaged with the implementation of the Whole School Evaluation Policy.

I examined the results of the questionnaires and I was particularly interested in three categories of the policy viz.

- what educators, members of the school management teams and principals perceived to be the intentions of the Whole School Evaluation Policy.
- how this policy was disseminated to principals by the Education Department, and to the educators and the schools' management teams by the principals.
- how the policy was implemented in schools.
- what effect this policy had on the teachers, members of the schools' management teams and the school principals.

I had taken cognizance of the following issues to ensure the quality of data collected:

- The different types of questions to be formulated.
- The sequence of questions to follow.
- The depth of the information I required.
- The length of the interviews.
- The type of questioning techniques to be used.

❖ **Different types of questions formulated**

Opinion or value questions

These are questions designed to tap into the principals' cognitive and interpretative aspects of themselves and the actual Whole School Evaluation process. Answers to these questions would explain what principals 'think'. For example, what do you think are the intentions of the Whole School Evaluation policy? Why do you think this policy of

Whole School Evaluation was introduced? How do you perceive the role of the manager in relation to the Whole School Evaluation policy? What do you think the effects of the Whole School Evaluation Policy will be on the development of the school?

Experience questions

These questions concern the principals' actions in respect of the Whole School Evaluation policy. The main aim of these questions is to elicit descriptive information and responses about how the principals experience the various stages of the implementation of the Whole School Evaluation policy. For example, Phase One - Preparation for Self-Evaluation, Phase Two – Preparation for External Evaluation, Phase Three - The Implementation Process, Phase Four - The External Evaluation Process, Phase Five - School Development Planning, and Phase Six - Implementation of the School Development Plan.

Factual Questions

The idea of asking these questions is to ascertain whether principals engage in certain activities of the policy, for example, to what extent the principal had engaged in the Whole School Evaluation process in each of the different phases of implementation.

- **The planning of the actual questions within the three categories**

The main reason for collecting information in the following categories is to triangulate and further explain the results obtained from the survey questionnaire. Therefore, the choice of questions for the three categories is extremely important to probe 'more thickly'

the responses gleaned from the survey questionnaire. Through careful reading of the literature on the issues of design and questioning techniques, I planned and prepared the interview schedule which led to the different types of questions being formulated. The discussions in each category that shaped the questions are outlined in the table below.

Category One: **Policy Goals**	The Department of Education had certain intentions upon introducing the Whole School Evaluation policy into schools. However, principals may perceive the intentions of the policy as outlined by the Department of Education, or they may perceive the policy as demonstrating different intentions. I therefore decided to include questions which harvested responses pertaining to both points of view.
Category Two: **Policy Dissemination**	Dissemination of the policy of Whole School Evaluation by the Department of Education to the principals, and by the principals to the school managers and educators is critical for successful policy implementation. The researcher's aim here was to allow the interviewee to comment on the brief from the Department of Education with regard to the policy of Whole School Evaluation, and how the principals went about fulfilling this brief.
Category Three: **Related Policies**	This category focused on what similarities and differences the principals saw between the Whole School Evaluation Policy, Systemic Evaluation, and the Development Appraisal System,

	as well as determining how as principals, these officials managed to coordinate the expectations of the policy of Whole School Evaluation, Systemic Evaluation and the Development Appraisal System.
Category Four: Preparation and Training for Policy Implementation	Principals, school management teams and educators had to receive training for the implementation of the Whole School Evaluation Policy. In this category, the intention was to determine what training the principals received from the Education Department, and their level of preparedness for the implementation of the policy.
Category Five: The Evaluation Process	This category focused on the actual evaluation process ascertaining the principals' views on the pre-evaluation visit by the Whole School Evaluation team, issues that surfaced in the staff room during the evaluation process, the principals' account of the evaluation day-by-day, comments on the oral reporting stage, and issues raised in the formal written report.
Category Six: School Developing Planning	The implementation of school improvement plans is the responsibility of the principals and the school development teams. The intention of this category was to capture the process of developing and implementing school improvement plans.
Category Seven:	In this category, the focus was on determining the

Opportunities and Obstacles in the Implementation of the Whole School Evaluation Policy	opportunities the principals saw in the implementation of the Whole School Evaluation policy, as well as the main obstacles encountered by the principals in the implementation of the policy.
Category Eight: General	The intention of this category was to elicit from the principals any suggestions or recommendations they may have had in terms of alternatives to the policy of Whole School Evaluation.

Table 5.4 Categories that shaped the questionnaire for the interviews

- **The sequence of questions**

I started with very descriptive questions about policy intentions. These questions are straightforward and require minimum recall and interpretation. The questions on how the policy was implemented at school level required the interviewee to describe in more detail how s/he experienced the various stages of the policy. Once the interviewee had provided some experience of the policy, questions on opinions and feelings would be integrated. The questions on opinions and feelings would be more accurate and important at this stage, since they allow the interviewee to provide a personal point of view of a relived experience. The questions based on the opportunities, obstacles and the provision of alternatives of the policy of Whole School Evaluation provided the climax of the interview.

- **The depth and length of the interview**

The main aim of an in-depth interview is to get the respondents to talk about their experiences, feelings and their changed knowledge of their management practices. The depth of the information required would depend on the kind of friendly relationship that I could secure with my respondents, and the amount of time spent on the interviews. Most importantly, I believe that my Critical Question Number Two provided a framework for the depth of information I required. In order for an adequate response to my Critical Question Number Two, I believed that an interview of about an hour would be sufficient.

- **Validity of the questionnaire and the interview schedule**

I found that the validity of my instruments had been greater because both the survey questionnaire and the interview schedule had been carefully planned, prepared and thoroughly designed. I also sought the assistance of departmental officials who were directly involved in the implementation of the Whole School Evaluation policy, in order to select essential questions which were directly linked to my critical question. Although I carefully thought out the structure of the questionnaire and the interview schedule, the face validity of both the instruments had been established. This was done by giving the draft questionnaire and the interview schedule to an expert in the field of Whole School Evaluation for checking. I found that the critical judgment of the expert was of tremendous benefit in terms of rewording, avoiding ambiguous questions, and reshaping the structure of both the questionnaire and the interview schedule. This further enhanced the validity of my instruments.

5.6 The Research Process

5.6.1 Seeking Permission from the Principals

My questionnaires were to be administered to all principals, members of the school management teams and the educators, and the interviews were to be administered to all principals in selected schools in the Durban South Region. It was essential to seek approval from all the principals concerned. I secured appointments with most of the principals after school to discuss my research study. I informed all the principals of the purpose of my research. The issue of confidentiality was a problem at the beginning. I reassured all principals that the identity of all the respondents would remain anonymous. The principals were very helpful, since my research was going to contribute to reshaping the policy of Whole School Evaluation and assist in school improvement. The experience I had garnered during my career as a principal, my attendance at principals' meetings and workshops, and my experience of facilitation at education management development workshops made communication with the principals easier. This background also enabled me to use my knowledge and experience to monitor principals regarding the return of my questionnaires.

5.6.2 Return Rate of Questionnaires

To enhance the validity of my study, I hoped to achieve a return rate of between 80% to 90% of my questionnaires. The date on which the questionnaires were to be returned had been carefully recorded. It took about six weeks to collect all the questionnaires from the educators in the six schools. However, I was satisfied to have an overall return rate of

100%. The following table indicates the planning and the monitoring system that was in place as indicated in table 5.5 below.

Schools	Returns: Principals	Returns: School Management Team	Returns: Educators	Completed Responses	Cumulative Responses	% of Responses
1	1	2	5	8	8	100%
2	1	4	14	19	27	100%
3	1	2	9	12	39	100%
4	1	4	11	16	55	100%
5	1	8	25	34	89	100%
6	1	4	10	15	104	100%
	6	24	74	104		

Table 5.5 Return rate of questionnaires

5.7 Sampling

5.7.1 The Target Population

It is essential that I define my target population so that my sample can be clearly described. I obtained a list from the District Office-Department of Education of all public schools in the Durban South region that were selected by the Department of Education to undergo Whole School Evaluation. The schools chosen for the study were a sample of schools identified by the Department of Education to undergo Whole School Evaluation.

The schools chosen for the study included two secondary schools, one of which was an ex-House of Assembly School and the other an ex-Department of Training school, one Junior Primary school, an ex-House of Assembly school, and three primary schools of which two were ex-House of Delegates' schools and one was an ex-House of Representatives' school. The one secondary school was chosen for the pilot study by the Department of Education and the other secondary school was not selected by the Department to be evaluated, but the principal made a special appeal to the Department of Education to be included in the list of schools that were to be evaluated.

5.7.2 The Main Sample for the Survey Questionnaire

I contacted all six Principals in the region to gain permission to conduct my research study. The schools where the final test of the pilot study was conducted were excluded from the sample. The principals of the six schools willingly agreed to participate in my research study.

I accepted all six schools as part of my sample. The reason for the choice of the six schools was that the greater the coverage of the target population, the more valid and representative the results would be. The six schools which participated in the study can be described as urban and peri-urban schools.

5.7.3 The Sample for the Semi-Structured Interviews

I decided to interview all six principals as this would best depict and would be truly representative of the target population and the main sample.

- **Gaining access to the respondents for interviews**

I realized that gaining access was one of the most important issues before interviewing. It was not difficult to gain access to the various interviewees. My careful and reassuring communication with the interviewees gave them the courage to agree to an interview. The interview dates and times for the six interviews were secured telephonically, and I found the respondents most cooperative.

I re-assured all respondents that their responses would be used in strict confidence, and that no names would be revealed. I also made it known to my respondents that taped interviews would obviate writing during the interview process, which, in many cases causes distraction.

Most importantly, I explained to my respondents that their efforts and responses would be beneficial to all educators, and would make a contribution towards school improvement.

5.8 Data Analysis

5.8.1 Questionnaires

The questionnaire was carefully designed to elicit both quantitative and qualitative data on the Whole School Evaluation policy. The data obtained from my questionnaires was

carefully analyzed both quantitatively and qualitatively. The SPSS Programme (Statistical Package for the Social Sciences) was used to thoroughly analyse the quantitative data from the questionnaires. The data obtained from the questionnaires were coded and entered into the SPSS programme.

The purpose of the quantitative analysis was to summarize all the data in such a manner that answers to my Critical Question Number Two were yielded. The analysis stage is one of the most important stages in the research design. Therefore, I thought carefully about the various statistical measures by which to best engage with and interrogate my data and uncover deeper findings. I included a brief explanation of the various statistical measures, so that readers, especially teachers who did **not** have a good background in statistics would be able to read and understand the research findings. The following statistical measures were used:

- **The reliability of the questionnaire items**

One of the methods which provides an estimate of reliability measures is to check whether there is any correlation of scores on the same measure (questionnaires) administered on two separate occasions. This is called Test-re-test (Burns, 2000; Judd *et al,* 1991). I have not administered my questionnaire on two separate occasions. However, I used an alternate preferred procedure of "internal consistency reliability" which is called Cronbach's alpha, and which, in actual fact, avoids all practical issues such as time, costs, and refusal of participants. Here I am interested in the scale to which the scale measures a single variable. This procedure rests on the idea that random

measurement errors vary, not only over a period of time, but also from one question or statement to another within the same measure. Alpha scores are produced to indicate the measure of internal consistency. The alpha scores range from 0 to 1, with 0 meaning complete unreliability and I meaning perfect reliability.

I used the Cronbach's Alpha Test to measure the internal consistency of items in parts B, D and E of the questionnaire. The reliability of the questionnaire is expressed as a correlation coefficient.

In the research literature, when a measure is stable, and is consistently produced over a period of time, the measure is referred to as reliable. Respondents can contribute to the unreliability of a measure because of factors such as fatigue, emotional or health problems, fluctuation of memory, conditions of the environment in which the measure is administrated, or familiarity with the measurement instrument used (Du Plooy, 1996, p.72). In this study, the Cronbach's Alpha coefficient is used, since the measure contains items that measure the respondents' perceptions and expectations.

5.8.2 Reliability Coefficients

5.8.2.1 Precision of Measurement

The two most important aspects of precision are **reliability** and **validity**. Reliability refers to the reproducibility of a measurement. Reliability is quantified simply by taking several measurements on the same subjects. Poor reliability degrades the precision of a single measurement, and reduces the ability to track changes in measurements in

experimental studies. Validity refers to the agreement between the value of a measurement and its true value. Validity is quantified by comparing one's measurements with values that are as close to the true values as possible. Poor validity also degrades the precision of a single measurement, and it reduces the ability to characterize relationships between variables in descriptive studies.

The reliability analysis in Table 5.6 revealed the following:

Reliability Investigation	**a - score**
Overall	0.74
Part B	0.86
Part C	0.29
Part D	0.68
Part E	0.87
Overall excluding Part C	0.81

Table 5.6 Reliability Analysis

It is noticed that with the exception of Part C, the reliability scores are acceptable.

- Cronbach's Alpha, which is a coefficient of reliability or consistency, was used to measure the inter-correlations for the different dimensions.
- A reliability of 0.80 or higher is considered as 'acceptable'.

- The above results show that there is a high consistency among the items within each factor.

5.8.2.2 Rotated Component Matrix (a)

The Rotated Component Matrix (a) is reflected in table 5.5 below.

		Component			
		1	2	3	4
A	Designation of Educator	-.066	.235	.180	.599
	Level of the Educator	-.049	.235	.172	.615
	Main Teaching Learning Area	-.381	.364	-.011	.017
	Age	-.065	-.102	.071	.607
	Teaching Experience in Years	-.129	.087	.088	.729
	Gender	-.250	.311	.158	-.216
	Nature of Appointment	.060	-.174	.128	-.605
	Formal Qualifications Completed	.081	.362	.123	.290
	Member of Teacher Union	.115	-.130	.063	-.645
	Name of Teacher Union	.012	-.220	-.133	.603
B	Whole School Evaluation will help me to establish my weaknesses	.185	.747	.052	-.014
	The school development plan will focus on areas in which training will take place	.229	.618	-.026	.131
	District and provincial offices and management staff will provide constant support	.265	.728	.130	-.102
	Systematic evaluation will complement Whole School Evaluation	.281	.698	-.156	-.005
	Whole School Evaluation encourages me to reflect	.229	.809	-.066	-.097

	on my teaching practices				
C	How did you first become aware of the policy on Whole School Evaluation?	.017	.214	.161	.095
	How did the school managers make the policy documents available to you?	.050	.079	-.040	.040
	Did the school management team make the policy document available to all educators at your school?	-.042	.156	.035	-.227
	Do you have a personal copy of the policy on Whole School Evaluation?	.134	.153	.032	-.424
D	Insecurity and fears among educators	-.084	.107	.875	.037
	Increase in staff tension and staff conflict	-.159	.000	.849	.122
	Low educator morale and reduction in productivity	.013	.079	.828	-.103
	An improvement in the quality of my teaching and learning	.376	.338	.199	-.403
	Increased the workload of educators	.055	-.180	.340	.333
	An opportunity for the provision of feedback on my performance	.301	.512	.002	-.010
	Process of evaluation is a departmentally subjective form of evaluation	.091	-.552	.158	.372
	Staff being involved in developing school plans	.501	.034	.104	-.239
	The provision of constant support to educators	.505	.256	-.051	-.268
	The provision of active support to educators	.580	.222	-.144	-.186
	Demonstrating a lack of expertise in conducting self-evaluation of the school	-.026	-.053	.617	-.070
	The creation of stress among educators	-.161	-.320	.679	.047
	Educators being involved in rigorous preparation only for the duration of the evaluation and not	-.251	.092	.662	.002

	thereafter				
	The building of a strong professional core of educators	.579	.251	-.113	-.087
	The process of Whole School Evaluation being openly negotiated among all stakeholders	.277	.353	-.141	.039
	The understanding that management has a vision about the Whole School Evaluation process and are willing to share it	.633	.314	-.190	.027
	Enabled me to establish areas for my development	.633	.229	-.105	.025
	Focussed on areas in which staff training and development is to take place	.771	.180	-.011	.002
	Provided active and constant support for the process	.776	.191	-.091	-.057
E	Conducted the evaluation process in a transparent way	.540	-.010	-.134	.120
	Provided effective and strategic leadership and communication	.842	.055	-.165	-.058
	Involved me in school development planning	.732	.063	.103	-.161

Extraction Method: Principal Component Analysis. Rotation Method: Varimax with Kaiser Normalization.

a Rotation converged in 7 iterations.

Table 5.7 Rotated Component Matrix (a)

- The rotation method used is the Varimax Method with Kaiser Normalization. This is an orthogonal rotation method that minimizes the number of variables that have high loadings on each factor. It simplifies the interpretation of the factors.
- Factor analysis / loading show inter-correlations between variables.

- From the rotated component matrix, there are good correlations for items within each dimension (good grouping).

The four factors (parts B, C, D and E) loaded accordingly, with the construct loading perfectly for parts B, C and E. It is noticed that parts B and C loaded on the same factor, implying measurement along a similar theme. Part E loaded on a separate factor as it was concerned with a totally different aspect of the Whole School Evaluation (focusing on the involvement of the principal).

Part D did not load under any single factor and was spread out across the factors. However, there were groupings of questions that loaded similarly. Effectively, this means that these questions were measuring a common thread. The spread of the questions loaded across three factors.

5.8.2.3 Factor Analysis

Factor analysis is a statistical technique whose main goal is data reduction. A typical use of factor analysis is in survey research, where a researcher wishes to represent a number of questions with a small number of hypothetical factors.

I used factor analysis because I believe it is of considerable value in reducing the variable (in three aspects, namely, policy intentions, policy implementation and policy effects). Burns (2000, p.272) highlights that factor analysis is "a very popular and frequently used way of reducing a plethora of variables to a few factors; by grouping variables that are

moderately or highly correlated with each other to form a factor". Dyer (1979) argues that factor analysis is a more complex and sophisticated method of data analysis by specially using the data-analytic technique of Factor Analysis. He defines factor analysis as "a broad category of techniques that examine the patterns of association within a set of variables to determine whether the total number of variables can be reduced to a smaller number called –Factors" (1979, p.380).

Kline (1994) argues for the importance of factor analysis. He emphasised that factor analysis has data reduction capability. He further added that the factor analysis technique allows researchers to ascertain some pattern of relationship so that the data set may be reduced or rearranged to a smaller discrete set of factors or components. Factor analysis is a widely used technique in data analysis.

Factor analysis can be used to establish whether the three measures do, in fact, measure the same thing. If so, then they can be combined to create a new variable, a factor score. Factor techniques are applicable to a variety of situations. You need not believe that factors actually exist in order to perform a factor analysis, but in practice, the factors are usually interpreted, given names, and spoken of as real things.

5.8.3 Interviews

All six transcripts were carefully transcribed and analyzed according to the following analysis frame work. Table 5.8 below reflects the phases of implementing the policy of Whole School Evaluation.

Policy Goals	• What is the principal's understanding of the goals of Whole School Evaluation? • Reasons advanced by the principal for the introduction of the policy of Whole School Evaluation. • How does the principal see as his role as manager in relating to the Whole School Evaluation? • What are the principal's views of the effects of the Whole School Evaluation policy on the development of the school? • What is the principal's understanding of school effectiveness?
Phase one: Preparation for Self-Evaluation Policy Dissemination	• What were the principal's briefs from the Department of Education with regard to the implementation of the policy of Whole School Evaluation? • How did the principal go about fulfilling these briefs? • What did the principal see as the main differences and similarities between the Whole School Evaluation, Systemic Evaluation and the Development Appraisal System? • What training has been received (by whom; when; duration; nature of training)? • What are the expectations of staff? • Is there preparation for specific lessons? • Is there a roster to inform teachers who will be visited? How

	is this roster developed? • What preparations are the governing bodies making (parent meetings, etc.)? • What has been the role of the district and provincial officials in preparing schools for the self-evaluation process? • Comment on levels of stress/anxiety of all. • What are the advantages/constraints/challenges/obstacles that emanate from the self-evaluation process?
Phase Two Preparation for External Evaluation	• How did the principal (as manager) coordinate the expectations of the policy of Whole School Evaluation, Systemic Evaluation and the Development Appraisal System? • What training has been received for the Whole School Evaluation process (by whom; when; duration; nature of training)? • Which areas of the policy did the principal find difficult to implement, and why? • What preparations was the principal involved in at school level for the self-evaluation process?
Implementation phase	• How was the Whole School Evaluation coordinator selected? • How did the principal prepare the school for the process of implementing the Whole School Evaluation process (training received by whom; when; duration; nature of training)?

Phase Three: **The self - Evaluation Process**	• Who conducted the evaluation? • How many staff members were involved? • How many classes were visited? • Comments on planning for data collection, data analysis and reporting. • Release of principal's reports to the staff, governing bodies and the district offices. • Comments that surfaced after the release of the reports. • What were the challenges and successes experienced during the process? • Was there a sharing of experience after the self-evaluation (staff meetings; subject/department meetings)? • What are the expectations of staff? Are teachers engaging in trial lessons?
Phase Four: **The External Evaluation Process**	What is the principal's view of the pre-evaluation visit? • Description of the panel (size, areas of expertise etc). • What was the duration of the evaluation? • How many classes were visited? • How many teachers and learners were interviewed? • What inputs are received from the school governing body and district office? • Was the staff kept informed?

	• Comments on the level of stress/anxiety of all. • What was the principal's account of the evaluation day-by-day? • What issues surfaced in the staff room during the evaluations? • Release of supervisory panel's oral reports to staff (who reported and what was reported during the oral reporting stage). • What issues were raised by the principal and staff during the week following the release of the report? • Atmosphere in school after the evaluation. • What were the challenges and success experienced during the process? • What issues were raised in the formal written report? • What views were expressed by the principal and staff on the issues raised in the external written report? What were the views of the Chairpersons of the School Governing Bodies on the external evaluators' reports?
Post-School Evaluation **Phase five: School**	• How long after the evaluation did planning begin? • Who was involved in the planning? • What kind of support was received from the district offices, school governing bodies, cluster schools etc? Comments on the process as it was followed.

Development Planning	• Was the plan shared with other staff members? • Were implementation plans also drawn up? • What were the general comments on the implementation plans?
Phase Six: Implementation of the School Development plan	• How long after the release of the plans did implementation begin? • What challenges are being experienced? • What successes are being experienced? • Who is involved in monitoring the implementation? • What feedback mechanisms are in place? • Are there reviews of the school development plans?

Table 5.8 Phases in the implementation of the Whole School Evaluation Policy

The depth and detail of the analysis was promoted through the use of direct quotations of the principals in the different phases of the policy implementation.

The data analysis strategy used in terms of data obtained from the interviews was follows:

In the interview schedule (see Appendix 2(e)) I used *a priori* categories which were coded. I engaged firstly with the data using Level 1 Analysis which was descriptive and then moved on to Level Two Analysis offering a comparative evaluation. Finally, I

engaged with the data on a Level Three Analysis basis revealing new information and insights.

5.9 Linking Qualitative and Quantitative Data

I considered four important questions in my research study:

1. What kinds of methods are relevant to my topic?
2. What kinds of data sets do I need to best answer my critical question?
3. How can the various methods be used in the best manner?
4. How can the data sets be analyzed, interpreted and evaluated in the best possible way?

I decided to collect, discuss and analyze the quantitative method separately, and then present it with the qualitative data set (Chapter Seven) to show the richness in each method. I believe that both the quantitative and qualitative approaches are powerful in themselves. Furthermore, both quantitative and qualitative research represent two distinct approaches to social research. Each of the two approaches has a variety of methods of data collection. For the quantitative approach, I used survey questionnaires. For the qualitative approach, I used semi-structured interviews.

The quantitative methodology (questionnaires) is a much more predetermined and fine-tuned research tool which seeks to capture an overview perspective of the situation at hand. Patton (1980, p.28) defines quantitative measures as "succinct, parsimonious and

easily aggregated for analysis". He further states that quantitative data are "systemic, standardized and easily presented in a short time "(*ibid*).

I believe that the qualitative methodology (interviewing) is flexible, and calls for complex, in-depth and discursive answers from the respondents. Bullock, Little and Millham (1992, p.85) view qualitative methods as "an intensive or micro-perspective which relies on evidence gleaned from individuals or a situation". They argue that the one way of integrating both quantitative and qualitative approaches in social policy research is by using the in-depth qualitative findings to explain and justify the findings of the quantitative research method. Patton (1980, p.22) also argues that "qualitative data consists of detailed descriptions of situations, events, people, interactions and observed behaviours; direct quotations from people about their experiences, attitudes and thoughts". He explains further that the qualitative approach seeks to capture the in-depth and detailed experiences, as well as the personal voices describing what respondents have to say about a particular situation. Depth and detail emerge through the careful choice of certain direct quotations.

Thus, using both quantitative and qualitative methods in an integrated fashion is an extremely powerful way of conducting research. However, I had to engage in a balance of the use of both the methods due to pragmatic considerations. My method of linking the different data sets concurs with Brannen (1992) by arguing that the different methods can be combined or integrated in one research study. He further argues that the integration

can be made interesting with the linkage occurring in a certain stage, for example at the analysis or the write up stage.

It is extremely important to note that while it may be an advantage to encourage researchers to make use of a repertoire of research methods, it is equally important to take cognizance that certain kinds of methods are appropriate for particular research problems, while others may not be suitable. Thus careful consideration must be given in respect of how different research techniques are used alongside each other to obtain different data sets. In my research, a variety of data collection methods was used to yield different kinds of data sets. The data presented in the written form, for example, the responses from the questionnaires, are responses of principals, school management teams and teachers of 'what they publicly espouse' outside of their teaching practice. On the other hand, the data presented in the verbal form, for example, the responses from the semi-structured interviews are the responses of principals regarding 'what they personally experience' in their teaching process.

5.10 Limitations of Methodology Applied

The sampling was inclined to be subjective, as the schools were chosen from a list of schools which had undergone Whole School Evaluation. It is thus assumed for the purposes of this study that these few schools were representative of other schools on the list of schools chosen for Whole School Evaluation.

Time constraints limited the study in the sense that more schools from the list could not be chosen, which might allowed greater representativity. However, far more time than was available to me, as a researcher, would have been required to reach more schools in the same comprehensive manner and approaching the same depth with which I had gathered data from the schools chosen.

My own personal constraints in terms of work commitments also contributed to the necessity to limit the number of schools chosen for research.

5.11 Chapter Summary

In Chapter Five, I presented a detailed description of how I plotted my methodological course. My central focus was on the following aspects: data collection instruments, sample population and data analysis. The two data collection instruments have been appropriately chosen for this study namely, a survey questionnaire and an interview schedule. I am confident that both these instruments have been thoroughly planned and validated to elicit data which respond to my critical questions.

I believe that the sample population can only make sense in relation to the target population. I have provided an explanation of the different analysis techniques which will be used to analyze, interpret and read meaning into my data. The results from the qualitative data will be validated against the quantitative data. Doing this enhances the validity of the results of my research. I am positive that my methodology chapter has

prepared a good foundation for the data collection and analysis in Chapter Seven and the Appendix.

CHAPTER SIX

AN ANALYSIS OF THE NATIONAL EDUCATION DEPARTMENT POLICY ON WHOLE SCHOOL EVALUATION

6.1 Introduction

This chapter presents a document analysis of the National Education Department's policy on Whole School Evaluation. This analysis is undertaken in terms of the historical context, the rationale for the Whole School Evaluation policy, its claims, goals and intentions, underlying assumptions, and the gaps and silences. It concludes with a chapter summary which focuses on the challenges the implementation of the policy presents, and the conclusions drawn from the analysis of the policy.

6.2 Document Analysis

Document analysis is a research technique for making replicable and valid inferences from data to their context. (Krippendorff, 1980, p.12). This context includes the purpose of the document, as well as the institutional, social and cultural aspects. It also emphasises that reliability and validity are central concerns in document analysis.

I undertook document analysis of the Department of Education's National Policy on Whole School Evaluation.

The purpose of this instrument is to unpack the underlying management, psychological, instructional, political and epistemological claims, assumptions, gaps and silences of the policy document.

The National Policy on Whole School Evaluation will be subjected to critical examination along the following lines. The questions to which the text was subjected to in terms of analysis were adapted and formulated with reference to Bell (1989) and Bennet *et al* (1994) and were designed to divulge the purpose and intent of the policy and explain how it was created.

- What is the source of the policy? Where did the policy come from and for whom was it intended? What led to the formulation of such a policy? Who was actually instrumental in formulating the policy?

- What is the purpose, goals and intentions of the policy? What was the authors' intention? Was it to inform the implementer, command the implementer? Did the author intend the document to have some effect on the implementer?

- What is the concept of Whole School Evaluation in the policy document? What view of Whole School Evaluation is the policy document projecting? Through carefully reading the policy-document I intended to see what view of the policy was being projected and how the authors actually conveyed that view.

- What are the critical issues being discussed in this document? Here I intended to focus on the critical issues discussed in the policy. How did the policy-makers conclude that those were the critical issues?

- What structures will need to be set in place to facilitate this process? How did the policy-makers ensure that the information laid down in the policy was conveyed to the reader? Some aspects of the document seemed rather vague, who was responsible for clarifying these issues? Was the policy document actually work-shopped and fully explained to all concerned?

- Over what time-frame does the document propose to implement the policy? How much time did the policy-makers set out before the implementation of the policy?

6.3 Policy and Policy Analysis

For a long time the field of policy analysis has been fraught with arguments over its purposes and methods. What began as 'policy orientation' within a social science (Lasswell: 1951) was later elevated to the level of 'a new supra discipline' (Dror 1971, p.1x). A widely accepted view however, takes policy analysis to be a multidisciplinary field that cuts across existing specializations to employ whatever theoretical or methodological approach is most relevant to the issue or the problem under investigation. According to Ham and Hill, "the purpose of policy analysis is to draw on ideas from a range of disciplines in order to interpret the cause and consequences of government, in particular by focussing on policy formulation" (1984, p.11).

Policy here is taken to be any course of action (or inaction) relating to the selection of goals, the definition of values or the allocation of resources. Fundamentally, policy is about the exercise of political power and the language that is used to legitimate that process.

In presenting a methodological framework to present the intentions of the policy, I draw on the literature on policy and policy analysis. Policy analysis is a form of enquiry that provides either the informational base upon which policy is constructed, or the critical examination of existing policies. The former has been called 'analysis for policy', whereas the latter has been called 'analysis of policy' (Gordon, Lewis &Young, 1977, p.27). 'Analysis of policy' can take on two different forms: firstly, analysis of policy determination and effects, which examines the "inputs and transformational processes operating upon the construction of public policy" and also the effects of such policies on various groups while 'analysis of policy content' examines the values, assumptions and ideologies underpinning the policy process (Gordon *et al,* 1977, p.27). My analysis rests heavily on analysis of policy.

Theoretical arguments for the analysis of policy range from the rational model (Simon 1957, March & Simon, 1958) to critical policy analysis. Given that the policy process is messy, a rational approach to the process is simplistic and limited. Hence critical approaches are more appropriate. I use critical policy analysis, drawing heavily on post-structural constructs of discourse analysis, power and knowledge. As Ball (1990, p.18) points out, recent theoretical developments around post-structuralism offer "a new set of

tools to begin to explain things". Post-structuralists suggest there is a close nexus between power and knowledge, and that meaning is constructed historically in contested social domains (Foucault, 1980).

I have used the framework of Taylor, Rizvi, Lingard and Henry (1997) as I believe that this framework is useful for critical policy analysis. They see critical policy analysis as a focus on:

- understanding the context in which policy arises
- evaluating how the policy-making process is arranged
- assessing the content in terms of a particular set of educational values
- assessing whose interests the policy serves
- exploring how it might contribute to policy advocacy
- examining how the policy has been implemented and with what outcomes

As has just been explained, the two extremes 'analysis for policy' and 'analysis of policy' involve the examination of very different issues emanating from policy constructs.

The framework I intend using (Taylor, Rizvi, Lingard and Henry: 1997) offers a more comprehensive and encompassing view of the forces (e.g. politics, pressure, conflict) and factors operating in the dynamics of the policy-making process.

Frameworks as identified by Malcolm (2001) include:

- Setting up 'models' of the process. At one pole we might have the 'rational process'- a set of steps (cycle) such as deciding to decide, deciding how to

decide, defining issues, forecasting, setting objectives and priorities, analyzing options, writing policy, implementing evaluating, modifying (but of course all these 'steps' occur at once, interactively). At the other pole might be the socially critical position that begins by looking at power relationships (in knowledge, as well as history and social groupings).

- Deciding where to start in the policy formation (and policy analysis) process. For example, one can start with "forward mapping" (top-down) approaches, driven by vision, problem-solving and negotiation amongst 'elites' at the top of the policy process, or backward mapping (bottom-up) approaches, driven by what currently happens on the ground (and why), capacity for change at ground level, suggestions for change from there, and ways such changes can be led, and/or supported.

- Looking to 'big chunks' of the process, e.g. considering the education system as a chain of "inputs" (policies, resources, materials, infrastructure, etc), "throughputs" (management, teaching, support services, etc) and "outputs". (learning achievements, retention, equity, etc) and interaction between them.

- Deciding what the *purpose* is for the policy research. For example, "is it policy study" (knowledge *of* policy) or "policy analysis" (knowledge *in* policy)? Is it 'analysis of policy', or 'analysis *for* policy' (including policy advocacy)?

Whatever framework is used, it is no longer satisfactory to focus on 'just one aspect'- one needs to bring together the macro-world of policy-makers and the micro-world of individuals. In this research I used an integrated framework for critical policy analysis drawing on aspects of the constructs of each framework.

This framework also offers a more comprehensive and encompassing view of the forces (e.g. politics, pressure, conflict) and factors operating in the dynamics of the policy-making process.

6.4 Analysis of the Whole School Evaluation Policy

6.4.1 The Historical Context

According to Taylor *et al* (1997), there is always a history of significant events, particular ideological and political climate; social and economic contexts, as well as particular individuals that together influence the shape and timing of policies, as well as their evolution and their outcomes. When South Africa became a democracy, a massive re-engineering of the education system began with the introduction of Outcomes Based Education (OBE). A major criticism of the approach was that a parallel mechanism for monitoring and evaluating performance did not accompany this change. When the Directorate: Quality Assurance was established in May 1997, an audit was conducted in all nine provinces to ascertain what systems existed, if any, to evaluate and monitor performance. The audit revealed that there were stark contrasts in the different provinces. The impetus for the introduction of monitoring and evaluation systems was the audit. The Department of Education then assigned the key responsibility for the development of the National Policy on Whole School Evaluation, supporting documents and a training

manual to a United Kingdom-based (UK) consultant. The rationale for this choice is that the United Kingdom is one of the countries which has one of the longest extending traditions of inspection. While the focus in the United Kingdom was on inspections, in South Africa, we were looking for a model that would best suit our needs in terms evaluation.

In providing the policy context for Whole School Evaluation with the specific purpose of locating the policy on Whole School Evaluation within a growing governmental concern with performance-related policies that seek to raise standards, improve quality and evaluate 'performance" against specified outcomes, Whole School Evaluation represents the pinnacle of another quality assurance policy which the researcher has selected at a particular point in its history. This policy has now evolved further to become the Integrated Quality Management System.

6.5 Rationale for the Policy of Whole School Evaluation

The policy document states that "for several years there has been no national system of evaluating performance of schools, and there is no comprehensive data available on the quality of teaching and learning or on educational standards achieved in the system" (DoE 2000, p.1). As a result, the National Policy for Whole School Evaluation was introduced. This policy, together with its accompanying guidelines, places emphasis on the use of objective criteria and performance indicators in the evaluation of schools. The multi-sources of information will be used to enable valid and reliable judgements to be made, and sound feedback to be provided both to schools and to decision-makers.

6.6 Claims, Goals and Intentions of the Policy on Whole School Evaluation

An analysis of the policy of the document reveals that the following explicit and implied goals of the Whole School Evaluation policy are as follows:

- To spell out the criteria that will be employed to evaluate the effectiveness of a school in terms of the national goals.
- To establish mechanisms to strengthen district professional support services to schools.
- To increase the level of accountability within the system.
- To provide feedback for continuous quality improvement.
- To moderate externally, on a sampling basis, the results of self-evaluation carried out by the schools.
- To identify pockets of excellence within the system which will serve as models of good practice.
- To identify the characteristics of an effective school, and to improve the general understanding of what factors create effective schools (DoE, 2000, p.11).

Finally, frameworks establish an implied goal, namely that there would be overall school improvement if the policy was properly implemented.

6.7 Assumptions

The National Policy on Whole School Evaluation spells out the procedure for undertaking Whole School Evaluation. The policy documents rests heavily on a number

of assumptions which I was able to pinpoint by means of a thorough analysis of the policy document, as well as drawing on my personal experience when this policy was implemented as a pilot in the school where I served as principal. The following assumptions may be deduced from this policy:

- Teachers will view this policy in a positive light.
- The in-service training undertaken by staff will equip them to implement the policy as expected.
- Schools have the ability to sharpen their skills in conducting self-evaluations.
- All schools will appoint an evaluation coordinator to liaise with the monitoring and evaluation teams.
- Guidelines, criteria and instruments have been designed to ensure consistency over periods of time and across settings.
- Districts have competent resources to provide mentoring and support to the schools.
- District-based support teams have the physical resources to lend support to the process.
- The role and duties of district-based teams are clearly identified and known to all officials.
- The accredited supervisors have received the necessary training, and are in a position to carry out the evaluations.
- There are sufficient accredited evaluators balanced across the nine focus areas to carry out the evaluations in each school.

- There is a systematic way of integrating the data received from Whole School Evaluation, the Development Appraisal System and Systemic Evaluation, so as to prepare a comprehensive profile of performance for each school.
- The necessary information communication technology infrastructure in all the provinces has been established, and can easily be linked to the database of the national ministry.
- Provinces have budgeted for the Whole School Evaluation process, and have proactively put in place policies designed to provide support, guidance, advice and resources to all district professional services to enable them to assist schools.
- Schools have effectively functioning and competent school governing bodies which play an active role in the whole school evaluation process.
- Supervisors and other stakeholders will observe certain ethical issues and abide by the prescribed code.
- Whole School Evaluation will assist in re-orientating efforts towards improving the quality and standards of individual and collective performance.

6.8 Gaps and Silences contained in the Policy of Whole School Evaluation

The Whole School Evaluation may be hailed as a major milestone, as it sets the tone not only for capacity building, but also in accounting for the capacity built (Lucen, 2003). However, the policy is silent and naïve with regard to a number of issues and these include:

6.8.1 The Dysfunctional Nature of Schools

The document is silent about the fact that the Whole School Evaluation may have been introduced as a result of many schools having become dysfunctional.

6.8.2. Decline in Matriculation Results

The document is silent on the decline in matriculation results over the years.

6.8.3. Parental Pressure

The document is also silent concerning the fact that there is pressure from parents calling for government to introduce a greater accountability measure for educators.

6.8.4 Statement of Intent

Like most policies, the policy document on Whole School Evaluation appears to be more than a statement of intent. The approach to be adopted raises concerns as to whether this would be a "fixing the parts" approach, rather than a "fixing the system" approach, bearing in mind the many backlogs inherited as a result of the evils of apartheid.

6.8.5 Internal Monitoring and Evaluation

The focus in the Whole School Evaluation policy is on both internal monitoring and evaluation, i.e. ***"the self-evaluation by the school, and external evaluation by the supervisory units, and the mentoring and support provided by the district based-support teams"*** (2000, p.3). This indicates that there are clear distinctions being made between monitoring (which is done by the school), mentoring and support (conducted by district

support teams) and evaluations (which are done by the supervisory units). Those responsibilities are located at the micro-, meso- and macro-levels in the province. The roles identified are contrary to those stated later in the policy where, ***"provinces should budget for whole school evaluation and enable district support teams to carry out ongoing monitoring, support and development activities in schools"*** (2000, p.5).

6.8.6. Internal Self- Evaluation

The policy document states that ***"quality assurance allows evaluations to become effective only when schools have effective well-developed internal self-evaluation processes"*** (2000, p.5). The document is silent as to who will ensure that this takes place, and what criteria will be used to determine which schools are prepared.

6.7.7 Lack of Shared Partnership

There appears to be a lack of coherence, cooperation and shared partnership amongst all strands of quality assurance within the education system. The various components of the education system lack a shared basis of cooperation on matters of quality assurance.

6.8.8 Role of the Provinces

The provinces are responsible for the design of policies to provide, ***"administrative support, advice, guidance and resources to all its district professional services, to enable them to help schools to respond to recommendations emanating from external evaluations"*** (2000, p.11). It is argued that professional support is more desperately

required when compared with administrative support. Therefore, what measures will be put into place to ensure quality control that is the same across provinces and districts?

6.8.9. Role of Supervisory Units

The way in which the capacity required for the process will be dealt with is that ***"supervisory units*** (directly managed by the Quality Assurance Directorate, or its equivalent in provinces) ***will be responsible for providing a full team of evaluators assisted by district based support team members"*** (2000, p.12). In this regard, there is no clarity as to whether "full time" refers to permanently employed personnel in the DOE, or consultants contracted full time for this purpose.

6.8.10 Training and Induction of Supervisors

The policy document indicates that, ***"modular training and induction courses will be offered for all supervisors, including district based support teams until sufficient numbers have been registered on the data base"*** (2000, p.16). It is not clear whether or not this means that officials from the district-based support team will also be registered on the database as being competent to perform the evaluations, and if so, what the purpose is, considering that they are not involved in either the self-evaluation or the external evaluation of schools. The policy states further that ***"once they have received training; all supervisors will be registered on the Ministry's database"*** (2000, p.16). The assumption is thus made that all supervisors who receive training will be competent enough to conduct evaluations. A glaring omission in this process is the non-indication of a body/official to moderate the supervisors. Identification of a national moderation team

should have been considered for moderation of the evaluations conducted by the supervisors.

6.8.11. Formulation of Policies and Implementation of Recommendations

Supervisory units are also charged with the responsibility of ***"formulating policies designed to ensure the implementation of recommendations to improve standards in under-performing schools"*** (2000, p.12). Given the samples that are chosen, it remains questionable whether it would be possible to generalize findings, and hence embark on generic strategies to improve standards in all under-performing schools.

6.8.12. Composition of Supervisory Teams

The policy states that:

> ***teams comprising expertise in general school management, leadership, governance, curriculum, staff development, and financial planning must be constituted in the districts. They are responsible for monitoring and supporting schools on an ongoing basis for purposes of continuous quality improvement*** (2000, p.12).

These are exceptionally high expectations given the evidence that we have concerning the lack of capacity in districts in previously disadvantaged areas **(DoE, 2001a).**

6.8.13 Responsibility of the Evaluation Teams to the Supervisory Unit

The policy goes on to state that these teams ***"must render services to the supervisory units".*** The policy is silent regarding the exact type of "services" to be rendered. District

support services are also responsible for ***"ensuring the availability of adequate transport, travel and subsistence budgets for the District Support Teams"*** (2000, p.12). Again this seems impossible to provide, given the present accounting structure at most districts, and, if no concerted effort is made to inject much needed funds and resources into districts for this purpose, then this might not be possible.

6.8.14 Role of the District Support Teams

District Support Teams will have to use the ***"reports from the supervisory teams to hold discussions with the schools and guide them in the implementation of the recommendations"*** (2000, p.13). It may be argued that since the district support team was not involved in conducting the evaluation, it might be problematic for them to assist in the implementation of the recommendations. Also, the policy is silent on the issue of **"who evaluates the support being provided by the District".** Throughout the document there are a number of implied roles and functions of Districts. Districts do not have nationally agreed-upon roles and functions, and therefore, may not be able to make meaningful contributions to the process unless their functions are clarified. There is no linkage between district plans and school plans, and yet school plans are to be mediated by the District Support Teams (Department of Education, 2001c). There is also no shared perception regarding the time required to review the findings of the evaluation process between the schools and the district role players.

6.8.15 The Role of the Principal

The principal of the school is responsible for ***"the undertaking of the school's self-evaluation activities in line with the requirements of the National Policy and Guidelines on Whole School Evaluation."*** (2000, p.13). S/He is also expected to ***"identify an evaluation co-ordinator to liaise with all the monitoring and evaluation teams that visit the school"***, as well as to produce ***"an improvement plan in response to recommendations made in the evaluation report with in four weeks of the receipt of the written evaluation report"*** (2000, p.13). All the activities listed appear to be in line with the process, but it is difficult to understand why the principal is then expected to send the ***"improvement plan to the District Head for approval"***, considering that the Head was never part of the evaluation process. Again this points to the fact that there may be unreasonable expectations placed on districts. If this is to be maintained, then it would only make sense to involve the District Head early in the evaluation. A further interesting observation is the fact that the channels of communication in this regard are not being considered. Reporting to line managers should be observed in this process. It would make sense for the improvement plan to be forwarded to the Superintendent of Education (Management), for onward transmission to all the officials in the District Offices, as well as to the supervisory unit of Whole School Evaluation .

6.8.16 Inconsistent use of Terms

The document is riddled with terms which are used inconsistently, for example, 'supervisors', 'teams' and 'evaluators'. The terms 'teams' and 'evaluators' are not even contained in the glossary of terms.

6.8.17 Evaluation Criteria

Another criticism is the absence of evaluation criteria for the specific curricular subjects in the Whole School Evaluation model. This needs to be addressed if change is to be effected at classroom level. An increasing body of evidence (Scheerens & Bosker, 1997; Taylor Fitz-Gibbon, 1996) suggests that differential effectiveness exists in schools, and that the significant variance among pupils' achievements can be attributed to differences at classroom rather than whole-school level. Furthermore, there is a body of evidence from the school effectiveness research, which suggests that pupils' performance may be high in one subject and low in another. How might a model such as Whole School Evaluation, dedicated to improving learning processes and outcomes at school level, accommodate the inherent challenge? With its overriding emphasis on overall school performance, can Whole School Evaluation develop strategies to deal with ineffective classroom teaching?

6.8.18 Technical Application of the Model

It must be noted the Whole School Evaluation policy framework is based on an input, process and output model. Technical application of such a model might result in achieving results opposite to what was intended.

6. 8.19 Generation of Tensions in the Policy Proposals

6.8.19.1 School Autonomy and State Control

There are two other tensions that are generated in the policy proposals; the first is tension between school autonomy and state control (Jansen 2001c). It appears that schools are

being granted greater autonomy to decide on their progress and plans for school improvement. The school measures itself through self-evaluation, and these results are used as the basis for external evaluations by external supervisors. These are, however, critical areas in which the school principal and staff are excluded from the evaluation process. For example, the principal may participate in the evaluation process but will not be part of the decision-making when judgements about the school are being made. The co-operative aspects of the evaluation are listed throughout the policy document, while at the same time, it is also clear that external evaluators have legal authority to enter and evaluate a school. Even in the case where schools may lay a complaint about **"unfair treatment or unjustified action, the Minister of Education remains the final arbiter in any complaints procedure"** (DoE, 2000c).

6.8.19.2 Development and Accountability

The second tension in the Whole School Evaluation policy is between development and accountability (Jansen, 2001c). The policy emphasizes the positive benefits for school improvement that will develop through internal and external evaluation. Schools will receive financial assistance and the expertise of well-trained district officials who will monitor and evaluate the school's performance with regard to improvement plans. The problem arises if the school does not attain the level of performance articulated in the school improvement plans. Teachers have dismissed the policy and the inspection system of the apartheid era which are believed to force schools into compliance with the government's philosophy and curriculum. Although the Minister promises that this policy

is "less punitive" (DoE, 2000c), it is difficult to convince teachers that the policy would not result in some form of reprimand if performance was not as expected.

6.8.20 Budgetary Constraints

The policy document is silent about the budgetary constraints that exist.

6.8.21 Interpretation of the Policy

The policy is also limited in terms of the specific problems that arise from the interpretation of the policy.

6.8.22 Time-Frames

The South African System of evaluation is cyclical and takes place between 3-5 years (DoE, 2001). The policy does not stipulate or regulate any contact between the school and the evaluators until the next evaluation cycle after 3-5 years. The lack of regulated contact with the same evaluator does not help keep quality improvement high on the school's agenda after evaluations.

6.9 General Discussion of Drawbacks and Concerns regarding WSE

- Whole School Evaluation is a giant step towards ensuring quality schooling, but several conceptual issues still need to be ironed out. It would be best if developmental activities were completely separated from accountability activities. For instance, Systemic Evaluation could be used to address accountability

requirements, as its purpose is mainly to establish whether the system is achieving its goals or not, and Whole School Evaluation could rather be used for school improvement purposes.

- Self-evaluation and development should be genuinely ushered into schools. Just as the governance of schools is open to all stakeholders, school improvement should be opened up to the school staff and parents.
- The self-evaluation activities proposed in the Whole School Evaluation policy should be given higher significance. The 'supervisors' should not be carrying out their own evaluation activities alongside the proposed school self-evaluations, but should build on the self-evaluation reports. In fact, if this initiative was purely for improvement purposes, then the 'supervisors' would visit schools to support the school staff carrying out these evaluations, and consequently would prepare district reports aimed at determining developmental interventions by the district or the schools themselves.
- Significant educational change can no longer be achieved in a step-by-step, linear process. School improvement processes are not implemented smoothly through locked-in five year development plans. Schools do not have the luxury of being able to focus on a single goal, and of going through stages of achieving that goal over several years. Changes do not proceed through clear discrete stages of awareness, initiation, implementation and institutionalization (Hargreaves, 2003).
- It would be beneficial to the entire education community and funding and research agencies to have access to clearly outlined milestones with respect to the

implementation of Whole School Evaluation. In this way, transparency, interest and participation would certainly be promoted.

- Another concern is that many people on the ground have not been adequately prepared for implementation of the policy, and do not have a clear understanding of the policy in order to accept implementation.
- Advocacy by both the National Department of Education and the provinces has proved to be inadequate. Although some provinces have begun to restructure in response to the demands of the Whole School Evaluation policy, the process has been reported to be slow and poorly coordinated.
- The general public is not aware of the implications of Whole School Evaluation, and the media has shown limited interest. As a result, the process and its intended outcomes are not widely publicized nor understood.
- One of the greatest challenges remains that of having to deal with the anxiety and fears of teachers. Officials from the Ministry label the policy as Whole School Evaluation, but teachers still view it as 'inspection'.
- Successful implementation will be achieved if the process is transparent, developmental, and flexible, and affords all stakeholders sufficient opportunity to take ownership of the process.
- Sites for policy implementation are complex units, each with their own uniqueness and micro-politics which are sometimes difficult to understand. Hence reports given to poorly performing schools might discourage them from taking steps to improve. Poor ratings can sometimes make schools feel punished or

prejudiced against. Therefore, the challenge is to find ways to bring about a common vision or mission amongst all the stakeholders.

- This reform is being implemented together with other competing reforms such as Systemic Evaluation and the Development Appraisal Strategy and the newly introduced IQMS. Schools are grappling with understanding these policies, as minimal attempts have been made by the Department to indicate the coherence and discontinuities (if any) between policies. Many principals, members of the school management teams and educators see the introduction of Whole School Evaluation as an overload.
- Complaints abound with regard to the timing of the implementation of these policies.
- Indicator systems are being used in the evaluation process, and the greatest challenge being posed is that all the individuals involved in evaluations must have a shared understanding of the role and function of the indicators.
- Another concern is that the indicators in the Whole School framework may not be applicable to all schools given the vastly contrasting conditions existing in the country. The single set of indicators for both rural schools and ex-Model C schools is extremely problematic, since this forms the basis of the evaluation.
- Nine different comprehensive instruments are being used for the collection of data. This has resulted in the generation of an enormous mass of data per school. It is envisaged that provincial and national databases will be installed to handle this, but operationalising this vision remains merely a dream in most provinces. In

many of the provinces, the financial implications for the installation of such complex databases have not even been conceptualized.

- Acquiring skilled human resources for the smooth running of the databases also poses a tremendous challenge.

6.10 Chapter Summary

This chapter focused predominantly on a documentary analysis of the policy of Whole School Evaluation, the purpose of which was to unpack the underlying management, psychological, instructional, political and epistemological claims, assumptions, gaps and silences in the national policy of Whole School Evaluation.

There are many drawbacks to the policy of Whole School Evaluation which would need to be addressed, and which remain abstract and theoretical, without being reinforced practically with information and explanation. I have focused on several of these in my analysis of the policy document itself. In the next chapter I will go on to discuss the actual findings of my study which will relate back to the assumptions around the WSE policy, and the significance of the gaps and/or silences in the document itself.

CHAPTER SEVEN

POLICY IMPLEMENTATION IN THE SCHOOL CONTEXT: LINKING QUALITATIVE AND QUANTITATIVE DATA

7.1 Introduction

The discussion in this chapter falls into four sections. The first section reviews the principals', school management teams' and educators' insights into the implementation of Whole School Evaluation as obtained from the questionnaires. I present the statistics on the complete data set for all the questions posed in Appendix Four in respect of the questionnaires and the interviews held with the six school principals. I will be drawing on this data during the analysis. The reason for the movement of this data is to elevate and give prominence to the analysis and findings. The six-page questionnaire targeted the principals, school management teams and the educators of the six schools selected for the purpose of this study.

The data will be presented in the following broad categories viz, policy goals, policy dissemination, policy implementation and policy effect.

The second section provides insight into the principals' understanding of:

- The goals of the Whole School Evaluation policy and the reasons advanced for its introduction.

- The effects of the introduction of the Whole School Evaluation policy on the development of the school, the principals' understanding of school effectiveness, and the impact of the Whole School Evaluation policy on school effectiveness.
- The dissemination of the policy, the principals' understanding of the similarities and differences between the Whole School Evaluation policy, the Development Appraisal System and Systemic Evaluation.
- The engagement of the principals in the different phases of the policy implementation.
- The main obstacles and opportunities presented by the implementation of the policy of Whole School Evaluation.

Data for this section was gleaned from audio-taped interviews conducted with the six school principals. The data will be presented in the following broad categories:

- Category one: Policy Goals
- Category two: Policy Dissemination
- Category three: Related Policies
- Category four: Preparation and Training for Policy Implementation
- Category five: The Evaluation Process
- Category six: School Development Planning
- Category seven: Opportunities and Obstacles experienced by the Principals in the implementation of the Whole School Evaluation Policy
- Category eight: General

In Section Three, a synthesis of the emerging issues and key constructs from both the data sets will be presented.

In Section Four, the data from the two data sets will be linked, i.e. the qualitative and quantitative data.

The aim of the section below was to determine how the principals perceived the intentions of the Whole School Evaluation policy.

7.2 Section One: Responses from the Principals

7.2.1 Policy Goals

The data from Appendix 3, Table 7.1 represents the findings as to how the principals perceived the intentions of the WSE policy.

Five (eighty-two - 82%) of the respondents agreed with the item that WSE would enable them to establish their weaknesses, as compared to those who disagreed, one (12%). The inference that can be made here is that the respondents believed that the implementation of the WSE policy would be beneficial to them and to the school environment. This also indicates that there were gaps in their understanding in so far as the value of the policy was concerned.

On the next item, six (one hundred percent - 100%) of the respondents were certain that the school development plan would focus on areas in which training would take place.

This indicates the degree to which the school principals would like to be exposed to training in terms of developing school plans for the development and improvement of the school. None of the principals believed that the Department of Education, through its district and provincial offices, would be able to provide constant (quality) support after the implementation of the policy of WSE. This was an expectation of the Whole School Evaluation policy. Four (sixty-eight percent - 68%) of the respondents indicated that they were unsure compared to two (thirty-two percent - 32%) who disagreed. At best, it may be reasonable to infer that the principals had not been exposed in the past to constant quality support from district and provincial offices and management staff regarding issues of school governance and school management, therefore they felt uncertain that they would receive the kind of support required for developing school development plans from the district and provincial offices of the Department of Education.

Three (fifty percent) of the respondents felt that Systematic Evaluation (SE) would complement WSE, while three (fifty percent) were unsure. This indicates that principals have difficulty in seeing the link between WSE and SE, or do not have a clear understanding of the similarities and differences between WSE and SE.

On the next item, a high percentage five (82%) of the respondents agreed that WSE encouraged them to reflect on their management of schools, while one (eighteen percent - 18%) of the respondents disagreed. This indicates that the implementation of WSE would allow the principals to identify areas of personal, managerial and administrative weaknesses. This indicates further that the process would provide the principals with an

opportunity to assess and monitor the effectiveness of their governance and management of the school.

This is also consistent with the findings from the interviews where the principals indicated that the implementation of the WSE has enabled them to reflect on their management practices at schools.

In summation, it would appear that the principals were positive about the policy goals and the benefits to be obtained from WSE, but had doubts as to the departmental support they would receive, and that some confusion existed as to the information explaining the different policies in current application.

7.2.2 Policy Dissemination

Data from Appendix 3, Table 7.2 represent findings regarding how the principals became aware of the Whole School Evaluation Policy.

Four (seventy percent - 70%) of the principals became aware of the WSE as a result of the Department of Education forwarding the policy document to them, while two (thirty percent - 30%) of the principals became aware of the policy by attending a workshop held by the Department of Education. This implies that the policy document had been left open to a variety of interpretations and distortions when disseminated largely by means of simply forwarding the policy documents to the school principals. Communication of policy goals through workshops where there would be a higher degree of interaction,

discussion and debate as well as clarification is a more encouraging, acceptable and ideal way of communicating policy intentions to school principals. It is equally critical that all principals have a copy of the policy document to ensure that the extent to which the policy intentions could be realised is not limited. This would also give the school principals an opportunity to engage with the policy documents before attending a workshop so that they can prepare themselves to raise any issues of concern, as well as to obtain clarity on concepts and terminology used in the policy document.

Four (sixty-six percent - 66%) of the principals disseminated the information to their staff members by holding workshops, while one (seventeen percent - 17%) of the respondents held staff meetings to discuss the contents of the policy. One (seventeen percent - 17%) of the respondents held special meetings to discuss the policy. This is encouraging, in that the communication of policy goals through workshops, staff meetings, and special meetings allows for a greater degree of interaction, discussion and debate and clarification of key concepts and terminology. It is also the most suitable means of communicating policy intentions. However, of all the methods employed, the holding of regular workshops, tasked with disseminating information in respect of new policies seems to be the most effective.

7.2.3 Policy Effect

This category is concerned with the effect the implementation of the Whole School Evaluation policy had on the school principals. Data in Appendix 3, Table 7.3 reflect the findings.

Four of the principals were generally in agreement (67%) that implementation of the policy would increase the workload of the principals and school managers, while not even one (three percent) disagreed. To the same extent though, they did not feel that it was an administrative burden.

Four (sixty-seven percent - 67%) of the principals disagreed that the implementation of WSE would create stress and anxiety for them. Only two (thirty-three percent - 33%) believed that the implementation of the policy would be stressful for the academic role-players of the school.

The findings in the next item were aligned to the previous response. Two (thirty-three percent - 33%) of the principals felt that WSE would create stress and anxiety for the school managers, while four (sixty-seven percent - 67%) disagreed.

The data on the next item revealed that two (33%) of the principals felt that WSE would create stress and anxiety for the teachers, while three (49%) disagreed. One (eighteen percent) of the principals provided no response. This is significant, in that the principals are the nominal heads of schools and, besides being under stress and anxiety themselves, as principals, they are also required to manage the stress and anxiety experienced by the school managers and the teachers.

The next item presents information with regards to principals' understanding and experiences of WSE.

Two (thirty-three percent - 33%) of the respondents agree that WSE is a subjective form of evaluation, and four (sixty-seven percent - 67%) disagree. Those principals who agree are probably basing their responses on the experiences they have had with previous forms of inspection. Opinions are also based on the feedback that they received by the Department of Education in respect of WSE which they consider as being highly subjective. One can infer that those who disagree feel strongly that the process is a fair and transparent one, which does not focus on fault-finding with regard to the performances of principals, but on an attempt by the Department of Education to positively contribute to the principals' efforts towards the development of the whole school.

On the next item, two (33%) of the respondents agree that WSE makes use of one set of indicators which benefits the better-resourced schools, while four (sixty-seven percent) disagreed. This indicates that the respondents feel that the uniqueness of each school must be taken into account when the instruments to evaluate the school are being drawn up.

Five (eighty-two - 82%) of the respondents agreed that that there would have to be some contribution by the Department of Education to ensure effective implementation and follow-up of the implementation of WSE. The principals seemed supremely confident that the Department of Education was genuinely sincere about its support to school principals. One (eighteen percent - 18%) of the respondents who disagreed based his

response on past experiences that he had had in respect of poor, or no support at all received from District Offices of the Department of Education.

In response to whether WSE is a useful tool that can be used by the Department of Education to assess schools, three (50%) of the respondents agreed. One can infer from this that these principals view WSE as a tool which assists them in identifying and redressing their functionalities so that they can be more effective in their performance of developing the school. Two (thirty-two - 32%) percent were unsure, while one (18%) disagreed. This is probably due to the newness of the policy, as well as the experiences the principals had had in terms of how the Department of Education had previously assessed schools.

Four (sixty-six - 66%) of the respondents disagreed that they lacked expertise in conducting self-evaluation of schools. This indicates that although they are not familiar with the self-evaluation process of WSE, they would still be effective in carrying out self-evaluations of schools. One (17%) agreed and one (17%) strongly disagreed that that they lacked the expertise to conduct the self-evaluation of schools.

In conclusion of this section, it would appear that principals mainly felt that implementation of the WSE policy would not place too great a burden on them in carrying it out, and further, that they were capable of conducting the necessary elements of the process, such as self-evaluation. Some negative aspects were the past experiences

principals had had with the evaluation processes implemented by the Department of Education, which cast some doubt on the effectiveness of the support to be rendered.

7.3 Section Two: Responses from the School Management Teams and Educators

This section provides information on the views of the school management teams and educators as to how the principals managed the implementation of the Whole School Evaluation process. The data in Appendix 3, Table 7.4 represent the findings.

7.3.1 Policy Goals

There seems to be fair agreement across the educator spectrum that the policy of WSE would enable educators to identify their weaknesses. (67%) of the school management teams agreed that the WSE would help them identify their weaknesses, while (25%) disagreed and (8%) were not sure. In terms of the educators' responses to this item, (67%) also agreed, while (16%) and (17%) of the respondents were not sure. Those respondents who disagreed, and those who were not sure, indicated by such responses that there were gaps in their understanding in so far as the value of the policy was concerned.

(89%) of the school management teams and (76%) of the educators agreed that the school development plan would focus on areas in which training would take place. This indicates that there is almost consensus that this objective would be reached (11%) of the school management teams and educators disagreed, while twenty-two percent were not

sure and two percent disagreed with the item. The inference that can be drawn here is that the respondents had a clear understanding of which aspects the school development plan would include.

Data on the next item represent findings as to how the school management teams and educators responded to the role of the district and provincial offices of the Department of Education in providing constant support.

Only (25%) of the school management teams and (30%) of the educators believed that the district and provincial office would provide constant support. It may be reasonable to infer that the school management teams and educators had not been exposed to constant support from the district and provincial offices of the Department of Education in the past. Therefore, (38%) of the school management teams and (43%) of the educators were not sure and (37%) of the school management teams and (22%) of the educators disagreed.

The findings on the next item reveal that it seems that school management teams and educators would welcome some kind of structured evaluation. A high percentage (76%) of the school management teams agreed that Systematic Evaluation would complement Whole School Evaluation, while a small percentage (3%) disagreed, and twenty-one percent were not sure. An overwhelming majority (64%) of the educators agreed that Systematic Evaluation would complement Whole School Evaluation, while (28%) of the educators disagreed and eight percent were not sure.

There is a fair degree of agreement between the school management teams and the educators that their teaching practices would need reflection and re-evaluation, as an overwhelming majority (71%) of the school management teams and (87%) of the educators agreed that Whole School Evaluation encouraged them to reflect on their teaching practices. (22%) of the school management teams disagreed, and (22%) of the educators disagreed. (9%) of the school management teams and (22%) of the educators were not sure.

7.3.2 Policy Dissemination

The data in Appendix 3, Tables 7.6, 7.7, 7.8, and 7.9 represent the findings in this category.

In terms of the item regarding how the school management teams and the educators became aware of the policy of Whole School Evaluation, the data reveal that this information does not seem to be effectively communicated at school. Only five percent of the school management teams and two percent of the educators indicated that the school had disseminated the specifics of the policy. 35% of the school management teams and 75% of the educators indicated that they had attended a workshop run by the Department of Education. 29% of the school management teams and nine 9% of the educators became aware of the policy through a combination of sources. 3% of the educators were informed by the teacher unions. 18% of the school management teams and 3% of the educators became aware of the policy by attending a workshop run by the teacher union.

18% of the school management teams and 8% of the educators had read the policy document on Whole School Evaluation. This implies that the policy has been left open to a variety of interpretations and distortions and that awareness of the policy results from different sources which, in turn, indicates that staff within the same school may have received their input from different sources, and by different means; leading to an uncoordinated and dissimilar understanding of the process.

The data on the next item reveal how principals made the policy document available to the school management teams and educators. For the most part, staff meetings were held to discuss the contents of the policy. (68%) of the school managers and (72%) of the educators indicated the principals held staff meetings, and that at those meetings, the policy document was made available to them and the contents of the policy was discussed. (28%) of the school management teams and (24%) of the educators indicated that the principals had organised a workshop, while (2%) of the school management teams indicated that the principals organised a conference and (2%) of the educators indicated that the principals organised a conference. (2%) of the respondents indicated that they became aware of the policy through other means. Here again, this implies that the document was not disseminated in a standardised manner so that perceptions across the board would be similar.

The data on the next item indicate how school managers made the policy documents available to the staff members.

Most principals made the policy document available to the school management teams and educators. 90% of the school management teams and 86% of the educators indicated that the principals had made the policy document available to them. 18% of the school management teams and 22% of the educators indicated that the policy documents were not made available to them, while 2% of the school management teams and 4% of the educators indicated that they were not sure.

Information on the next item reveals that even though the document was available, (38%) of the school management teams and (44%) of the educators did not have a personal copy of the policy document. (69%) of the school management teams and (39%) of the educators did have a personal copy of the policy document, while (3%) of the school management teams and (7%) of the educators indicated that they were not sure. This certainly limits the extent to which policy intentions could be realised. As mentioned previously, it is critical that each staff member has a personal copy of the policy document given the newness of the policy and the fears associated with the old forms of inspections and evaluations.

7.3.3. Policy Effect

This section presents information as to how the educators perceived the role of the school management teams in the implementation of the policy of Whole School Evaluation. The data is represented in Appendix 3, Table 7.10.

(8%) of the school management teams believed that they had allayed the fears of the staff with respect to the policy. However, only (42%) of the level one educators concurred with this view. (84%) of the school management teams disagreed that their role in the Whole School Evaluation process led to insecurity and fears among educators. (49%) of the educators indicated that the role of the school management teams did not lead to insecurity and fears among the educators. (8%) of the school management teams, and (9%) of the educators indicated that they were not sure. This data supports the claim that during the Whole School Evaluation educators undergo extreme stress and pressure.

The findings in the next item reflect that (57%) of the educators were not in agreement with the claim that the role of the school management teams in the Whole School Evaluation process led to an increase in staff tension and staff conflict. However, (34%) of the educators believed that the role of the school management teams did cause division among staff members. (65%) of the school management teams did not believe that their role in the process led to an increase in staff tensions, while (25%) agreed. (15%) of the school management staff and (11%) of the level one educators indicated that they were not sure.

The data on the next item suggest that, on average, almost two-thirds of the SMTs and educators did not believe that the role of the school management teams led to low morale and reduction in productivity. 37% of the school management teams and eighteen percent of the educators agreed that the role of the school management teams led to low educator morale and reduction in productivity, while 21% percent of the educators were not sure.

The findings for the next item reflected that (54%) of the educators believed that the role of the school management teams led to an improvement in the quality of teaching and learning. (29%) of the educators believed this to be untrue. (64%) of the school management teams indicated that their role in the process led to an improvement in the quality of teaching and learning, while (27%) disagreed. (9%) of the school management teams and (17%) of the educators indicated that they were not sure.

It is noted that in instances where information dissemination which is a function of the SMTs is involved, the views of the educators differed from those of the school management teams. In effect, the educators believed that the school management teams did not exhibit good managerial skills during the process of the Whole School Evaluation.

The data presented on the next item reveal that (50%) of the school management teams and (53%) of the educators agreed that the role of the school management led to an increase in the workload of educators. While (47%) of the school management teams and (38%) of the educators disagreed, (9%) of the educators were not sure. It seems as if staff across the school management and educator levels was evenly split on this issue. The perception is that school management teams believe that they are acting in the interests of the educators. The educators do not seem to have the same perception.

On the next item, (78%) of the school management teams and (65%) of the educators agreed that the role of the school management teams created an opportunity for the educators to receive feedback for their performance. (10%) of the school management teams and (15%) of the educators disagreed, while (8%) of the school management teams and (15%) of the educators were not sure. It can be stated that educators did credit the school management teams with the type of feedback provided on their performance. The educators would have used the appraisal by the school management teams to improve in areas where there were shortcomings.

Information on the next item indicates that (46%) of the school management teams and (68%) of the educators agreed that the process of Whole School Evaluation is a departmentally subjective form of evaluation. (25%) of the school management teams and (9%) of the educators disagreed, while (21%) of the school management teams and (20%) of the educators were not sure. Once more, there are contrasting views on this issue as perceived by the school management teams and the educators. The school management teams would like to perceive themselves as being even-handed in all aspects of management and appraisal. Only 10% of educators agreed with the school managements' views. This could possible relate to that fact that many educators had had first-hand experience of Whole School Evaluation, and had come to the realisation that the feedback they received was highly subjective. It needs to be reiterated that the sampled schools were chosen from a list of schools that had been selected by the DoE to undergo Whole School Evaluation; thus, the fact that educators had first-hand experience was anticipated.

The next statement sought to elicit the views of the respondents as to whether they were given the opportunity to become involved in school development plans during the process of WSE. There was general agreement that school management teams and educators worked together, or were involved in the chartering of the school's activities in respect of being involved in school development planning. (90%) of the school management teams and (78%) of the educators agreed that the role of the school management teams led to staff being involved in developing school plans. (5%) of the school management teams and (16%) of the educators disagreed while (5%) of the school management teams and (16%) of the educators disagreed.

The next item presents information on the role of the school management teams in providing constant support to the educators. In both instances, school management teams and educators agreed that support from the SMTs was only available 50% of the time. (26%) of the school management teams and (20%) of the educators disagreed, while (8%) of the school management teams and (15%) of the educators disagreed. It may be reasonable to infer that teachers have not always been exposed to constant support and therefore disagreed, or reflected uncertainty regarding the possibility thereof.

The response to the next item is aligned to the previous one. Once more, only (45%) of the school management teams and educators believed that it was true that the role of the school management teams led to the provision of active support for the educators.

The next statement sought to elicit whether or not the role of the school management teams demonstrated a lack of expertise in conducting the self-evaluation of the school. About 50% of the respondents (for both school management and educators) did not believe this to be true, that is, school management and educators believed that the management of the school were capable of undertaking an evaluation task.

Data on the next item revealed that (50%) of the school management teams believed that they were responsible for causing stress among educators and (42%) believed that they were not. (49%) of the educators agreed that the school management teams had brought pressure to bear upon their colleagues. (11%) of the educators disagreed, while (9%) of the school management teams and (13%) of the educators were not sure. This data supports the claim that educators undergo stress, pressure and anxiety as a result of the implementation of a new evaluation process.

The findings on the next item reveals that there was a 15% difference of opinion amongst the educators regarding whether the role of the school management teams led to educators being involved in rigorous preparation only for the duration of the Whole School Evaluation process and not thereafter, with slightly less than 50% believing that the school management teams had made them work harder in preparation for the evaluation. Close to 65% of the educators held the same view. This clearly reflects that the respondents were of the view that they did not work consistently throughout the year.

Approximately 55% of the school management teams and educators believed that it was true that the role of the school management teams led to the building of a strong core of educators. (24%) of the school management teams and (20%) of the educators disagreed, while (18%) of the school management teams and (23%) of the educators were unsure. This is an encouraging sign as building a core of educators brings about greater staff cohesion and staff unity, and is positive enhancement of the common good of the schools.

Data on the next item reveals that (59%) of the school management teams and (57%) of the educators believed that the school management teams played an important role in ensuring that the process of Whole School Evaluation was openly negotiated among all the stakeholders. While (23%) of the school management teams and (10%) of the educators disagreed, (18%) of the school management teams and (23%) of the educators were not sure.

Almost 10% more educators believed that management had a vision about the Whole School Evaluation process and were willing to share it, compared to the school management teams themselves who seemed less confident in their own abilities. This is an interesting finding, as the Whole School Evaluation process is about the stakeholders of the school having a common vision of the process, resulting in the common vision and the process being one which is shared.

Data on the next item reveal that there was general agreement that the contributions made by the school management teams in assisting the educators to improve in areas which

were identified as areas of improvement and development were positive. There is consensus (77%) between the school management teams and educators that the school management teams had correctly identified those areas in which staff training was to take place.

Exactly the same percentage, (53%) of the school management teams and educators agreed that the school management teams provided active and constant support for the process of Whole School Evaluation. It is noted that almost half of the school managers do not provide support. It seems that those respondents who were uncertain, or who disagreed, did so in the belief that they did not receive active and constant support from the school management teams.

Data on the next item reveal that almost 80% of the respondents in both categories believed that the process was carried out in a fair manner. It can be inferred that the respondents based their responses on the fact that the Whole School Evaluation process has strict guidelines and procedures that have to be adhered to.

The findings on the next item reveal that whereas 75% of the school management teams believed that they had managed the evaluation successfully by displaying adequate strategic leadership, communication and managerial skills, only 50% of the educators believed this to be true.

(75%) of the school management teams and (52%) of the educators agreed that the school management teams had involved them in the school development planning and programmes. It is alarming that (22%) of the educators disagreed, and (23%) were not sure, as the development of school plans is the responsibility of all the stakeholders of the school and, accordingly, all the stakeholders should be actively involved in the process.

In Section One, 7.2., the findings form the responses from the questionnaires administered to the principals, and in Section Two, 7.3., the findings from the school management teams and educators are crystallised. In Section Three, 7.4., the findings from the interviews held with the principals will be disclosed, section 7.6 provides an analysis of the interviews.

7.4 Section Three: Synthesis: Responses from the Principals

7.4.1 Policy Goals

In general, the school principals believed that the implementation of the Whole School Evaluation policy would be beneficial to them and the school environment. What was evident however, was the fact that there were gaps in their understanding as far as the value of the policy was concerned.

Evidence indicates that the principals had a clear understanding of what aspects the school development plan would include, while none of the principals believed that the Department of Education, through its district and provincial offices would be able to provide constant quality support after the implementation of the policy of Whole School

Evaluation policy. It is reasonable to infer that principals had not previously experienced constant support from the district and provincial offices of the Department of Education. This was probably based on the history of experience of school principals regarding the support for other policies or evaluation systems from the structures of the Department of Education.

It was also revealed that principals experienced difficulty in trying to establish a link between Whole School Evaluation and Systemic Evaluation, as they do not have a clear understanding of the similarities and differences between the two policies.

Of significance is the fact that the majority of the principals agreed that the implementation of the Whole School Evaluation policy would allow them to identify areas of personal, administrative and managerial weaknesses, and that the process would allow them to monitor their management effectiveness and reflect on their management practices.

7.4.2 Policy Dissemination

Evidence suggests that the policy document has been left open to a variety of interpretations and distortions by virtue of the fact that its dissemination was varied and uncontrolled, and largely took the form of the forwarding of policy documents to school principals. Communication of policy goals through workshops where there would be a higher degree of interaction, discussions and debates as well as clarification is a more

encouraging, acceptable and an ideal way of communicating policy intentions to school principals.

The researcher found it critical for principals to have a copy of the policy document to ensure that the extent to which the policy intentions could be realised is not limited. This would also provide school principals with an opportunity to engage with the policy documents before attending workshops, so that they could prepare themselves to raise any concerns, as well as to clarify concepts and terminology. It follows further from this point that school management staff and educators should also each own a copy of the policy document which would aid in opening it up for comment and debate.

It is encouraging to note that the majority of the principals held workshops to discuss the content of the policy. It seems that of all the methods employed, the holding of regular workshops in respect of the new policy were the most effective.

7.4.3 Policy Effect

There was general agreement that the policy would increase the workload of school principals. To the same extent though, the principals did not feel that the implementation of the Whole School Evaluation policy was an administrative burden.

The majority of the principals disagreed that the implementation of the Whole School Evaluation policy would create stress and anxiety for them. Only a small percentage believed that it would be stressful for the academic role-players of the school.

While the majority of the principals felt that WSE would not create stress and anxiety for the teachers, the two (33%) who disagreed are significant, in that the principals, as nominal heads of the institutions suffer stress and anxiety themselves, and also, as principals, have to manage the stress and anxiety experienced by the educators.

One can infer that those principals who agreed that the process was a departmentally subjective process probably based this notion on experiences that they had had with previous forms of inspection. This may also be based on the feedback that they received by the Department of Education in respect of WSE. However, one can infer that those who disagreed felt strongly that the process is a fair and transparent one which does not focus on fault-finding with regard to the performance of principals, but is an honest attempt by the Department of Education to respond positively to the principals' efforts in the development of the schools.

Although the principals disagreed that by using one set of indicators WSE benefits the better-resourced schools, there is a strong indication from those who disagreed that the uniqueness of each school should be taken into account when instruments to evaluate schools are drawn up.

The principals seemed supremely confident that the Department of Education was genuinely sincere concerning its support to school principals. Those that disagreed

probably based their responses on past experiences in respect of poor or no support received from the district offices of the Department of Education.

Of significance is the fact that principals viewed WSE as a tool which could assist them in identifying and redressing their functionalities so that they could be more effective in their performance regarding the development of the schools. Those who disagreed probably arrived at their responses due to the newness of the policy, as well as experiences they may have had with the tools previously employed by the Department of Education to assess schools.

Although the principals were not familiar with the process of conducting self-evaluation, they believed that they would still be effective in carrying out the self-evaluation of the schools.

7.5 Synthesis: Responses from the School Management Teams and Educators based on the Questionnaires

7.5.1 Policy Goals

There seemed to be fair agreement across the educator spectrum that the policy of Whole School Evaluation would enable them to identify their weaknesses. Those respondents who disagreed and those who were not sure showed signs that there were gaps in their understanding of the value of the policy.

A significantly high number of the respondents agreed that the school development plan would focus on areas in which training would take place. This indicates that this objective should be reached. The inference can be made here that the respondents had a clear understanding of what aspects the school development plan would include.

A significantly low number of school management and educators believed that the district and provincial staff of the Department of Education would provide constant support. It may be reasonable to infer that the school management teams and educators had not been exposed to receiving constant support from the district, provincial offices and the management staff of the Department of Education in the past.

Evidence suggests that the school management teams and educators would welcome some kind of structured evaluation.

A high percentage of the respondents agreed that Systemic Evaluation would complement Whole School Evaluation.

There was a fair degree of agreement between the school management teams and the educators that their teaching practices would need reflection and re-evaluation.

7.5.2 Policy Dissemination

Evidence suggests that the policy does not seem to be effectively communicated at schools. This implies that the policy was exposed to a variety of interpretations and

distortions due to the fact that awareness of the policy content had resulted from different sources due to the differing methods by means of which the principals had made the policy documents available to the school management teams and educators.

Most principals made the document available to the managers and the educators. The data reveal that even though the document was available, many managers and educators did not have personal copies of the document. This would certainly limit the extent to which policy intentions could be realised.

7.5.3 Policy Effect

In general, evidence suggests that the data support the claim that during the Whole School Evaluation process, educators undergo a period of extreme stress and pressure, although the school management teams disagreed that their role in the Whole School Evaluation process led to insecurity and fears among educators.

A high percentage of the educators were not in agreement that with the claim that the role of the school management teams in the Whole School Evaluation process led to an increase in staff tension and staff conflict. A high percentage of school managers also indicated that they did not believe that their role created an increase in staff tension. A significantly high number did indicate that the role of the school management teams did cause divisions among the staff members.

A significantly high percentage of the school management teams and educators did not believe that the role of the school management teams led to low morale and reduction in productivity.

The educators believed that the role of the school management teams led to an improvement in teaching and learning.

It is noted that in instances where information dissemination, which is a function of the school management teams is involved, the views of the educators differed from those of the school management teams. In effect, the educators believed that the school management teams did not exhibit good managerial skills during the process of Whole School Evaluation.

It seems as if staff members across the school management and educator levels were evenly split on the issue that the implementation of the Whole School Evaluation policy would result in an increase in the workload of the educators. The perception was that the school management teams believed that they were acting in the best interests of the educators. The educators did not seem to have the same perception.

The educators praised the efforts of the school management teams for the type of feedback provided on their performance. The educators would have used the appraisals by the school management teams to improve in areas where there were shortcomings.

There are contrasting views on the issue of whether or not the process of Whole School Evaluation is a departmentally subjective form of evaluation. The school management teams would like to perceive themselves as being even-handed in all aspects of management and appraisal required by the process. This could possible relate to the fact that many educators had first-hand experience of Whole School Evaluation, and they had come to the realisation that the feedback they had received was highly subjective.

There is strong agreement that the school management teams and educators worked together, or were involved together in the chartering of the school activities in respect of school development planning. School management teams and educators agreed that constant support from the school management teams was available fifty percent of the time. It may be reasonable to infer that the educators had not been exposed to constant support in the past, and therefore disagreed with this, or reflected that they were uncertain.

The school management teams and the educators believed that it was true that the role of the school management teams led to the provision of active support to the educators and that they were capable of undertaking the self-evaluation of the school.

The data support the claim that educators undergo a period of stress, pressure and anxiety.

There was a difference of opinion on the issue of the management teams leading to educators being involved in rigorous preparation only for the duration of the Whole School Evaluation process and not thereafter, with slightly less than fifty percent believing that the school management teams had made them work harder in preparation for the evaluations. This clearly reflects that the respondents were of the view that they did not work consistently throughout the year.

The responses reveal that the school management teams and educators believed that it is true that the role of the school management led to the building of a core of educators. This is encouraging, as building a core of educators requires greater staff cohesion and staff unity, and is a positive indicator that the efforts of all concerned are to be focused on school improvement and school development.

A significantly high percentage of school management teams and educators believed that the school management teams had played an important role in ensuring that the process of Whole School Evaluation was openly negotiated among all the stakeholders.

The educators believed that the school management had a vision about the school evaluation process and were willing to share it, while the school management teams themselves were less confident in their own ability to do this. This is exciting, as the Whole School Evaluation process requires stakeholders of the school to have a common vision of the process, and for the vision and the process be a shared one.

There is general agreement that the major contributions made by the school management teams consisted of assisting educators to improve in areas which were identified as areas in which staff training was to take place.

It is noted that almost 50% of the school managers did not provide active and constant support for the process, although fifty percent of the educators indicated that they received active and constant support.

The data reveal that almost 8% of the school managers and educators believed that the Whole School Evaluation process was carried out in a fair manner. It can be inferred that the respondents are basing their responses on the fact that the Whole School Evaluation process has strict guidelines and procedures that have to be adhered to.

A significantly high percentage of the school management teams believed that they had managed the Whole School Evaluation process successfully. This could only be done if they had displayed adequate strategic leadership, communication and managerial skills. 50% of the educators believed that this was true.

Evidence suggests that the school management teams involved the educators in the school development planning and programmes.

Before this study moves on to dealing with the responses of the principals to their interviews which forms one of the main focus points of the study, (considering the effect

of the implementation of WSE on principals' management capabilities) it is important to understand that the large discussion of the school management teams' and educators' responses to the questionnaires was to ensure that not only the principals' perspectives were obtained. To make the study more holistic and balanced, it was essential to explore responses from staff other than the principals so that variances could be noted.

In general the data revealed that:

- During the process of the Whole School Evaluation the educators undergo a period of extreme pressure and stress, although the school management teams disagreed that their role led to insecurity and fears among educators.
- A significantly high number of educators indicated that the role of the school management teams did cause division among the staff members during the process.
- The school management teams did not believe that their role led to low morale and a reduction in productivity.
- The educators are of the view that the school management teams did not exhibit good managerial skills during the process of Whole School Evaluation.
- Educators did offer praise to the school management teams in respect of the type of positive feedback they received with regard to their performance which enabled them to address their shortcomings.
- There is good agreement that the school management teams and educators worked together in the chartering of the school activities focused on school development planning.

- The role of the school management teams led to the provision of active support to the educators.
- Evidence suggests that the Whole School Evaluation process led to the building of a core of educators, that the process was openly negotiated among all the stakeholders, and that the school management teams have a vision of the school which they are willing to share.
- The school managers and educators believe that the Whole School Evaluation policy was carried out in a fair manner. It can be inferred that they are basing their responses on the fact that the Whole School Evaluation process has strict guidelines and procedures that have to be adhered to.
- A significantly high percentage of the school management teams believed that they had managed the process successfully, and that they had involved the educators in the school development planning and programmes.

7.6 Synthesis: Analyses of Interviews held with the Principals

7.6.1 Policy Goals

It is very clear from the responses provided by the principals that they have different understandings of what the goals of the Whole School Evaluation policy are.

All the principals seemed to agree that the policy is well-defined and has good intentions, and that the objectives and goals of the Whole School Evaluation policy are clearly formulated. Principals displayed a very comprehensive understanding of the goals of the policy.

The idea of Whole School Evaluation being a supportive and developmental process also emerged strongly. In this regard, one principal described the process as being one to "identify strengths and areas for development with the objective of addressing the areas that require development, and to use the strengths to ensure good management of schools".

The common thread in all the interviews with the principals was that this process was not to be viewed as a process of investigating any particular person in the school, but went about focusing on upgrading teaching and learning, with the emphasis on the learner and the development of the whole school.

The analysis of the responses reveals that:

- A variety of concepts concerning the area of improvement and performance emerged.
- A link between evaluation and development was made on the understanding that support would be received from the District Support Team.
- None of the principals indicated that the purpose of the Whole School Evaluation policy was to evaluate schools through the use of specially designed measuring instruments and identified criteria which had been negotiated.
- None of the school principals mentioned that the idea was to understand where the inequities existed in order to develop strategy to address them.
- Only one principal alluded to the fact that the policy made way for the introduction of accountability into the system.

- None of the principals explained that the Whole School Evaluation policy would help managers to manage better by making use of specially designed instruments for evaluation.
- There was no indication that the policy of Whole School Evaluation had a potential to contribute to the development of teachers and to enhance teachers' capacities in specific subjects.

7.6.2 Reasons advanced by the Principals for the Introduction of the Whole School Evaluation Policy

The principals provided focused responses when advancing reasons why the policy was introduced. It was very interesting to note that in their responses to this question, the principals provided brief comments on the earlier forms of inspection of schools, and advanced reasons for these types of inspection being stopped. In must be stated that all the principals who were interviewed had experienced this form of inspection and made comments as discussed below.

The principals were unanimous in their argument that the Whole School Evaluation policy was introduced as a substitute for the old type of inspection which had served no real purpose.

There were objections from the educators, particularly those who belonged to organized teacher unions, to the principals and members of the schools' management teams visiting educators in the classrooms to evaluate their teaching performances.

There were also objections from the educators to subject advisors visiting schools to evaluate the performances of educators.

These types of inspections were also stopped particularly due to the manner in which they were conducted. These inspections were undertaken by circuit inspectors and by subject advisors, and were unannounced. Written reports were prepared on the educators which focused mainly on finding fault with the performance of the educators.

There were also objections to the old "A form" or "panel inspections" which were an evaluation of the management and governance of the schools by a panel of three or four school inspectors. This form of inspection was also unannounced, and focused on fault-finding in respect of the management and governance of schools.

In all the types of inspection there was no focus on the development of the teachers, the school and the learners, and that of supportive programmes provided by the Department of Education.

Another reason put forward was that the Whole School Evaluation looks at all aspects of school administration, school governance and school management focussing on the nine areas identified in the policy document

7.6.3 The Role of the Principal in relation to the Policy of Whole School Evaluation

It is very clear that the principals interpreted their roles as those of implementing policy which presumed that they already had a view that the policy was worth implementing, and that they seemed to believe that they were simply intended to be implementers. From the responses provided in interviews, no principal interpreted this role differently, which is evidenced in the following analysis of the responses provided by the principals.

The principals saw their roles as critical in directing the school towards the implementation of the policy.

The principal is regarded as the first point of contact and is the one who seems to be in control and who guides the evaluation.

The principals agreed that they had a positive role to play, and did not view the process as a fault-finding exercise, but rather assistance given to schools, namely by the identification of areas of weakness, and the provision of assistance to schools for school improvement. This included directing, training, evaluating, coordinating, and controlling the activities of not only the stakeholders of the school, but the Whole School Evaluation team as well.

The role of the principal as a manager was seen by principals as being supportive of the implementation of the Whole School Evaluation policy, and was regarded as serving as a motivator to the rest of the staff, ensuring that the stakeholders clearly understood why the implementation of such a policy was necessary, as well as ensuring that the policy was implemented correctly.

The principals agreed that the Whole School Evaluation teams spent more time with the other stakeholders of their school community, but that the presence of the principal and his/her guidance was always recognized and valued.

All the principals were of the view that this linking role which they played was vital for the successful evaluation of the school, and they felt strongly that if the principal did not take the lead in this process, very little would be achieved, and that the policy would not be fully implemented in the school.

However, the principals commented on their role as forming a further and stronger link between the Whole School Evaluation team, the schools' management teams and the staff in the evaluation process.

7.6.4 The Principals' Views of the Effects of the implementation of the Whole School Evaluation Policy on the Development of the Schools

The school principals had differing views in respect of the effect of the implementation of the Whole School Evaluation policy on the development of the schools. However, the

principals expressed strong views that that without the support of the District Support Teams and the Department of Education as a whole, the implementation of the policy of Whole School Evaluation would not have the desired effect.

7.6.5 The Principals' Understanding of School Effectiveness, and the effect of the Policy of Whole School Evaluation on School Effectiveness

The principals' understanding of school effectiveness was very rudimentary. Overall, the principals experienced difficulty in answering this question, and resorted to inadequate responses or simply reiterated ideas they had presented in previous questions.

The principals were of the view that the nine focus areas identified in the policy helped schools to be effective and efficient, and helped schools to achieve their goals in ensuring that learners were successful in their development. It must noted that the focus on the responses with respect to school effectiveness seemed to be on learner achievement only.

7.7 Policy Dissemination

7.7.1 The Principals' Briefs from the Education Department regarding the implementation of the Policy of Whole School Evaluation

All principals were invited to a workshop which was conducted by the members of the Whole School Evaluation supervisory team. The principals recorded that the brief from the Education Department was for them to implement the policy in an honest and fair manner, so that a true position of how the school was functioning would be obtained.

It was very clear that the principals' roles at the workshops were merely to receive information on Whole School Evaluation. The principals expressed concern that very little opportunity was presented to them to brainstorm and become active participants in the process.

7.7.2 The Principals' Roles in fulfilling the Briefs with regards to the implementation of Whole School Evaluation

All principals conducted workshops and held regular meetings to provide feedback and to prepare the schools for Whole School Evaluation.

It must be noted once again that the principals also adopted the cascade model and that the stakeholders were active recipients of the information and offered no resistance to implementing the policy.

It was encouraging to find that the principals then began to mobilize the staff to address the areas of weakness and the areas for development as identified when the schools' self-evaluation reports were prepared.

It was also disconcerting to find that in one school, the principal prepared the school self-evaluation report without consultation with the staff.

7.7.3 Related Policies

7.7.3.1 Similarities and Differences as perceived by the Principals between Whole School Evaluation, Systemic Evaluation and the Development Appraisal System

Generally, the principals provided deep, insightful and impressive pictures of the key focus areas of each of the policies. The degree of convergence between these policies was aptly described in the responses.

Principals differentiated between the implementation time frames, types of instruments, monitoring and reporting procedures and the basic theory of action for each initiative. In the main, responses were detailed.

All the principals were able to identify the main differences and similarities between Whole School Evaluation, Systemic Evaluation, and the Development Appraisal System.

They have however expressed strong views that all three policies complement each other, and that the implementation of the policies should not be viewed as separate processes.

A major difference identified by the principals is that the Development Appraisal System is a process internal to the school, while Whole School Evaluation is conducted by an evaluation team that is external to the school.

7.8. Policy Implementation

7.8.1 How the Principals, as Managers, co-ordinated the Expectations of the Whole School Evaluation Policy, the Development Appraisal System and Systemic Evaluation

It was extremely difficult for the principals to coordinate the implementation, and simultaneously manage the expectations of the policy of Whole School Evaluation, the Development Appraisal System and Systemic Evaluation. The varied interpretations of the policies were also an issue the principals had to contend with.

The workload of the schools was so vast and varied that sometimes the focus fell on other aspects of school management. The day-to-day management of the schools demanded much time and energy, and in as much as the mangers tried to prioritize WSE work, it became necessary to strike a balance between accommodating emergency needs of the schools, needs of the parents and learners, against the normal planning of school activities The principals were all clear that the policies were different with regard to focus, instruments, what was to be measured, and how policies were to be implemented. Overall, the principals experienced the most difficulty in answering this question, and resorted to irrelevant or inadequate responses, or simply reiterated ideas they had presented in the previous questions.

7.8.2 Preparation /Training for Policy Implementation

7.8.2.1 Training received by the Principal for the implementation of Whole School Evaluation Policy

All the principals received training preceding the evaluation. In all cases the training was conducted by the Whole School Evaluation team and was held over two days.

7.8.2.2 The Principals' Comments on the Nature of the Training received

Major concerns expressed by the principals included:

- Lack of empowerment and capacitation of the members of the supervisory team conducting the training.
- The members of the supervisory unit were trying to engage with the policy documents whilst at the same time trying to get principals to engage with the implementation and self-evaluation.
- All the principals were in agreement that the training was not sufficient and substantive enough to enable them to cascade the information to the staff and to train them as well.
- It became necessary for the principals to consult with other principals to get clarity on aspects of the contents of the policy and the implementation procedures and practices.

7.8.3 Areas of the Whole School Evaluation Policy the Principals found Difficult to translate into Practice

The principals did not experience any difficulty in translating any areas of the policy into practice, and were able to meet the requirements of the nine focus areas in a satisfactory manner. One principal expessed concern about the design of the forms, particularly the school self-evaluation form. It was a difficult experience for the principals to implement the policy without disrupting the normal functioning of the school.

7.8.4 The Self-Evaluation Process

All the stakeholders of the schools received training conducted by the principals for the self-evaluation process. The training programmes varied in terms of time and duration. Special meetings were conducted by the principals for members of the school governing bodies. The process of selecting the schools' Whole School Evaluation Coordinators varied from school to school. In most cases, the Heads of Department of the schools were selected as the coordinators, with the principals overseeing the process.

This process of data collection, data analysis, and reporting varied from school to school.

A huge area of concern for the principals was the lack of support from the Department of Education. All principals recorded their disappointment at the lack of, and often no support at all received from the Education Department, particularly the District Offices, in preparation for the external evaluation. The principals expressed the view that the successful implementation of the Whole School Evaluation would not be possible if they

did not receive the promised the support from the Education Department. It is clear that the principals were disappointed and that they had expected much more support from the Superintendents of Education (Management) than was the case in reality.

7.8.5 Preparation for the External Evaluation

The staff of all the schools received training in preparation for the external evaluations. The training took many different forms, namely workshops, staff meetings and group discussions. The principals indicated that some members of staff felt that the training was adequate, while others viewed the training as not being substantive.

The principals did not receive any formal training before the external evaluation *per se,* but considered the workshops that they initially attended as advocacy for the implementation of the Whole School Evaluation policy. The principals contended that officials who were responsible for the formulation of the policy should be given an opportunity to be present at all such meetings/workshops, as should union officials, so that clarification of key concepts, terminology and procedures and practices could be obtained

7.8.6 The External Evaluation

7.8.6.1 The Principals' Views on the Pre-Evaluation Visits

The principals considered the pre-evaluation visits as a cordial, fruitful and pleasant experience. The pre-evaluation visits were also executed in a professional manner. The

principals were also of the view that this process was a new learning experience for both the staff of the school and the Whole School Evaluation supervisory unit.

7.8.6.2 Issues that surfaced in the Staff Room Discussions during the Evaluations

The teachers who participated in the process indicated that the initial fears that they had had about the school being evaluated had been allayed. In terms of inspection of teachers, "the educators were also very pleasantly surprised at the nature of the evaluation, as opposed to what some of them were familiar with previously, regarding inspections". The teachers at one school expressed concern that the Whole School Evaluation team did not give due recognition to the school for its sporting and cultural programmes.

7.8.6.3 The Principals' Accounts of the Day-by-Day Evaluation Process

The principals' responses varied. They stated that the members of the evaluation teams were very professional, and that they adhered to the code of conduct as stated in the policy. The evaluation of the schools proceeded smoothly without interruption to the schools' normal teaching. One principal felt that the Whole School Evaluation team should have taken into account the uniqueness and innovativeness of the school. Evidence suggests that the supervisors were very thorough and looked at all aspects of the management and governance of the schools.

The oral reports were presented to the school principals, and in some instances, to the principals and the school management teams first, and then to the rest of the staff. At the oral reporting stage, the strengths of the schools were highlighted, and then the areas in which the schools needed development were identified. The team leaders provided the overall reports. Every member of the supervisory teams was provided with an opportunity to present their findings. These then formed the overall reports at the oral reporting stage.

Evidence suggests that the principals believed there was nothing to fear about the evaluation, adding that they were of the opinion that such evaluations were welcome at the school.

7.8.6.4 Issues raised in the Formal Written Reports

The issues raised in the formal written reports varied from school to school. These issues are tabled below. As mentioned in Chapter 5, which deals with the methodology used, on page 174, pseudonyms were used for the names of the schools to preserve anonymity and ensure confidentiality and honesty of response.

Name of School	Issues raised in the Formal Written Reports
Irvin Khosa Junior primary School	Lessons taught by educators are teacher-centred. A finance committee which should serve a critical function was non-existent. The non-completion of details in the daily attendance registers for learners.

	Policies formulated and developed by the schools need to be formalized.
Mandela Secondary School	The non-implementation of DAS. The absence of employment contracts for educators appointed by the school governing bodies. Poor classroom control. No lesson plans are kept by the teachers.
Soccer City Primary School	The school did not cater for those learners whose home language is not English. The school needs to develop a more user-friendly assessment policy for the foundation phase. Measures for relief-teaching must be put into place. The school must make provision for separate access points for learners and motorists.
Vuvuzela Primary School	Insufficient time for the school management teams to carry out their duties as expected – as all the Heads of Departments were form teachers which left them very little time to engage in management duties.

	Time needed to be set aside for Heads of Departments and the Deputy Principals to carry out their duties effectively.
Danny Jordhan Secondary School	No contracts in place for the teachers appointed by the School Governing Body. Review of the compulsory school policies is to be undertaken. Review of the planning and preparation of the lesson plans must occur.
2010 Primary School	The method of Instruction was teacher-centred. Strategies are to be put in place to ensure effective communication between the management of the school and the educators. The drawing up of the school policies must take into account the context of the school.

Table 7. Issues raised in the Formal Written Reports

7.8.6.5 Views expressed by the Principals and the Staff on Issues raised in the Formal Written Reports

The views expressed by the principals and staff of the schools varied. These included:

- A lack of financial resources made it difficult to employ more teachers so that more time could be given to the schools' management staff for management and administration.

- The written reports took a long time to reach the schools despite enquires made by the principals.
- The staff expressed reservations about the evaluation teams' comments that the method of instruction was too teacher-centred.
- All principals felt that their schools were performing at an excellent level, but received 'good' assessments. They were disturbed at receiving 'good' assessments. They believed that receiving 'good' assessments was demoralizing to the stakeholders.
- Principals also felt that there were some serious issues raised in the written reports, and that it was incumbent upon them to address these issues.

7.8.6.6 Views expressed by the School Governing Bodies

All the chairpersons of the school governing bodies praised the schools' good assessments. The view was also expressed that the chairpersons needed to play a more active role in the management and governance of the schools.

7.9 Post-School Evaluation

7.9.1 The Selection of the School Development Team

In all the schools the school development teams were comprised of the principal members of the school management teams and representatives from the staff. The activities were largely geared towards preparation of the school improvement plans.

7.9.2 Implementation of the School Improvement Plan

The principals identified and raised some very serious concerns regarding the implementation of the school improvement plans. These included:

- No acknowledgement of receipt of the school improvement plans by the Department of Education.
- No visits to schools by departmental officials from the District Support Teams after evaluations.
- Evidence suggesting that schools have continued to support themselves.
- No assistance from the District support teams, despite the principals requesting same, which the principals find disturbing and unacceptable.

7.9.3 The Main Obstacles experienced by the Principals in the Implementation of the Whole School Evaluation Policy

The main obstacles experienced by the principals in the implementation of the Whole School Evaluation policy included:

- The ineffectiveness of the cascade model in advocating the policy of Whole School Evaluation.
- The view that the entire staff should be trained by the Whole School Evaluation team.
- Observation that a huge time gap had existed from the time the announcement was made that the school had been chosen to be evaluated, to the time when the actual external evaluation took place. This created fear and anxiety.

- A lack of transparency by the Whole School Evaluation team.
- The schools had received no acknowledgement for the various successes they had enjoyed as they had developed over the past years.
- Non-adherence to the procedures and guidelines that guided the Whole School Evaluation process.
- The Whole School Evaluation was disruptive to the normal function of teaching and learning in terms of the programmes of the schools.
- No support was received form the district offices. The principals saw this as a huge gap in the policy.
- No feedback was provided by the District Offices to the school in respect of improvement plans submitted to those offices by the school principals. A principal commented as follows:

> "The critical area that needs to be urgently attended to is that of the role of the district support team. This policy will not achieve its desired objectives, or school improvement – if there is no support from the district office in providing assistance to the school to develop and improve, particularly in areas identified in the report as areas of weakness, or areas that need development."

It must be stated that the constraints facing policy implementation were varied. Some constraints could be regarded as unique to specific schools and experiences of specific school principals.

7.9.4 The Main Opportunities the Principals perceived in the implementation of the Whole School Evaluation Policy

Very mature responses were received from the principals regarding the opportunities they perceived in the implementation of the Whole School Evaluation policy. These included:

- The use of the Whole School Evaluation external reports, together with the school improvement plans as marketing tools.
- The development of school improvement plans which did not exist before implementation of WSE.
- The opportunity to document and formalize the school policies, a practice which is vital for good governance and best practice.
- An opportunity for the schools to be evaluated by outside personnel.
- The provision of an opportunity for the school to develop the 'whole school' in terms of the nine focus areas.
- The commitment of stakeholders to the development of the schools.
- The presentation of all stakeholders with the opportunity to re-examine their respective roles within the schools' structures.
- The provision of an opportunity for the principals to reflect on their management and governance practices.

7.10 General Comments made by the Principals with respect to the implementation of the Whole School Evaluation Policy

The principals did not suggest any alternatives to the policy, but made the following recommendations:

- That the superintendents of Education Management be empowered to visit schools, and that they play a more active role in the governance and management of the schools.
- The lack of support from the District support teams was highlighted, and the district support teams ought to provide support to the schools, the nature of which is discussed in the policy documents.
- A critical area which needs to be addressed is the role and non-functionality of the District Support Teams. The policy will not achieve its desired objectives if there is no support from the District Support Teams in terms of assisting the schools to develop and improve, particularly in the areas identified in the reports as areas of weakness or areas that require development.
- The Whole School Evaluation policy is a functional policy, and its successful implementation depends upon support from the District, Regional, Provincial and National offices of the Department of Education.
- The critical and pivotal role-function of the District Support Teams must be cascaded down to all stakeholders in a deliberate and purposeful manner.
- Schools which receive good reports should be acknowledged.
- Acknowledgement of the receipt of school improvement plans by the Department of Education should be timeous.
- Feedback from the Department of Education in respect of school improvement plans submitted to them must be ensured.
- It will become necessary to fine-tune the policy as problems arise during its implementation.

- The critical factors of the lack of financial and human resources will need to be factored into the Whole School Evaluation process.

7.11 Chapter Summary

In conclusion, this chapter set out to encapsulate and present the findings of the study, both from the information obtained from responses to the questionnaires, and as a result of audio-taped interviews with the principals. In this manner, two forms of responses were obtained from the principals, and responses were also obtained from school management teams and educators, so that principals did nor form the sole source of information which could have led to the findings being one-sided.

The findings as discussed indicate a predominantly positive response to the concept of the policy itself, and the negative factors (which were few by comparison) seemed to present themselves mainly with regard to the actual implementation process and lack of support, follow-up and feedback which schools should have enjoyed.

The Whole School Evaluation process surprisingly seemed to elicit positive reactions, particularly when compared with the methods of evaluation previously employed by the Department of Education which most principals and educators had some experience of.

In Chapter Eight I will draw on all the previous chapters, binding together the main concerns of the research enquiry. I theorise about implementation of quality assurance initiatives, paying particular attention to the policy of Whole School Evaluation. I also

present a set of conclusions, suggestions, points of consideration and recommendations for future research.

CHAPTER EIGHT

SYNTHESIS AND THESIS

8.1 Introduction

Figure 8.1 below presents a framework leading up to Chapter 8

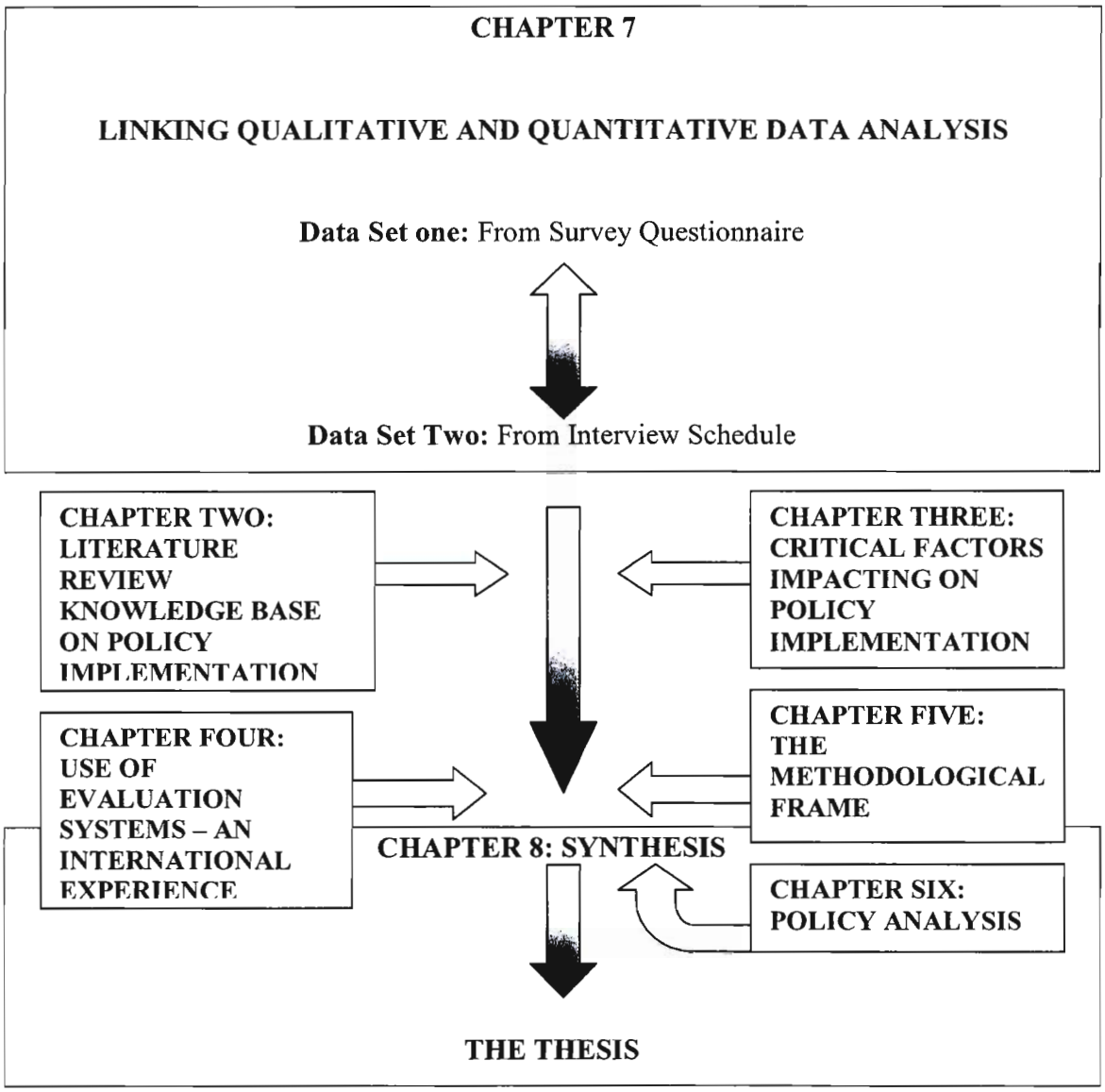

Figure 8.1 Framework leading to Chapter 8

This chapter provides a synthesis of the quantitative and qualitative findings, generation of the thesis, limitations of the study and recommendation for future research. Whole School Evaluation is a fairly new educational intervention aimed at improving the quality of education provision, delivery, performance and accountability throughout the education system. It claims not to be an end in itself, but the first step in the process of school improvement and quality enhancement. Its main purpose is to facilitate improvement of school performance through approaches of partnership, collaboration, monitoring and guidance.

Chapter 8 provides a synthesis and an analysis of:

- policy implementation gleaned from the literature review
- the National Policy on Whole School Evaluation
- the implementation of the Whole School Evaluation in the school context in the categories of policy intentions, policy implementation and policy effects
- The findings of this study, in terms of how they engage with the critical questions, namely, what the contents, claims, objectives and assumptions of the key propositions of the national policy of Whole School Evaluation are; and what impact the National Policy of Whole School Evaluation has on the management capacities of school principals.
- The chapter concludes by making recommendations based on the findings and the analysis thereof.

8.2 Review of Literature: At the Policy and Policy Analysis Level

In presenting a methodological framework to express the intentions of policy, I drew heavily on the literature on policy and policy analysis. My analysis rested firmly on 'analyses of policy' rather than 'analysis for policy'. I used critical policy analysis, drawing on post-structural constructs of discourse analysis, power and knowledge. The framework of Taylor, Rizvi, Lingard and Henry (1997) was found to be useful for critical policy analysis.

In reviewing the growth of implementation research, the first generation research teaches that implementation is difficult, and that policies are implemented only if the implementers are willing and able to work hard and put them in place. First generation research also suggests why policy implementation fails – in that there is a lack of understanding of what implementers are supposed to do. Implementers often lack the knowledge and skills necessary to implement the policy. First generation research also underscores the critical importance of resources.

Unlike the first generation research, the research of the second generation is more positive and suggests that implementation is possible. Second generation research suggests why some implementations succeed while others fail. In addition, second generation researchers have used carefully constructed quantitative and qualitative research designs to isolate the characteristics of strong and weak implementation.

Both generations of research, emanating from different time periods are still very current, providing policy makers and implementers with valuable insights. A number of important lessons for policy, practice, and analysis are indicated by these research areas, for example, (and particularly relevant to this study) that policy cannot always mandate what matters to outcomes at the local level; individual incentives and beliefs are central to local responses; effective implementation requires a strategic balance of pressure and support; policy-directed change is ultimately the problem of the smallest unit.

These lessons frame the conceptual and instrumental challenge for a third generation of implementation analysts, integrating the macro-world of policy-makers with the micro-world of individual implementers. Third generation research is more conceptual and clearly has its origins in both first and second generation research approaches. My study has inclined more towards this approach because of its tendency to focus on the difficulty inherent in formulating policy that is fluid enough to mould itself to a variety of situations. Our local conditions and political and educational history in South Africa resist the implementation of any policy as a template suitable for application in all circumstances, and it is this acknowledgement which sets third generation research up as a suitable interface for this study.

A major challenge for the next generation of policy implementation research will be to apply the lessons of the past implementation studies in building a more powerful conceptual framework and, at the same time, producing more useful information for

policy-makers. The focus must be on the notion of alternative methods or the mechanisms that translate substantive policy goals into concrete actions.

Taking into account the somewhat negative response of First Generation Policy Implementation, restructuring and tempering this with the more positive reaction of the Second Generation research, and then incorporating the information from the Third Generation research which is more conceptual and instrumental, it is possible to gain a fairly holistic approach to the research with which this study is concerned. As this study's primary goal is to analyse a policy which was implemented in certain schools, and its resulting impact, it is vital to consider the theoretical examples provided by such literature, as well as the practical input obtained by the researcher in the form of data.

The implementation process in developing countries is seen as less prestigious than policy-making. The conclusion drawn here is that policy-makers tend to assume that a decision to bring about change will automatically result in changed policy or institutional behaviour, instead of actually planning out the implementation stage.

A review of the literature also reveals that there are different implementation models, and that each one is characterised by its unique strengths and limitations, and that the factors impacting on policy implementation are many and varied. These include: time, goal consensus, interorganizational communication, enforcement activities, resources, economic, social and political conditions, disposition of the implementers and external support.

The implementation of competing policies will be afforded varying degrees of attention, and implementers concentrate on those policies that they regard as important for the moment. Implementation of the other policies is either abandoned or postponed. Policies only have a desired impact if there is a high degree of "coherence" among different policies.

The course of policy implementation is influenced both negatively and positively by variables operational within and outside the school context.

Implementation of competing policies will be afforded varying degrees of attention depending on the implementer's determination of the immediacy, practicality and knowledge of each policy. When principals experience policy overload, they tend to concentrate on those policies that they regard as important at that particular time. Implementation of the other policies is thus either shelved for a future time or abandoned altogether.

It has also been revealed that a number of factors impact on policy implementation. These factors include: political factors, the policy message, the substance of a policy, the means specified for putting a policy into practice, communication of the policy message, bureaucrats and administrators, the teachers, resource constraints and the client population.

Theoretically, evaluation can be used for school improvement in at least two ways: By commissioning external evaluations, or by stimulating or demanding internal self-evaluations, stakeholders can cause schools, as systems, to open up and offer a better insight into when and where to intervene. Evaluations initiated within schools can have similar effects, and the desire to make the school system more open may indeed be one of the main aims of such an evaluation. Evaluations can be used for learning about the system and its improvement process.

Compared with earlier systems of teacher inspection in South Africa, the most novel feature of the Whole School Evaluation system is that, by using evaluations and getting schools to self-evaluate, the policy-makers are opening schools up to external scrutiny.

Generally, policy-makers construct their own conceptions of evaluations in their minds which are seldom the same as what implementers think and are able to do. If the expectations of policy-makers are not clearly communicated to the implementers of the policy then such policies will remain grand plans.

When stakeholders have a negative experience with regard to a particular policy issue, they remain sceptical about the value of other similar evaluation policies no matter how noble the intentions of these policies might be.

There are certain elements which, together, create a positive response to policy. Depending on the particular context, some of these elements are more pronounced than

others – homogenous culture, bureaucratic responsiveness and hierarchical organizations together compose a positive response to official policy.

Within the school context there are different variables which will impact directly on policy implementation. External factors also influence the policy implementation process either directly or indirectly.

A review of the literature pertaining to various forms of evaluation systems as experienced in different countries was also undertaken, with a view to explore and provide an overview of the Quality Assurance Systems and processes.

Evaluation *of* school improvement is of a summative kind, drawing conclusions about the worth, rationality and implications of the area being evaluated. Evaluation *for* school improvement is often intended as formative evaluation, seeking to stimulate and guide those trying to improve schools. Evaluation *as* school improvement can be seen as action research, improvement work and evaluation where all three are tightly integrated. The distinction between evaluation *as* and evaluation *for* is clear: the latter presupposes a dichotomy between the evaluation and its utilization, while the former suspends the difference. Evaluation *as* improvement implies that improvers themselves know how to use evaluations in the improvement process. This is not necessarily the case with the other two uses.

The literature indicates that quality assurance approaches to school review and improvement are now a core element of state school and government schooling systems in many parts of the world. The National Policy on Whole School Evaluation is no different, in that the policy tends to link together teacher evaluation and school development.

School improvement plays a considerable part in the interwoven net of causes and development that constitutes change. In Scandinavia - Denmark, Norway and Sweden, a process of change started during the "seventies". At the political and administrative level there has been a shift of focus, from trying to directly influence individual teachers, to influencing schools, and thereby indirectly influencing their teaching staff. This change in strategy by no means implies that teachers have ceased to be the main targets of policy (Lander and Ekholm, 1998).

In Scandinavian countries, policy-makers often seem to avoid school improvement as evaluation. When evaluation is used from above, it is often used to justify the policy-makers' need-to-know and influence. Methods of evaluation are therefore more suited to these needs and less to the needs of schools. Schools in these countries often struggle with their internal analysis of the internal school improvement processes - the process of evaluation *as* school improvement.

There are few examples of the systematic and skilled use of evaluation *in* school improvement within individual Scandinavian schools, and particularly few of evaluations

as improvement. It is interesting to note that despite this, policy-makers have kept faith with their tool of evaluation during the years it has been in operation. The strategy has, however, changed and there are indications that its sphere of influence is growing. The opening up of schools to stakeholder influences is the most common and tested way of using evaluation for improvement, and it is this use at present that overshadows the use of evaluations *of* or *as* improvement, as well as heuristic functions is regarded.

The South African model of Whole School Evaluation compares very closely to the British system in that many of its features characterise our own system of evaluation. It is developmental in nature, and the process is structured in the same manner as Whole School Evaluation. The literature also reveals that there are many lessons that can be learnt from the strategies embodied in the Seychelles School Improvement Plan.

One of the critical questions this research set out to answer was: What are the contents, claims, gaps and silences of the National Policy of Whole School Evaluation? A response to these critical questions is presented below.

8.3 At the Level of Policy Analysis: National Policy on Whole School Evaluation

An analysis of the Department Education regarding the National Policy on Whole School Evaluation was undertaken in terms of the historical context, the rationale for Whole School Evaluation Policy, its claims, goals and intentions, the underlying assumptions, as well as the gaps and the silences in the policy. In presenting a methodological framework

to set out the intentions of the policy, I drew on the literature on policy analysis. My analysis was underpinned mainly by the analysis of policy. The framework of Taylor, Rizvi, Lingard and Henry (1997) was used for the critical policy analysis. This focused on:

- understanding the context in which policy arises
- evaluating how the policy-making process is arranged
- assessing the content in terms of a particular set of educational values
- assessing whose interest the policy serves
- exploring how it might contribute to policy advocacy
- examining how the policy has been implemented

This framework offers a more comprehensive and encompassing view of the forces (politics, pressure and conflict) and factors operating within the dynamics of the policy-making process.

An analysis of the policy document reveals that the following explicit and implied goals of the Whole School Evaluation policy are as follows:

- To spell out the criteria to be employed to evaluate the effectiveness of a school against the national goals.
- To establish mechanisms to strengthen district professional support services to schools.
- To increase the level of accountability within the system.

- To provide feedback for continuous quality improvement.
- To moderate externally, on a sampling basis, the results of self-evaluation carried out by the schools.
- To identify pockets of excellence within the system to serve as models of good practice.
- To identify the characteristics of an effective school and improve the general understanding of which factors create effective schools.
- To ensure overall school improvement should the policy be properly implemented.

The policy framework of WSE also rests on a number of underlying assumptions about the education systems, and teaching and learning in general. Some of the underlying assumptions in the WSE policy are:

- Teachers will view the policy in a positive light and will willingly adopt its principles.
- Training offered at all levels in the implementation process will be adequate to ensure efficient implementation.
- Implementers are aware of their roles and duties and possess a common understanding of the policy expectations.
- All schools have effectively functioning and competent school governing bodies which will play an active role in the implementation process.

A number of gaps and silences contained in the policy of Whole School Evaluation were revealed. These included the dysfunctional nature of the schools; decline in matriculation results, parental pressure; the policy appearing to be more of a statement of intent, and the roles identified being contradictory. The document is silent as to who will ensure the internal self-evaluation process, and which criteria will be used to determine which schools are prepared. There appears to be a lack of coherence, cooperation and shared partnership amongst all strands of quality assurance within the system; no measures have been put in place to monitor proper quality control that is the same across provinces and districts; no system is in place to moderate the supervisors; lack of capacity within the district offices of previously disadvantaged areas, and lack of funds to support the responsibility of the evaluation teams and the supervisory teams. The document is silent about the budgetary constraints that exist.

There is also no shared perception regarding the time required to review the findings of the evaluation process between schools and the district role players, and the reason why the principals have to forward the school improvement plans to the District Heads for approval, considering that the District Heads do not play a role in the evaluation process. The document is also riddled with terms which are used inconsistently.

The analysis also reveals that there are two tensions that are generated in the policy, that of school autonomy and state control; and the tension between development and accountability.

The Whole School Evaluation policy document assumes that the climate existing within the schools is receptive to these innovations; and that the mere stating of goals, for example, that all schools will receive these documents and thereby implement them as suggested by the policies; and that the state of resources, both physical and human at schools will support these innovations.

Gaps in the implementation plan of the Whole School Evaluation policy are evident. This means that there will be no single interpretation of the policy document. This also means that predicting the policy effect will not be simple.

The second critical question this research set out to answer was: What is the impact of the National Policy of Whole School Evaluation on the management capacities of school principals? The response to this critical question is presented below.

8.4 At the Level of Context: The Institution and the Individual

8.4.1 Policy Intentions: School Leaders are generally supportive of WSE

In general, the principals believe that the implementation of the Whole School Evaluation policy will be beneficial to them and for the development of their schools. What was evident, however, was that there were gaps in their understanding in so far as the value of the policy was concerned. Principals did not have a clear understanding of what aspects the school development would include, while none of the principals believed that the Department of Education, through its district and provincial offices would be able to provide constant quality support after the implementation of the policy of Whole School

Evaluation. Principals have agreed that the implementation of the Whole School Evaluation policy would allow them to identify areas of personal, administrative and managerial weaknesses, and that the process would allow them to monitor their management effectiveness and reflect on their management practices.

8.4.2 At the Level of Policy Dissemination

The policy document has been left open to a variety of interpretation and distortions largely due to the manner in which the policy was disseminated to school principals. Communication of the policy goals through regular workshops would result in a higher degree of interaction, discussions and debates as well as clarification, and is a more encouraging, acceptable and ideal way of communicating policy intentions to school principals. It is critical that each principal has a copy of the policy document to ensure that the extent to which the policy intentions could be realised is not limited. The analysis also reveals that the principals' dissemination of the policy to the other stakeholders of the school seems to have been effective.

8.4.3 At the Level of Policy Effect

There was general agreement that the policy of Whole School Evaluation would increase the workload of the school principal to some extent, although respondents did not feel that implementation of the policy was an administrative burden. Many principals disagreed that the implementation of the Whole School Evaluation policy would create stress and anxiety for them. Only a small percentage believed that it would be stressful to the academic role-players of the school. One can infer from the responses of the

principals who agreed that the Whole School Evaluation process was a subjective process, that they are probably basing their opinions on experiences that they had previously with other forms of school inspection. One can also infer that those who disagree felt strongly that the process is a fair and transparent one which does not focus on fault-finding with regard to the performance of principals, but appears to be an honest attempt by the Department of Education to positively support the principals' efforts in the development of schools. There is a strong indication from the principals that the uniqueness of each school must, however, be taken into account when the instruments to evaluate schools are being drawn up. Of significance is the fact that principals view Whole School Evaluation as a tool which assists them in identifying and redressing their functionalities so that they can be more effective in developing their schools. Although the principals felt that they were not familiar with the process of self-evaluation, they believed that they would be effective in carrying out the self-evaluation of the schools.

8.4.4 School Management Teams and Educators support WSE but believe Lack of Support will render it Ineffective

8.4.4.1 Policy Intentions

There seems to be fair agreement across the educator spectrum that the policy of Whole School Evaluation would enable them to identify their weaknesses. The school management teams and educators also agreed that the school development plans would focus on areas in which training would take place. They also were of the belief that the Department of Education would not provide constant support. Evidence does suggest though that the school management teams and educators would welcome some kind of

structured support. There is a fair degree of agreement between the school management teams and the educators that that their teaching practices would need reflection and re-evaluation.

8.4.4.2 Policy Dissemination

Evidence suggests that the policy has not been effectively communicated to the school management teams and educators of the schools. This implies that the policy has been exposed to a variety of interpretations and distortions due to the fact that awareness of the policy results from different sources, and occurs by different methods. The data also reveal that although the policy documents were available to the school management teams and educators, many did not have a personal copy of the policy document. This would limit the extent to which policy intentions could be realised.

8.4.4.3 Policy Effect

In general the data revealed that:

- During the process of the Whole School Evaluation the educators undergo a period of extreme pressure and stress, although the school management teams disagreed that their role led to insecurity and fears among educators.
- A significantly high number of educators indicated that the role of the school management teams caused division among the staff members during the process.
- The school management teams did not believe that their role led to low morale and a reduction in productivity.

- The educators are of the view that the school management teams did not exhibit good managerial skills during the process of Whole School Evaluation.
- Educators did offer praise to the school management teams in respect of the type of positive feedback they received with regard to their performance which enabled them to address their shortcomings.
- There is good agreement that the school management teams and educators worked together in the chartering of the school activities focused on school development planning.
- The role of the school management teams led to the provision of active support to the educators.
- Evidence suggests that the Whole School Evaluation process led to the building of a core of educators, that the process was openly negotiated among all the stakeholders, and that the school management teams have a vision of the school which they are willing to share.
- The school managers and educators believe that the Whole School Evaluation policy was carried out in a fair manner. It can be inferred that they are basing their responses on the fact that the Whole School Evaluation process has strict guidelines and procedures that have to be adhered to.
- A significantly high percentage of the school management teams believed that they had managed the process successfully, and that they had involved the educators in the school development planning and programmes.

8.5 Synthesis: Understanding that Policy is Institutional not Individual

8.5.1 Policy Goals

It is very clear from the responses provided by the principals that they have different understandings of what the goals of the Whole School Evaluation policy are. The common thread in all the interviews with the principals was that this was not to be seen as a process of investigating one person in the school, but was about focusing on upgrading teaching and learning, with the emphasis on the learners and whole school development. A variety of conceptions in the area of improvement and performance emerged. A link between evaluation and development was made on the understanding that support would be received from the District Support Team. None of the principals mentioned that the idea was to understand where the inequities existed in order to develop strategies to address them, and that Whole School Evaluation would help managers to manage better by making use of specifically designed instruments for the evaluation. Only one principal alluded to the fact that the policy made way for the introduction of accountability into the system. With respect to the reasons advanced by the principals for the introduction of the Whole School Evaluation, the responses were varied and based on past experiences of school inspections.

It is very clear that the principals interpreted their role as that of implementing policy, which presumes that they already had a view that the policy is worth implementing, and that they seem to believe that their roles are simply those of implementers.

The principals expressed a strong view that without the support of the District Support Teams and the Department of Education as a whole, the implementation of the policy of Whole School Evaluation would not have the desired effect on school development and school improvement.

The principals' understanding of school effectiveness in relation to Whole School Evaluation was very rudimentary.

8.5.2 Policy Dissemination

All the principals were invited to a workshop convened by members of the supervisory team where they were briefed on the policy of Whole School Evaluation. They in turn conducted workshops and held regular meetings at their respective schools to disseminate the policy to the members of staff and the school governing bodies.

Generally, the principals provided a deep, insightful and impressive picture of the key focus of the areas of each of the related policies, and were able to identify the main differences and similarities between Whole School Evaluation, Systemic Evaluation and the Development Appraisal System. They did express the concern that it was difficult to manage the expectations of all three policies simultaneously. The workload of the principal was vast and varied, and sometimes the focus fell on other aspects of the school.

The main concerns expressed by the principals in respect of the training they received were the lack of empowerment and capacitation of the supervisory teams conducting the

training, while they were all in agreement that the training was not sufficient and substantive enough to enable them to cascade the information down to the staff, as well as to train them. They did indicate, however, that they did not find any problems with translating any areas of the policy into practice.

This establishes the theory that policy is notionally simpler to create than it is to implement. It lends credence to the notion that those who are to be involved in implementation of the respective policies need some input into the actual planning and design thereof. The problems and obstacles to any such implementation could thus be foreseen and planned for in the pre-implementation phase so as to circumvent any possible problems. Should such a process be followed, it is clear that principals would no longer be able to view themselves simply as 'doers' or 'implementers' of 'thoughts' or 'actions' conceived by others, but, having had input, would have a stake in the actual process.

8.5.3 Policy Implementation

A Whole School Evaluation coordinator was selected at each school. All the principals recorded their disappointment at the lack of or no support at all received from the District Offices of the Department of Education. The principals expressed disappointment as they had expected much more support from the Superintendents of Education (Management) than was actually received. The principals did not receive any formal training before the external evaluation.

The principals considered the pre-evaluation visit as cordial and fruitful. The pre-evaluation visit was executed in a very professional manner, and they concluded that it was a new learning experience for the principals, the staff and the Whole School Evaluation team. What was significant was the fact that the educators indicated that the initial fears that they had about the evaluation were allayed as the evaluation process unfolded. Evidence suggests that the principals believed that there was nothing to fear about the evaluation, adding that that they were of the opinion that such evaluations were welcome at the school.

The principals indicated that delays in the schools receiving the written reports for the supervisory unit were unacceptable. With respect to the issues raised in the written reports, the principals were actually disappointed that they had received 'good' assessments when in their views their schools were performing at an excellent level. What is worth noting is that although the principals were aware of the appeals procedure, none of the principals appealed against the assessments their schools received.

While the chairpersons praised the schools for having received 'good' assessments, they acknowledged the fact that the school governing bodies needed to play a more active role in the governance of the schools.

8.5.4 Synthesis: Post-School Evaluation

Serious concerns were raised in respect of the school improvement plans. The Department did not acknowledge receipt of the improvement plans of the respective schools. The principals did not receive any assistance from the District offices despite

requesting assistance. The principals found this disturbing and unacceptable, adding that the schools could not improve in the areas identified in the school improvement plans without support from the District Support Team. One of the key proposals in the Whole School Evaluation policy is that of "Self-evaluation by the school and external evaluation by the supervisory units, and mentoring and support provided by the district support teams" (2000, p.3).

The main obstacle experienced by the principals was the ineffectiveness of the cascade model in advocating the policy of Whole School Evaluation. They held the opinion that the entire staff should be trained by the supervisory unit. The lack of support from the District Support Team was recorded as another major obstacle by the principals. It emerged that the district support service is a loose, uncoordinated arrangement, with an almost non-existing function, at the district level of the education system. So far, this has been a major observation captured in the study which may be viewed as a policy shortfall. The constraints facing the policy implementation by the principals were varied, and can be regarded as unique to specific experiences of particular school principals.

The main opportunities the principals saw in the implementation of the policy of Whole School Evaluation included the use of the external evaluation reports as marketing tools, the development of school improvement plans which had not existed previously, and a commitment by the stakeholders for the development of the schools. The opportunity to document and formalise the school policies and the Whole School Evaluation process

provided the principals with an opportunity to reflect on their management and governance practices.

8.6 Recommendations: Implementation of Whole School Evaluation in the School Context

- Critical to policy implementation is the integration of the 'bottom-up' and 'top-down' approaches to policy implementation. The historic patterns of school administration have been based on 'top-down' approaches where principals are regarded merely as implementers of policy.

- The cascading model is viewed essentially as a one-way transmission of information to principals, and from principals to staff members. The concerns at the grassroots level are largely ignored. The cascading model must allow for 'bottom-up' inputs and reviews of policy which are absent in the current Whole School Evaluation policy. Those responsible for policy formulation and design will have to create a structured matrix which will police and ensure the involvement of the wide range of stakeholders in this process - allowing not only for 'top-down' engineering, but also incorporating grassroots involvement and 'bottom-up' inputs. This will ensure a seamless integration of both macro- and micro-inputs from policy to operations.

- The quality of inputs will, however, have to measured by the ultimate objectives of the policy, the availability of resources to support the proposed intervention,

and the level and depth of specificity of intervention to the site in question in direct opposition to a "one size fits all" approach. Organizations are a product of policy, the specific environment (internal and immediate external conditions) they operate in, and the individuals who drive operations within this space. Thus it is critical that interventions, or proposed interventions, are measured and tailored to local conditions; and that measured tools for quality are modified to local conditions.

- The Department of Education needs to spend more effort in an attempt to popularise educational intervention – in this instance, Whole School Evaluation, before its impact can be observed and translated into real educational benefits. Popularising the intervention has to focus on the fundamental benefits of such a process - so much so, that communities and educators are acutely aware of the worth and substance of such interventions. More so, they acknowledge that the interventions are the result of a highly consultative, participatory and intensely research-driven process. In this manner, the quality of the intervention is not merely proclaimed in a highly effective manner, but is assured.

- Rigorous advocacy campaigns need to be directed and sustained over prolonged periods of time so that stakeholders can arrive at an understanding of the policy, clarify misconceptions, and come to believe in the effectiveness of the approach to change being used.

- The Department of Education, in particular the Directorate of Quality Assurance, as well as provincial Departments, should engage in rigorous advocacy campaigns for the creation of all structures necessary for the implementation of the WSE policy and other quality promoting initiatives such as the Integrated Quality Management System.

- The commonality that emerged is that Whole School Evaluation complements other quality assurance initiatives namely DAS and SE, and that they are all aimed at improving the quality of schools and the education system as a whole. The introduction of the Integrated Quality Management System is a step in the right direction. However, care should be taken that the different purposes and intentions for each of the combined processes are distinctly separated from each other, lest confusion is caused amongst educators which creates unnecessary anxiety and fears.

- There was a lack of coherence within the Whole School Evaluation policy framework. Policies should be developed so that they are internally coherent in order to facilitate understanding in the minds of the implementers. Change will only be possible if new policy makes sense to the implementers, and if the new knowledge is integrated with the implementers' prior understanding and experience.

- It would be wise to utilise principals' experience and knowledge, and train them in designing instruments for school evaluation. Whole School Evaluation instruments are designed nationally, and principals only learn of these when they are either used for their training, or when they are applied to them during evaluation. Involvement of the principals in the design of the evaluation instruments would certainly enhance and consolidate the interest shown. It would also give due consideration to the uniqueness of each school, as it is the principals of the schools who are in the best position to understand the contexts of their respective schools, and can provide excellent input when the instruments are being developed.

- It is critical that the Department of Education design their training programmes to cover the entire school management area. The training sessions organised by the Department of Education seem to target mainly principals, scant, if any training is designated for Deputy Principals, Heads of Department and educators. This would no doubt enhance ownership of the Whole School Evaluation process at the school level where such instruments are applied both for internal and external evaluations.

- School improvement plans should be made a routine management function like school budgets. The school improvement plans should be made the basis upon which budgets are completed and submitted to the District Offices for further mediation by the District Support Teams.

- A critical area which needs to be addressed is the role and non-functionality of the District Support Teams. The research revealed a few quality gaps in the operations of the policy, especially the lack of a shared basis of operation which obstructs the functioning of all strands of quality assurance initiatives and structures. There are no District Support Teams. Support to schools from the districts is a series of loose, uncoordinated, haphazard arrangements which does not address the recommendations from external and internal evaluations.

- The Whole School Evaluation policy is a functional policy, and its successful implementation depends upon the support from the District Support Teams, Provincial and National offices of the Department of Education.

- The Superintendents of Education (management) are empowered to visit schools, and should play a more active role in supporting the principals in their efforts to ensure effective management and governance of their schools.

- It is recommended that the Department of Education ensures that a conscious effort is made to focus on schools in the rural areas in terms of training on current educational interventions aimed at improving performance. This will narrow the gap already existing amongst its different categories of schools.

- It is recommended that continual refresher courses and in-service training be held for the supervisors of the Whole School Evaluation teams to consciously influence their conduct in adhering to the ethical code as contained in the policy, and to ensure that their conduct remains beyond reproach. For supervisory units to enjoy the respect of the principals and the other stakeholders of the schools they evaluate, they need to be confident in the areas which they evaluate. They need to possess more than average knowledge of these areas.

- It is recommended that funds be allocated directly to the District Offices so as to mediate the implementation of school improvement plans.

- The appointment of WSE co-ordinators at district level is recommended. Their core function should be to prepare district profiles of needs, based on the analysis of the school improvement plans. Progress in achieving the objectives set out in the school improvement plans should also be regularly monitored.

- The Department of Education should set aside a budget for the improvement of schools. This budget should be disbursed in accordance with the evaluation reports and should be administered by the Directorate of Quality Assurance which is responsible for the evaluation of schools. This fund should create an important link between the quality assessment and subsequent allocation of resources to make improvements. "Evaluated" schools within a given cycle should be entitled

to funding. School improvement plans should be costed, and the costs agreed to by an independent Quality Assurance Structure monitor.

- It is recommended therefore that the same evaluators should keep regular contact with schools which they evaluated to ensure that their recommendations are included in the Post Evaluation Plans (PEP) and School Improvement Plans (SIP), and to provide support to schools on an ongoing basis. The Whole School Evaluation policy does not stipulate or regulate any contact time between the school and the evaluators until the next evaluation cycle after 3-5 years. This lack of regulated regular contact by the same evaluators does not help keep quality improvement high on the schools' agendas after the evaluations. It is prescribed that there be sustained communication and assessment of progress made within this 3 to 5 year time-frame. The prescribed period of feedback should be at regular intervals of three months each, with a dedicated site visit occurring every six months. However, in the unlikely event that there is a change of personnel tasked with the WSE Policy implementation at all levels, it is suggested that the outgoing practioners be legally required to ensure that the new incumbents be fully orientated with the process, as well as the progress of the current WSE intervention. School evaluation cannot exist as a once-off exercise, but is rather a series of holistically inspired deliverables within a suitable time-frame.

- The training and development of the District Support Teams is critical for the complex interface role that they should ideally play in carrying out the function of

helping schools implement the recommendations of the evaluation reports. In order to ensure quality, training should be:

1. At regular intervals – so that the new trends, updates and experiences in the global context can be delivered to the District Support Teams.
2. Facilitated by accredited, qualified and competent service providers.
3. The nature of training has to focus on the actual role the District Support Teams play in the field, with a core focus on the intervention and the active support that schools and their personnel require at the coal-face.
4 Recruitment of personnel who will form District Support Teams will have to adhere to the highest standards of selection. It is preferable that candidates not only possess academic qualifications from reputable institutions, but also possess the demeanour and the stature necessary to positively influence the desired outcomes of the WSE intervention.

- There is a need to appoint an audit commission to investigate to what extent the function of the circuit management and the District Support Teams relates to the development planning needs of the schools.

- The policy lacks clarification of the roles and responsibilities of the various role players in the district and circuit management. There is no shared perception regarding the time required to review the findings of the evaluation process between the schools and the district role players. It seems as if there is a lack of

coherence, cooperation and shared partnership amongst all strands of quality assurance within the system. In this regard, it is vital that procedures and practices are documented and disseminated to all stakeholders, and that active feedback and comments are invited so that cooperation is a two-way process ensuring intellectual and practical engagement. There should be a dedicated electronic warehouse for all communication and documentation during this process. Accessibility to this warehouse should be granted to all involved in the process ensuring transparency, and determining accountability.

- The incentive system for implementation should be drastically altered, especially at school level. Effective implementation of policy requires time, personal interaction and contacts, in-service training and other forms of people-based support. Therefore, if implementers are to remain eager and committed to change, a system of incentives (extrinsic rewards) should accompany the new challenges that confront stakeholders. Furthermore, if we are to remain serious about the quality of accountability and performance it is preferable that there be at a dedicated WSE office at school level, staffed by school personnel, but not responsible for any other function within the school system and or programme. In this scenario, the WSE implementer and one support staff member should be available to attend to administrative and secretarial duties.

- Decentralization of the standards for quality needs to be effected. It has been mentioned several times in this study that Third Generation Research tends to

display a leaning towards flexibility in the approach to policy implementation, indicating an awareness, in theory, of the need to break away from rigidly structured conformity. Decentralising standards for quality would allow for the variance in factors contributed to by locality, culture, resources and history to be accommodated. Standards determined by examining local conditions and circumstances could then certainly be deemed fair and valid, and evaluations arising from endeavours to attain such standards could certainly be regarded as reliable. Contextually, this would provide less cause for evaluations to appear threatening and alien, and participation would thus be less problematic. Practically, such decentralization would result in achievable benchmarks and would allow schools to work within the constraints of individual conditions.

- The focus should be on improving local system capabilities through regular feedback and support. Effective implementation will not occur without provision of resources.

- A support system for monitoring the implementation process should be introduced.

- Issues such as the lack of financial and resources need to be factored in to the evaluation process. The importance of this cannot be undermined. It is critical that all WSE activities are supported by the Department with wide-ranging resources that are present during the lifecycle of the intervention.

- The Department of Education should retain its current form of evaluation, and review it once further research findings show that the process no longer contributes towards the improvement of teaching and learning, as well as school improvement.

- It will become necessary to fine-tune the policy as problems arise during its implementation.

8.7 Conclusion

This chapter set out to combine all the informative components of the thesis, namely the theoretical knowledge derived from the literature review, the observation and experience of systems in other countries, and the actual data obtained from the completion of questionnaires and in-depth interviews. This synthesis of information and theory stimulates the production of recommendations and suggestions, not only for WSE, but for the education process generally, the formulation of policy and change in schools, locally, and perhaps even internationally.

The chapter examined the goals and intentions of WSE, the gaps and the shortfalls in its implementation and management, and made suggestions as to how this policy in particular, as well as future policies could be improved upon with a view to enhancing the process of education and ultimately, to benefit the learner.

Emerging from the synthesis of data and research evolving from this study were the following main findings:

When implementers are faced with multiple competing policies, their implementation stance is determined by what is considered to be practical, immediate, and known. Furthermore, a combined and well-coordinated approach to multiple policy implementation is necessary for the policies to have the desired impact.

The school-site conceptions of evaluations are constantly developing and changing, as a result of diverse forces of influence, both external and internal. The course of policy implementation is thus influenced both negatively and positively by variables operating within and outside the school context. For school evaluation to be successful and accepted, it must be approached practically, sensitively and tentatively, and must exist, not as a 'once-off' exercise, but rather as a series of holistically inspired deliverables which occur consistently and steadily.

Policy has mainly been implemented in a technical, administrative manner which seems well understood, and accepted as a form of appraisal replacing the previous 'judgemental approach'. It has become clear that policy cannot simply be theorised about. In its paper form, a policy is not sustainable, and it is too late to consider the consequences of the theory when it exists in a form in which it can be actioned, and so becomes subject to all the complicating forces of national, community and personal influences.

This thesis advocates a decentralization of the standards for quality, however, without nurturing and encouragement, as well as contribution and comprehension it seems unlikely that the school will become the centre of change. A balance between centralization and decentralization is not only desirable, but critical to systemic change. Given the need for a balance between centralization and decentralization, systemic education change should be a negotiated process. A negotiated process has the potential to address the almost insolvable current school/district imbalance, which represents an inherently complex dilemma between autonomy and accountability, variation and consistency.

There is a definite need for site-based conceptions of quality given our apartheid history and current budgetary constraints for resource development at local levels. I believe that there should be a common set of national criteria for the standards for quality. However, there must be an acknowledgement that the processes for assuring quality will change significantly at the local level, although these site-based evaluations will have to feed into, and be supported by a common set of national quality standards. The role of the state then ought to be to serve as a regulator of these practices and standards.

Our schools are the crucible of a uniquely South African set of circumstances. Quality in education in South Africa remains a somewhat nebulous concept. My notion of quality is that it is seen as:

- A planned and systematic set of activities to ensure that variances in process are clearly identified, assessed, and improved, defining a process for fulfilling the requirements of stakeholders.

- A planned and systematic pattern of all actions necessary to provide adequate confidence that the product optimally fulfils stakeholder expectations
- A planned and systematic set of activities to ensure that requirements are clearly established and that the defined process complies with these requirements.
- A surety that the ethos of quality will be built into the school system, rather than the passive acceptance of substandard practices. This is achieved by (a) identifying what 'quality" means in context; (b) specifying methods by which its presence can be assured; and (c) specifying ways in which it can be measured to ensure conformance.

However, due to the country's political history, and despite democracy and good intentions, there is a huge disparity between schools with regards to conditions, circumstances, cultural influences and resources. Many schools (particularly in rural areas) operate under strenuous constraints in terms of equipment and resources, and this is without consideration of the problems of overcrowding, difficulties with educators, differences between school management and staff, absenteeism, etc. It would thus seem that 'quality' is not something which can, at present, be assured equally and severally at each school in the country. This by no means encourages the notion that quality and maintenance of standards is not something to striven towards, but it should temper the expectations of how quality is to be defined equally across these diverse conditions.

Very likely, different models would need to be developed for different strata of schools rather than a 'one-size-fits-all' model. Our teachers, administrators, learners are all

products of an apartheid experiment – thus the exact manner of implementing a solution under the new dispensation would need to be carefully considered.

Principals of schools should have more prominent input rather than simply serving as 'implementers' of 'received formulated policy', as, in so doing, not only will they contribute greatly to adapting policy to suit the varying needs and circumstances prevalent at different schools, but they will become empowered by, and involved in the evolution of policy. The 'quality assurance' philosophy has not taken root. It is dealt with administratively and, furthermore it is mandatory. This thesis shows that the principals frame them selves as 'doers' of others' 'thoughts' - this is tantamount to the transfer of responsibility for quality assurance.

Furthermore, this mindset and actual application demonstrates that principals are mere administrative agents of tools in the Whole School Evaluation Policy and quality assurance. One of the core proposals within this thesis is that principals be encouraged to become active agents in Whole School Evaluation polices by the solicitation of their considered and professional opinions on policy formulation from the design stage.

Lander and Ekholm (1998) argue that too great an emphasis on goal-based accountability results in the reduction of professional commitment and autonomy. According to Lander and Ekholm, policymakers view evaluation more as a means of gathering information and achieving control, rather than as a tool for school improvement, and are likely to

have their efforts negated by the predominant view of evaluation as management orthodoxy.

Policy formation even at a national level cannot be made independent of global trends and borrowing. In an era of enormous and apparent change that is most prominently driven by technology and globalization, marketisation and massification, there is a tendency to forget that change is about people – their ideas, their fears, and the capacity to imagine and work together for a different future.

In as much as I believe that Western standards of education offer much value and substance enabling scholars to interrogate localized Whole School Evaluation, I also believe that the developing world has much, if not more, to offer the contemporary discourses on Whole School Evaluation, because of the uniqueness of the context of education.

The quality of education has to be measured by its precise output, productivity and the quality of that product. We (South Africa) now compete on a global level with the developed and emerging economies, and our workforce and our aspirant entrepreneurs have to have the skill and competencies to compete effectively at those levels.

The quality assurance initiatives have depended much on direction from global trends. I am of the firm opinion that local practices and policy debates have an equal amount of worth to contribute to global trends. Notions of quality at best acknowledge that

standards of quality have to be common to schooling systems in both the developed and the developing world. This is particularly important considering the current migration of labour and professional skills from the developing world to the developed, and sometimes *vice versa.*

The essence of this thesis and or argument is that the Whole School Evaluation policy and the formulation and implementation thereof must be all-embracing, inviting opinion dissension and consultation from the widest possible range of stakeholders. School evaluation needs to be an encompassing exercise – one that engages and actively acknowledges the needs, interest and desires of all the stakeholders held in orbit around the school. Policy-makers cannot formulate policy which can be implemented smoothly in an independent and isolated manner, without input from experienced role-players who can present the tangible, practical obstacles and difficulties likely to be encountered in implementation, prior to actual implementation, so that these can be tactically addressed.

Lander and Ekholm (1998) argue that opening up schools to stakeholder influences is the most common and tested way of using evaluation for improvement, and that it is this use which at present overshadows the use of evaluations *of* or *as* improvement as well as heuristic functions.

Policy-makers seem to view school improvement as evaluation, rather than the other way around. When evaluation is introduced from above as is often the case, it is not always the interests of the schools themselves that end up being pursued.

Just as individuals operate within schools, schools are nested within larger systems and environments. Accountability approaches by their very nature, seek to influence from the outside what goes on inside schools. Moverover, such policies assume that external forces can play a determining role in changing the internal workings of schools. The heart of the issue is the problematic relationship between external and internal sources of control, and the implications of this relationship on organizational learning and improvement. The resulting question for school accountability policies is profound. What are the mechanisms for achieving this balance? Can external accountability measures influence the development of internal norms that are more conducive towards improving student learning? Schools respond unevenly to outcomes-based accountability policies, and this unevenness may be directly tied to internal conditions in schools that make them more or less able to use the information generated by the accountability system. Such policies assume that targeting the school unit will generate the necessary and desired changes in the behaviour of individuals within that unit. The school may be the unit of intervention, yet the individual is the unit of action. Policies that take the school as a basic unit of accountability must contend with a number of inherent problems if they are likely to effect organizational change.

Evaluation as a political tool for improving or managing schools and teaching is an idea suggested from above, not introduced from below. It may be argued that policy-makers, by insisting on evaluations at school level, seek to pursue accountability and thus to influence power relationships within the educational system. Compared with the earlier system of teacher inspection, the most novel feature of the Whole School Evaluation

approach is that the policy-makers, by using evaluation and pressing schools to self-evaluate, are opening up schools to external scrutiny. The notional monopoly enjoyed by teachers of pedagogic knowledge is being challenged more than ever before. For teachers, while evaluation may offer the prospect of more focused professional development and a richer, more equal, partnership with stakeholders, it also seems to threaten the hegemony of their professional judgement in all education matters.

In conclusion, the critical questions underpinning my thesis asked what the contents, claims, gaps and silences of the National Policy of Whole School Evaluation were. These obstacles to the smooth implementation of a system which appears theoretically sound have been discussed, and recommendations made to address or resolve some of these issues. The other question dealt with the effect of the implementation of the National Policy of WSE on the principals' capacity to manage. The tendency of principals to regard themselves merely as functionaries carrying out pre-planned and rigidly defined policy has been discussed at length, and suggestions offered as to how this problem could be remedied by providing for greater flexibility, acknowledging the unique character of each school, allowing input from major role-players and stakeholders, and recognising the value of the knowledge and experience which many principals could bring to the table at the planning and design stage of the policy.

All that can be said is that the existence and the future implementation of the Whole School Evaluation policy may represent an achievement on a par with the feat of the 'dog on the bicycle' not that it was done well, but that it was done at all.

It is hoped that the findings of this study will make a valuable contribution to the already existing body of knowledge on evaluation streams, particularly within a South African school context.

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Appendix 2 : Letter of Authorization

PROVINCE OF KWAZULU-NATAL
ISFUNDAZWE SAKWAZULU-NATAL
PROVINSIE KWAZULU-NATAL

DEPARTMENT OF EDUCATION AND CULTURE
UMNYANGO WEMFUNDO NAMASIKO
DEPARTEMENT VAN ONDERWYS EN KULTUUR

eTHEKWINI REGION			ISIFUNDA SASETHEKWINI			eTHEKWINI STREEK
Address	:	Truro House	Private Bag	: X 54323	Telephone :	(031) 3606176
Ikheli	:	17 Victoria Embankment	Isikhwama Sepost:	DURBAN	Ucingo :	
Adres	:	DURBAN	Privaatsak	: 4000	Telefoon :	
		4001			Fax :	(031) 3321123
Enquiries	:	N. Bridgtall	Reference	: RESEARCH	Date :	23 APRIL 2004
Imibuzo	:		Inkomba	:	Usuku :	
Navrae	:		Verwysing	:	Datum :	

OFFICE OF THE REGIONAL CHIEF DIRECTOR

Mr R. Neerachand
P.O. Box 326
NAGIANA
3604

Dear Mr Neerachand

REQUEST FOR PERMISSION TO CONDUCT RESERACH AT SCHOOLS IN THE ETHEKWINI REGION

Your undated letter in respect of the above matter refers. Kindly be informed that permission is hereby granted for you to conduct research in the schools required in the eThekwini Region subject to the following:

1. The schools which will participate in the project would do so on a voluntary basis.
2. Access to the schools you wish to utilise in your sample is negotiated with the principal concerned by yourself.
3. The normal teaching and learning programme is not disrupted.
4. The confidentiality of the participants is ensured.
5. A copy of the thesis / research is lodged with the Office of the Regional Chief Director on completion of your studies.

I wish you every success with your research.

Thank you.

ACY **REGIONAL CHIEF DIRECTOR**
RESEARCH: LETTERS

SATAO NELL
THE CHANGE BEAS BEGIN

Appendix 2 – Letter to Principal and Staff Members

Dear _____

RESEARCH PROJECT: National Policy on Whole School Evaluation.

I am currently conducting research on the National Policy of Whole School Evaluation and its impact on the management experiences of school principals.

The specific research questions that guide this study are the following:

1. What are the contents, claims, objectives, assumptions and silences of the key propositions regarding the National Policy of Whole School Evaluation?

2. What is the impact of the National Policy on Whole School Evaluation on the management experiences of school principals?

I am hopeful that the research will help to inform and guide policy-makers in formulating policies on school improvement.

You are assured of the confidentiality of the information that you provide.

I am extremely grateful to you for completing this questionnaire, and will be pleased to share the results of the study with you when it is completed.

I thank you.

Yours sincerely

_____

Rajesh Neerachand

Appendix 2 (a) – SURVEY QUESTIONNAIRE: SCHOOL MANAGERS

Dear _____

RESEARCH PROJECT: National Policy on Whole School Evaluation.

I am currently conducting research on the National Policy of Whole School Evaluation and its impact on the management experiences of school principals.

The specific research questions that guide this study are the following:

3. What are the contents, claims, objectives, assumptions and silences of the key propositions regarding the National Policy of Whole School Evaluation?

4. What is the impact of the National Policy on Whole School Evaluation on the management experiences of school principals?

I am hopeful that the research will help to inform and guide policy-makers in formulating policies on school improvement.

You are assured of the confidentiality of the information that you provide.

I am extremely grateful to you for completing this questionnaire, and will be pleased to share the results of the study with you when it is completed.

I thank you.

Yours sincerely

_____

Rajesh Neerachand

UNIVERSITY OF KWAZULU NATAL

SCHOOL OF EDUCATION

SURVEY QUESTIONNAIRE

School Managers'
Perceptions of the Whole School Evaluation Policy

The structure of the questionnaire is as follows:

PART A: BIOGRAPHICAL PROFILE
PART B: POLICY GOALS
PARTC: POLICY AND DISSEMINATION
PART D: POLICY EFFECTS

THE PURPOSE OF THIS QUESTIONNAIRE IS TO COLLECT INFORMATION ABOUT THE SCHOOL MANAGERS' VIEWS OF THE WHOLE SCHOOL EVALUATION POLICY. THE INFORMATION YOU SUPPLY WILL BE TREATED CONFIDENTIALLY AND WILL BE USED FOR RESEARCH PURPOSES ONLY.
PLEASE PLACE A TICK IN THE APPROPRIATE COLUMN

PART A: BIOGRAPHICAL PROFILE

A1. Name of the school _____

A2. Type of school:

For official use

Primary	
Secondary	
Junior Primary	
Combined	

A3. Description of the post level of the school

P1	
P2	
P3	
P4	
P5	

A2. BIOGRAPHICAL PROFILE OF SCHOOL MANAGER

A2. POSITION AT SCHOOL

Principal	
Deputy Principal	
H.O.D	

A2.1 Gender

Female	
Male	

A2.2 Age

30-35 years	
36-40 years	
41-45 years	
46-50 years	
50-60 years	

A2.3 Formal Qualification Completed

2 year diploma	
2 year diploma	
Degree only	
Degree and diploma	
Other, specify	

A2.4 Management Experience

	Years
A2.4.1 Teaching?	
A2.4.2 Head of Department?	
A2.4.3 Deputy Principal?	
A2.4.4 Principal?	
A2.4.5 Principal at this school?	

PART B: POLICY GOALS

ON THE SCALE INDICATED BELOW, INDICATE HOW YOU PERCEIVE THE INTENTIONS OF THE WHOLE SCHOOL EVALUATION POLICY. PLEASE TICK THE APPROPRIATE COLUMN.

	Strongly Agree	Agree	Not sure	Disagree
1. Whole School Evaluation will enable me to establish my weaknesses				
2. The school development plan will focus on areas in which training will take place				
3. District and provincial offices and management staff will provide constant support				
4. Systemic Evaluation will complement Whole School Evaluation				
5. Whole School Evaluation encourages me to reflect on my management of the school				

PART C: WHOLE SCHOOL EVALUATION: POLICY AND DISSEMINATION

THE QUESTIONNAIRE BELOW ENQUIRES ABOUT HOW THE INFORMATION ABOUT THE WHOLE SCHOOL EVALUATION POLICY AND DEPARTMENTAL CIRCULARS WAS MADE AVAILABLE TO YOU.
PLEASE PLACE A TICK IN THE APPROPRIATE COLUMN.

1. **How did you first become aware of the policy on Whole School Evaluation?**

	For official use
1.1 Received a copy of the document sent by the Education Department	
1.2 Attended a workshop run by:	
1.2.1 Principal	
1.2.2 Education Department	
1.2.3 Teachers' Unions	
1.2.4 Other, please specify	
1.3.1 I was informed by the teachers' unions	

2. **How did you, as School Managers, make the policy documents available to your staff members?**

2.1 Held staff meetings to discuss the contents of the policy	
2.2 Organized a workshop on WSE policy	
2.2 Held special meetings to discuss the policy	
2.3 Organized a conference on WSE	
2.5 Organized a seminar on WSE	
2.6 Other, please specify	

PART D: POLICY EFFECT

WHAT IS YOUR OPINION, AS A MANAGER, OF THE EFFECT OF ENGAGING WITH THE WHOLE SCHOOL EVALUATION POLICY? PLEASE TICK THE APPROPRIATE COLUMN

WHOLE SCHOOL EVALUATION	STRONGLY DISAGREE	AGREE	NOT SURE	DISAGREE	STRONGLY DISAGREE
1. Increases the workload of the principal					
2. Increases the workload of school managers					
3. Is an administrative burden					
4. Has been introduced because of poor matric results					
5. Is a model of inspection used by the former Departments of Education					
6. Is a subjective form of evaluation by the Department of Education					
7. Creates opportunity for feedback from the Education Department to stakeholders about the school's progress					
8. Creates stress and anxiety for the principal					
9. Creates stress and anxiety for the managers					
10. Creates stress and anxiety for the teachers					
11. Makes use of one set of indicators which benefits the better-resourced schools					
12. Calls for the District Office to support schools.					
13. Is an attempt by the Department of Education to make dysfunctional schools effective					
14. Is not an effective determinant of effectiveness of the					

school					
15.Is unable to reach any kind of quality because the evaluation is carried out for a maximum of 14 days only					
16. Is not a fair reflection as schools are involved in more rigorous preparations prior to the evaluation than is normally the case					
17. Is not being exercised correctly as principals lack expertise in conducting self-evaluations of schools					

THANK YOU FOR FILLING IN THE QUESTIONNAIRE

Appendix 2 (b) - SURVEY QUESTIONNAIRE 2(b) SCHOOL MANAGEMENT TEAMS

Dear _____

RESEARCH PROJECT: National Policy on Whole School Evaluation

I am currently conducting research on the National Policy of Whole School Evaluation and its impact on the management experiences of school principals.

The specific research questions that guide this study are the following:

1. What are the contents, claims, objectives, assumptions and silences of the key propositions regarding the National Policy of Whole School Evaluation?

2. What is the impact of the National Policy on Whole School Evaluation on the management experiences of school principals?

I am hopeful that the research will help to inform and guide policy-makers in formulating policies on school evaluations and school improvement.

You are assured of the confidentiality of the information that you provide.

I am extremely grateful to you for completing this questionnaire and will be pleased to share the results of the study with you when it is completed.

I thank you.

Yours sincerely

_____

Rajesh Neerachand

UNIVERSITY OF KWAZULU NATAL

SCHOOL OF EDUCATION

SURVEY QUESTIONNAIRE

SCHOOL MANAGEMENT TEAMS' PERCEPTIONS OF HOW SCHOOL MANAGERS MANAGED THE WHOLE SCHOOL EVALUATION PROCESS

THE PURPOSE OF THIS QUESTIONNAIRE IS TO COLLLECT INFORMATION ABOUT HOW SCHOOL MANAGERS MANAGED THE PROCESS OF WHOLE SCHOOL EVALUATION. THE INFORMATION YOU SUPPLY WILL BE TREATED CONFIDENTIALLY AND WILL BE USED FOR RESEARCH PURPOSES ONLY.

PART A: BIOGRAPHICAL REPORT

A1. Name of School:_____

A2: Type of School:

		For Official Use
Primary		
Secondary		
Combined		
Junior Primary		

A3: Designation of Educator

Educator Level 1		
Principal		
Deputy Principal		
Head of Department		
Other, please Specify		

A4: Main teaching Learning area

Mathematics		
Science		
Technical Skills		
Languages		
Humanities		
Intermediate Phase		

A5: Age

Under 25		
25-29		
30-34		
35-40		
40-49		
60-60		

A6: Teaching Experience in Years

0-5	
6-10	
11-15	
16-20	
More than 20	

A7: Gender

Male	
Female	

A8: Nature of Appointment

Permanent	
Temporary	
Substitute	
School Governing Body Appointment	

A9: Formal Qualifications Completed

2 year diploma only	
3 year diploma only	
Degree only	
Degree & diploma	
More than one degree	
Other, please specify	

A10: Member of Teachers' Union

		Name of Teachers' Union
Yes		
No		

PART B: POLICY GOALS

ON THE SCALE INDICATED BELOW, INDICATE HOW YOU PERCEIVE THE INTENTIONS OF THE WHOLE SCHOOL EVALUATION POLICY.
PLEASE TICK THE APPROPRIATE COLUMN.

For Official Use

	Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree	
Whole School Evaluation ll help me to establish my eaknesses						
The school development an will focus on areas in nich training will take ace						
District and provincial fices and management ff will provide constant pport						
Systematic Evaluation ll complement Whole hool Evaluation						
Whole School Evaluation courages me to reflect on teaching practices						

PART C: WHOLE SCHOOL EVALUATION: POLICY AND DISSEMINATION

THE QUESTIONS BELOW ENQUIRE ABOUT THE INFORMATION AVAILABLE TO YOU ABOUT THE WHOLE SCHOOL POLICY AND DEPARTMENTAL CIRCULARS AND IMPLEMENTATION THEREOF

PLEASE TICK THE APPROPRIATE COLUMN

1. How did you first become aware of the Whole School Evaluation Policy?

1.1 I read the policy document		
1.2 I was invited to a workshop run by:		
1.2.1 School Management		
1.2.2 Educational Department		
1.2.3 Teachers' Union		
1.2.4 Other, please specify		
1.3.1 I was informed by other teachers' unions		

2. How did the School Managers make the policy documents available to you?

2.1 Held staff meetings to discuss the contents of the policy		
2.2Organized a workshop		
2.3 Organized seminar		
2.4 Organized a conference		
2.5 Other, please specify		

3. Did the School Management Team make the policy document available to all educators in your school?

YES		
NO		

4. Do you have a personal copy of the policy of Whole School Evaluation?

YES	
NO	

PART D: POLICY IMPLEMENTATION

WHAT IS YOUR OPINION OF HOW THE SCHOOL MANAGEMENT TEAM ENGAGED WITH THE WHOLE SCHOOL EVALUATION PROCESS?
PLEASE TICK THE APPROPRIATE COLUMN.

he role of the School lanagement team led to:	Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree	For Official Use
insercurity and fears among lucators						
increase in staff tension and aff conflict						
low educator morale & duction in productivity						
an improvement in the quality my teaching and learning						
increase in the workload of ucators						
an opportunity for the ovision of feedback for my rformance						
process of evaluation seen as lepartmentally subjective rm of evaluation						
staff being involved in veloping school plans						
he provision of constant pport to educators						
.the provision of active pport to educators						
.demonstrating a lack of pertise in conducting self-aluation of the school						
.the creation of stress among ucators						

3.educators being involved in gorous preparation only for e duration of evaluation and ɔt thereafter						
						For official Use
he role of the School Ianagement Team led :	**Strongly Agree**	**Agree**	**Not Sure**	**Disagree**	**Strongly Disagree**	
·.the building of a strong ofessional core of educators						
·.the process of Whole School 'aluation being negotiated ıong all stakeholders						
·. the understanding that ınagement has a vision about ɜ Whole School Evaluation ɔcess and is willing to share it						

PAPER: EFFECT

ON A SCALE INDICATED BELOW, INDICATE HOW YOU PERCEIVE THE ROLE OF THE SCHOOL MANAGEMENT TEAM IN THE IMPLEMENTATION OF THE POLICY OF WHOLE SCHOOL EVALUATION.

						For official Use
he School Management eams…	**Strongly Agree**	**Agree**	**Not Sure**	**Disagree**	**Strongly Disagree**	
enabled me to establish areas r my development						
focussed on areas in which ıff training and development to take place						
provided active and constant pport for the process						
conducted the evaluation ocess in a transparent way						
provided effective and ategic leadership and mmunication						
nvolved me in school velopment planning						

Thank you for filling in the questionnaire

Appendix 2(c) SURVEY QUESTIONNAIRE : EDUCATORS

Dear _____

RESEARCH PROJECT: National Policy on Whole School Evaluation

I am currently conducting research on the National Policy of Whole School Evaluation and its impact on the management experiences of school principals.

The specific research questions that guide this study are the following:

1. What are the contents, claims, objectives, assumptions and silences of the key propositions regarding the National Policy of Whole School Evaluation?

2. What is the impact of the National Policy on Whole School Evaluation on the management experiences of school principals?

I am hopeful that the research will help to inform and guide policy-makers in formulating policies on school evaluations and school improvement.

You are assured of the confidentiality of the information that you provide.

I am extremely grateful to you for completing this questionnaire and will be pleased too share the results of the study with you when it is completed.

I thank you.

Yours sincerely

_____

Rajesh Neerachand

UNIVERSITY OF KWAZULUNATAL

SCHOOL OF EDUCATIONAL

RESEARCH QUESTIONNAIRE 3

EDUCATORS' PERCEPTIONS OF HOW SCHOOL MANAGERS MANAGED THE WHOLE SCHOOL EVALUATION PROCESS

THE PURPOSE OF THIS QUESTIONNAIRE IS TO COLLLECT INFORMATION ABOUT HOW SCHOOL MANAGERS MANAGED THE PROCESS OF WHOLE SCHOOL EVALUATION. THIS INFORMATION YOU SUPPLY WILL BE TREATED CONFIDENTIALLY AND WILL BE USED FOR RESEARCH PURPOSES ONLY.

PART A: BIOGRAPHICAL REPORT

A1. Name of School:_____

For Official Use

A2: Type of School:

Primary		
Secondary		
Combined		
Junior Primary		

A3: Designation of Educator

Educator Level 1		
Principal		
Deputy Principal		
Head of Department		
Other, please specify		

A4: Main Teaching Learning area

Mathematics		
Science		
Technical Skills		
Languages		
Humanities		
Intermediate Phase		

A5: Age

Under 25		
25-29		
30-34		
35-40		
40-49		

A6: Teaching Experience in Years

0-5	
6-10	
11-15	
16-20	
More than 20	

A7: Gender

Male	
Female	

A8: Nature of Appointment

Permanent	
Temporary	
Substitute	
School Governing Body Appointment	

A9: Formal Qualifications Completed

2 year diploma only	
3 year diploma only	
Degree only	
Degree & diploma	
More than one degree	
Other, please specify	

A10: Member of Teachers' Union

		Name of Teachers' Union
Yes		
No		

PART B: POLICY GOALS

ON THE SCALE INDICATED BELOW, INDICATE HOW YOU PERCEIVE THE INTENTIONS OF THE WHOLE SCHOOL EVALUATION POLICY.
PLEASE TICK THE APPROPRIATE COLUMN.

	Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree	For Official Use
Whole School Evaluation ill help me to establish my eaknesses						
The school development an will focus on areas in hich training will take ace						
District and provincial fices and management aff will provide constant pport						
Systematic Evaluation ill complement Whole hool Evaluation						
Whole School Evaluation courages me to reflect on y teaching practices						

PART C: WHOLE SCHOOL EVALUATION: POLICY AND DISSEMINATION

THE QUESTIONS BELOW ENQUIRE ABOUT THE INFORMATION AVAILABLE TO YOU ABOUT THE WHOLE SCHOOL POLICY AND DEPARTMENTAL CIRCULARS AND IMPLEMENTATION THEREOF.
PLEASE TICK THE APPROPRIATE COLUMN.

1. How did you first become aware of the Whole School Evaluation Policy?

1.1 I read the policy document		
1.2 I was invited to a workshop run by:		
1.2.1 School Management		
1.2.2 Educational Department		
1.2.3 Teachers' Union		
1.2.4 Other, please specify		
1.3.1 I was informed by other teachers' unions		

2. How did the School Managers make the policy documents available to you?

2.1 Held staff meetings to discuss the contents of the policy		
2.2Organized a workshop		
2.3 Organized seminar		
2.4 Organized a conference		
2.5 Other, please specify		

3. Did the School Management Team make the policy document available to all educators in your school?

YES		
NO		

4. Do you have a personal copy of the policy of Whole School Evaluation?

YES	
NO	

PART D: POLICY IMPLEMENTATION

WHAT IS YOUR OPINION OF HOW THE SCHOOL MANAGEMENT TEAM ENGAGED WITH THE WHOLE SCHOOL EVALUATION PROCESS?
PLEASE TICK THE APPROPRIATE COLUMN.

The role of the School Management Team led to:	Strongly Agree	Agree	Not Sure	Disagree	Strongly Disagree	For Official Use
1.insercurity and fears among educators						
2.increase in staff tension and staff conflict						
3.low educator morale & reduction in productivity						
4.an improvement in the quality of my teaching and learning						
5.increase in the workload of educators						
6.an opportunity for the provision of feedback for my performance						
7.process of evaluation seen as a departmentally subjective form of evaluation						
8.staff being involved in developing school plans						
9.the provision of constant support to educators						
10.the provision of active support to educators						
11.demonstrating a lack of expertise in conducting self-evaluation of the school						
12.the creation of stress among educators						

13.educators being involved in rigorous preparation only for the duration of evaluation and not thereafter						
						For official Use
The role of the School Management Team led to:	**Strongly Agree**	**Agree**	**Not Sure**	**Disagree**	**Strongly Disagree**	
14.the building of a strong professional core of educators						
15.the process of Whole School Evaluation being negotiated among all stakeholders						
16. the understanding that management has a vision about the Whole School Evaluation process and is willing to share it						

PAPER: EFFECT

ON A SCALE INDICATED BELOW, INDICATE HOW YOU PERCEIVE THE ROLE OF THE SCHOOL MANAGEMENT TEAM IN THE IMPLEMENTATION OF THE POLICY OF WHOLE SCHOOL EVALUATION.

						For official Use
'he School Management 'eams...	**Strongly Agree**	**Agree**	**Not Sure**	**Disagree**	**Strongly Disagree**	
enabled me to establish areas ›r my development						
focussed on areas in which aff training and development to take place						
provided active and constant ;pport for the process						
conducted the evaluation ocess in a transparent way						
provided effective and :ategic leadership and ›mmunication						
involved me in school :velopment planning						

Thank you for filling in the questionnaire

SEMI-STRUCTURED INTERVIEW SCHEDULE SCHOOL MANAGERS' RESPONSES ON THE WHOLE SCHOOL EVALUATION POLICY

The interview schedule will be used to obtain a "deeper and thicker" critique of the Whole School Evaluation Policy

Purpose

The purpose of the interview is to understand:

1. What school managers perceive the intentions of the policy to be.
2. How the policy was implemented in the school.
3. What effects this policy had on the experiences of education managers.

CONFIDENTIALITY PLEDGE

1. You and your school will not be identified in any way.
2. All information is confidential and will only be viewed by the researcher.

School: _____
Place of Interview:_____
Date:_____
Name:_____
Qualification:_____
Experience:_____

1. POLICY GOALS

1.1. What is your understanding of the goals of the WSE?
1.2. Why do you think it was introduced?
1.3. What do you see as the role of the manager in relation to the WSE policy?
1.4. What do you think will be the effects of the Whole School Evaluation on the development of the school?

1.5. The WSE policy states that WSE is to make schools more effective. What do understand by school effectiveness?

2. POLICY DISSEMINATION

2.1 What was your brief from the Department of Education with regard to the policy on Whole School Evaluation?
2.2 How did you go about fulfilling this brief?

3. RELATED POLICIES

3.1 What do you see as the similarities/differences between Whole School Evaluation, Systemic Evaluation and the Development Appraisal System?
3.2 How do you, as manager, co-ordinate the expectations of the policies of Whole School Evaluation, Systemic Evaluation and the Development Appraisal System?

4. PREPARATION/TRAINING FOR THE POLICY IMPLEMENTATION

4.1 Have you received training for the WSE process?

- By whom, and for how long?
- When and where was the training?
- Comment on the nature of the training received.
- Which area of the policy did you find difficult to translate in practice, and why?

4.2 What preparations are/were you involved in at school level for the self-evaluation process?

- Training sessions for the staff and governing body (by whom, when, duration?).
- How was the evaluation co-ordinator selected?
- Comment on planning for data collection, data analysis and reporting.

4.3 Have you received any external support in preparation for the external evaluation?

- Has a school development team been elected? Describe composition, selection activities.
- Did your staff receive any training before the external evaluation?
- Comment on/describe the nature of training (by whom, when, duration?).
- Have you received any training in preparation for the external Evaluation?
- Comment on/describe the nature of training (by whom, when, duration?).

4.4 How did you prepare your school for the process of implementing WSE?

- Has a school development team been elected? Describe composition, selection activities.
- Did your staff receive any training before the external evaluation?
- Comment on/describe the nature of training (by whom, when, duration?).
- Have you received training in preparation for the external evaluation?
- Comment on/describe the nature of training (by whom, when, duration)?

5. THE EVALUATION PROCESS

5.1 Discuss what actually happened during the process?

- What is your view of the pre-evaluation visit?
- During the evaluation what issues surfaced in staff room discussions?
- What was the principal's/manager's account of the evaluation day-by-day?

5.2 Comment on the External Evaluation Report

- Who reported, and what was reported during the oral stage?
- What views were expressed by you and your staff during the weeks following the evaluation?
- What issues were raised in the formal written report?
- What are your views and those of the staff on the issues raised in the external report?
- What are the views of the chair of the Governing body on the external evaluator's report?

6. SCHOOL DEVELOPMENT PLANNING

6.1 Comment on the process of developing the school plans.
6.2 What were the main opportunities and obstacles which you encountered when you implemented the policy of Whole School Evaluation?
6.3 How did you overcome the obstacles and opportunities in the implementation of the policy of Whole School Evaluation?

7. GENERAL

7.1 Do you have any suggestions/recommendations in terms of alternatives to the policy of Whole School Evaluation?

Appendix 3: Analysis of Questionnaires completed by School Managers, School Management Teams and Educators

This section has been retained in the thesis to assist in the fluidity of the development of the argument of the thesis. It contains many valuable tables and much information which provides a rich source of reference particularly linked to Chapter 7 wherein the findings of the study are presented and suggestions and recommendations made. It also provides tangible evidence of the theoretical and strategic issues discussed under Chapter 5 which deals with the Methodological Frame and ultimately links back to the Synthesis of Chapter 8. The information documented here is thus crucial to the exploration of the argument of the thesis and ultimately, the conclusions drawn from the results and the proposals for the way forward.

A3.1 Designation of Educator:

Table 7.1 below indicates that the ratio of principals to management teams to level 1 educators surveyed is approximately 1: 4: 12.

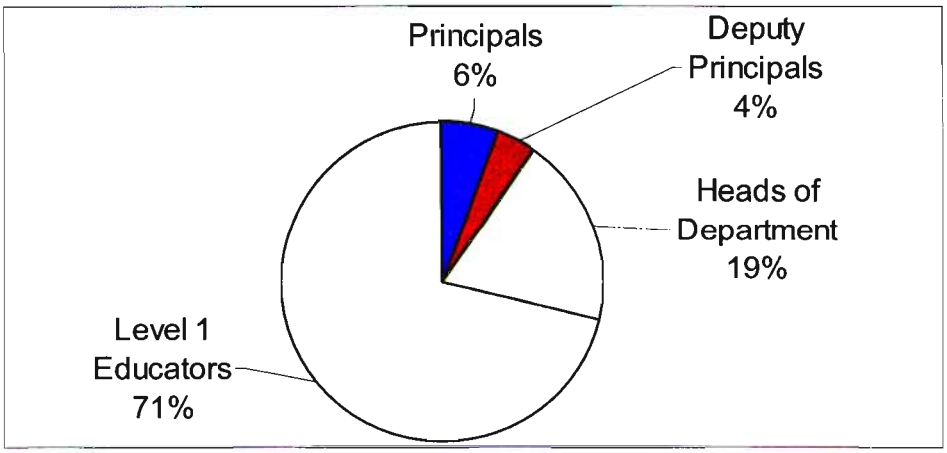

Table 7.1 Designation of Educator

Table 7.2 Reveals a further breakdown of the School Management Teams indicating the following:

SMT: Level of the Educator	Percent
Level 1 Educator	4.17
School Management Team	95.83
Total	**100.00**

Table 7.2 Further breakdown of School Management Teams

In comparison, table 7.3 below indicates that there is a fair degree of proportional correlation between the number of SMTs and the number of Level 1 educators. There are more language educators than educators in any other field. In about 25% of the cases, educators have to teach more than one (specialist) subject.

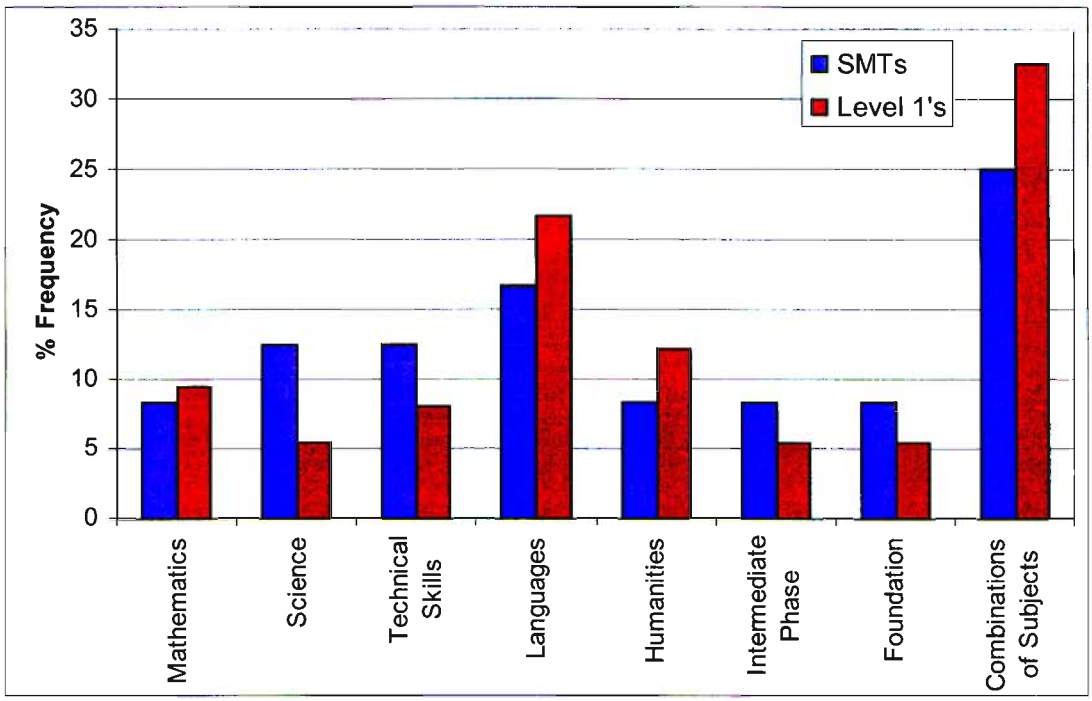

Table 7. 3 Main Teaching Area

Table 7.4 reveals a summary of the age groups for the different levels of educators as presented in the figure below: The statistics reveal that the principals have between 16 to 40 years of teaching experience, with a fair proportion being spent at management level, either as Heads of Department or as Deputy Principals.

All respondents have spent more than 98% of their careers as principals at the school at which they are presently employed.

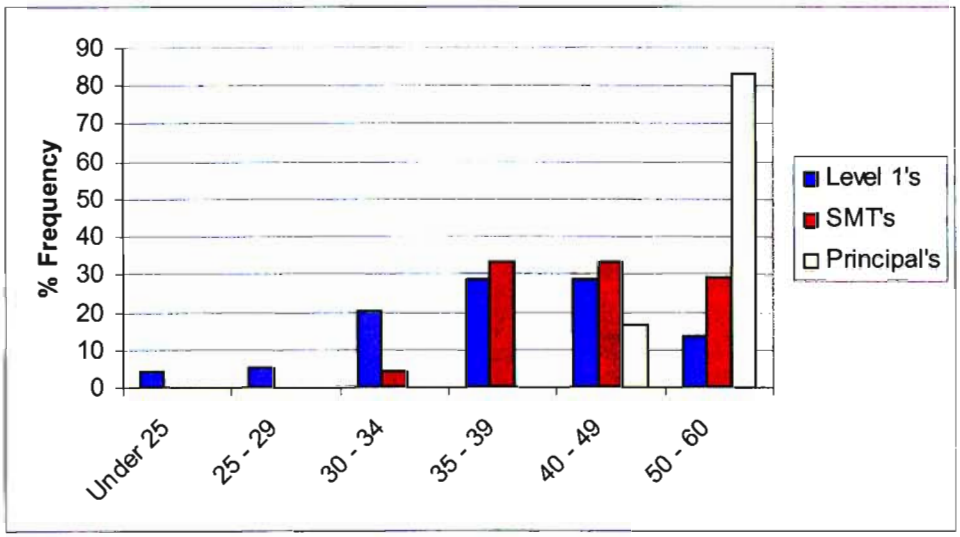

Table 7.4 Age Groups of the Different Levels of the Educators

Table 7.5 below indicates that at principal level, only 1 in 6 is female. This trend is reversed at SMT and Level 1 educator levels where there are approximately two females for every one male.

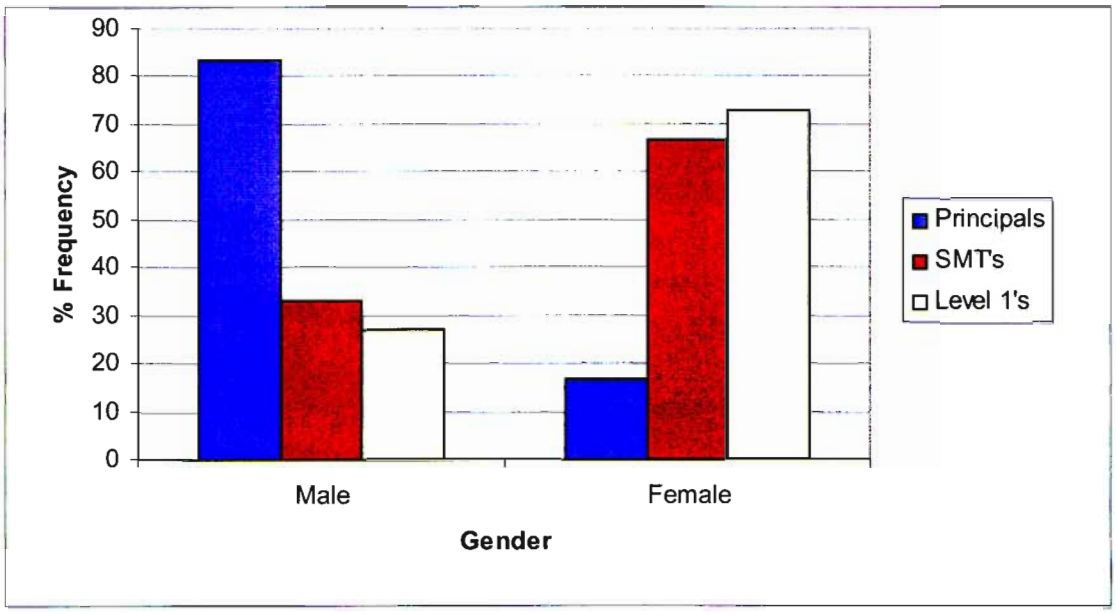

Table 7.5 Gender of Principals, School Management Teams & Educators

Table 7.6 reveals that the majority of the respondents were permanent staff members. In terms of the reliability and accuracy of the answers this is important, as the WSE policy would have a direct bearing on educators as part of their (permanent) jobs.

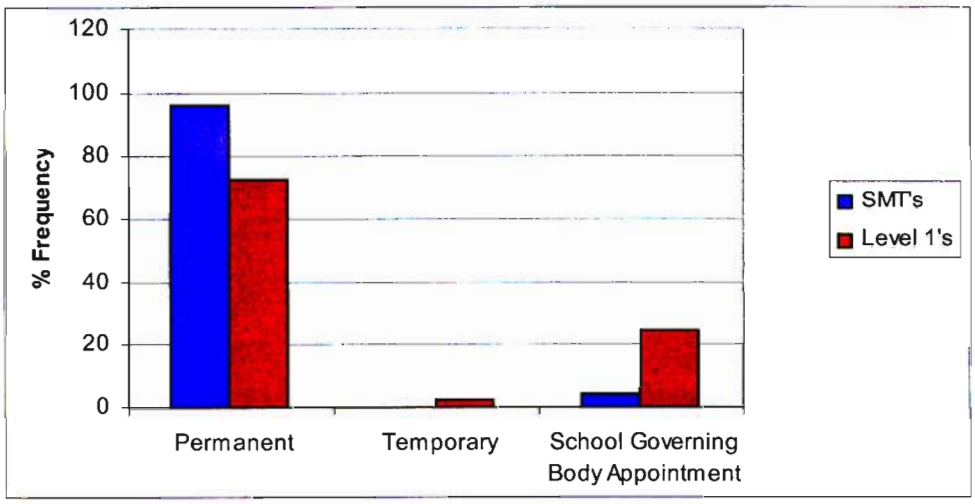

Table 7.6 Nature of Appointment

Table 7.7 below indicates that more than 97% of the respondents have at least a 3-year teaching diploma.

Formal Qualifications Completed	Level 1's	SMT's	Principal's
No response	1.35	0.00	
2 year diploma only	1.35	0.00	
3 year diploma only	32.43	8.33	
Degree only	10.81	12.50	
Degree and Diploma	24.32	25.00	66.67
More than one degree	8.11	20.83	33.33
Other	21.62	33.33	
Total	100.00	100.00	100.00

Table 7.7 Formal Qualifications

Table 7.8 indicates that of all the respondents, only 20% of the level 1 educators were not members of any teacher unions. Most of these were school governing body or temporary appointments.

	SMT's	Level 1's
Member of Teacher Union	*Percent*	*Percent*
Yes	100.00	79.73
No	0.00	20.27
Total	100.00	100.00

Name of Teacher Union	*Percent*	*Percent*
Not a Union Member	0.00	20.27
APEK	62.50	50.00
SADTU	29.17	27.03
NATU	8.33	2.70
Total	100.00	100.00

Table 7.8 Membership of a Teacher Union

A3.2 Policy Goals

Table 7.9 below summarises the principals' perceptions regarding the intentions of the Whole School Evaluation (WSE) policy.

A significantly large percentage of eighty-two (82%) of the respondents agreed with the item that WSE would enable them to establish their weaknesses as compared to those who disagreed (12%). The inference that can be made here is that the respondents

believed that the implementation of the WSE policy would be beneficial to them and the school environment. This also indicates there were gaps in their understanding as far as the value of the policy was concerned.

On the next item one hundred percent (100%) of the respondents were certain that the school development plan would focus on areas in which training would take place. This shows that the respondents had a clear understanding of what aspects the school development plan would include. It also indicated the degree to which the school principals would like to be exposed to training in developing school plans for the development and improvement of their schools.

None of the principals believed that the Department of Education, through its district and provincial offices, would be able to provide constant (quality) support after the implementation of the policy of WSE. Sixty-eight percent (68%) of the respondents to the next item indicated that they were unsure about the statement that the district and provincial offices and management staff would provide constant support after the implementation of the policy of WSE, compared to thirty-two percent (32%), who disagreed. At best it may be reasonable to infer that the principals had not been exposed to constant quality support from district and provincial offices and management staff previously on issues of school governance and school management. Therefore they felt uncertain that they would receive the kind of support from the district, provincial and management staff of the Department of Education required for developing school development plans.

Fifty percent of the respondents felt that Systematic Evaluation would complement WSE, while fifty percent were unsure. This indicates that principals have difficulty in seeing the link between WSE and SE. or do not have a clear understanding of the similarities and differences between WSE and SE.

On the next item a high percentage (82%) of the respondents agreed that WSE encouraged them to reflect on their management at school, while eighteen percent (18%) of the respondents disagreed. This indicates that the implementation of WSE would allow the principals to identify areas of personal, managerial and administrative weaknesses. This indicates further that the process would provide the principals an opportunity to assess and monitor the effectiveness of their governance and management of the school.

This is also consistent with the findings from the interviews where the principals indicated that the implementation of the WSE has enabled them to reflect on their management practices at schools.

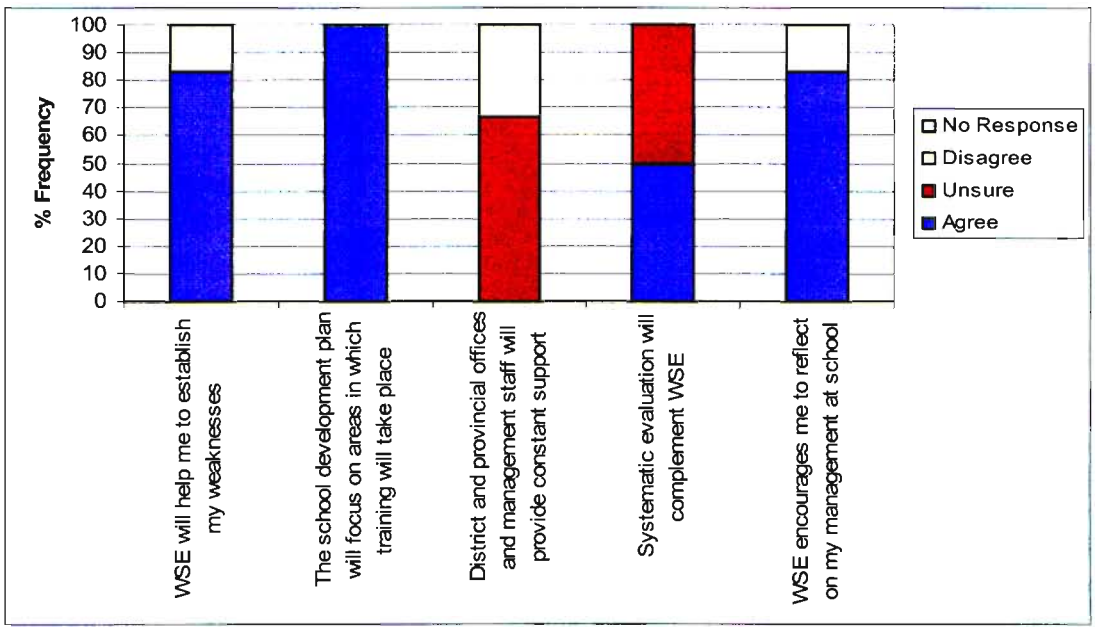

Table 7.9 Principals' Perceptions of the intentions of Whole School Evaluation

Information in Table 7.10 provides information on how the principals became aware of the policy of Whole School Evaluation

Seventy percent (70%) of the principals became aware of the WSE as a result of the Department of Education forwarding the policy document to them, while thirty percent (30%) of the principals became aware of the policy by attending a workshop held by the Department of Education. This implies that the policy document was exposed to a variety of interpretations and distortions when disseminated largely in the form of forwarding the policy documents to the school principals. Communication of policy goals through workshops where there would be a higher degree of interaction, discussion and debate as well as clarification, is a more encouraging, acceptable and ideal way of communicating policy intentions to school principals. Furthermore, it is equally critical that all principals

have a copy of the policy document to ensure that the extent to which the policy intentions could be realised is not limited. This would also give the school principals an opportunity to engage with the policy documents before attending a workshop, so that they could prepare themselves to raise any contentious issues as well clarify concepts and terminology.

Sixty-six percent (66%) of the respondents disseminated the information to their staff members by holding workshops, while seventeen percent (17%) of the respondents held staff meetings to discuss the contents of the policy. Seventeen percent (17%) of the respondents held special meetings to discuss the policy. This is encouraging, in that the communication of policy goals through workshops, staff meetings and special meetings allows for a greater degree of interaction, discussion and debate and clarification of key terms and terminology. It is also the most suitable means of communicating policy intentions. However, of all the methods employed, the holding of regular workshops to disseminate information in respect of new policy seems to be the most effective.

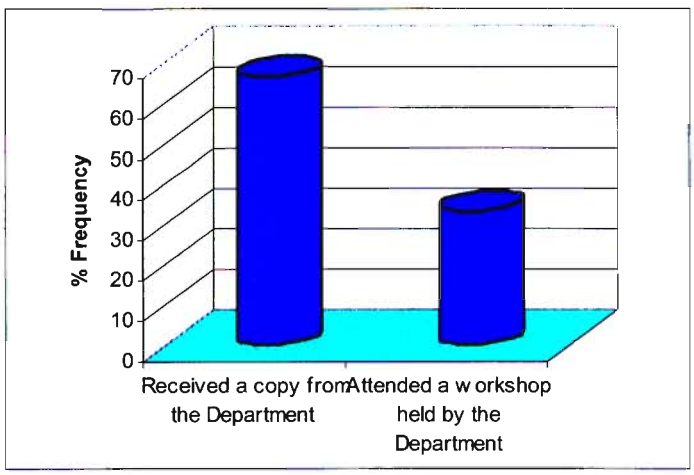

Table 7.10 How the Principals became aware of the Policy of Whole School Evaluation

Information in table 7.11 provides information as to how the principals disseminated the policy to the staff. Dissemination of the information by the principals to their staff was effected as follows:

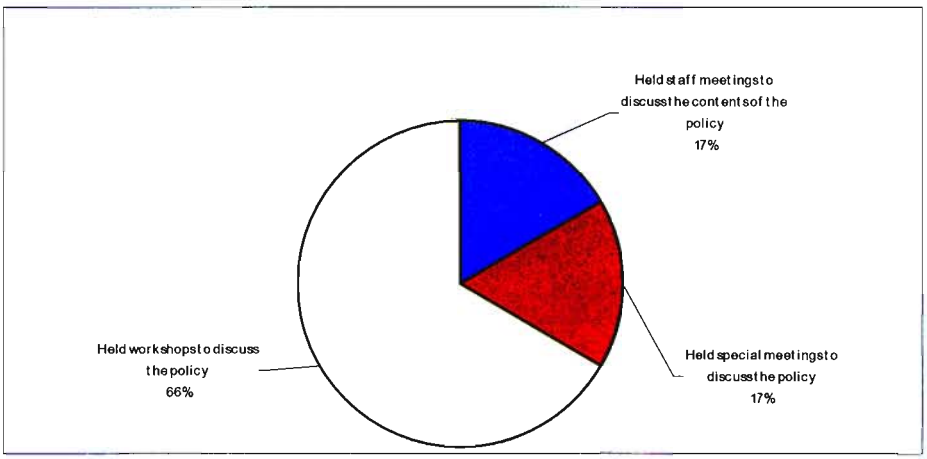

Table 7.11 Dissemination of the Information of the Policy of Whole School Evaluation to the Staff

Table 7.12 below indicates the perception levels of principals in terms of the amount of time spent by principals on the WSE process.

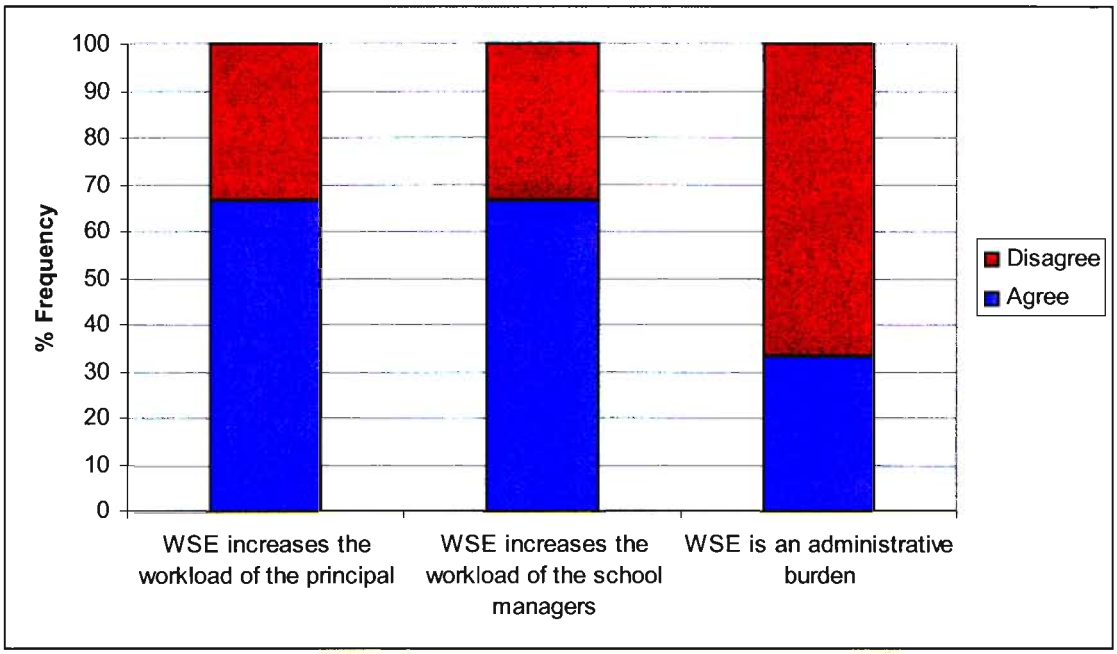

Table 7.12 Perception Levels of Principals in terms of the Amount of Time spent by Principals on the Whole School Evaluation Process

Principals were generally in agreement (67%) that implementation of the policy would increase the workload of the managers. To the same extent though, they did not feel that this was an administrative burden.

Table 7.13 is concerned with the effect the implementation of the Whole School Evaluation policy had on the school principals as they engaged with the process.

The information reveals that principals were generally in agreement (67%) that implementation of the policy would increase the workload of the principals and school

managers, while three percent disagreed. To the same extent though, they did not feel that it was an administrative burden.

Sixty-seven percent (67%) of the principals disagreed that the implementation of WSE would create stress and anxiety for them. Only thirty-three percent (33%) believed that the implementation of the policy would be stressful to the academic role-players of the school.

The findings in the next item were aligned to the previous response. Thirty-three percent (33%) of the principals felt that WSE would create stress and anxiety for the school managers, while sixty-seven percent (67%) disagreed.

The data on the next item revealed that (33%) of the principals felt that WSE would create stress and anxiety for the teachers, while (49%) disagreed. Eighteen percent of the principals provided no response. This is significant in that the principals are the nominal heads of schools, and besides suffering from stress and anxiety themselves, as principals, they are also required to manage the stress and anxiety experienced by the school managers and the teachers.

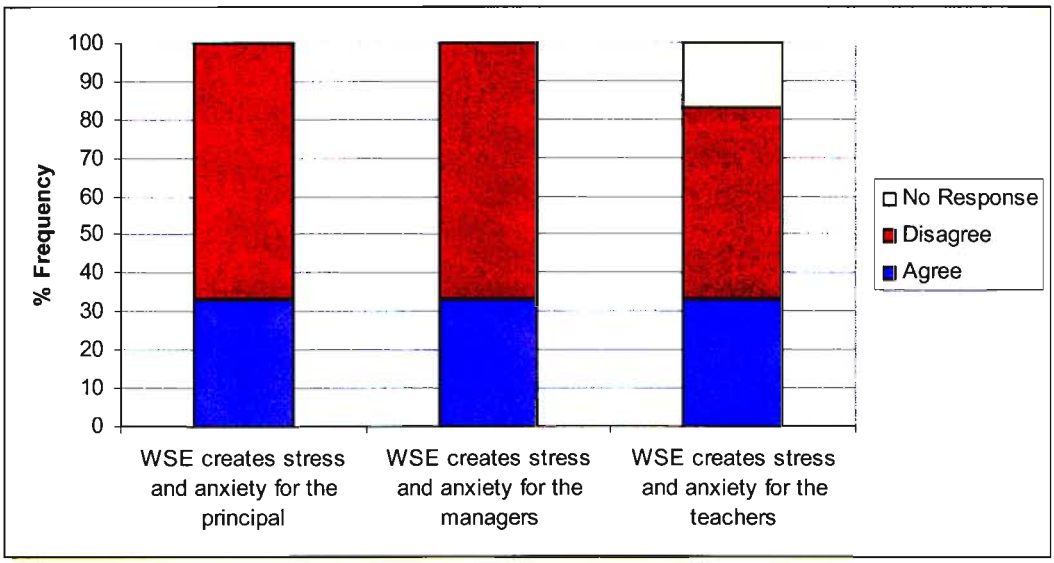

Table 7.13 The Effect the implementation of the Whole School Evaluation Policy had on the School Principals

Table 7.14 provides information on the principals' understanding and experiences of WSE.

Thirty-three percent (33%) of the respondents agreed that WSE is a subjective form of evaluation and sixty-seven percent (67%) disagreed. Those principals who agreed probably based their responses on the experiences they had had with previous forms of inspection. These were also based on the feedback with regard to WSE that they received from the Department of Education which they considered as being highly subjective. One can infer that those who disagreed felt strongly that the process was a fair and transparent one which does not focus on fault-finding with regard to the performances of principals,

but on an attempt by the Department of Education to contribute positively to the principals' efforts towards the development of the whole school.

On the next item, (33%) of the respondents agreed that WSE made use of one set of indicators which benefited the better-resourced schools, while sixty-seven percent disagreed. This indicates that the respondents felt that the uniqueness of each school needed to be taken into account when the instruments to evaluate the school were drawn up.

(82%) of the respondents on the next item agreed that that there would have to be some contribution by the Department of Education to ensure effective implementation and follow-up of the implementation of WSE. The principals seemed supremely confident that the Department of Education was genuinely sincere in its support to school principals. (18%) of the respondents who disagreed based their responses on past experiences with regard to poor or no support at all received from the District Offices of the Department of Education.

In response to whether WSE is a useful tool that can be used by the Department of Education to assess schools, (50%) of the respondents agreed. One can infer from this that these principals view WSE as a tool which assists them in identifying and redressing their functionalities, so that they can be more effective in their tasks of developing their schools. (32%) percent were unsure, while (18%) disagreed. This is probably due to the

newness of the policy, as well as the experiences the principals had had with the tools used by the Department of Education to assess schools.

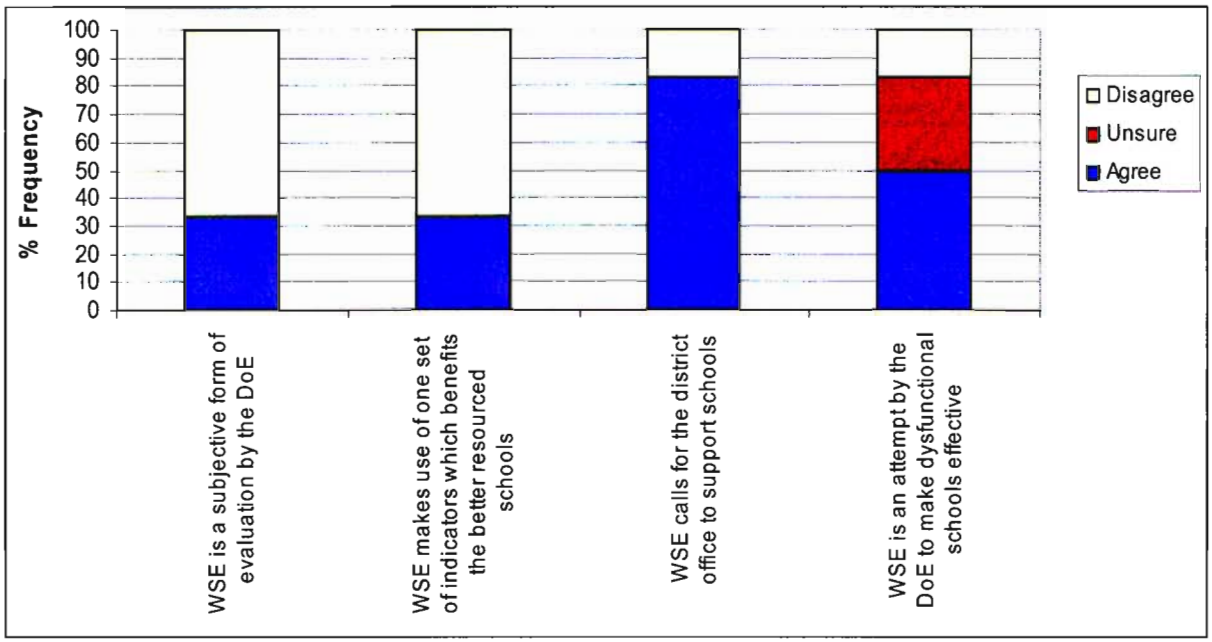

Table 7.14 Principals' Understanding and Experiences with Whole School Evaluation

Table 7.15 below provides information on the principals' expertise in conducting self-evaluation. An overwhelming majority, (66%) of the respondents to this item disagreed that they lacked the expertise to conduct the self-evaluation of schools. This indicates that although they are not familiar with the self-evaluation process of WSE, they would still be effective in carrying out the self-evaluation of the schools. (17%) agreed and (17%) strongly disagreed that they lacked the expertise to conduct the self-evaluation of schools.

	Percent
Agree	16.67
Disagree	66.67
Strongly disagree	16.67
Total	100.00

Table 7.15 Principals' Expertise in conducting Self-Evaluation

Data in tables 7.16 to 7.22 represent the findings on the perceptions of the school management teams and educators regarding the policy intentions.

There seems to be fair agreement across the educator spectrum that the policy of WSE would enable educators to identify their weaknesses. (67%) of the school management teams agreed that the WSE would help them identify their weaknesses, while (25%) disagreed and (8%) were not sure. In terms of the educators' response to this item, (67%) also agreed, while (16%) and (18%) of the respondents were not sure. Those respondents who disagreed and who were not sure showed signs that there were gaps in their understanding in so far as the value of the policy was concerned.

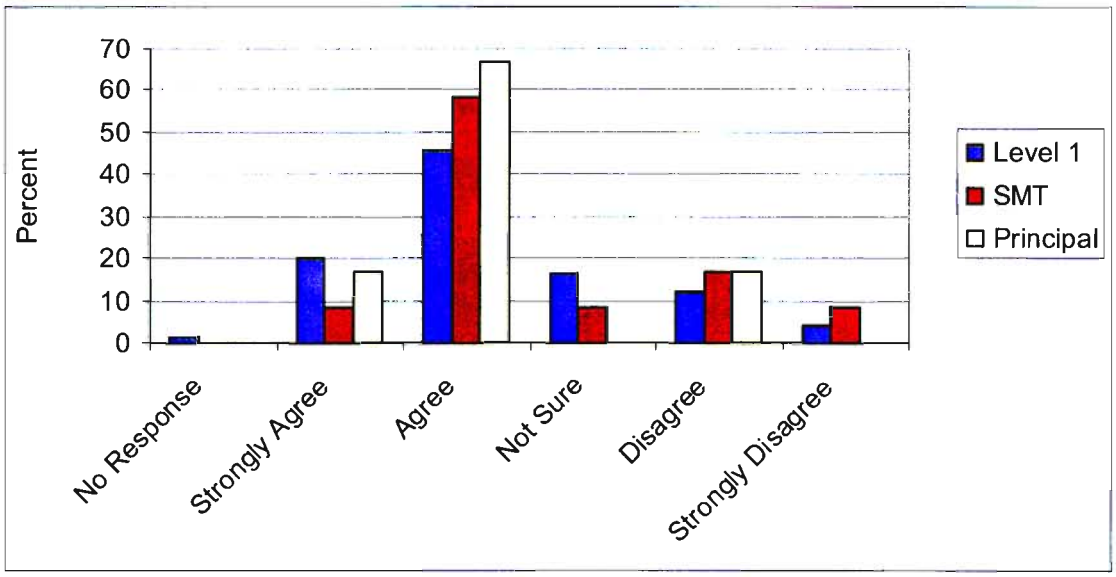

Table 7.16 Whole School Evaluation will establish my Weakness

(89%) of the school management teams and (76%) of the educators agreed that the school development plan would focus on areas in which training would take place. This indicates that there is almost consensus that this objective would be reached (11%) of the school management teams and educators disagreed, while twenty-two percent were not sure and two percent disagreed with the item. The inference that can be made here is that the respondents did not have a clear understanding regarding which aspects the school development plan would include.

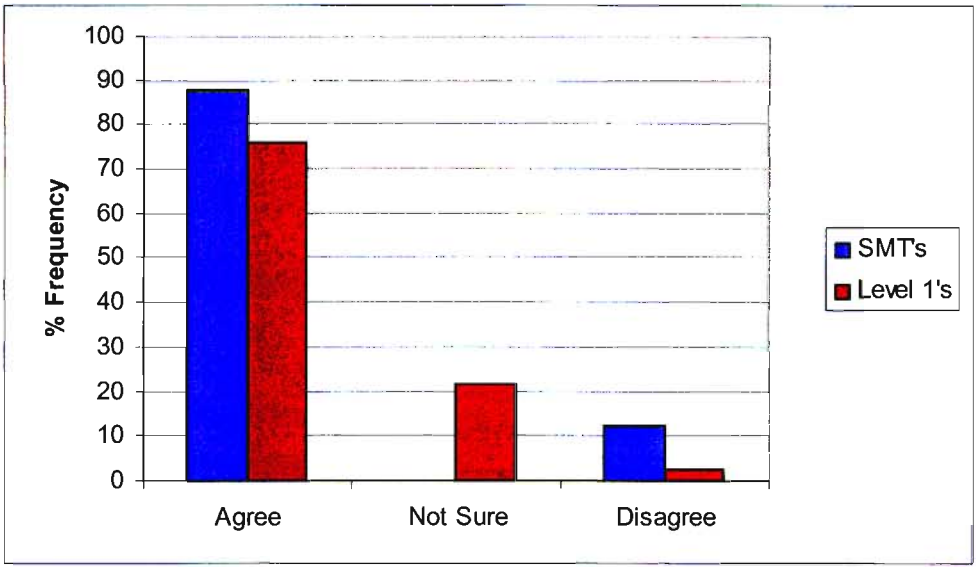

Table 7.17 Focus on Areas in which Training will take place

Data on the next item represents findings as to how the school management teams and educators responded to the role of the district, provincial offices and management staff in providing constant support.

Only (25%) of the school management teams and (30%) of the educators believed that the district, provincial office and management staff would provide constant support. It may be reasonable to infer that the school management teams and educators had not been exposed to receiving constant support from the district, provincial offices and the management staff of the Department of Education previously, therefore (38%) of the school management teams and (43%) of the educators were not sure, and (37%) of the school management teams and (22%) of the educators disagreed.

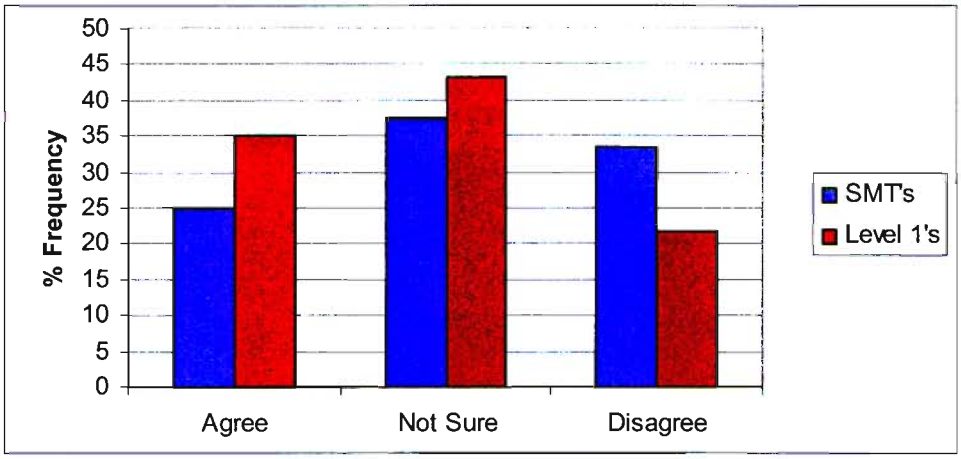

Table 7.18 **Role of the District, Provincial and Management Staff in providing Constant Support**

The findings on the next item reveal that it seems that school management teams and educators would welcome some kind of structured evaluation. An excessively high percentage (seventy-six percent) of the school management teams agreed that Systematic Evaluation would complement Whole School Evaluation, while a small percentage (three percent) disagreed, and twenty-one percent were not sure.

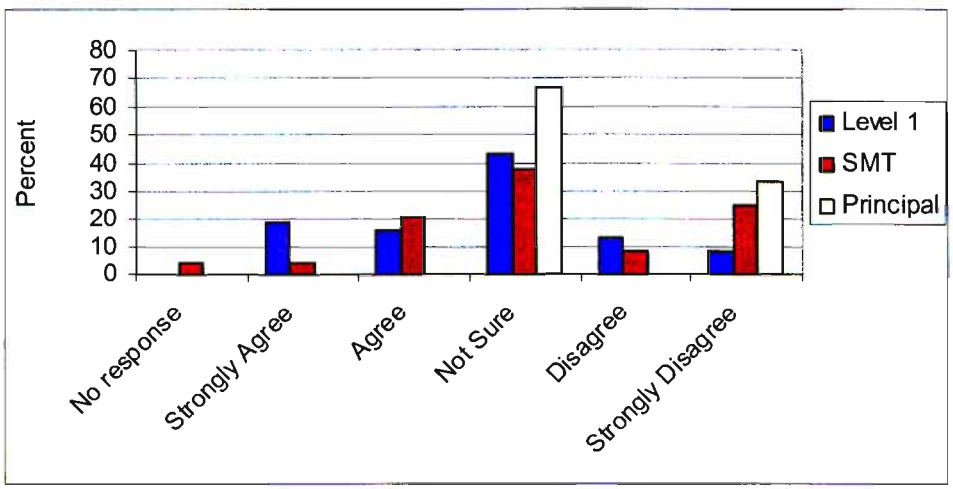

Table 7.19 **School Management Teams and Educators will receive some Form of Structured Support**

An overwhelming majority (sixty-four percent) of the educators agreed that Systematic Evaluation would complement Whole School Evaluation, while twenty-eight percent of the educators disagreed and eight percent were not sure.

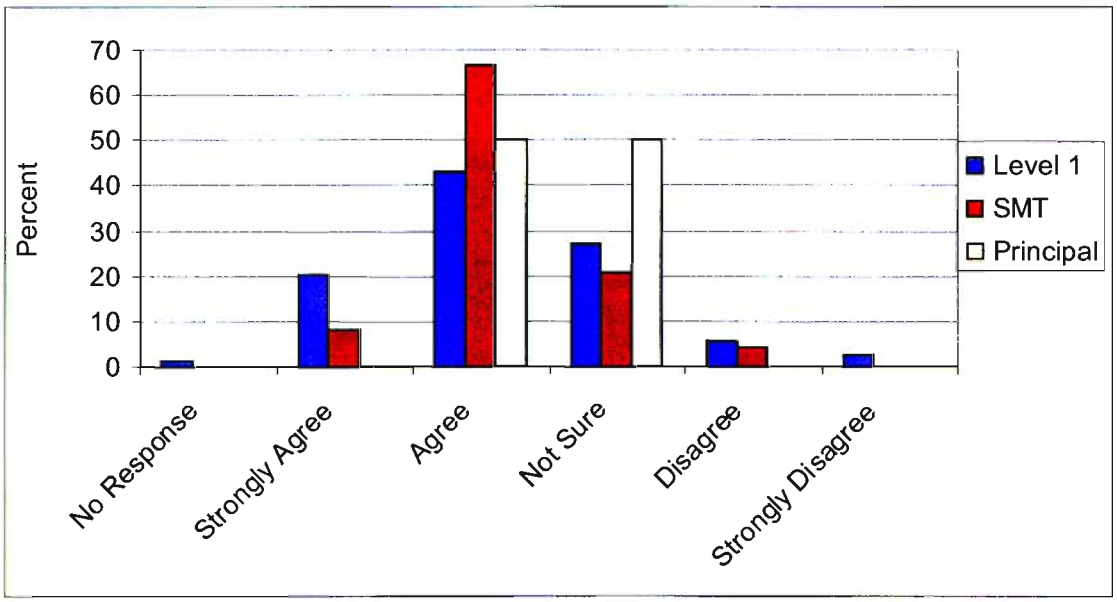

Table7.20 Systematic Evaluation will complement Whole School Evaluation

There is a fair degree of agreement between the school management teams and the educators that their teaching practices would need reflection and re-evaluation. An overwhelming majority (71%) of the school management teams and (87%) of the educators agreed that Whole School Evaluation encourages them to reflect on their teaching practices. (22%) of the school management teams disagreed, and (22%) of the educators disagreed. (9%) of the school management teams and (22%) of the educators were not sure.

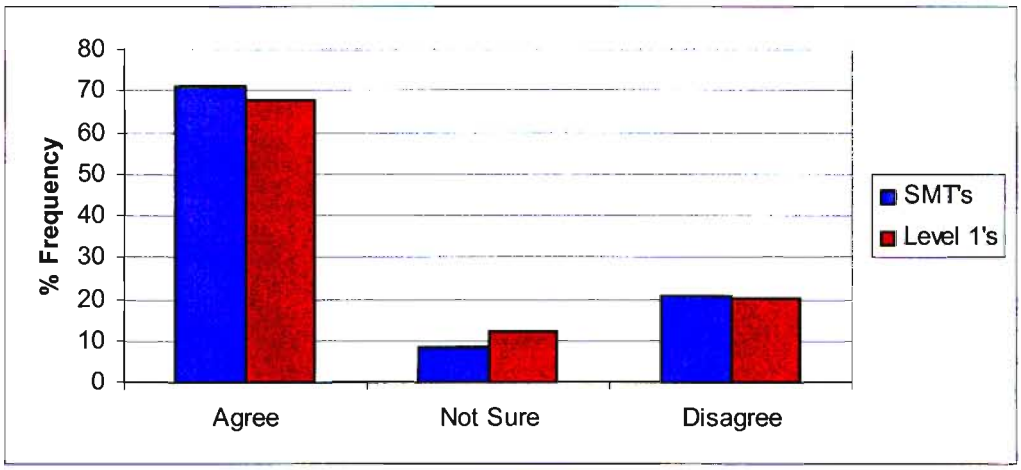

Table 7.21 Reflections on Teaching Practice

A3.3 Policy Dissemination

On the item as to how the school management teams and the educators became aware of the policy of Whole School Evaluation, the data reveal that this does not seem to be effectively communicated at school. Only five percent of the school management teams and two percent of the educators indicated that the school had disseminated the specifics of the policy. Thirty-five percent of the school management teams and seventy-five percent of the educators indicated that they had attended a workshop run by the Department of Education. Twenty-nine percent of the school management teams and nine percent of the educators became aware of the policy through a combination of sources. Three percent of the educators were informed by the teacher unions.

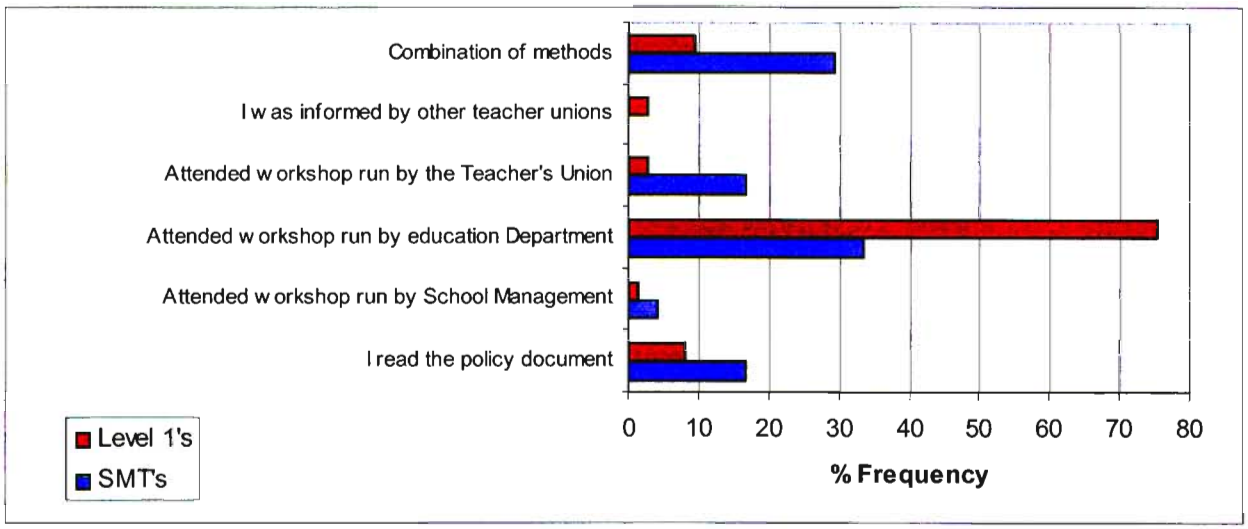

Table 7.22 Awareness of the Policy Documents

Eighteen percent of the school management teams and three percent of the educators became aware of the policy by attending a workshop run by the teacher union. Eighteen percent of the school management teams and eight percent of the educators read the policy document on Whole School Evaluation. This implies that the policy was exposed to a variety of interpretations and distortions as awareness of the policy resulted from different sources and was achieved by different methods.

The data on the next item reveal how principals made the policy document available to the school management teams and educators. For the most part, staff meetings were held to discuss the contents of the policy. (68%) of the school managers and (72%) of the educators indicated the principal held staff meetings, and that, at these meetings the policy document was made available to them and the contents of the policy was discussed. (28%) of the school management teams and (24%) of the educators indicated that the principals organised workshops, while (2%) of the school management teams indicated that the principals organised conferences and (2%) of the educators indicated

that the principals organised conferences. (2%) of the respondents indicated that they became aware of the policy through other means. Here again, this implies that the contents of the document were conveyed to the SMTs and educators in a variety of ways which did not contribute to standardised interpretation and comprehension.

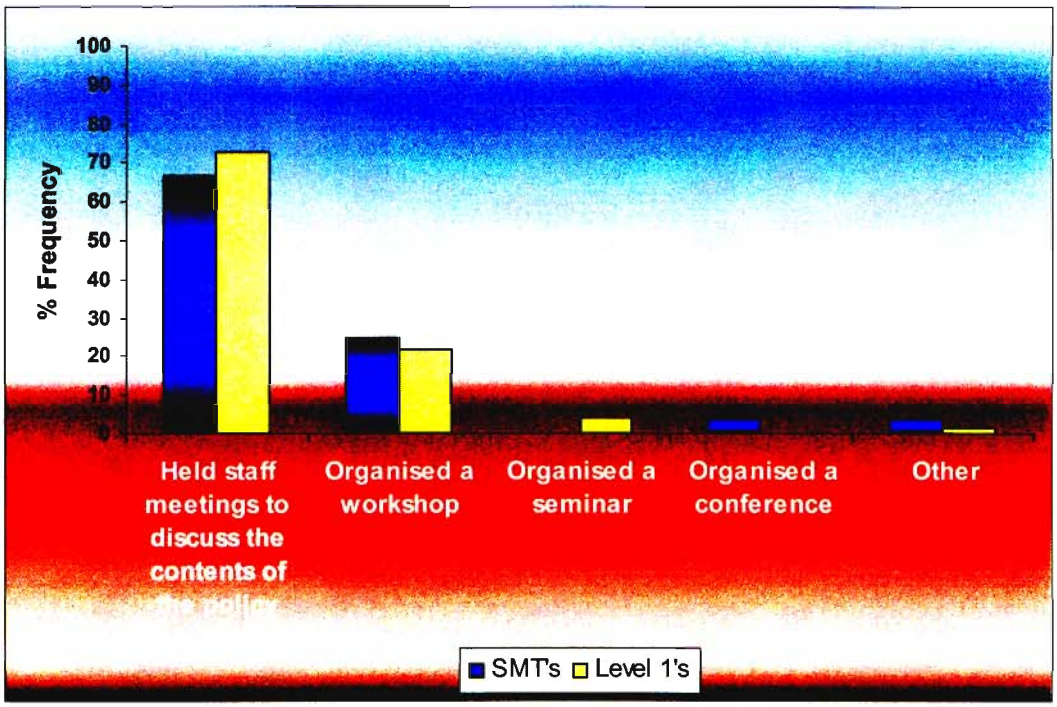

Table7.23 How the Policy Documents were made available to the Staff

The data on the next item indicate how school managers made the policy documents available to the staff members.

Most principals made the policy document available to the school management teams and educators. Ninety percent of the school management teams and eighty-six percent of the educators indicated that the principals made the policy document available to them.

Eighteen percent of the school management teams and twenty-two percent of the educators indicated that the policy documents were not made available to them, while two percent of the school management teams and four percent of the educators indicated that they were not sure.

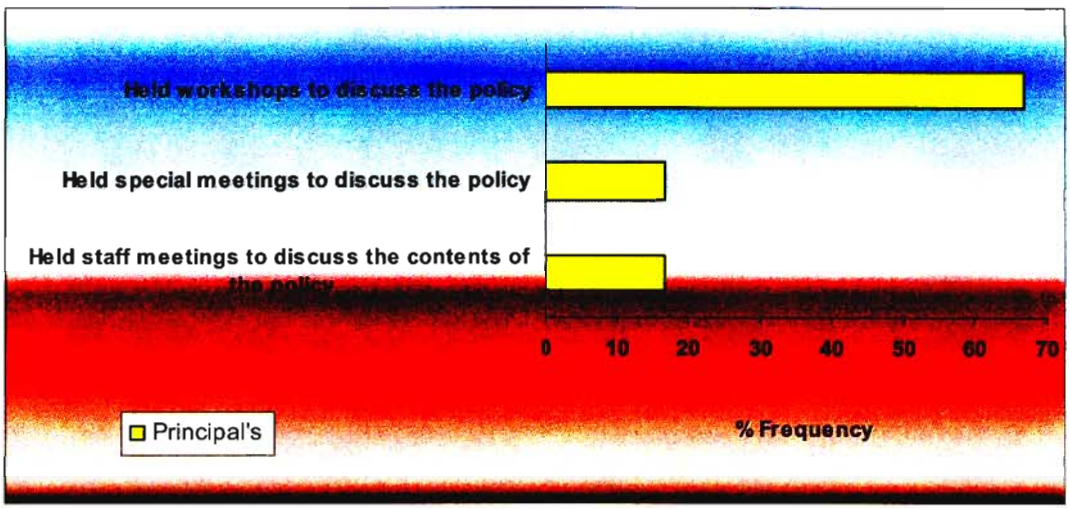

Table 7.24 Policy Discussed with Staff

Information on the next item revealed that even though the document was available, (38%) of the school management teams and (44%) of the educators did not have a personal copy of the policy document. (69%) of the school management teams and (39%) of the educators did have a personal copy of the policy document, while (3%) of the school management teams and (7%) of the educators indicated that they were not sure. This certainly limits the extent to which policy intentions could be realised as all members of the school management teams and educators should have received a copy of the document.

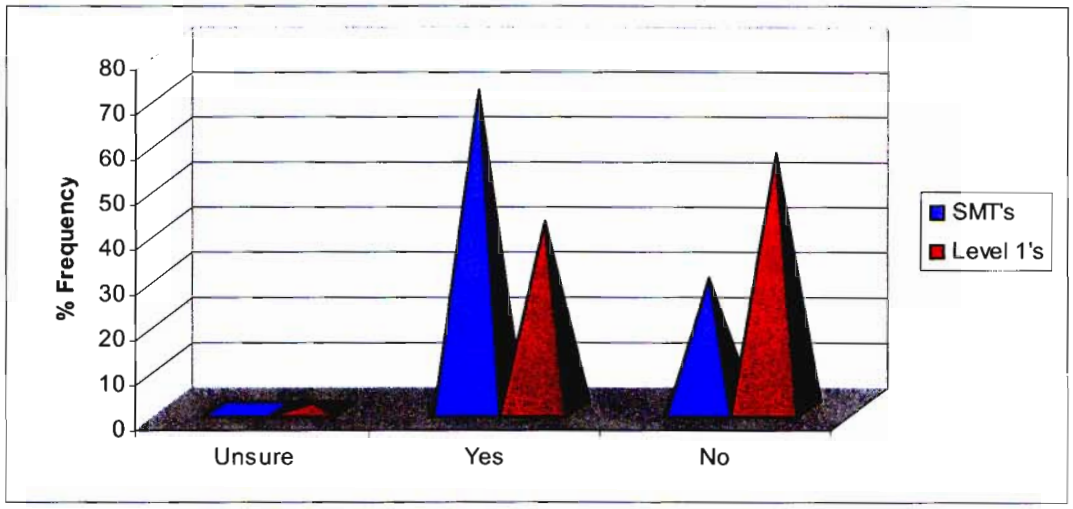

Table 7.25 Personal Copy

This does not seem to have been effectively communicated at school, as indicated in the figure below. Only 5% of the SMTs and the Level 1 educators indicated that the school had disseminated the information on the specifics of the policy. Most educators had to get this information by attending workshops run by the Department of Education or Teacher Unions.

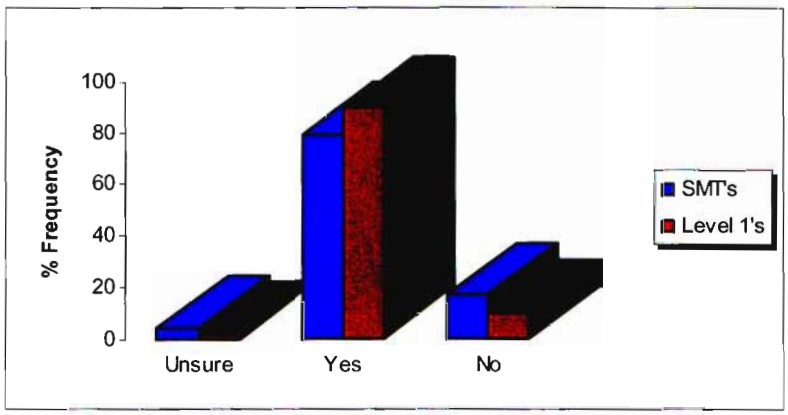

Table 7.26 Policy Information disseminated by School

A3.4 Policy Effect

The information in this section presents information on how respondents perceived the role of the school management teams in the implementation of the policy of Whole School Evaluation.

(8%) of the school management teams believed that they had allayed the fears of the staff with respect to the policy. However, only (42%) of the level one educators concurred with this view. (84%) of the school management teams disagreed that their role in the Whole School Evaluation process led to insecurity and fears among educators. (49%) of the educators indicated that the role of the school management teams did not lead to insecurity and fears among the educators. (8%) of the school management teams and (9%) of the educators indicated that they were not sure. This data supports the claim that during Whole School Evaluation, educators undergo a period of extreme stress and pressure.

The findings in the next item reflect that (57%) of the educators were not in agreement with the claim that the role of the school management teams in the Whole School Evaluation process led to an increase in staff tension and staff conflict. However, (34%) of the educators believed that the role of the school management teams did cause division among the staff members. (65%) of the school management teams did not believe that their role in the process led to an increase in staff tensions, while (25%) agreed. (15%) of the school management staff and (11%) of the level one educators indicated that they were not sure.

The data on the next item suggest that, on average, almost two-thirds of the SMTs and educators did not believe that the role of the school management teams led to low morale and reduction in productivity. Thirteen percent of the school management teams and eighteen percent of the educators agreed that the role of the school management teams led to low educator morale and reduction in productivity, while twenty-one percent of the educators were not sure.

The findings in the next item reflected that only (54%) of the educators believed that the role of the school management teams led to an improvement in quality of teaching and learning. (28%) of the educators believed this to be untrue. Only about 50% of the educators believed this to be true. (64%) of the school management teams indicated that their role in the process led to an improvement in the quality of teaching and learning while (25%) disagreed. (8%) of the school management teams and (17%) of the educators indicated that they were not sure.

It is noted that in instances where information dissemination, which is a function of school management teams, is involved, the views of the educators differed from those of the school management teams. In effect, the educators believed that the school management teams did not exhibit good managerial skills during the process of Whole School Evaluation.

The data presented on the next item reveal that (50%) of the school management and (53%) of the educators agreed that the role of the school management led to an increase

in the workload of educators. While (47%) of the school management teams and (38%) of the educators disagreed, (9%) of the educators were not sure. It seems as if staff across the school management and educator levels was evenly split on this issue. The perception is that school management teams believe that they are acting in the interests of the educators. The educators do not seem to have the same perception.

On the next item, (78%) of the school management teams and (65%) of the educators agreed that the role of the school management team created an opportunity for the educators to receive feedback on their performance. (10%) of the school management teams and (15%) of the educators disagreed, while (8%) of the school management teams and (15%) of the educators were not sure. It can be stated that educators did credit the school management teams with the type of feedback provided on their performance. The educators indicated that they would have used the appraisal by the school management teams to improve in areas where there were shortcomings.

Information on the next item indicates that (46%) of the school management teams and (68%) of the educators agreed that the process of Whole School Evaluation is a departmentally subjective form of evaluation. (25%) of the school management teams and (9%) of the educators disagreed. While (21%) of the school management teams and (20%) of the educators were not sure. Once again, there are contrasting views on this issue between the school management teams and the educators. The school management team would like to perceive themselves as being even-handed in all aspects of management and appraisal. Only 10% of the educators agreed with the school

management views. This could possible relate to that fact that many educators had had first-hand experience of Whole School Evaluation, and they had come to the realisation that the feedback they received was highly subjective.

The next statement sought to elicit the views of the respondents as to whether they were given the opportunity to become involved in school development plans during the process of Whole School Evaluation. There is sound agreement that school management teams and educators worked together, or were involved in the chartering of the schools' activities in terms of involvement in school development planning. (90%) of the school management teams and (78%) of the educators agreed that the role of the school management teams led to staff being involved in developing school plans. (5%) of the school management teams and (16%) of the educators disagreed, while (5%) of the school management teams and (16%) of the educators disagreed.

The next item presents information on the role of the school management teams in providing constant support to the educators. In both instances, school management teams and educators agreed that support from the SMTs was only available 50% of the time. (26%) of the school management teams and ((20%) of the educators disagreed, while (8%) of the school management teams and (15%) of the educators disagreed. It may be reasonable to infer that teachers have not been exposed to constant support and therefore disagreed or reflected that they were uncertain.

The response to the next item is aligned to the previous one. Once again, only (45%) of the school management teams and educators believed that it is true that the role of the school management teams led to the provision of active support to the educators.

The next statement sought to elicit whether or not the role of the school management teams demonstrated a lack of expertise in conducting self-evaluation of the school. About 50% of the respondents (for both school management and educators) did not believe this to be true, that is, school management and educators believed that the management of the school were capable of undertaking an evaluation task.

Data on the next item reveal that (50%) of the school management teams believed that they were responsible for causing stress among educators, and (42%) believed that they did not. (49%) of the educators agreed that the school management teams had brought pressure to bear upon their colleagues. (11%) of the educators disagreed, while (9%) of the school management teams and (13%) of the educators were not sure. This data provides support for the claim that educators undergo a period of stress, pressure and anxiety.

The findings on the next item reveal that there was a 15% difference of opinion amongst the educators on the issue of whether the role of the school management teams led to educators being involved in rigorous preparation only for the duration of the Whole School Evaluation process and not thereafter, with slightly less than 50% believing that the school management teams had made them work harder in preparation for the

evaluation. Close to 65% of the educators held the same view. This clearly reflects that the respondents were of the view that they did not work consistently throughout the year.

Approximately 55% of the school management teams and educators believed that it is true that the role of the school management teams led to the building of a strong core of educators. (24%) of the school management teams and (20%) of the educators disagreed, while (18%) of the school management teams and (23%) of the educators were unsure. This is an encouraging sign, as building a core of educators brings about greater staff cohesion and staff unity, and is positive for the common good of the schools.

Data on the next item reveal that (59%) of the school management teams and (57%) of the educators believed that the school management teams played an important role in ensuring that the process of Whole School Evaluation was openly negotiated among all the stakeholders, while (23%) of the school management teams and (10%) of the educators disagreed. (18%) of the school management teams and (23%) of the educators were not sure.

Almost 10% more educators believed that management had a vision of the Whole School Evaluation process and was willing to share it, as compared to the school management teams who seemed less confident in their own abilities. This is an interesting finding, as the Whole School Evaluation process is about the stakeholders of the school having a common vision of the process, and the vision and the process being a shared one.

Data on the next item reveal that there is general agreement that the contributions made by the school management teams in assisting the educators to improve in areas which were identified as areas of improvement and development were positive. There is consensus (77%) between the school management teams and educators that the school management teams have correctly identified those areas in which staff training is to take place.

Exactly the same percentage (53%) of the school management teams and educators agreed that the school management teams provided active and constant support for the process of Whole School Evaluation. It is noted that almost half of the school managers did not provide support. It seems that those who were uncertain or disagreed based their opinions on the belief that they did not receive active and constant support from the school management teams.

Data on the next item reveal that almost 80% of the respondents in both categories believed that the process was carried out in a fair manner. It can be inferred that the respondents are basing their responses on the fact that the Whole School Evaluation process has strict guidelines and procedures that have to be adhered to.

The findings on the next item reveal that whereas 75% of the school management teams believed that they had managed the evaluation successfully by displaying adequate strategic leadership, communication and managerial skills, only 50% of the educators believed this to be true.

(75%) of the school management teams, (52%) of the educators agreed that the school management teams had involved them in the school development planning and programmes. It is alarming that (22%) of the educators disagreed, and (23%) were not sure, as the development of school plans is the responsibility of all the stakeholders of the school and, accordingly, all the stakeholders should be actively involved in the process.

	No response	Agree	Not Sure	Disagree	Other
Whole School Evaluation will help me to establish my weaknesses	1.0	66.3	14.3	18.4	
The school development plan will focus on areas in which training will take place		78.6	16.3	5.1	
District and provincial offices and management staff will provide constant support	1.0	32.7	41.8	24.5	
Systematic Evaluation will complement Whole School Evaluation	1.0	66.3	25.5	7.1	
Whole School Evaluation encourages me to reflect on my teaching practices		68.4	11.2	20.4	
How did you first become aware of the policy on Whole School Evaluation?		12.2	65.3	6.1	16.3
How did the school managers make the policy documents available for you?		93.9	3.1	3.1	
Did the school management team make available the policy document to all educators at your school?	2.0	98.0		0.0	
Do you have a personal copy of the policy on Whole School Evaluation?	1.0	99.0		0.0	
Insecurity and fears among educators	2.0	29.6	10.2	58.2	
Increase in staff tension and staff conflict	3.1	28.6	9.2	59.2	
Low educator morale and reduction in productivity	3.1	16.3	17.3	63.3	
An improvement in the quality of my teaching and learning	3.1	55.1	14.3	27.6	
Increased the workload of educators	2.0	52.0	7.1	38.8	
An opportunity for the provision feedback for my performance	1.0	70.1	14.4	14.4	
Process of evaluation is a departmentally subjective form of evaluation	4.1	62.2	20.4	13.3	
Staff being involved in developing school plans	2.0	82.7	8.2	7.1	
The provision of constant support to educators	3.1	53.1	22.4	21.4	
The provision of active support to educators	3.1	44.9	25.5	26.5	
Demonstrating a lack of expertise in conducting self evaluation of the school	4.1	25.5	19.4	51.0	
The creation of stress among educators	1.0	49.0	11.2	38.8	
Educators being involved in rigorous preparation only for the duration of the evaluation and not thereafter	2.0	32.7	11.2	54.1	
The building of a strong professional core of educators	1.0	56.1	21.4	21.4	
The process of Whole School Evaluation being openly negotiated among all stakeholders	1.0	73.5	14.3	11.2	
The understanding that management has a vision about the Whole School Evaluation process and are willing to share it	2.0	74.5	17.3	6.1	
Enabled me to establish areas for my development	4.1	73.5	8.2	14.3	
Focussed on areas in which staff training and development is to take place	3.1	72.4	14.3	10.2	
Provided active and constant support for the process	4.1	54.1	20.4	21.4	
Conducted the evaluation process in a transparent	4.1	80.6	8.2	7.1	

way					
Provided effective and strategic leadership and communication	4.1	58.2	20.4	17.3	
Involved me in school development planning	4.1	68.4	14.3	13.3	

Cronbach's Alpha

Below follows a discussion of the use of Cronbach's Alpha which relates to the methodology used as per Chapter 5.

According to the Academic Technology Services at the University of California, Los Angeles (UCLA Academic Technology Services: 2002), the Cronbach's Alpha measures how well a set of items (or variables) measures a single unidimensional latent construct. When data have a multidimensional structure, Cronbach's Alpha will usually be low. Technically speaking, Cronbach's Alpha is not a statistical test - it is a coefficient of reliability (or consistency).

Cronbach's Alpha can be written as a function of the number of test items and the average inter-correlation among the items. Below, for conceptual purposes, I will indicate the formula for the standardized Cronbach's Alpha:

$$\alpha = \frac{N \cdot \bar{r}}{1 + (N-1) \cdot \bar{r}}$$

Here N is equal to the number of items, and r-bar is the average inter-item correlation among the items.

One can see from this formula that if one increases the number of items, one increases Cronbach's Alpha. Additionally, if the average inter-item correlation is low, alpha will be low. As the average inter-item correlation increases, Cronbach's Alpha increases as well.

This makes sense intuitively - if the inter-item correlations are high, then there is evidence that the items are measuring the same underlying construct. This is really what is meant when someone says they have 'high' or 'good' reliability. They are referring to how well their items measure a single unidimensional latent construct.

A reliability coefficient of 0.80 or higher is considered as 'acceptable' (UCLA Academic Technology Services, 2002).

Appendix Four

Analysis of Interim Transcripts of the Interviews with the Six School Principals

A4.1 Policy goals

It is very clear from the responses provided by the principals that they have different understandings of what the goals of the Whole School Evaluation policy are. All seem to agree that the policy is well-defined and has good intentions, and that the objectives and goals of the Whole School Evaluation policy are clearly formulated. The idea of Whole School Evaluation being a supportive and developmental process emerged strongly.

The common thread in all the interviews with the principals was that this was not to be seen as a process of investigating any one person in the school, but was about focusing on upgrading teaching and learning, with the emphasis on the learner, and on Whole School development.

The analysis of the responses reveals that:

- A variety of conceptions in the area of improvement and performance emerged.
- A link between evaluation and development was made, on the understanding that support would be received from the District Support Team.
- All the principals supported the view that the aim of the policy was to provide support, and to improve the teachers' ability, integrity and professionalism.
- None of the principals reflected that the purpose of the Whole School Evaluation is to evaluate schools through the use of specially designed measuring instruments and identified criteria that have been negotiated.

- None of the school principals mentioned that the idea was to understand where the inequities existed in order to develop strategies to address them.
- Only one principal alluded to the fact that the policy made way for the introduction of accountability into the system.
- None of the principals explained that the Whole School Evaluation policy would help managers to manage better by making use of specially designed instruments for the evaluation.
- No principals asserted that the policy of Whole School Evaluation has the potential to contribute to the development of teachers, and to enhance teachers' capacity in specific subjects.

A4.1.1 Reasons advanced by the Principals for the Introduction of the Whole school Evaluation Policy

It was very interesting to note that in their responses to this question, the principals provided brief comments on the earlier forms of inspection of schools, and advanced reasons for these types of inspection being stopped. It must be stated that all the principals who were interviewed had experienced this form of inspection and had the following comments to make:

- There were objections from the educators (particularly those who belonged to organized teachers' unions) to the principal and members of the schools management teams visiting educators in the classrooms to evaluate their teaching performances.

- There were also objections from the educators to subject advisors visiting schools to evaluate the performances of educators.
- These types of inspections were stopped, particularly due to the manner in which they were conducted. These inspections were undertaken by circuit inspectors and by subject advisors, and were unannounced. Written reports were prepared on the educators which focused mainly on finding fault with the performance of the educators.
- There were also objections to the old "A form" or "panel inspections" which consisted of an evaluation of the management and governance of the schools by a panel of three or four school inspectors. This form of inspection was also unannounced, and focused on fault-finding in respect of the management and governance of the schools.
- The principals were unanimous in their argument that the Whole School Evaluation policy had been introduced to substitute for the old type of inspection which had served no real purpose.
- In all the types of inspection there had been no focus on the development of the teachers, the school and the learners, and that of supportive programmes provided by the Department of Education.
- Another reason put forward was that Whole School Evaluation looks at all aspects of school administration, school governance and school management focusing on the nine areas identified in the policy document.

A4.1.2 The Role of the Principal in relation to the Policy of Whole School Evaluation

From the responses it does not seem that the principals had developed an understanding of their roles outside the terms of reference of the policy. When studying the stated aims of the Whole School Evaluation policy, and the earlier forms of inspections that had been conducted, and considering that no inspections of schools were being conducted, the Whole School Evaluation demanded a different sense of what the principals' role should be. There is sufficient evidence to suggest that the principals accepted their roles willingly and with little or no resistance. One possible reason for this was that the implementation of the Whole School Evaluation policy was mandatory for the principals.

It is very clear that the principals interpreted their role as that of implementing policy which presumes that they already had a view that the policy was worth implementing, and that they seemed to believe that their roles were simply those of implementers. From the responses provided, no principal interpreted this role differently, which is evident in the following analysis of the responses provided by the principals.

- The principals saw their roles as critical in directing the school towards the implementation of the policy.
- The principals are regarded as the first point of contact and are the ones who control and guide the evaluations.

- The principals agreed that they had a positive role to play and did not view the process as a fault-finding exercise, but rather as assistance given to schools to identify of areas of weakness, and to provide assistance to schools for school improvement. This included directing, training, evaluating, coordinating and controlling the activities of not only the stakeholders of the schools, but the Whole School Evaluation teams as well.
- The role of the principals as managers is seen by them as being supportive of the implementation of the Whole School Evaluation policy, and they see themselves as motivators to the rest of the staff in respect of ensuring that stakeholders understand clearly why the implementation of such a policy is necessary, as well as ensuring that the policy is correctly implemented.
- The principals agreed that the Whole School Evaluation team spent more time with other stakeholders of their school communities, but that the presence of the principals and their guidance was always recognized and valued.
- All the principals were of the view that this linking role which they played was vital for the successful evaluation of the schools, and they felt strongly that if the principals did not take the lead in this process, very little would be achieved and that the policy would not be fully implemented in the schools.

The principals commented, however, on their roles in forming a further and stronger link between the Whole School Evaluation teams, the schools' management teams and the staff in the evaluation process.

A4.1.3 The Principals' Views of the Effects of the Implementation of the Whole School Evaluation Policy on the Development of the Schools

The school principals had differing views in respect of the implementation of the Whole School Evaluation policy on the development of the schools. The principal of Soccer City Primary School was of the view that the "implementation of the Whole School Evaluation policy provided direction to the stakeholders of the school, enabling it to establish its own strengths and weaknesses, and provided the school with an opportunity to utilize its strengths to develop the school further, and to strategize on developing programmes to overcome its weaknesses". The principal of Kloof Junior Primary School secondary school focused his response on the experience and stated:

> That the whole school evaluation has had a positive impact on the development of the school because of the manner in which the external evaluation was conducted. The experience was a positive one, as was the interaction between the evaluators and the staff. Furthermore, a positive attitude was displayed by the staff, and at no point did the educators feel that they were being evaluated.

Yet the principal of Mandela Secondary School highlighted the role of an outsider perspective stating that "it was always good for an outsider to evaluate the performance of the school, as this outsider perspective provides insights that require the school to review its management, governance and performance".

The principal of 2010 Primary School focused on school management and governance stating that the nine focus areas which cover all aspects of school management,

governance and performance make the implementation of the Whole School Evaluation policy a very worthwhile exercise. While the Vuvuzela Primary School highlighted the positive effect the policy would have on the development of the school if perceived positively by the other role-players of the school.

The principal of Danny Jordhan Secondary School had already seen the effects of the implementation of the Whole School Evaluation policy, and was confident in his response that the Whole School Evaluation policy has led to the development of, and improvement of the school management and personnel, and has had a positive effect on the school's governing body.

However, the principals expressed a strong view that without the support of the District Support Teams and the Department of Education as a whole, the implementation of the policy of Whole School Evaluation would not have the desired effect.

A4.1.4 The Principals' Understanding of School Effectiveness and the Effect of the Policy of Whole School Evaluation on School Effectiveness

The principals' understanding of school effectiveness was very rudimentary. Overall, the principals experienced difficulty in answering this question, and resorted to inadequate responses, or simply reiterated ideas they had presented in the previous questions.

School effectiveness is seen by the principals as:

- The school having an efficient learning programme.
- Achieving the goals set by the school which are in keeping with the vision and mission of the school.
- The ability of the school to be able to provide the learners with the best available opportunities to become the best they can be.
- The best possible service delivery, especially to learners.
- Whilst school effectiveness covers many aspects of school governance and school management, the most important aspects of school effectiveness are service delivery and for teachers to interpret the curriculum correctly.

The principals are of the view that the nine focus areas identified in the policy help the schools to be effective and efficient, and help schools to achieve their goals in ensuring that the learners are successful in their development. It must noted that the focus on the responses with respect to school effectiveness seems to be on learner achievement only.

A4.2 Policy Dissemination Entry Phase

A4.2.1 The Principals' Briefs from the Education Department with regards to the implementation of the Policy of Whole School Evaluation

The principals were invited to workshops which were conducted by the members of the Whole School Evaluation supervisory team. At these workshops the principals were informed that their schools had been chosen by the Education Department to undergo Whole School Evaluation.

According to the principals, the focus at these workshops was on advocacy, and a discussion of the policy documents and the process involved in the implementation of the Whole School Evaluation. The cascade model was employed in this regard.

At these workshops the principals received the policy documents with respect to Whole School Evaluation and were requested to cascade the information to their respective staff members and the respective school governing bodies.

It was clear from the responses that the principals' briefs from the Education Department were for them to implement the policy in an honest and fair manner so that a true position of how the schools were functioning would be obtained, and so that, accordingly, supportive and remedial measures/steps which might be necessary could be taken .

The principal of 2010 Primary School indicated that he was fortunate that he had been privy to the draft policy document on the implementation of the Whole School Evaluation policy, and had informed the staff of the Department's intention to introduce the policy of Whole School Evaluation, hence the school's preparedness for the evaluation when it was announced that the school had been chosen to be evaluated. The school was proactive, in that it began preparing and formalizing the compulsory school policies as was required by the policy document, as well as the related policies in meeting the evaluation criteria of the nine areas of focus.

It was very clear that the principals' roles at the workshops were merely to receive the information. Very little opportunity was presented to the principals to brainstorm and become active participants in the process. Once this process was over, the principal of Mandela Secondary school remarked that principals were left on their own.

A4.2.2 How did the Principals go about fulfilling these Briefs?

For the principals to fulfill the briefs from the Department of Education they had to conduct workshops and hold regular meetings to prepare the schools for the Whole School Evaluation.

All the principals provided a report-back to the staff and school governing bodies at a special meeting called for this purpose. At these meetings, the principals cascaded information about the implementation of the Whole School Evaluation policy, and informed attendants that the schools had been selected to undergo this evaluation. The staff and school governing bodies were also informed about the procedures and process that would be followed when the schools were being evaluated. It must be noted once again that the principals also adopted the cascade model, and that these stakeholders were active recipients of the information and offered no resistance to implementing the policy.

The principal of Soccer City Primary School indicated that it was imperative for the principal to get "staff buy-in" into this process, given the history around school and

teacher evaluations, as well as to impress upon all the stakeholders that a true and honest position of what was going on in the classroom and the school was required.

What was encouraging is that in all instances the principals engaged the stakeholders in an audit of the schools, and collectively began preparing the self-evaluation reports which the schools were required to submit to the supervisory team. The schools then began to mobilize their efforts towards addressing the areas of weakness and the areas for development as identified when the schools' self-evaluation reports were prepared.

It must be reported that whilst all the schools engaged the entire staff in the preparation of the self-evaluation reports, the principal of Mandela Secondary School prepared the self-evaluation report by himself. The principal did not involve the staff in the compilation of the report as he had only two weeks in which to complete the report. He argued that the staff did not have the time to be involved in this process as they were preparing for the June examination. He was of the view that involving them in the process of preparation of the self-evaluation report and analysis of same would have been an imposition upon the educators. He also indicated that the staff did not read the self-evaluation report that was submitted to the supervisory team by the principal. His explanation for this was that all schools were required to submit self-evaluation forms on an annual basis, and that the staff would be given the opportunity to engage in this process. It must be noted that this was a unilateral decision taken by the principal with no objection from the teaching staff. Staff input to the self-evaluation report is considered to be critical to the process.

A4.3 Related Policies

A4.3.1 Similarities and Differences between Whole School Evaluation, Systemic Evaluation and the Development Appraisal System

Generally, the principals provided a deep, insightful and impressive picture of the key focus areas of each of the policies. Responses as far as the degree of convergence between these policies is concerned were aptly described. Principals differentiated between the implementation time-frames, types of instruments, monitoring and reporting procedures, and the basic theory of action for each initiative. In the main, responses were detailed. All the principals were able to identify the main differences and similarities between Whole School Evaluation, Systemic Evaluation, and the Development Appraisal System. They did however express strong views that all three policies complemented each other, and that the implementation of the policies should not be viewed as separate processes.

The principal of Soccer City Primary School expressed the strong view that Whole School Evaluation is the one and only quality assurance initiative that focuses on the school as an entity, and embraces aspects of the Development Appraisal System and Systemic Evaluation, arguing that in Development Appraisal, the focus is on the professional development of the teacher, and in Systemic Evaluation, the focus is on the performances of the learners in the different phases within the schooling system.

The main similarity identified by the principals between the policy of Whole School Evaluation and the Development Appraisal System is that both policies have a component whereby teachers' performances in the classrooms are evaluated by a panel, except of course the panel in the Development Appraisal System is familiar to the teacher being evaluated, as the teacher has a choice in selecting the panel. This is not the case in the panel of the supervisory team in Whole School Evaluation, and this is viewed as a major difference.

A further important difference identified by the principals is that the Development Appraisal is a process internal to the school, whilst Whole School Evaluation is conducted by an evaluation team that is external to the school. The principal of Danny Jordhan Secondary School maintains that this does not mean that the Department of Education is not involved in this process. Schools will have to keep records of the appraisals completed, or those which are in progress, and inform the Department of Education accordingly.

The principal of 2010 Primary School also indicated that because DAS was mainly a process internal to the school it was easily accepted by the educators. The reasons advanced for this were that the educators were familiar with the panels who evaluated teacher performance, and furthermore, when teachers were being evaluated by the supervisory team, a teacher representative was not present. It must be stated that since then changes to the policy have been effected whereby a teacher whose performance is

being evaluated in the classroom is given an opportunity to choose another educator from the staff to be present.

A4.3.2 How did the Principals as Managers coordinate the Expectations of Whole School Evaluation Policy, the Development Appraisal Policy and Systemic Evaluation?

All the principals indicated that it was extremely difficult for them to manage the expectations of all three policies simultaneously. There was the issue of varied interpretations of the policy documents by the stakeholders, particularly with regards to DAS. With regards to DAS, all agreed that they had to contend with resistance from staff, and that DAS was not formally implemented as was required by the policy. The issue of classroom visits by the supervisory team was a sensitive issue. They expressed the concern that a peer of the educator being evaluated should be present. The workload of the school was so vast and varied that sometimes the focus fell on other aspects of schoolwork. The day-to-day management of the school demanded much time and energy, and regardless of how well the mangers tried to prioritize, it became necessary to strike a balance between accommodating the emergency needs of the school and the needs of the parents and learners, set against the normal planning of school activities.

The principal of Danny Jordan Secondary School indicated that the school was engaged with the process of implementing DAS, but that upon the school being informed that it would undergo Whole School Evaluation, the process of DAS was stopped, and the focus

of the stakeholders shifted to the implementation of the Whole School Evaluation policy as they did not know what to expect from the implementation of the latter policy. Hence the activities of DAS were suspended, in anticipation of the implementation of Whole School Evaluation. The teachers did indicate their preference for DAS as opposed to WSE.

With regards to the implementation of WSE, the principals indicated that they had no choice in determining whether to implement it or not, it was mandatory for all principals to implement it.

With regards to Systemic Evaluation, the principal of Mandela Secondary School was always checking on standards to ascertain whether the school was in keeping with the provincial and national standards.

The principals were not impressive in providing detail, though in most instances, principals could confidently state what the focus area of each policy was.

For one principal, the similarity in all three policies was that the areas of strength and development could be identified. For another principal, DAS and WSE were seen as being complementary, that is, if teachers were developed through DAS, then the Whole School Quality would also improve, although he persisted in describing the policies as "quite separate entities".

Another principal, however, displayed a superficial understanding of DAS and WSE indicating that they served to complement each other, but appeared completely confused when requested to explain how this was meant to happen. For him, the major differences pertained to the target group.

Only one official appeared to display a firm understanding of the interconnectedness as DAS was a process that would be ongoing, and one which would contribute to improving the teacher significantly, whilst WSE would occur once in a three-year-cycle. In pointing out the focus of SE and WSE, she noted that both converge because "a good functioning school will contribute to a healthy education system".

Some principals viewed Das as being firmly located with the human resource framework and the WSE within an accountability framework. SE was viewed as being political because the data obtained from this was to be used within the political arena.

They expressed that a relationship between all three policies existed because they are all about quality management and improvement – correctly pointing out that WSE is more closely linked to DAS, with the commonality being the classroom visits. They were all clear that the policies were different with regard to focus, instruments, what they measure and how they are to be implemented.

One principal had a much more diluted understanding of DAS, claiming that it was similar to WSE in that both supported the idea of professional development. His understanding of SE was very rudimentary.

Overall, the principals experienced the most difficulty in answering this question and resorted to irrelevant or inadequate responses, or simply reiterated ideas they had presented in the previous questions.

A4.4 Preparation/Training for Policy Implementation

A4.4.1 Training received by the Principals for the implementation of the Whole School Evaluation Process

All the principals received training preceding the evaluation. This training was conducted by the supervisory unit of the Whole School Evaluation team. This training was held for all schools over a two day period. The principals of the selected schools received special one day training.

A4.4.2 The Comments of the Principals on the Nature of the Training received

A major concern expressed by the principals was the lack of empowerment and capacitation of the members of the supervisory team conducting the training. The

principal of 2010 Primary School remarked "They were not empowered and capacitated to train the principals". This was further supported by the principal of Mandela Secondary who stated that, "the members of the supervisory unit were trying to engage with the policy documents whilst at the same time trying to get principals to engage with them". All were in agreement that that the training was not sufficient and substantive enough to enable facilitators to cascade the information to them and to train them as well. Thus it became necessary for the principals to consult with other principals to get clarity on aspects of the contents of the policy and the implementation procedures and practices.

Furthermore, the principals commented that members of the supervisory teams were reading from the policy documents. The principal of 2010 Primary School remarked, "we could have read the documents ourselves. Rather than providing a skeletal outline of the implementation procedures and practices, the training should have been more intensive".

By and large the training took the form of instruction and group discussions.

A4.4.3 Areas of the Whole School Evaluation Policy the Principals found difficult to translate into Practice

The principals did not experience any difficulties in translating any areas of the policy into practice, and were able to meet the requirements of the nine focus areas well. Once again, the principal of 2010 Primary School experienced difficulty in writing up the pre-evaluation report, indicating that the guidelines provided were vague, and that the design

of the self-evaluation form posed a problem in that the space provided in the form was limited. The principal had to design another self-evaluation form which provided the school with the means to record everything which it does. It became difficult to include in the forms provided all the activities that the school was engaged in.

The second major problem identified was that it was a difficult experience for the principals to implement the policy without having to disrupt the normal functioning of the school. Principals had to make contingency arrangements in respect of classroom management and classroom control.

In terms of preparing the reports, the principals delegated the function to the various committees established for the implementation of the Whole School Evaluation process. These committees completed the necessary reports and forwarded same to the principals who then collated the information provided. The principals did however provide the necessary guidance and advice where it was necessary.

A4.5 The Self-Evaluation Process

A4.5.1 What Preparations were the Principals involved in at School Level for the Self- Evaluation Process? What Training Sessions were held for Staff and School Governing Bodies, and by whom and for how long?

The staff members and members of the school governing bodies of all the schools received training in preparation for the process of implementing the Whole School Evaluation. This training varied from three sessions of 1.5 hours each to 2 hours each. In addition, short staff meetings were held on a regular basis to ascertain the schools' preparedness for the process.

The principal of Mandela Secondary School directed this function to the committees through his management staff, and in many instances, the training was conducted by the Deputy Principal and the Heads of Department, and the training sessions for the school governing body were conducted by the principal.

Special meetings were convened by the principals for the school governing bodies. The principals did not regard this as training, but solely as an opportunity for cascading the information about the implementation of the Whole School Evaluation policy. The principals expressed the view that the school governing bodies were not fully involved in all aspects of the Whole School Evaluation process, agreeing though that they needed to know exactly what Whole School Evaluation was all about.

One principal felt strongly that that the school governing body should have been more extensively capacitated and that school governing bodies should be encouraged to play a more active role in the process. The principal indicated further that:

> they, together with the staff were very anxious, as the supervisory unit did not provide the exact dates in respect of when the evaluation would take place, and

had they been informed of the exact dates then the training sessions for both the staff an the school governing bodies would have been more structured and more organized.

A 4.6 How was the Whole School Evaluation Coordinator selected?

The process of selecting the schools' Whole School Evaluation coordinator varied from school to school. At Vuvuzela Primary School, the principal was selected as the coordinator. He, however, delegated this task to the Deputy Principal to coordinate the reports prepared for each of the nine focus areas. The Head of Department of the Foundation Phase coordinated the efforts of the educators teaching in the Foundation Phase, and the Head of Department of the Intermediate Phase coordinated the efforts of the educators teaching in the Intermediate Phase. The principal then coordinated the preparation for the pre-evaluation visit. The coordination was undertaken by the principal because he was interacting with the stakeholders in preparation for the Whole School Evaluation process.

At Mandela Secondary School, no Whole School Evaluation coordinator was selected. The principal assumed this role and worked with the school's management team, forming a link between the Whole School Evaluation team, the school's management team and the school committees.

At Soccer City Primary School, the Whole School Evaluation coordinator was selected at a staff meeting. At these schools, the Deputy Principal was selected to undertake this task and at 2010 Primary, the Heads of Department were selected as the coordinators. They were however assisted by the principal.

A4.7 The Principals' Comments on Data Collection, Data Analysis and Reporting

This process varied from school to school.

The Head of Department of 2010 Primary School prepared all the reports with the Foundation Phase and the Intermediate Phase educators. The principal, together with the Heads of Department, discussed this report with the staff. There was constant interaction with the educators during this process. The principal stated however, that one of the reasons that good feedback was received from the staff, was because the instruction to implement the Whole School Evaluation was issued by the Department of Education, and the implementation of the Whole School Evaluation policy was mandatory. However, this principal did not discuss with his staff the final self-evaluation report which was submitted to the Department of Education, because he believed that there was no instruction from the Education Department to this effect. In hindsight, the principal did concede that it would have been wise for him to have discussed the report with the staff before he submitted it to the Department of Education.

At Danny Jordhan, the staff was divided into teams with each team electing a leader. The teams were responsible for collating the data, analyzing them and reporting to the entire staff. At this reporting stage, inputs from the staff were invited and discussed. The teams were also responsible for preparing new policies and updating existing ones. The final self-evaluation report was put together by the school management team with the agreement of the staff.

At Mandela Secondary School, the principal completed the self-evaluation form on his own and explained that all his teachers were busy with normal teaching and learning programmes, and that the educators were involved in all other aspects of preparing for the Whole School Evaluation. This included preparation of policies and other records required for the process.

At Soccer City Primary School, the entire staff was involved in the process. The principal convened a special meeting with the school management team to look at the areas that required clarity. Once this had been done, the principal made a presentation to the entire staff. It was at this meeting that the staff reached agreement as to what the report would contain.

A similar process was adopted at Vuvuzela Primary School. The planning for data collection, analysis and reporting for the self-evaluation process was a collective effort. Every member of staff contributed to the preparation of the self-evaluation report. Committees were formed, and the staff was allocated to the different focus areas which

were to be reported on. The school evaluation coordinator collated all the information and prepared the final report.

A4.8 The External Evaluations

A4.8.1 Support received by the Principal in preparation for the External Evaluation

This was a huge area of concern for the principals. For the Whole School Evaluation policy to be implemented smoothly, it required support from the District teams. This support was not forthcoming, both in terms of assisting the school with their levels of preparedness, as well as providing pastoral care to the principals and staff.

All the principals recorded their disappointment at the lack of, or no support received from the Education Department in preparation for the external evaluation. The principal of Irvin Khosa Junior Primary School commented that the Superintendent of Education visited the school once before the external evaluation stating that he was confident that the school would be prepared for the external evaluation. It is clear that the principals were disappointed, as they had expected much more support from the Superintendents of Education than was actually received.

The principals were informed that they would receive support from the District Support Teams, but the support from the District Support Teams or the Superintendents of Education was not forthcoming. The principals were upset, disappointed and disillusioned. It must be stated that the principals were expecting full support at least

from the Superindents of Education (Management), as the Superintendents of Education (Management) are the first line of communication for the principals, and it is to the Superindents that all the principals are accountable in respect of the management, administration and governance of schools.

It is clear that the principals were disappointed and that they had expected much more support from the Superintendents of Education.

A4.8.2 Principals' preparation of the Schools for the External Evaluations

A4.8.2.1 Training received by the Staff for the External Evaluation Process and the Nature thereof

The moment schools were informed that they had been chosen to be evaluated, the principals began to prepare the staff for this. The preparation of the staff for the evaluation took different forms. The principal of Danny Jordhan Secondary School held regular management meetings and put management plans in place in terms of what the school had to do to be ready for the evaluation. The staff met once a week to assess progress so as to ensure that the school met the requirements of the nine focus areas. These meetings were designed to assess progress in preparation for, and to ensure that all the requirements of the Whole School Evaluation were met. The meetings were held to resolve issues that were raised by the staff, and to review and formalize the various school policies.

At 2010 Primary School, the educators received training which was conducted by the principal of the school, while at Irvin Khosa Junior, a level one educator and the Head of Department received training by the supervisory unit. They returned to school and cascaded the information to the staff. This training took the form of workshops and training sessions, and at Mandela Secondary School, one educator representative and the principal were invited to a one-day training seminar conducted by the Department of Education. This training was also a form of advocacy and a preparation session for the formal evaluation. They returned to school and held training sessions with staff members.

According to the principals, some of the members of the staff felt that the training was adequate, while others viewed the training as not being substantive.

A4.8.2.2 Training received by the Principals in preparation for the External Evaluations

Some of the principals did not receive any formal training before the external evaluation, but considered the workshops that they had initially attended as advocacy for the implementation of the Whole School Evaluation policy.

Many of the principals did attend a two-day training workshop where the procedures for the formal evaluation were discussed, and which included the procedures the members of the supervisory unit had to adopt before gaining entry to the schools.

The principal of Mandela Secondary School also attended a two-day training workshop before the formal evaluation took place. He considered this training effective. He considered it fortunate that the Regional Director of the Department of Education was present, as well as the officials who were responsible for drawing up the policy on Whole School Evaluation. An explanation of the significance of the implementation of the policy of the Whole School Evaluation and how the policy was developed was provided. Each official was given an opportunity to comment on their role in the formulation of the policy. The principal also used this opportunity to obtain further clarity on the policy documents and the process to be followed when the formal evaluation took place.

Officials who were responsible for the formulation of the policy should be given an opportunity to be present at all such meeting/workshops, as well as union officials.

A4.8.3 The Principals' Descriptions of what actually happened during the External Evaluation Process

A4.8.3.1 The Principals' Views of the Pre-Evaluation Visits

In all instances, the principals were informed as to when the pre-evaluation visits would take place. The principals considered the pre-evaluation visits to be cordial and fruitful, and a pleasant experience. The pre-evaluation visits were also executed in a very professional manner, because the Whole School Evaluation team was engaging in this

process for the first time in a formal capacity; it was also a form of training, hence the staff and the Whole School Evaluation supervision teams were engaged in a new learning experience.

The supervisory units interacted with the principals in respect of how the formal evaluation was to take place. The principals indicated that the interaction was mutually beneficial. During the pre-evaluation visits, the supervisory teams discussed with the Whole School Evaluation coordinators and the principals ground rules for the evaluation process. The supervisors also addressed the staff members. According to the principals, the pre-evaluation visits were reassuring for all the stakeholders involved in the process. The pre-evaluation visits provided a sense of relief for the stakeholders of the schools as they had expressed some fear and anxiety.

At these pre-evaluation visits, the supervisory units took documentation e.g. school policies and other documents relating to the management and governance of the school, as well as the school time tables. The team leaders indicated to the principals that a time-table would be provided to them indicating the times and periods when they would be visiting the teachers in the classes to evaluate their performance.

All in all, this process was undertaken by consensus and agreement with all concerned.

A4.8.3.2 Issues that surfaced in the Staff Room Discussions during the Evaluations

At 2010 Primary School there were discussions on the non-participation in the formal evaluation process by educators belonging to the South African Democratic Teachers Union. Views were expressed by the staff that the supervisory team should abandon the evaluation process until such time as the issue of evaluating teacher performance in the classroom had been addressed by the Department of Education and the teacher unions. The tension between the educators who were participating in the process and those who were not was visible, hence comments in the staff room were kept to a minimum. This did, however, place the principal under immense stress, as this was a source of conflict that had to be managed. However the teachers who participated in the process indicated that the initial fears that they had had about the school being evaluated were allayed.

At Irvin Khosa Junior Primary School the staff displayed feelings of anxiety, but as the evaluation progressed, it became acceptable to the staff, and the views expressed by the staff were that the team could come at any time, even unannounced, and the staff would be prepared for the evaluation, because they were already engaged in what the Whole School Evaluation policy required of them.

The principal of Soccer City Primary School indicated that he does not spend much time in the staff room, but that the general impression was that this policy should have been implemented 20 years ago. He indicated that the staff was very positive and they felt strongly that it was a good instrument to evaluate the performance of schools. The staff had expressed concern that the support from the District Support Team would not be

forthcoming. This concern was based on past experience, as the school had received poor support from the District Office previously. The educators were also very pleasantly surprised at the nature of the evaluation as opposed to what some of the senior educators had previously been exposed to in terms of inspections of teachers.

At Mandela Secondary School the principal had to reassure the staff that the Whole School Evaluation was an evaluation of the schools' performance against the nine focus areas, and not an evaluation of the performance of individual staff members, and that the external report produced would focus on the performance of the school. The staff needed the assurance and the principal provided it. The educators were surprised with how the process actually unfolded, and discovered that the initial fears and anxiety that they had had were unfounded.

The teachers did, however, express their disappointment that the supervisors had not made their presence felt on the sports field to evaluate the school's sporting programmes, and also to get an insight into the level of commitment that educators displayed in the extra curricular activities of the school. They were, however, pleasantly surprised as to the nature of the evaluation as opposed to what some of the educators had previously been exposed to in terms of inspections of educators.

A4.8.4 The Principals' Accounts of the Day-by-Day Evaluations

The principals' responses varied. For the principal of 2010 Primary School, the process was very demanding. He was informed by the Secretary General of the South African Democratic Teachers' Association that members belonging to the Union would not participate in the process. Fifty percent of the staff members did not did not want the supervisors to evaluate their teaching performance in the classroom. The supervisory unit then wanted to double up the supervision of teachers by evaluating the performance of those teachers who were participating on more occasions than stipulated in the policy document. The principal felt that this was not fair practice. This put the principal under severe stress. The team leader insisted that the classroom visits to those teachers participating in the programme be increased. The principal was forced to take a stand and informed the supervisory team that if they insisted on doing so, he would have no option but to withdraw the school from the process. The evaluation team withdrew this request. The principal was also disheartened with the teachers who did not want to participate in the evaluation process, and what was also disturbing for the principal was that the team leader wanted to interview, in private, the teachers who withdrew from the process.

At the Irvin Khosa Junior Primary School the principal indicated that the members of the evaluation team were very professional and adhered to the code of conduct as stated in the policy. The evaluation of the school proceeded smoothly without interruption to the school's normal teaching and learning programme.

At Mandela Secondary School, the principal was absent for the first two days of the evaluation and he indicated that he was very disappointed, and regarded as it being most

unfortunate. His absence did create a problem, because the supervisory unit found it difficult to comprehend the school's time-table, and they spent much time trying to understand the structure of the time-table. However, he indicated that the evaluation proceeded smoothly, but was of the view that the evaluation team should have spent more time with the staff members who had headed the various committees which were involved in the preparation of the requirements for the nine focus areas.

The principal indicated that he managed an institution that was not typical, and felt very strongly that the supervisors should have become involved in the corporate life of the school. The principal was very disappointed that during the evaluation the school had held a scheduled parents' evening which the supervisors were invited to attend, but had not attended, saying that they had 'other things to do' and that they 'had lives to lead'. The principal was of the view that this was the perfect opportunity for the supervisors to interact with the parents, and to get first-hand experience from the parents as to how the school was performing. The principal believed that the members of the evaluation team "missed out on the hands-on feel of the school on two opportunities."

The principal also felt that his school was very unique and was innovative in many ways. The supervisors were assessing the school strictly in terms of the focus areas, and were not recognizing the innovativeness of the school. They wanted to see only those elements required by the Department of Education.

The principal of Danny Jordhan Primary School stated that the supervisors were very thorough and looked at all aspects of the management and governance of the school. "They had sacrificed their time, spent long hours at school, arriving very early in the morning and leaving late in the afternoon." The supervisors focused on what they were supposed to focus on, and undertook a very detailed analysis of the governance and management of the school. The principal was very encouraged by the positive attitude displayed by the supervisory team. The staff was drawn to the realization that the supervisory team were not engaged in a fault-finding mission, but were engaged in a process that would assist in the development and improvement of the school.

There was much tension when the process began, but as the evaluation progressed, the staff felt more at ease, as the supervisors and the staff would meet informally and discuss issues of a diverse nature. The atmosphere became more congenial, so much so, that in a short while the Whole School Evaluation team was regarded as part of the school community.

The principal of Vuvuzela Primary School stated that the Whole School Evaluation process was a positive experience and that school activities continued as normal. The normal routine of the school was not disrupted, the supervisory team was not invasive at all, and they proceeded with their activities in a very unassuming manner.

A4.9 The External Evaluation Process

A4.9.1 Who reported, and what was reported during the Oral Reporting Stages

The oral report was presented to the school principals, and in some instances to the principals and the school management teams first, and then to the rest of the staff. At the oral reporting stage, the strengths of the school were highlighted and then the areas in which the school needed development were identified. The team leader provided the overall report. Each member of the supervisory team was provided with an opportunity to present his/her findings. This then formed the overall report at the oral reporting stage.

A4.9.2 What Views were expressed by the Principals and the Staff during the Week following these Evaluations?

The principal of 2010 Primary School was very disappointed in the manner in which the evaluation proceeded. He believed that the evaluators were looking for " 'what they knew best' - one of the evaluators was an Afrikaans subject specialist and was concentrating on the evaluation of the teaching and learning of Afrikaans, and the team leader, being an ex-principal, was basing the evaluation on how she had managed the institution she was appointed at". The staff members at this school who did not participate in the process were very professional in that they did not hijack the process. This was appreciated by the principal. The teachers who participated in the process expressed relief that the process

was over, but were disappointed about the comments made during the oral reporting stage as they had worked very hard.

According to the principal of Soccer City, the staff stated that "there was nothing to fear about the evaluation and that the staff was very happy at the fact that they worked consistently and that this hard work paid off'. They were of the opinion that such evaluations were welcome at the school.

However the principal and staff of Mandela Secondary School felt very strongly that the evaluation team had missed out on wonderful opportunities that presented themselves in respect of how the school organized its special programmes, and the kind of interaction it had with the community.

The major concern expressed by the principal of Irvin Khosa Primary School was the non-existence of certain policies, and that the school had not documented some of the policies it had implemented. The staff then decided to meet regularly to formulate the policies that the school did not have, as well as to document policies that existed, but were yet not in written form. The staff began with this exercise the week following the evaluation with much enthusiasm.

The Principal and staff of Vuvuzela Primary School expressed relief that the process "was not bad as they had expected". They expressed some fears before the process because it was like "treading into the unknown - what is Whole School Evaluation - how

does it differ from inspections of the past?" and according to them, the only way they could discover the difference was by going through the process.

A4.9.3 What Issues were raised in the Formal Written Report?

The issues raised in the formal written report varied form school to school. These issues are tabled below.

Name of School	Issues raised in the Formal Written Report
Irvin Khosa Junior Primary School	The lessons taught by the educators were teacher-centred. The non-existence of a finance committee and its critical function. Non-completion of the details in the daily attendance registers for learners. Policies formulated and developed by the school need to be formalized.
Mandela Secondary School	The non-implementation of DAS. The absence of employment contracts for educators appointed by the school governing body. Poor classroom control. No lesson plans kept by the teachers.

Soccer City Primary School	The school did not cater for learners whose home language is not English. The school needs to develop a more user-friendly assessment policy for the foundation phase. Measures for relief teaching must be put into place. The school must make provision for a separate access point for learners and motorists.
Vuvuzela Primary School	Lack of time for the school management team to carry out their duties as expected – as all the Heads of Department are also form teachers and this leaves them very little time to engage in management duties. Time needs to be made for Heads of Department and Deputy Principals to carry out their duties effectively.
2010 Primary School	The assessment of the school as 'good' inaccurately describes the school's improvement and development over the years. Evaluators had not taken into account the school's gradual development, nor the facts indicated by the self-evaluation report. The evaluation team had not been objective which had affected the outcome of the evaluation.
Danny Jordhan Secondary School	The school was satisfied with its 'good' assessment. Lack of financial support is a factor in the failure to give effect to all of the school's many improvement plans.

Table 7. Issues raised in the Formal Written Reports

A4.9.4 What Views were expressed by the Principals and the Staff on the Issues raised in the Formal Written Reports?

The views expressed by the principals and staff of the schools varied.

The principal of Vuvuzela Primary stated that it was not possible for him to create time for the Deputy Principal and the Heads of Department of the school to engage in management functions, because this meant that the school would have to employ more teaching staff. He indicated further that the school did not have the financial resources for this. The principal was also of the view that the report contained too many generalizations.

At Mandela Secondary School, the principal and staff were very disturbed at the fact that the written report took a long time to reach the school despite enquires made by the principal. The principal was of the view that the school was required to stick to time-frames when implementing the policy, but that the Department did not stick to these time-frames. The principal and staff found this practice unacceptable.

The evaluation team had raised the issue that teaching at the school was too teacher-centred and the principal expressed reservations about this issue, indicating that staff did not take an aggressive approach and he did not challenge them formally on this issue .The

principal was unaware that he could lodge an appeal against some of the issues which had raised concerns.

The principal of 2010 Primary School indicated that the school had prepared well for the evaluation, and that the staff was very disturbed that the school had only received a 'good' assessment. The stakeholders of the school expected a better assessment. The main concern expressed by the principal was that the evaluators did not look at how the school had developed over the years, and had not studied and analyzed the school's self-evaluation report to determine how the school was functioning.

According to the principal and staff the school is performing at an excellent level, and to be given a 'good' assessment indicates that no synergy exists.

The 'good' assessment received by the school was not acceptable to the principal, staff and the school governing body. The principal is of the view that it de-motivated the stakeholders of the school, saying that "It did not contribute to the development of the school", adding that "the evaluation had the opposite effect of the goals of Whole School Evaluation – although it was supposed to have developed the school the evaluation demoralized the educators as well as me".

The staff at Mandela Secondary School accepted the main issues highlighted in the formal written report, and began almost immediately to put programmes in place to address the areas in which the school required development. The staff was upset with the

rating given to the school. By being given a rating of 'good', they felt it was a clear indication that the school was not perfect and that the school was not doing its best. The evaluation team also highlighted the non-implementation of DAS.

The principal of Mandela Secondary School set up a meeting with the Director to discuss issues raised in the formal written report, as he considered that the report was unfair in some areas, and that it contained too many generalizations. During this meeting clarity was obtained in some areas of the report.

At this meeting the principal advised the Director of the changes that needed to be made in the formal written report and what the structure of the report should be. The principal did receive a positive response, but was not sure whether these changes were effected because he did not receive a revised report.

The principal and staff of Soccer City Primary School felt that the issues raised in the formal written report were justified. The school could not defend the issues raised, and the principal and staff acknowledged and accepted that the school needed to improve in the areas highlighted.

The principal and staff of Irvin Khosa Primary School reacted positively to the issues contained in the report, because the staff was aware of the strengths of the school and the areas in which the school needed development. The staff was aware of the findings and had already begun working on them.

A staff meeting was convened and the contents of the reports were discussed. The staff then began to prioritize the areas in which the school needed development. The staff however expressed concern at the fact that the school required development in certain areas.

A4.9.5 What Views were expressed by the School Governing Bodies?

The Chairperson of Danny Jordhan Secondary School was excited that the school had received a 'good' assessment. According to the principal, the chairperson of the school governing body is empowered and capacitated with regards to issues concerning governance and management of schools, and is a very active member of the District Circuit team of school governing bodies. During the advocacy of the Whole School Evaluation, the Chairperson of the school governing body made representations on behalf of the school. The presence of the chairperson during the formal external evaluation was encouraging and inspiring to the staff.

The Chairperson of Irvin Khosa Junior Primary School was also very excited and complimentary that the school had received a good report. A letter of commendation was forwarded to the principal and staff for their efforts, and the Chairperson of Soccer City Primary School was very pleased that the Whole School Evaluation team, an external body, confirmed his view that the school was functioning effectively.

The Chairperson of the School Governing Body of 2010 Primary School was happy that the evaluation of the school was over, and that the school had received a good report as he was actively engaged in many of the school's programmes.

The Chairperson of Mandela Secondary School was very excited that the school was performing well, but was disappointed at the school receiving a 'good' assessment. He was of the view that the school was performing excellently and should have received a better assessment.

The chairperson of the School Governing Body of Vuvuzela Primary School felt that the process was fair, and felt strongly that as chairperson of the School Governing Body he should have done more to encourage and involve members of the community in the affairs of the school.

A4.10 Phase Five Post-School Evaluations

A4.10.1 Description of the Selection of the School Development Teams

A4.10.1.1 Composition

In all the schools, the school development teams were comprised of the principal members of the school management teams and representatives from the staff. The members of the school management teams and the staff representatives were elected at

staff meetings. It must be remembered that the school development teams were to consist of members of the school governing body, parents and learners as well as members of the District Support Team if they were available.

A4.10.1.2 The Activities

The staff development teams were responsible for drawing-up the school improvement plans once the Whole School Evaluation was over. The school improvement plans were to be submitted to the Department of Education. All schools received training on how to develop school improvement plans.

The staff development teams coordinated the efforts of drawing up the school improvement plans. The school development teams met on a regular basis to draw up the school improvement plans. Staff meetings were held to brief the staff and to obtain the staff input in this process. All aspects of school governance were brain-stormed, and the areas which required development were also discussed and a SWOT analysis of the school was undertaken. Based on this SWOT analysis and the issues raised in the formal written report, the schools developed the school improvement plans and submitted same to the Education Department.

Based on these school improvement plans, the staff began developing programmes to give effect to the school improvement plans.

A4.11 Phase Six: Implementation of the School Improvement Plans

The Department of Education did not acknowledge receipt of the school improvement plans of all the schools by date of writing this thesis. After the evaluations, no officials from the District Support Teams visited the schools. The schools continue to support themselves.

The principals requested assistance from the District Support Teams, and, to date, the schools have received no such assistance. The principals of all the schools find this situation disturbing and unacceptable.

A4.12 The Main Obstacles experienced by the Principals in the implementation of the Whole School Evaluation Policy

The main obstacle experienced by the principal of 2010 Primary School was the refusal of the educators belonging to the South African Democratic Teachers' Union to participate in the Whole School Evaluation process when the formal evaluation of the school was due to commence. He stated "the insistence by the team leader to double-up the supervision of teacher performances in the classrooms of teachers who were participating in the process was an obstacle to the smooth implementation of the process". This insistence by the team leader also placed the educators who participated and the principal under severe stress. The principal felt that if the educators objected to the classroom visits by the supervisors, the supervisors should have abandoned the

evaluation and returned to undertake the evaluation after agreement between the Education Department and the Education Unions had been reached in this regard.

The insistence by the team leader on interviewing the teachers who did not participate in the process in private was another obstacle experienced by the principal, who added that the leader of the Whole School Evaluation team had acted in an unprofessional manner. The principal was of the view that greater appreciation should have been shown by her in understanding the dynamics of the school.

Another concern the principal of 2010 Primary School had was with regard to the objectivity of the evaluation, adding that "the members of the evaluation team had preconceived ideas when they came to evaluate the school and based their evaluations on their own experiences as principals and subject advisors". The principal stated further that "this questions their objectivity, as I am of the view that the supervisory team must give due consideration to the uniqueness of each school".

Other obstacles the principals experienced included:

- The ineffectiveness of the cascade model in advocating the policy of Whole School Evaluation.
- The principals stated that "the fact that the educators as a group were not trained by the Department of Education was seen as an obstacle, as the cascade model used in advocating the policy was not effective".

- A huge time-gap ensued from when the announcement was made that the schools had been chosen to be evaluated, to the time when the actual external evaluations took place.
- The lack of transparency by the Whole School Evaluation teams.
- The schools received no acknowledgement for the various successes they had enjoyed as they developed over the years.
- Non-adherence to the procedures and guidelines that guided the Whole School Evaluation process.
- The Whole School Evaluation was disruptive to the normal function of the teaching and learning programme of the schools.

The principal of Mandela Secondary School considered the fact that the Whole School Evaluation team did not focus on the corporate life of the school as an obstacle:

> The Whole School Evaluation team did not focus on the corporate life of the school – non-attendance at sport programmes and highlighting of the school's achievements in same, as well as non-attendance by the team at a parents' evening, which provided them with the perfect opportunity to interact with the parents and obtain from the parents further information about the school was not acceptable.

The principal of Danny Jordhan Secondary School commented on the lack of financial support from the District Support Team to give effect to the school improvement plans e.g. by addressing the shortage of classrooms, the provision of a physical science

laboratory and a library. Despite the document stating that once a school is evaluated the District Support Team will provide support to the schools in areas where they require development, this support was not forthcoming. The Principal saw this as "a huge gap in the policy and an obstacle to the principal in ensuring the successful implementation of the whole school evaluation policy".

The principal of Vuvuzela School saw the following as obstacles to the successful implementation of the whole school evaluation policy:

- Although the Department of Education claims that it has the money available for the creation of the support structures, these structures do not exist.
- A lack of coordination between the Whole School Evaluation team, the District Office and the school.
- The absence of staff from the District Support Team and the absence of the District Manager during the advocacy of the Whole School Evaluation policy.
- The inability of the District Support Team to provide support to schools in areas where the school requires development.

The main obstacle experienced by the principal of Soccer City was opposition to the implementation of the Whole School Evaluation policy from the staff. The staff, however, eventually accepted and participated fully, following interventions and motivations from the principal.

The lack of feedback and support from the District Support Team was the main obstacle experienced by the principal of Irvin Khosa Primary School. This was unacceptable to the principal, as he believed that "the school executed their functions as a school in respect of the process, but that he did not receive the promised support from the District Support Team as indicated in the Whole School Evaluation policy document".

A4.13 What were the Main Opportunities the Principals saw in the implementation of the Whole School Evaluation Policy?

Very mature responses were received from the principals with regard to the opportunities they saw in the implementation of the Whole School Evaluation policy. The proactive nature of the principal of Danny Jordhan Secondary School was impressive.

The principal acted strategically in that he used the external evaluation report as a marketing tool for the school. Utilizing the external report from the Department of Education and the school improvement plan, he began to engage in networking programmes with local businesses, commerce and industry. To this end the principal organized a workshop for all the stakeholders of the school sponsored by local business, the aim of which was to determine what skills the school needed to effect the school improvement plan.

The school also engaged the Anglo American Cooperation, and once again the external report and the school improvement plans were used as marketing tools. The school was

successful in its attempts, as the Anglo American Cooperation built the additional classrooms that were required by the school. The principal explained that he had to adopt this strategy as "there was no assistance from the District Support Team".

The Whole School Evaluation at 2010 Primary School revealed that the school was performing well. Although the principal was disappointed that the supervisory team did not take cognizance of the fact that the school was networking both locally and internationally, and that the school has its own website, the principal saw an opportunity to use the external report to market the school locally and internationally.

The opportunities the principal of Irvin Khosa Primary school saw in the implementation of the Whole School Evaluation were:

- The development of a school improvement plan which did not exist previously.
- The opportunity to document and formalize the school policies which are so vital for good governance and best practice.
- It provided the school with an opportunity to be evaluated by outside personnel.
- It also provided the school with an opportunity to develop the whole school in terms of the nine focus areas.

According to the principal of Vuvuzela Primary School, the implementation of the Whole School Evaluation policy brought all the stakeholders of the school together in sharing a common vision for school improvement. It encouraged the stakeholders to commit to developing the school further.

He indicated further that the instruments used in the evaluation enabled him to reflect on the performance of not only the school, but also his performance as principal and manager of the school in determining the strengths and weaknesses of both the school and of himself.

The principal of Soccer City saw in this process a wonderful opportunity for the school to assess its own effectiveness in terms of what it has achieved. It created an awareness of a need for the school to engage in continuous self-evaluation. The principal felt that although the process had not achieved much in terms of the lack of support from the District Support Team, it pointed the principal towards the realisation that self-evaluation is an important and ongoing process.

The principal found the process helpful because it assisted him in re-evaluating his role as a principal, acknowledging that quite often as a principal he "focused on one aspect of school management and tended to neglect other important areas". However, the Whole School Evaluation policy and its focus on the nine areas forced him to re-evaluate his role as a principal, and his assessment of his performance and that of the school. The principal found many gaps in his management of the school during the Whole School Evaluation process of self-evaluation, and began to address the gaps that existed in a constructive manner.

Implementing the Whole School Evaluation policy gave the principal of Mandela Secondary School an opportunity to evaluate the school's performance internally, and to compare it with that of the report from the external evaluation team, and an opportunity for the school to be evaluated by an external evaluation team. The principal and staff saw this process as an opportunity for personal growth and the improvement of the school.

A4.14 General

The principals did not recommend any alternatives to the policy but made the following recommendations:

- That the superintendents of Education Management are empowered to visits schools, and should play a more active role in the governance and management of schools.
- The lack of support from the District Support Teams was highlighted. The District Support Teams must provide support to the schools, the nature of which is highlighted in the policy documents.
- The critical area that needs to be addressed is the role and non-functionality of the District Support Teams.
- The policy will not achieve its desired objectives if there is no support from the District Support Teams in providing assistance to schools to develop and improve, particularly in the areas identified in the report as areas of weakness, or areas which require development.

- The Whole School Evaluation policy is a functional policy and its successful implementation depends upon support from the District, Regional, Provincial and National offices of the Department of Education.
- That the critical and pivotal role-function of the District Support Team must be cascaded to all the stakeholders in a deliberate and purposeful manner.
- Schools that receive good reports should be acknowledged.
- The education department should acknowledge receipt of the school improvement plans timeously.
- Feedback from the Department of Education in respect of the school improvement plans submitted to them should also be received timeously by the schools.
- It will become necessary to fine-tune the policy as problems arise during its implementation.
- The critical factors of the lack of financial and human resources need to be factored into the evaluation process.

The constraints facing policy implementation were varied and numerous. Some of the constraints may be regarded as unique to specific schools and the experiences of specific principals, while other problems were experienced similarly across different schools.

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To Whom It May Concern:

STATISTICAL CONTENT of PhD RESEARCH: Mr R. NEERACHAND

This is to certify that I have examined the statistical content of Mr Neerachand's research and I am satisfied with the quantitative and qualitative analysis that has been done.

Sincerely

D. Singh