UNIVERSITY OF KWAZULU-NATAL

THE ROLE OF SCHOOL PRINCIPALS IN BUILDING CAPACITY OF THE SCHOOL GOVERNING BODIES TO MANAGE SCHOOL FINANCE IN PRIMARY SCHOOLS

BY

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A dissertation submitted in partial fulfilment for the Masters of Education Degree in the Discipline of Educational Leadership, Management and Policy, School of Education, University of KwaZulu-Natal

OCTOBER 2020

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DECLARATION

I, **Zamatolo Nontuthuzelo Xulu** declare that:

i. The research reported in this thesis, except where otherwise indicated, is my original work.

ii. This thesis has not been submitted for any degree or examination at any other university.

iii. This thesis does not contain other persons' data, pictures, graphs or other information unless specifically acknowledged as being sourced from other persons. Where other written sources have been quoted, then:

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Researcher: ▮▮▮▮▮▮   **Date: 31 October 2020**

Zamatolo Nontuthuzelo Xulu

SUPERVISOR'S STATEMENT

This dissertation has been submitted with/~~without~~ my approval

Signature: ███████████   **Date:** 16/11/2020

ETHICAL CLEARANCE CERTIFICATE

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INYUVESI YAKWAZULU-NATALI

01 August 2019

Mrs Zamatolo Nontuthuzelo Xulu (218082433)
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Dear Mrs Xulu,

Protocol reference number: HSS/0519/019M
Project title: The role of school principals in Building Capacity of the School Governing Bodies to manage school finances
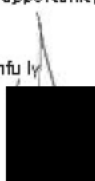
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In response to your application received on 20 April 2019, the Humanities & Social Sciences Research Ethics Committee has considered the abovementioned application and the protocol has been granted **FULL APPROVAL**.

Any alteration/s to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number. PLEASE NOTE: Research data should be securely stored in the discipline/department for a period of 5 years.

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I take this opportunity of wishing you everything of the best with your study.

Yours faithfully

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Dr Rosemary Sibanda (Chair)

/ms

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cc Academic Leader Research: Dr Ansurie Pillay
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DEDICATION

Firstly, I dedicate this thesis to my God who has given me strength till this far. I have been through a lot while doing my research but God has been holding me with His loving arms.

Secondly, I dedicate this work to **Zakhele Miya, Monde Shange, Siphesihle Xulu, S'nethemba Xulu and Nomusa Mlalandle.** They were my strong supportive system. I wish God can keep them, so that they see more graduations including themselves.

Thirdly, I dedicate this work to my sisters, my PRP sisters and my mentors **Buyi Mthembu and Lucky Ncobela.**

ACKNOWLEDGEMENTS

ABSTRACT

The role of the school principal is becoming more complex because of rapid changes in school leadership, management, governance and policy. One of the other roles that school principals should play in their schools as leaders is to empower stakeholders especially School Governing Bodies. This study sought to find out if school principals did capacitate SGB members regarding matters that pertain to financial management. As part of this aim, the study would describe how school principals' role in building capacity in SGBs be improved in financial management and also examine the strategies that school principals use in building capacities of school governing bodies in managing finances.

This study is qualitative in nature and case study design was adopted to guide it. Three primary schools were used to conduct the study. All three schools were purposively and convenience sampled. The study was underpinned by interpretive paradigm. Data was generated using semi-structured interviews, documents reviews and observations. The literature highlighted the experiences of school principals in finance management concerning capacity building of SGBs. Transformational leadership theory was used as a framework to understand school principals' efforts at capacity building. The findings suggest that school principals did not in any significant way, build capacities of the SGBs to manage finances. The role they played in this regard was limited to giving feedback on information solicited in the workshops provided by the Department of Basic Education. Such limited role was due mainly to the lack of financial management expertise of school principals. These findings indicate that more still needs to be done to capacitate school principals first before this can be extended to SGBs in a significant manner.

ABBREVIATIONS AND ACRONYMS

APS	Anelisiwe Primary School
CEO	Chief Executive Officer
DoE	Department of Education
DBE	Department of Basic Education
EEA	Employment of Educators Act
ELRC	Education Labour Relations Councils
HOD	Head of Department
LTSM	Learners Teaching Support Material
MEC	Member of the Executive Council
MPS	Monde Primary School
PAM	Personnel Administrative Measures
PFMA	Public Finance Management Act
PGCE	Postgraduate Certificate
RSA	Republic of South Africa
SASA	South African Schools Act
SASAMS	South African School and Administration Management Systems
SGB	School Governing Body
SGBs	School Governing Bodies
SDCs	School Development Committees
SPS	Siphesihle Primary School

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CHAPTER ONE

ORIENTATION OF THE STUDY

1.1 Introduction

Globally, the role of the school principal is becoming more complex because of rapid changes (Mestry, 2017). Financial management is one of their responsibilities as accounting officers in schools and also, they are expected to play a prominent role in ensuring that School Governing Bodies (SGBs) are able to perform their duties, including financial management as mandated by Section 19(a) and (b) of the South African Schools Act, No. 84 of 1996, hereafter, the Schools Act (Republic of South Africa [RSA], 1996). Effective financial management is critical for schools to run efficiently, and SGBs in many schools have been found to be less competent to manage school finances (Marishane & Botha, 2014). Similarly, it is not clear if school principals are aware of their responsibilities of ensuring that members of the SGB are adequately skilled to perform that task. This is the genesis of my interest in carrying out this research project. I wanted to find out if school principals play that role of building capacity among members of the SGB, and also understanding how they play such a role if at all they do. Various scholars have different views about capacities of the SGBs in carrying out their financial management mandate. For example, Mestry (2017) believes that members of the SGB may not have had much experience regarding financial matters. Similarly, on the functioning of School Governing Bodies (SGBs) in South Africa, Semenya and Phago (2013) conducted a study which sought to understand the kind of capacity and skills that are required for the School Governing Body (SGB) members, whose responsibility is to play an oversight role on school financial management.

The aim of this chapter is to introduce the study, including explaining the research problem. Therefore, I begin by outlining the background to the study, giving the statement of the problem and the rationale for the study. Through this chapter, I move to highlight the significance of the study, state the objectives of the study, as well as the research questions. The clarification of key concepts and limitations of the study follow thereafter. Before I conclude the chapter, I provide an outline of all the chapters that constitute the dissertation, and a chapter summary brings chapters to an end.

1.2 Background of the study

Decentralising the purposes of financial management and meet the expenses of a potentially large-range of financial decision-making powers to SGBs has become an important strategy aimed at school improvement and school effectiveness (Marishane & Botha, 2014). Van Deventer and Kruger (2003) concur that by decentralising the functions of financial management to public schools provide educational stakeholders (teachers, parents, learners and the broader community) with the opportunity and power to improve and develop their schools. According to Van Rooyen (2012) and Van Wyk (2007), the shift to decentralised school governance requires SGB members to develop a wide range of knowledge, skills and capacity to deal with the complex issues and tasks they are expected to fulfil. Therefore, the issue of skills audit of these stakeholders is important, and so are intervention endeavours should it be found that there are weaknesses in this regard. However, it looks like little attention has been paid to why many SGBs in schools, especially those schools in Quintile 1 up to Quintile 3, lack knowledge and skills of financial management. I say this because, the majority of public schools fall within these quintiles and many of them do not enjoy Section 21 status which gives them additional power to do many things (Mestry & Bisschoff, 2009). Additionally, we do not know if school principals are playing the role of capacity of SGBs when it comes to financial management. That is why the focus of this study is on the understanding the role that school principals play in capacitating SGBs members in relation to financial management as it is the school principal's role according to Personnel Administrative Measures (PAM) (RSA, 1998).

1.3 Statement of the problem

The Department of Education (DoE) introduced the Schools Act which gives SGBs considerable powers and responsibilities with regard to school governance issues. Section 20 of the Schools Act stipulates specific duties of the SGB with regards to school governance. Among those duties, school finance is one of the four mandated areas. According to Mestry (2017), control of finance is the responsibility of both the SGB and the school principal. Section 19 provides for the training of the newly selected SGB members and for their continued capacity building. However, Gokar (1998) argues that there is absence of capacity building programmes. Personnel Administration Measures 170 of 1998 (PAM) determined in terms of the Employment of Educators Act 76 of 1998 (RSA, 1998) requires that amongst others, school principals should be held responsible for giving proper day-to-day administration and learning

at the school. School principals shall perform DoE responsibilities prescribed by law. School principals may assist rendering support to SGB members (Dibete, 2015). Dibete (2015) further points out that SGB members lack the skill of managing finances and it is because there are no programmes for empowerment. Given this, the purpose of the study was to ascertain how school principals capacitated SGB members pertaining to financial management. The focus is to explore how school principals demonstrate their financial management skills and knowledge by training SGB members as per departmental requirement. In the quest to understand if school principals do build capacities of the SGB members, the study also sought to understand if school principals were aware of such a heavy responsibility, given their other responsibilities relating to professional management of their schools.

1.4 Rationale for the study

The leadership role of the school principal is widely regarded as the primary factor contributing to a successful relationship between school reforms and school improvement (Botha, 2015). School principals are required to lead and empower all stakeholders in alternative ways to keep up with the new challenges, expectations and demands of the school. To affirm the new roles, the Schools Act particularly, Section 16a and its amendments (RSA, 1998), has mandated school principals to provide leadership and management in public schools. My personal experiences in the school at which I work, in full of negative stories. I have not seen SGB members being in control of issues concerning school finances. I have seen SGB members even during parents' meetings, trying to avoid discussing financial matters.

The lack of hands-on approach in the SGB handling of school matters is not limited to financial issues only, but spills over to other areas, and that implies general apathy towards school's activities. For example, during sports day, it is a usual phenomenon to see SGB members looking like visitors whereas, they should be busy with activities such as fundraising as is one of their fundamental responsibilities. One question that comes to my mind is, are they being trained or empowered in financial management? After reviewing some literature, I realised that many SGB members were not sure about what to do, and, I think that such a reality may have serious implications in terms of accountability and unpredictable conflict situations (Mestry & Govindasamy, 2013). Dibete and Potokri (2018) argue that the way SGB members perceive things on their financial roles differ. Therefore, I felt that there is a need to conduct a study that

deals with these issues relating to financial management and how SGBs are capacitated by school principals in that regard.

1.5 Significance of the study

The significance of any study lies in the kinds of knowledge that it produces (Cohen, Manion & Morrison, 2018). This study sought to understand how, if at all, school principals built financial management capacities of SGB members so that they can carry out their governance mandates, including financial oversight. It is anticipated that the findings of this study may describe how school principals build capacity of SGBs to improve on finance management. Examining the strategies that school principals use can contribute to other school principals' ways of empowering SGBs especially on matters pertaining to finances. Lastly, the findings that have been gathered may provide long-lasting influential and practical ways on how school principals can build capacity of SGBs in relation to financial management.

1.6 Objectives of the study

The aim of the study is to explore the role of school principals in building capacity of SGBs in relation to financial management in primary schools. Therefore, the specific objectives of the study are:

- To explore the school principals' understanding of leadership as members of school governing bodies in relation to financial management in primary schools.
- To describe how the school principals' role in building capacity in the SGBs, especially in the financial management in primary schools can be improved.
- To examine the strategies that school principals use in building capacities of school governing bodies in managing finances in primary schools.

1.7 Research questions

- What are the school principals' understanding of leadership as members of school governing bodies in relation to financial management in primary schools?

- How can the school principals' role in building capacity in school governing bodies be improved especially in financial management in primary schools?
- What strategies do school principals use in building capacities of school governing bodies to manage finances in primary schools?

1.8 Clarification of key concepts

The key concepts used in this study are clarified for the reader to understand clearly. The key concepts are governance, building capacity, school governing body and financial management.

1.8.1 Governance

Governance relates to the ability of the SGB to make and enforce rules and to deliver services regardless of whether SGB is democratic or not (Mahlangu, 2018). Scholars such as Petrie, Chopra, Chochinov, Artz, Schull, Tallon, Jones, MacPhee, Ackerman, Stiell and Christenson (2016) say that governance is, who has a power in implementing rules and taking decisions, the role they play in ensuring that their voices are heard and the way accounting is done. My understanding about governance is that it is the power given so that rules that have been decided upon by the body can be implemented.

1.8.2 Building capacity

Building capacity involves developing new knowledge, skills and competencies, new resources and new shared identity and motivation to work together for greater change (Fullan, Cuttress, & Kilcher, 2005). Capacity must be marked as a practice and be an on-going thing (Dibete, 2015). This term is used in this study to refer to the processes and programmes that are put in place to support relevant stakeholders in performing their tasks and responsibilities. The end results should be tangible, that is, knowledge, skills and competences.

1.8.3 School governing body (SGB)

School governing body according to Khuzwayo (2007) refers to parents elected during parents' meeting, educators, non-educators, co-opted members of the community, learners (in case the

school has Grade 8 and above) and school principal as an ex officio member, to govern the school. The Schools Act refers to a school governing body as a structure that governs the school (RSA, 1996). My own understanding is that school governing body is the structure that is formulated by parents, educators, school principal and learners (in secondary schools). This structure is there to make sure that the school is working in partnership with the community and within the school community. The main role or duty of SGB is governance.

1.8.4 Financial Management

Financial Management has been explained as management actions connected with the financial aspects of schools with the aim of achieving effective education (Mestry & Bisschoff, 2009). Du Toit, Erasmus and Strydom (2010) clarify that financial management entails the acquisition and application of funds. Khuzwayo (2009) defines it as it entails an accurate system for recording financial transactions which are necessary for sound financial control. It is the manner in which the schools generate more money to be used, administered and managed as school funds. My own understanding of financial management is that it is the way of using money, generating it, controlling and reporting about finances. Accuracy is the essence of managing finances. This term is used in this study to encompass all the activities mentioned above.

1.9 Delimitations of the study

The study was conducted in three primary schools located in Durban Central Circuit in the Umlazi District This was a semi-urban setting that was characterised by mixed race profile of residents.

1.10 Outline of the study

This study is made up of five chapters and these chapters are briefly summarised below.

Chapter One

This chapter gives an overview of the study and provides the background, the rationale for the study as well as the significance of the study. It thereafter, states the objectives of the study, the research questions, clarification of key concepts and the delimitations of the study.

Chapter Two

This chapter presents a review of literature drawn from both the national and international contexts regarding the role of school principals in building capacity of the school governing bodies to manage school finances. Within this chapter, two theories that provide a theoretical framework are discussed.

Chapter Three

This chapter presents methodological issues, including the research paradigm, the design and methods that were used to generate data to answer all the research questions.

Chapter Four

This chapter presents data generated through semi – structured interviews, observations and document reviews. The generated data is thematically presented with an understanding of addressing the research questions that underpin the study.

Chapter Five

This chapter is the last of the five chapters constituting the dissertation. The chapter presents the findings and makes recommendations drawn from the findings.

1.11 Chapter summary

The whole chapter has provided the background to the research problem and the rationale for the study to be undertaken. Furthermore, other elements of the dissertation include the statement of the problem, the significance of the study, the objectives of the study, the research

questions, the clarification of key concepts, the delimitations of the study, as well the outline of all the chapters is presented. The next chapter discusses the literature review and the theories that underpin the study.

CHAPTER TWO

LITERATURE REVIEW AND THEORETICAL FRAMEWORK

2.1 Introduction

The previous chapter served as an orientation to the study which provided details, for example, about where interest in the study emanated from. The second chapter focuses on review of literature so that readers can obtain a broad and better perspectives about key issues addressed in the study. This chapter provides an in-depth review of related literature of school principals role in building capacity of school governing bodies to manage school finances. There are sub-topics which are unpacked that is the role of school principal, why the SGBs and finances, capacity building of SGB members and financial management. The last part of this chapter to be discussed is the theoretical framework then conclusion for the chapter is provided.

2.2 Financial Management: Legal and Policy framework

This section deals outlines key issues surrounding what financial management is about and locate school financial management in South Africa within legislative and policy framework. School financial management can be described as the performance of management actions (regulatory tasks) connected with the financial aspects of schools, with the aim of achieving effective education (Mestry & Bisschoff, 2009). To manage the finances effectively and efficiently, school managers ought to ensure that their role functions are clearly defined and the limits of their delegated authority are established. There are various legislations that provide not just for the management of finances in schools, but, how that should happen. Below is the discussion of these legislations, namely, the South African Schools Act, the Public Finance Management Act (PFMA).

2.2.1 South African Schools Act

The issue of school governance within which the management of finances falls, is provided for in the South African Schools Act, No. 84 of 1996 (henceforth, the Schools Act). Amongst other

things, the Schools Act (RSA, 1996) imposes responsibilities on the state with respect to the allocation of financial resources, as well as, the how such resources are to be used. From a legal perspective, the Schools Act lay down the rules for the democratic governance of schools, including how school finances can be generated and utilised, as well as, who should participate in that process. Fullan (2007) argues that an important innovation is the provision of democratic parental participation through the SGBs for all public schools. As a result, the Schools Act outlines the powers and duties of various members of the school community with respect to school governance (Rangongo, 2016). While the South African Schools Act states that governing bodies are ultimately responsible for managing and controlling schools, it also states that school principals who are members of SGBs are not solely accountable to the SGBs but also to their employer, the Department of Basic Education.

2.2.2   Public Finance Management Act (PFMA)

The second policy framework is Public Finance Management Act (PFMA) which was intended to regulate financial management in the national and provincial governments to ensure that all revenue, expenditure, assets and liabilities of those governments are managed effectively and transparently. The role of school principals and school governing bodies in managing a school are complex and appear to overlap, which can cause conflict (Dibete, 2015). Although the PFMA has no direct bearing on schools, as it applies to all public institutions, the Department of Basic Education applies certain sections of the PFMA to prescribe how schools should manage allocated funds from Treasury (Mestry, 2013). In terms of PFMA, school principals are expected to attend and participate in all SGB meetings and inform the SGB about policy and legislation. The school principal is responsible for a number of activities such as, supporting and guiding the school's expenditure in consultation with the SGB; helping the SGB keep proper records of school accounts and all school records; overseeing the drawing up of the budget; advising on textbooks, educational material and equipment to be bought by the SGB and managing their use; ensuring controls are in place and operating for cash collection; and monitoring compliance and acting on any non-compliance detected.

2.3 Finance Management in Education and Schools

I have highlighted in previous sections that finance management in education and schools is provided for in the Schools Act which also prescribes how schools should manage their funds.

It also provides guidelines for the SGB and the school principal on their roles and responsibilities in managing the finances of the school. Financial management in schools requires that the SGBs establish and manage procurement/purchasing system that ensures that each expenditure represents a legitimate school expense. Naidu, Joubert, Mestry, Mosoge and Ngcobo (2008) all agree that the governing bodies of every public school must ensure that there are proper policies and procedures in place for the effective, efficient and economic management of school finances. The SGB must also have in place systems to monitor and evaluate the correct implementation of such policies and procedures and to report thereon (Dibete, 2015). The system should provide that proper documentation supports each step of the procurement process, including authorised requisitions, itemised invoices, and receiving documents. There are specific activities that schools must carry out as part of financial management in education, and these include managing financial records and statements, audit of financial records and statements, and these are briefly discussed below.

2.3.1 Managing financial records and statements

According to the Schools Act, the school principal represents the provincial Head of Department (HOD) in the SGB acting in at an official capacity, including the management and use of learning and support material and equipment; safekeeping of school records; informing the SGB about policies and legislation and assisting them in the performance of their functions and responsibilities. The HOD is an accounting officer in the DoE, therefore if the school principal represents him or her in governing the school, it implies that the school principal is an accounting officer of a school (Mestry, 2004; RSA, 1999). It is obvious that every school principal, as a member of the SGB and the School Management Team (SMT), must possess some knowledge and skills relating to the inner workings of the finances of the school (Mestry, 2017). The school principal who lacks financial skills delegate financial duties to the finance officer sometimes whom also lack financial skills.

2.3.2 Audit of financial records and statements

The second activity entails doing audit of financial records and financial statements. Employment of Educators Act No. 76 of 1998 (RSA, 1998) and the Education Labour Relations Councils (ELRC) collective agreement Number 1 of 2008 in terms of financial

matters (RSA, 2008), state that the school principal should manage various kinds of school accounts, keep proper records and make best use of funds for the benefit of the learners in consultation with appropriate structures. The school principal manages the school finances and applies necessary control to maximise the use of funds available and account for all spending, support the SGB in having the school's accounts audited annually, as prescribed by the law.

Financial records and statements that have been kept need to be audited. Wylie and King (2004) maintain that regular financial and performance reporting that is validated for accuracy by an independent auditor is essential for good governance. The Schools Act (RSA, 1996) requires that SGBs submit their audited financial statements to the HOD within six months of the end of the financial year. The purpose of this provision is to ensure that the HOD is kept informed of the use of school funds and to show accountability (Kraft, 2015). Section 43(2) of the Schools Act stipulates that, if an audit is not reasonably practicable for a particular school, the SGB may, instead appoint a person to examine the books as Internal Auditor. The person so appointed must be either qualified to perform the duties of an auditor or accountant or be a person approved for this purpose.

2.4 School principals as agents of school transformation

School principals have been viewed as agents of transformation at school level (Bhengu, 2005). As such, Semenya and Phago (2013) say school principals must be able to work in a transformative, democratic and participative manner. That is why school principals as ex-officio members of the SGB, have the responsibility to support SGB members to perform their financial management duties efficiently. As agents of transformation, school principals have to boost all stakeholders especially the SGBs towards empowerment (Hay, 2006). Lastly, Selesho and Mxuma (2012) have similar finding saying these ways of demonstrating school transformation make people feel valued and part of the action. The school principal, as the leader of the school, should facilitate, organise and coordinate all activities that will enable them to achieve the goals of the school (Morris, 2014).

2.5 School principals understanding of leadership as members of the School Governing Bodies

School principals have to play many roles in school governance. The first is that of being an *ex-officio* member of the SGB, representing the HOD. In addition, they are also tasked with the responsibility of building capacities of the SGBs. School principals, in terms of Section 19(1) of the School Act, are tasked with the responsibility for providing continuing training of the SGBs to promote the effective performance of their functions. The school principal is a member of the SGB in his or her official capacity and represents the DBE), in terms of Section 23(1)(b) of the Schools Act (RSA, 1996). In terms of Chapter C, paragraph 4.2(i) of the Personnel Administrative Measures (PAM), the school principal makes provision for interaction with stakeholders to render necessary assistance and support. More details about what is expected of school principals in explained in Chapter One. The importance of school governance is important, but it is unclear if school principals have clear understanding of this. The section below explains some of the duties and roles that school principals play.

2.6 The Role of School principals in Building Capacity of the School Governing Bodies

This section provides a detailed discussion about the role that school principals play in building capacities of the School Governing Bodies. According to Mestry (2017), there is growing concern globally that many public schools are not functioning at their optimum including tasks which are supposed to be performed by the SGBs and that learner performance is generally of a low standard. In terms of Sections 19(1) and 19(2) of the School Act, school principals must build capacity within SGBs in order for them to perform their duties properly. The main objective of the capacity building and training activities is to create, enhance and develop constituents. School principals may also experience difficulties in adapting to their new roles on empowering the SGBs and the new ways of engaging the SGBs which results in role ambiguity (Heystek, 2016). This is the process by which individuals and organisations obtain, improve and retain the skills, knowledge, tools, equipment and other resources needed to do their jobs competently. All these empowerment activities occur within a decentralised set up in South Africa. According to Van Rooyen (2012) and Van Wyk (2007), the shift to decentralised school governance requires SGB members to develop a wide range of knowledge, skills and capacity to deal with the complex issues and tasks they are expected to fulfil. Issues

of finance and budgeting takes up a large proportion of SGB governors' time, in particular because SGBs have the authority to develop and implement the school' policy, draw up budgets, set and collect school fees (Bush & Heystek, 2003).

There are a number of factors such as illiteracy, low level of education, language used during the training, lack of mentoring and monitoring and inappropriate training methods that contribute to the inadequacy of the training of school governing body members. It is therefore, important to train school governing bodies properly so as to enable them to perform their roles and responsibilities as required by the Schools Act (RSA, 1996). When school principals perform their duties, they do it in a number of ways, and some of them are presented next.

2.6.1 School principals as facilitators and coordinators of efforts of the School Governing Bodies to accomplish school goals

The expectations of school principals have moved from the demands of management and control to demands for an educational leader who can foster staff and SGB development, parent involvement, and community support and learner growth and to succeed with major changes and expectations (Dibete, 2015). The expectations relate to leadership as being transformative through empowering others (Rangongo, 2016). Schools should be led by school principals who coordinate the day to day functions to implement the vision and mission of their organisations. Schools are required to establish systems of control that will protect the school finances from misuse or theft. It is the responsibility of the school principal, who is also the accounting officer, to ensure that there are effective, efficient systems in place for the purpose of internal control as well as financial and risk management in terms of Section 38(a)(i)) of the PFMA (RSA, 1999). When a school principal act as a facilitator, that school principal can explain what we are already doing and how we can relate to what we are asked to do. The SGB will then cooperate and share their ideas because the school principal has opened a space for sharing ideas. While facilitating the process the school principal needs to be a good listener as well.

As a facilitator of knowledge, the school principal creates a space for respectful conversation and transparency where everyone will share his or her voice. This is appropriate especially because, SGB members are not young children. This creates an atmosphere which is conducive for everyone to achieve a common goal. Even if a school principal cannot implement every

suggestion, it is still very important for him or her to give the SGB members opportunities to ask questions that seek clarity and understanding. Once everyone feels that he or she was the part of what should be done it becomes easy to put it into practise. In terms of this approach to skills development, it will be easy for the SGBs to be part of finance management; the school principal will have involved them through the process of capacitating them.

2.6. 2 School principals use different style required in working with School Governing Body members and non-professional staff

There are always many ways in which leaders work with different people. Cebekhulu (2016) says that the challenge generally, for school principals is to adjust their leadership style in agreement with the state when dealing with fellow non-professional staff. This scholar continues saying that the responsibility of guaranteeing the best service from the SGBs lies with the school principal. This demands leadership skills that are different from those that are suitable to teaching professionals (Rangongo, 2016). If ever the leadership style is not changed, this may negatively impact on the school principals' overall effectiveness of capacitating the SGBs on finance management. Rangongo (2016) suggests that school principals as coaches should recognise that the overall goals will not be achieved if leadership style is not worked through. If the SGBs are not on board, some might be passive, which could make things difficult. When the SGBs are involved in the process of lifting the school up, there is more buy-in among SGBs (Mestry, 2006).

There is a need for the DBE, especially the governance section, to continually develop and support school principals so that they can effectively lead and empower SGBs especially on matters that pertains to finances (Dibete, 2015). The Schools Act (RSA, 1996), particularly, Section 16a and its amendments (RSA, 2007), has mandated school principals to provide leadership and management in public schools. School principals can build strong relationships with their SGBs by being respectful, supportive, and by trusting the SGB members. School principals should work alongside with their SGBs as school principals are ex officio members and being the departmental representatives.

2.6.3 School principals further their studies and through consultations with their peers especially on finance management

It is always important that, before one can support others through skills development, one also needs to have his or her skills enhanced. Therefore, to build the incapacities of the SGB members, school principals have to engage themselves with the development and training of their own and then that of the SGB (Myende, Pillay, & Samuel, 2018). Participative approaches are also encouraged in empowering others in a transparent and trustworthy manner. To be able to provide an effective service, school principals strengthen their capacities by furthering their studies and through consultations with their peers who have expertise about financial management (Chikoko, Naicker & Mthiyane, 2015). Sometimes, treasures are people who have been appointed because of their expertise, and school principals should look for advice and ask for their insights (Dibete, 2015).

It is always better to seek information from a person who is knowledgeable about the subject at hand. Treasures and even other colleagues from other schools have a lot of wisdom and sensitivity and even sometimes have been there longer than the school principal who is struggling (Rangongo, 2016). A good school principal would seek information and strive for advancing himself or herself. Sometimes, asking someone to do a workshop for you and being part of that workshop can empower even you yourself (Chikoko et al., 2015).

2.7 Challenges that School Governing Bodies encounter while the Department of Basic Education and school principals build their financial management capacities

The DBE provides workshops for both the SGBs and the school principals to help them understand policies and their roles in financial management. However, it appears that things do not always happen as planned. Mathonsi (2012) argues that the DBE has failed to meet the needs of the schools and communities as the officials provided inadequate training in poor communities. For example, the language and theories that are used when training the SGBs are not appropriate for their level of education, and thus comprehension. Years back the then Department of Education (DoE) translated the documents to the languages that people understand better but that did not mean that it improved the level of illiteracy and eliminated problematic tensions in schools. What has always been highlighted as the weaknesses of

training provided is not just the content, but also the content. The Department of Education and school principals expected the SGBs to function properly with training of short duration without considering that in some schools' parents still struggle to understand the roles they should play as SGB members, let alone financial management.

Most parents in the SGBs, especially in rural areas have limited literacy, specifically financial management knowledge, skills and experience. These factors limit their ability to have any credible input and they rely almost entirely on the school principals and teachers (Morris, 2014). Ndlovu (2014) argues that some school principals do not attend the workshops and some of them resist working in partnership with other stakeholders such as the SGBs, and this constitutes a challenge for them. At national level, researchers concur with the belief that many school principals lack the relevant knowledge and skills to lead their schools effectively (Mestry & Singh, 2017). It is possible that their resistance is based on their reluctance to be moved from their comfort zones. Some school principals were comfortable with the traditional system of education because they were dictating, having all the powers to decide about the functioning of the school, without consulting parents and other relevant stakeholders.

Different studies conducted in other countries such as the United Kingdom have revealed that the relationship between the school principals and the SGBs can result in a problematic conflict (Nyaba, 2009; Ndovela, 2014; Kraft, 2015; Mestry, 2017). Derek and Rene (2005) provides evidence of the battle between a school principal and a chairperson of the SGB in a London school. Fidler and Atton (2004) assert that the cause of pressure on the school principals is located in the relationship problem with the governing body. Fidler and Atton (2004) further maintain that disharmony in schools is the result of the lack of relevant skills in school governance and some governors delegate their duties to the overloaded school principal. Those SGB members who leave everything to the school principal because of their own uncertainty, take no active part in school development. All these challenges pose a threat to the SGB and hinder them from receiving sufficient training from service providers.

2.8 Challenges that school principals face when building capacities, the School Governing Bodies to manage school finances

School principals are supposed to empower the SGBs more especially on finances. However, some school principals have a heavy teaching loads which makes it difficult to do anything more. Others in rural areas and some semi-urban areas have limited administrative support and time to provide sufficient resources to support the SGB (Cebekhulu, 2016). Challenges arise if a school principal has not been prepared for his or her new role. As a result, they often have to rely on experience and common sense. Although Section 36 of the Schools Act mandates the SGB to manage school finances, the parents place their hopes of good financial management on the school principals, who need to provide professional leadership and mend the working relationship with relevant stakeholders for effective and efficient school management (Cebekhulu, 2016). Time and workload become a barrier to what school principals can do, and thus constitutes a challenge.

Globally, school leadership in the 21st century is confronted with various demands and challenges (Mestry & Grobler, 2007). South Africa is no exception. At national level, researchers concur with the belief that many school principals lack the relevant knowledge and skills to lead their schools effectively (Mestry & Singh, 2017) and this has had serious implications for school improvement. Qualifications in financial management and any financial management skills and knowledge are not a requirement for the appointment of an educator to the post of a school principal. This means that, like parents, school principals are expected to perform their financial management tasks without any formal training in financial management, and that constitutes another challenge. Some school principals may want to do their best in terms of training the SGB members in financial management, but, they may also lack the requisite skills.

2.9 Theoretical framework

The purpose of this study is to research on how school principals empower the SGBs in their schools. Clearly, to build capacities of stakeholders with whom school principals work as part of a school governance structure requires leadership skills (Bush, 2008; Gorton & Alston, 2012; Leithwood, Jantzi & Steinbach, 1999; Sergiovanni, 2006). In order to understand how school

principals, empower members of the SGB in better managing school finances, I adopted transformational leadership theory. This is so because the focus is on how they bring transformation.

2.9.1 Transformational Leadership Theory (Burns, 1978)

This theory talks about redistribution of power and responsibility, which encourages greater interest in the empowerment of all relevant stakeholders including shared leadership (Morris, 2014). Transformational leaders do not simply manage structures and tasks, but they focus on the people carrying out these tasks; that is, they focus on their relationships and on making deliberate efforts to win their co-operation and commitment (Huber, 2004). I use these insights from the transformational leadership approach to explore the understanding and experiences of school principals' role in building capacity of SGBs especially on financial management.

The theory is about leadership that creates positive change in the followers whereby, they take care of each other's interests and act in the interests of the group as a whole. In this leadership approach, the leader enhances the motivation, morale and performance of his or her follower group. My study is about empowering SGB members by the school principals. Therefore, this theory is appropriate for analysing the extent to which school principals are able to enhance their follower group and raise their morale in such a way that they are enthusiastic about performing their duties.

Transformational theory of leadership speaks about a leader who works with teams to identify needed change, creating a vision to guide the change through inspiration, and executing the change in tandem with committed members of a group (Hay, 2006). Transforming leaders are idealised in the sense that they are a moral exemplar of working towards the benefit of the team, the organisation and the community (Peng, Lin, Schaubroeck, Macdonough, Hu & Zhang, 2016). The school principal encourages followers to come up with new and unique ways to challenge the *status quo* and to alter the environment giving support for the betterment of the team, the organisation and the community (Klung & Maier, 2015).

Transformational leaders are described as holding positive expectations for followers, believing that they can do their best. As a result, they inspire, empower, and stimulate followers to exceed normal levels of performance (Michael, 2013). These leaders also focus on and care

about their followers and their personal needs and development (Yingxiu, 2014). School principals fit well in leading and working with SGBs where, beyond seeking an inspirational leader to help guide them through an uncertain environment, the followers are also challenged and feel empowered (Kenneth & Jingping, 2012). It is believed by scholars of transformational leadership theory that, by providing all the services mentioned above, they will be nurtured into becoming loyal and high performers (Leithwood & Jantzi, 2008).

Transformational leadership is said to have occurred when engagement in a group results in leaders and followers raising one another to increased levels of motivation and morality (Izhak, 2016). It is not enough to make the correct choice, but to make the moral choice is more important (Dinh, Lord, Gardner, Meuser, Liden & Hu, 2014). In simple words, a transformational leader is not selfish and sees opportunities for growth in others (Sergiovanni, 2007). Transformational leadership enhances intellectual stimulation through employee training and development. As some school principals lack the skills and knowledge of finance management it is advisable that they seek information through studies or looking for support within their peers (Myende, Pillay & Samuel, 2018).Transformational leadership theory is about leadership that creates positive change in the followers, whereby, they take care of each other's interests and act in the interests of the group as a whole (Leithwood & Sun, 2012). Here, the leader enhances the motivation, morale and performance of his follower group. School principals as transformed leaders will be able to empower SGB members and it will be much easier for SGB to perform their tasks (Morris, 2014).

2.10 Chapter Summary

The literature shows that the role of school principals in schools is to engage everyone in the process of empowering others through development programmes, thus, enhancing their capacity to improve in the tasks that each stakeholder has to perform. Nevertheless, the chapter has highlighted some challenges that the school principals encounter when doing this exercise. It is no secret that strong and effective school leadership can assist with ongoing school improvement by providing direction, capacity building and effective communication. Transformational leadership theory has also been discussed as a framework that provide insights about how school principals do or can inspire other stakeholders to perform at higher levels. Improving the quality of managing school finances will succeed if school principals adopt relevant approaches that facilitate effective, transformative behaviours and skills among

stakeholders such as members of the SGB. The next chapter provides a detailed discussion of the methodological issues on the study.

CHAPTER THREE

RESEARCH DESIGN AND METHODOLOGY

3.1 Introduction

The previous chapter focused on the literature review and the theoretical framework regarding the school principals' role in building capacity of the SGBs on managing finances. This chapter describes the research design and methodology used for this study. Detailed discussions of research paradigm, namely, interpretive is provided. In addition, qualitative research design, case study, sampling and gaining access to the research site followed by data generation methods and data analysis methods are discussed. Other important issues of the research process that are discussed, include data generation techniques, methods of analysis qualitative data and ensuring trustworthiness of the findings. Before concluding this chapter, I focus on ethical considerations during the process of the study.

3.2 Research paradigm

For this study, I have adopted an interpretive paradigm. This kind of paradigm was relevant in my study because its focus is on understanding and looking at how people interact or socialise with each other (Keeves, 1998). I wanted to understand how school principals, capacitate SGBs in their schools in relation to financial management. Additionally, the study aimed at understanding school principals' awareness of their capacity building responsibilities as members of SGB, and how they play their roles in building capacity of the SGBs especially on finances. Before going deep with my explanation of the interpretive paradigm, let me start by drawing back what a paradigm is. A paradigm can be regarded as worldview; a set of beliefs about the nature of the social world, the nature of knowledge and how knowledge can be accessed (Cohen, Manion & Morrison, 2018).

Fossey, Harvey, McDermott and Davidson (2002) talk about social worldviews that guide the way in which research is conducted. While on the other side Cohen, Manion and Morrison (2011) describe a paradigm as a way of looking at a world view of what counts as accepted. Both these scholars support each other by saying that a paradigm is a way of looking at things in your own space. Paradigm includes the ways in which data is produced or generated, the

way questions are asked during interviews, observations and documentations that are used to generate data as well as how the findings are interpreted (Bertram & Christiansen, 2014).

The epistemological assumption of the interpretive worldview is that learning is close to home, emotional and one of a kind (Cohen et al., 2011). The epistemological assumptions of the interpretive paradigm also state that knowledge is socially constructed and co-created through interaction between the researcher and the participants (Cohen, Manion & Morrison, 2018). In this study, even though the participants shared common experiences, but one on one interviews were conducted to gain their individual experiences.

Kothari (2004) highlights that interpretive researchers believe in studying human behaviour and understand how they interpret the environment in which they are subjected, including where they live or work. Interpretive researchers say that the researcher is present in the field, thus making it much easier for the participants to express their opinions (Berg & Lune, 2012). SGB members are given mandate to be responsible for finances as they play a major role in school governance. It is then that this paradigm comes in because the focus is on human experiences with the environment they are placed in and how they view the task given to them. This is supported by Terre Blanche and Durrheim (1999) by stating that interpretive paradigm creates a logic of human experiences from within the environment. This study needed to find knowledge through social interaction between myself as a researcher on one hand, and the school principals and SGB members on the other. While Terre Blanche and Durrheim (1999) talk about creating a sense accepting each other, even Maree (2007) favours that there should be an understanding between the parties involved, in this case, the school principals and SGB members in managing school finances. The above scholars talk about understanding human experiences and their environment, and emphasise that there is no single truth to human experiences about their social world. This explanation of the scholars gave my study a sound reason of choosing interpretive paradigm. As there is no one solution on exactly how and why people act the manner they do.

One of the key ontological suppositions of the interpretive worldview is the view that there are multiple truths or various facts or social substances that may exist (Cohen et al., 2011). Hence, various participants were permitted to express their own perspectives of the truth and reality from their own encounters. Ontologically, the interpretive paradigm states that there are many claims made about the nature of social realities (Berg & Lune, 2012). Therefore, in terms of

this paradigm the researcher expected different responses from participants. The other reason I have selected interpretive paradigm is it talks about negotiation as a way of communication. Findings were emerged through dialogue or conversations that were the reasons semi structured interviews have been used for data generating. According to the Schools Act (RSA, 1996), school principals have to make a way for SGB members to be empowered. Even, Cohen, Manion and Morrison (2018) explain that the interpretive paradigm assists to understand the biased world of human experience, further explaining that interpretive researchers initiate with individuals and agree to understand their explanation of the world around them. The participants' experiences were described as fair and faithful. Participants had to share their true experiences. I interviewed nine participants from different schools. The only way for the researcher to generate data was through contact with them. Enable to understand their experiences and discernments of their roles as people are different and having their own way of perceiving things and interpreting things. It was then that evidence and results were trustworthy.

The participants under my study, may have conflicting views about one phenomenon. For example, an SGB member may differ ominously on his or her experiences in working with the school principal. In my study school principals needed to understand the background of their SGB members and try to make sense of the information obtained and start there to capacitate them in managing finances. Mackenzie and Knipe (2006), state that the interpretive paradigm focuses on understanding and describing meaningful social actions, unlike the positivist paradigm which focuses on predicting and control of actions. Positivists say there is only one truth to be discovered, rather than generating a pattern of meanings from the views of various participants. There is no single truth or reality to how school principals understand their roles and how they position themselves based on their experiences and capabilities on capacitating SGB members. Therefore, the interpretive paradigm is considered the best research approach for this study as it allows for the understanding of participants from individual perspectives and in so doing, answering the research questions.

3.3 Research design

The qualitative approach or design is the most appropriate route to take for an inquiry of this nature. It is aligned with the interpretive research paradigm which I have outline in the previous

section. Qualitative inquiry takes into consideration the dynamics of social world (Prakash, 2015). As a qualitative researcher, I needed to deeply understand the participants' views from their own perspectives. Before continuing with qualitative research design, let me first talk about how research design is conceptualised from different scholars' perspectives. There is no just one way of defining a research design as different scholars have different views about it. Research design can be described as a way in which a researcher wants to construct a way forward on how problems become researchable using certain tools and build on prior experiences (Berg & Lune, 2012). Kumar (2011) supports this view by saying that the research design assists to create and identify relevant tools and techniques which answers the research questions successfully and, in a way suitable for the study. I also read how Hoepfl (1997) describes a research design. She gives a simple differentiation between qualitative and quantitative research approach. She says that qualitative research uses a realistic way of seeking to understand the problem in context while quantitative approach uses experiments and it is in a highly controlled manner (Hoepfl, 1997). As my study focuses on understanding school principals' role in building capacity in SGBs, the purpose is to achieve depth rather than breadth, hence my choice of a qualitative design (Basit, 2010).

A qualitative approach to research entails moving towards discovering every fact about a case or issue and uncovering the quality of whatsoever is being researched. Qualitative research considers the individual investigation of reality from the perspective of a participant (De Vos, 2008). Creswell (2015) argues that an effective research should have several features that can be addressed in evaluating qualitative research. Amongst other features he mentions that qualitative research uses rigorous procedures and multiple methods for data generation. Maxwell (2005) argues that qualitative research should have intellectual goals to understand the meanings attributed to events and situations by participants, the particular context in which participants are located, and the processes that contribute to situations, events and actions. This is important because the world is made up of people with their own beliefs, assumptions, attitudes, intentions and values and that the way of knowing reality is by understanding the experiences of others regarding a particular phenomenon (Creswell, 2015; de Vos, 2005; de Vos, 2008). Therefore, qualitative research acknowledges a collaborative relationship between the participants and the researcher, as well as, between participants and their own understandings and how they have constructed truth based on those understandings or experiences.

As a qualitative researcher aims to understand the views and common experiences, to develop insight into situations and to make sense of feelings, experiences as they occur in the real world (Cohen, Manion & Morrison, 2007). Since, the questions that guide this study are interpretative in nature, I wanted to generate rich in-depth views about how school principals understand their role in building capacity of SGBs especially on issues of managing school finances. The participants' experiences, their perceptions and their meaning for their accounts are important to understand the phenomenon (Mugenda & Mugenda, 1999). Qualitative research premises are that the researcher's ability to interpret what he/ she sees is fundamental to understanding any phenomenon (Leedy & Ormrod, 2005). Qualitative research usually takes place where participants execute their normal everyday activities (Conrad & Serlin, 2011; Jackson, 2008). Qualitative researchers utilise different methods of generating data such as observations, interviews, document reviews and physical artefacts, since they believe that there are a variety of interpretations and perspectives of looking at just one phenomenon (Conrad, & Serlin, 2011).

3.4 Methodology

Bogdan and Biklen (1982); Lincoln and Guba (1985); Patton (1990) and Eisner (1991) have identified some characteristics of a case study and they highlight the following characteristics: the researcher generates data directly from the participants; the researcher looks to observe, describe and interpret meanings in context; meanings are from each participants' experiences; judgements for trustworthiness and credibility are left to the researcher. In this study, I chose a case study to produce knowledge using a variety of methods or techniques. The case study as a methodology captures the reality of lived experiences of participants (Rule & John, 2011). Bertram and Christiansen (2014) concur with the above statement by highlighting that case studies are empirical, low control, descriptive and exploratory. The case in this study is the three primary schools that are located in Durban Central Circuit in the Umlazi District. It was convenient to me as the schools are near where I am working. The unit of analysis of the study was principals and SGB members. It is a case of school principals' playing a capacity building role of the SGB members. The focus of this case study is to understand how school principals play their role in empowering SGB members so that they can perform their governance duties better.

Research methodology is the theory of acquiring knowledge and the activity of considering, reflecting upon and justifying the best methods and research methods are specific techniques that will provide evidence based from the construction of the knowledge gained (Keeves, 1998). I think that it is useful to make this distinction between a research methodology and research methods or techniques. While research methodology has to do with the philosophy of generating knowledge, the methods are techniques that are selected based on the type of methodology that has been chosen. In my study, I used a case study as methodology under qualitative approach or design, and I used a variety of methods such as semi-structured interviews and documents reviews as I explain elsewhere in this document.

3.4.1 Sampling technique

Cohen et al. (2007) talk about two families of sampling techniques, and these are probability sampling for quantitative studies and non- probability sampling for qualitative studies. Within each big family of sampling, there are a variety of sampling techniques. For this study as it aligns with qualitative design, I used purposive sampling and ignored other techniques such as quota and snowball sampling. Purposive sampling entails researchers searching for participants that are likely to give rich information data which can be studied in-depth (Vaismoradi et al., 2016). Purposive sampling can be used with convenient sampling method because in hand picking participants based on their suitability to produce rich data, researcher may also choose those participants that are easily accessible. In the context of my study, I purposively selected three primary schools that were nearer to my work place, and this is one of the characteristics of convenient sampling and its easy access (Gorton & Alston, 2012). The participants were school principals and two members of the SGB from each school. The study was not funded and therefore, it was easy for me to travel to the selected schools compared to those that were too far away.

3.4.2 Gaining access to the research sites

In this section, I discuss issues of access to the research sites. It is important that research is conducted and for qualitative inquiry, researchers study people in their natural settings, or place of work without controlling or disturbing them from their duties. To gain access to the field, I

first applied ethical clearance to the ethics committee of the University of KwaZulu-Natal. I also sought permission to conduct research from the KwaZulu-Natal Department of Basic Education. Manickchund (2016) believes that researchers can gain successful access if they ask for permission prior to remove obstructions to entrance. Asking for permission prior and the signing of consent letters made participants know more about the nature of the study and also about their rights and autonomy. I went to the schools to introduce my myself and the study to the participants.

3.5 Data generation methods

In this study, I used only three methods of generating data. Observation, interview and documents reviews as methods of generating data. The main method was semi-structured interview. The main reason for choosing semi-structured interviews is that it enables the participants to express themselves freely. I also chose it because it enabled me freedom to probe and pose follow up questions where necessary, that is, in instances where I felt like I needed more information. I interviewed each participant participants once, and this occurred after I had introduced the study and participants had agreed to participate. We had set up appointments with each one at the time that was convenient for him or her. The interview session took about 50 minutes to an hour on average. This gives the researcher enough time to obtain comprehensive and meaningful data from their personal experiences (Kvale, 2007). While there were common broad questions about how the school principal built the capacities of SGB members, there were also questions that were unique to the category of the participants. For example, while I asked school principals how they understood their own role in empowering SGB members, I did not ask that question the same way when talking to SGB members. I asked them if in their experience, the school principal had supported them in ensuring that they understood their duties and that they performed them efficiently.

McMillan and Schumacher (1997) say this type of interview has an interview schedule which is a set of questions asked in predetermined order throughout the investigation and is flexible, adaptable and be done by any type of a person. Observation and documentation were the subsidiary technique to complement the semi-structured interviews. Denscombe (2003) argues that observations assist in gaining deeper insights about a phenomenon being observed. I

observed one meeting of the SGB. Before attending it, I asked the school principals if it could be acceptable for me to attend the SGB meeting. He passed my request to the Chairperson of the SGB who, fortunately did not make any objection to my presence in their meeting. I learnt that he himself had to consult other members if they too were agreeable to my presence. When I got permission to attend, I was very happy as I wanted to learn how the meeting would progress and if there would be any mention of support that the school principal will give or reflect on as part of his or her capacity building measures. During the meeting, I became part of the SGB meeting, and I observed if SGB members were actively involved particularly in the discussion of finance matters.

The other method that I adopted to generate data is documents reviews. This method is used to evaluating the authenticity and accuracy of data generated using other instruments (Naicker, 2013). I visited the schools more often to generate data, looking at various documents until I was satisfied. The documents that I reviewed were not older than two years and l included documents like minute book of finance committee, record books pertaining finances, budgets and communication book. Yin (1994) says the researcher needs to be stable and repeatedly use the documents until the researcher is satisfied. While I was reading these documents, I was also trying to do some comparison with what I had heard the participants say and what I saw during my observation sessions.

3.6 Data analysis method

It is always important that once data has been generated, it can be consumed by readers because it carries meaning. There are various techniques or methods to analyse qualitative data. In this study I used inductive or thematic analysis of data. Manickchund (2016) states that data analysis is the process of bringing order, structure and meaning to the mass of information collected. This method of data analysis identifies the themes that come from raw data. Qualitative data analysis aligns with this data analysis method as the approach of my study is qualitative. Interviews were recorded using technological voice device. I then listen to the audio then transcribed voice into typed *verbatim* quote (Pandey & Pandey, 2016). I then looked at key words from the transcriptions and phrases in line with the focus of the study and the research questions. I then tried to look for themes and patterns from what has been emerged

from the data (Vaismoradi et al. 2016). This process is called open coding (Manickchund, 2016). I was creative in doing the analysis by placing the raw data into logical and meaningful themes. After identifying the meaningful themes, I then did an open coding meaning from meaningful themes. Grouping those themes according to what the interpretation or the understanding was. I worked with the data through organising it searching for patterns and taking what was more important. Analysis of documents was done to get the internal perspective of the school which the participants attached to their actions and their implementation. The process is called hermeneutic inquiry (Keeves, 1998).

3.7 Trustworthiness

I have mentioned earlier that I used qualitative research approach as my design. In the previous section above deals with analysis of the data. It is important that analysed data enables researchers and readers have confidence that what they are reading is credible. Since this study is not quantitative which deals with numerical analysis of statistical data, and such research adopts different techniques to establish validity and reliability of findings. Qualitative inquirers have developed their own criteria to assess trustworthiness of findings. The aim of trustworthiness in a qualitative inquiry is to support the argument that the findings are worth paying attention to and that they should be believed. I used Lincoln and Guba (1985) criteria they call credibility, dependability, confirmability and transferability. I next briefly discuss each of these criteria.

3.7.1 Credibility

Credibility entails ensuring that what researchers find is actually the findings and that it should be believable. There are many ways of ensuring that the results are credible, and this includes ensuring that the whole process complies with ethical processes, and that participants took part on their own volition without any coercion. One way of ensuring that the study proceeded smoothly was to visit to the research sites to introduce myself and the study to the school principals as gatekeepers and to familiarise myself with environment. This step also helped to establish rapport with the participants. Another method is that of using numerous methods of data generation. This process is known as triangulation of data sources. Mugenda and Mugenda

(1999) posits that triangulating data sources means comparing and cross-checking the consistency of information derived at different times by different means within qualitative methods. I triangulated data generated from semi-structured interviews by cross-referencing them with reviews of various documents regarding the many in which school principals played their capacity building role.

Besides the techniques I mentioned above, I also ensured that I understood what the participants told me. During the interview sessions, I also employed member-checking. Member-checking implies the continuous testing of data by the original provider to allow opportunity for corrections and additions to be made as well as ownership of what is reported (Lincoln & Guba, 1985).

3.7.2 Dependability

According to Lincoln and Guba (1985), there is a close connection between credibility and dependability in the sense that credibility can be used to affirm dependability. Dependability includes a number of techniques such as member-checking, debriefing by peers, triangulation, prolonged engagement in the research site, persistent observations, the use of reflexive journals, the negative case analysis, as well as the independent audits (Lincoln & Guba, 1985).

3.7.3 Confirmability

Confirmability has to do with the researcher checking with the participants if what s/he is finding is not his or her interpretations but the meaning what the participants attached to their words and experiences. This can also refer to affirming that the findings through various techniques such as audit trails of research process (Lincoln & Guba, 1985). The focus is on the objectivity of the results, ensuring that they are not as a result of the researcher bias, but a reflection of what was generated from the research site and reflects the participants' expression of their experiences and meanings. One of the techniques involves talking to the participants to establish if what they told you as a researcher is consistent with what the researcher think

they meant. One way to confirm was to take the transcripts back to the participants for them to confirm if what appears in the transcripts reflects their own words.

3.7.4 Transferability

Transferability is criterion is important in qualitative research in the sense that it assist other researcher when conducting their own similar studies. Transferability refers to a situation whereby the research findings can be replicated or implemented to other similar contextual situations either by yourself as a researcher or by other researchers (Lincoln & Guba, 1985). Since this study employed qualitative approach, whose results cannot be generalised, thick description of the inquiry under investigation is needed (Lincoln & Guba, 1985). Thick descriptions refer to the provision of detailed account of the processes undertaken during the course of study (Cohen, Manion & Morrison, 2011). For the purpose of this study, detailed information about the area where research sites or schools are, the description of schools and their profiles, the profiles of the participants involved, the methodology employed and the time consumed to generate data were explained.

3.8 Ethical Considerations

Cohen et al. (2011) states that when conducting research, it is important to observe ethical principles in order to pre-empt problems that may arise during fieldwork and also to protect the rights and autonomy of the participants. Being cognizant of the importance of ethical practice, before I conducted empirical study, I started by applying for ethical clearance from the University of KwaZulu-Natal. Simultaneously, I sought permission to conduct the study from the KwaZulu-Natal Department of Basic Education before I could go to the schools. Participants were informed of the purpose of the research and agreed to participate by signing a Declaration of informed consent form. I explained to each of them about their rights and autonomy. I emphasised to them that their participation in this study was voluntary and that they have a right to withdraw their participation at any stage of the research without any consequences. Their right to privacy and anonymity was also respected and guaranteed. Cohen et al. (2007) posit that the essence of anonymity is that information provided by the participants should in no way reveal their identity. Therefore, to preserve anonymity of the interviewed

school principals and SGB members, I used *pseudonyms* for their names and that of their schools.

3.9 Limitations

Each research will always have some form of limitations. Vithal and Jansen (2006) state that acknowledging limitations empowers the reader to appreciate what constraints were imposed on the study. One of the limitations of this study was that the focus was only on three school principals and six SGB members from one district in KwaZulu-Natal, therefore, the findings of this study could not be generalised. However, to overcome the shortcomings relating to the design of the study, I had to ensure that the findings were trustworthy nonetheless. To ensure this, I engaged vigorously with trustworthiness issues that I have described in the preceding section where I discuss in detail the four criteria of assessing trustworthiness of the findings.

3.10 Chapter summary

In this chapter, I have discussed in detail methodological issues relating to the study reported in this dissertation. I started by discussing the research paradigm, the research design and the methodology and other critical issues including sampling, gaining access to the research sites, methods of conducting the study and analysing. The next chapter discusses the presentation of generated data from the three primary schools.

CHAPTER FOUR

DATA PRESENTATION AND DISCUSSION

4.1 Introduction

The previous chapter discussed the research design and methodology used to generate data that shed light on understanding the role of school principals in building capacity of the SGBs to manage school finances in three primary schools. Matters concerning the interpretation, moulded the argument about the role school principals play in building capacity of the SGB members. In this chapter, I present and discuss the data that was generated through the use of semi- structured interviews, semi-structured participant observations and documents reviews. Data was generated to answer the three research questions of this study. This chapter begins with the short profile of each of the participating schools and that of the participants. This helps the reader to contextualise the findings under themes. From the presentation of the profiles, the chapter presents data using themes that emerged from the analysis. To ensure authenticity, the voices of the participants *verbatim* quotes are used in data presentation and discussion. To enhance the analysis, I infused relevant literature in the discussion.

4.2 Profiling researched sites and participants

This section provides short profile of the three schools and nine participants constituting the sample, that is, three from each school. As explained in the methodology chapter, *pseudonyms* have been used to conceal the identities of the schools, and these fictitious names are: Monde Primary School, Siphesihle Primary School and Anelisiwe Primary School.

4.2.1 Research sites

Monde Primary School (MPS), Siphesihle Primary School (SPS) and Anelisiwe Primary School (APS) are situated in the Umlazi District of KwaZulu- Natal Province. Although the schools are in a township, they are highly populated by learners who are mostly Africans and there is less numbers for Indians and Coloured people. This results in a mixture of working classes, who come from the area, the neighbouring informal settlements and other areas. The local conditions under which the population lives can be described as largely deprived socio-

economically, with residents' contextual conditions ranging from lower middle working class to the very low income working-class. Two of these three schools are fee-paying public schools and the other one is a non- paying public school. Below is a Table showing the background of each school.

Name of Primary School	Quintile	Number of learners	Number of exempted learners	School fee 2019 per year
Monde	5	1300	140	R2400
Siphesihle	5	890	125	R2100
Anelisiwe	3	940	All	Nil

Table 1: Biographical details of participating schools

4.2.2 Participants

My study is about the role school principals as ex officio members of SGBS play in building capacity of SGBs. When I asked for permission from the school to use their SGB members I did not differentiate that I needed teacher component or parent component or non- staff component. My understanding is that they are all SGB members. I used the SGB members that were available for me to gather data. Below is a table showing the background of each participant.

School Name	Participant Name	Age group	Gender	Race	Experience as SGB member
MPS	Mr S. Moodley	50-65	Male	Indian	21 years
MPS	Mr P. Rowan	21 – 35	Male	Indian	2yrs 6 months
MPS	Ms S. Chetty	21 – 35	Female	Indian	2yrs 6 months
SPS	Mr A.Naidoo	50 – 65	Male	Indian	5years

SPS	Ms Z. Ngcobo	21 -35	Female	Black	2yrs 6 months
SPS	Ms L. Jones	21 – 35	Female	Coloured	5yrs 6 months
APS	Ms B. Mthembu	50 – 65	Female	Black	15years
APS	Ms C. Khumalo	40 – 60	Female	Black	2years 6 months
APS	Ms C. Govender	21- 35	Female	Indian	1 year

Table 2: Personal details of the participants

4.3 The emerging themes

This section discusses the themes that emerged from the analysis based on the research questions. Three methods of generating data were used as described in the methodology chapter. There are five themes that are used to present qualitative data from the three schools and these are as follows: (a) School principals' and School Governing Bodies' experiences of financial management in their schools; (b) School principals' role in building capacity of School Governing Body members on management of finances; (c) School Governing Body members' perceptions on managing finances; (d) Challenges facing school principals in building capacity of the School Governing Body members; (e)Strategies that school principals used as a way of building capacity of the School Governing Bodies.

4.3.1 School principals' and School Governing Bodies' experiences of financial management in their schools

Schools are required to establish systems of control that will protect the school finances from misuse or theft. It is the responsibility of the school principal, as an accounting officer, to ensure that there are effective, efficient systems in place for purposes of internal control, as well as financial and risk management PFMA (RSA, 1999). The data indicates that the school principals' and the SGBs' experiences are similar in one respect. They are similar in the sense

that they all are characterised by unhappiness in relation to working together as key stakeholders in managing finances. Their unhappiness emanates from the financial management policy which seem to give parents more power in terms of decision-making than school principals. I am saying "parents" because school principals are also members of the SGBs and therefore, cannot be unhappy about the powers they enjoy as SGB members. There are finger pointing and counter finger pointing involved in their expression of how they work together on financial management.

The concern that school principals shared was that they did their best in managing finances on a day to day basis but there were issues that made them feel that SGBs enjoyed more power than them. This seemed to affect their work because of policies that demand that the SGB must approve and sign off all payments made, and know every cent spent. School principals claimed that even if they did things and reported to the SGBs, it became a big issue to the SGB if the slightest error occurred. The SGBs on the other hand, expressed a feeling that school principals were neglecting or ignoring them when it came to financial issues. It was only the school principal, the treasurer and the chairperson that had authority and control over finance issues. According to the school principals in this study, the schools' functionality was negatively affected by long delays waiting for the SGBs to sanction payments. Two participants were unhappy about the role that was played by the SGB members and they believed that it negatively affected their daily operations. Mr S. Moodley expressed his concern on payments being delays.

> *The thing is that there is this gap of managing finances and of running a school where you find that on a daily basis, there are things that need to be fixed and the school principal needs to liaise with the SGB first and this creates chaos if things are not taken care of immediately. This is the loop hole making school principal the second person when it comes to finances and running of the school.*

Also, Mr A. Naidoo expressed that he could not run the school without the SGB sanctioning payments and this made life very difficult. A lot of inconveniences happened. This is how he put it:

> *SGBs are custodians of the finances that are collected from school funds. They need to take ownership when it comes to buying and to understand PFMA properly. This makes*

life difficult for me because the treasurer most of the time is nowhere to be found and this drags the whole planning.

The SGB member confirmed that school principals asked permission to use funds on school matters prior to implementation. This caused delays on matters of urgencies. School principals were afraid of taking decisions alone pertaining to finances. They did not want to be accountable alone, school principals needed backup from the chairperson of the SGB so that the school principal can say that permission was granted by the SGB. It became clear that the SGBs participants was expressing reservations about the school principals of leadership skills. Ms L. Jones echoed that school principals were experiencing delays on matters of urgency because of lacking leadership skills:

The school principal always calls us as SGB concerning issues of finances even on a small thing that you can see that SMT were supposed to take a decision and implement. Policies and procedures are very good and well prepared but the school principal just ignore them. He does not take a decision or a stand as a school principal. I overhead that even SMT are very frustrated about the way the school principal performs more especially when it comes to managing finances so that the school will run smoothly.

The experiences shared by the participants above showed that school principals did not understand the provisions stipulated by the Schools Act and also their leadership. School principals' views raise questions about their understanding of their roles in financial management given that Section 38(a) (i) of PAM (RSA, 1998) provides for them to ensure that there are effective and efficient systems for the running of the school on a day to day basis. The SGBs are the custodians of finances who are supposed to see to it that finances are managed effectively and efficiently. School principals were even blaming the SGBs on how finances should be managed while nothing about their own planning in terms of the relationships with SGBs was mentioned. Hallinger and Huber (2012) maintain that the department holds the school principal accountable for implementing regulations, meeting expectations and while their position entail power and authority this position gravitate more towards accountability.

Drawing from one extract from the interviews, it emerged that school principals were managing finances differently depending on human resources available in their school. Two out of three school principals mentioned a number of financial management processes such as the

collection of school fees, the compiling an income and expenditure financial statements, compiling budgets, looking at quotations, meeting with auditors, compiling full report for SGB is done by clerks, and so forth. School principals normally put their signatures where it needs be. It came out very strongly that school principals were not hands on, when it came to financial management. Even though school principals should know about finances, this task of managing finances daily in some schools was being done by the clerk. PAM document states that the main task of the clerk is to collect funds and do financial statements. In two schools that is Monde Primary School and Siphesihle Primary School both school principals shared similar sentiments of having clerks that were hands on, in terms of financial management. This is true as Mr A. Naidoo confirmed:

> *We are fortunate in my school in that we have a clerk and an internal auditor they seem to be qualified and help the school a lot. Treasurer who is a parent has no time and it is very difficult to find her so most the things I communicate with the chairperson and clerk.*

On the other hand, in the same area where Anelisiwe Primary School is located, I noted that this school did not have a clerk. This gives another perspective of a school principal who is fully loaded as she manages finances alone with no clerk. This school is Quintile 3. She liaised with the SGB on decisions she had taken. This appears as, doing finances alone as school principal is a hard work with many things to do. Ms B. Mthembu shared her experience concerning finances:

> *In my school, this task is mainly done by me as a school principal. I do not have a clerk. What I normally do is that I communicate with the SGB so that they know what is happening. Doing of budgets, appointment of a company to do something, payments and record keeping relies on me.*

All these examples are an indication that in the three schools, school principals have different experiences. Mestry (2017) states that the school principal who lacks financial skills delegates financial duties to the finance officer sometimes who also lack financial skills. Accountability then shifts from the school principal to be on the finance officer. According to Section 23(6) of the Schools Act, the SGBs are given powers to co-opt a person with relevant skills required. School principals are responsible for supporting and helping the SGBs, including clerks. School principals are also answerable to their employer, the provincial department of Basic Education sciences and technology (Mahlangu, 2018). The school principals are responsible for supporting and guiding the school's expenditure in consultation with the SGB, helping the SGB

keep proper records of school accounts and all school records, overseeing the drawing up of the budget, ensuring controls are in place and operating for cash collection and monitoring compliance and acting on any con-compliance detected (Rangongo, 2016).

Earlier on, participants mentioned that school principals' leadership skills are lacking. This has been noted when they pointed fingers at the SGBs. SGB members' experiences of financial management have shown that most of them were kept in the dark about the goings on in the finance sector. A parent participant from Anelisiwe Primary School, accused the school principal of not keeping them informed. When I explained financial management, they said that the school principal or the treasurer were the ones responsible for finances. Even during meetings, they gave reports of how expenditure had been done. If ever some members asked a question for clarity, it was like you had crossed the line you must know your position. Mr P. Rowan explained:

> *People that are responsible for finances are finance officer, treasurer as well as the school principal. Those are the three main people in charge of finances. I am just a teacher representative; I talk when educators have given me something to say to SGB otherwise I just sit there quietly.*

Even Ms C. Khumalo and Ms Z. Ngcobo from Anelisiwe Primary School and Siphesihle Primary School respectively, expressed similar views that anything that had to do with finances, the school principal and the treasurer were the ones that knew exactly what was happening in their meetings. There were no discussions about expenditure, but, it is only the reports that were shared regarding what had happened. Explaining this issue, Ms Z. Ngcobo had this to say:

> *For us as SGB, the treasurer gives us report for things that have been done by the school there.*

The data suggested that collegiality and collaboration was scarce in the three schools. Many of the participants emphasised the importance sticking to your won lane, and do what you have to do. Look at what Ms C. Govender had to say:

> *I am an SGB member because I was elected by the educators so that I will be a middle person between the SGB and the educators. I know that the SGB is the whole body of members; then, I took it upon myself to do what is right and give support where ever*

needed mainly on finances because of my expertise. Sometimes, it becomes a challenge when the school principal exercises his position authority, saying that this is not my task to query about finances. I step down if I feel that the school principal and treasurer are not comfortable.

Even Mr A. Naidoo shared the same sentiments of the importance of each member sticking to his or her lane:

We are fortunate in my school; we have an internal auditor who seems to be qualified she helps us a lot. The treasurer who is a parent has no time and it is very difficult to find her so most of the things are being communicated with clerk, internal auditor and chairperson.

The experiences that the SGBs shared had an impact on what Dibete (2015) says. This scholar argues that expectations of school principals have moved from the demands of management and control to demands for an educational leader who can improve the SGBs' expertise to succeed with major changes and expectations. Transformational leaders, school principals do not simply manage structures and tasks, but they focus on the people on their relationships and on making deliberate efforts to win their co-operation and commitment (Huber, 2004). Co-operation from each SGB member is a concern so that they all understand finance management. In the next section, I move on to discuss the main theme of the research which is about school principals' role in empowering the SGBs in financial management.

4.3.2 School principals' role in building capacity of School Governing Body members on management of finances

The school principals' role is that of building financial management capacity of the SGB members. School principals are ex officio members of the SGB, and therefore, members of the SGB are team members. The school principal, as the ex officio member of the SGB, should even act as a facilitator and coordinate the efforts all the stakeholders to accomplish the goals of the school (Mahlangu, 2018). The data has revealed three aspects that talk of the role of a school principal in building capacity of the SGB in managing finances. The first is about whether school principals are aware that it is their duty to build capacity of SGBs or not. The second aspect relates to whether school principals see the importance of building capacity of

the SGB members or not, and the third is about how (if at all), they perform such capacity building duties.

On the aspect of finding out if school principals knew that it is their duty to build capacity of the SGB, all three participating school principals demonstrated clear understanding of this role. They all stated clearly that they knew that, besides the Department of Basic Education (DBE), it is their responsibility too, to capacitate SGB members. This is what Mr S. Moodley said that *"I am aware that I as a school principal I need to build capacity of my SGB"*.

Even Mr A. Naidoo and Ms B. Mthembu shared the same sentiments that they were aware that it is their responsibility to capacitate their SGB members. Acknowledging their familiarity with their responsibility to build capacity of the SGBs on finance management made them to declare their stance. As I highlighted in the previous paragraph, all participating school principals stated clearly that they know that it is their responsibility to build capacity of the SGBs. However, they also admitted that they had not done it in any serious and organised manner. Each and every school principal stated his or her reasons why they had not capacitated the SGBs. Even though they knew their responsibility, it is noted that two of the school principals expressed a challenge which in this regard, and thus had not embarked on this important task of building capacity of SGBs on finance management. Ms B Mthembu echoed saying:

> *I am aware of my responsibility of capacitating SGB. It is just that even myself I need empowerment on this aspect.*

Mr A. Naidoo added, saying:

> *Another reason is that even myself I am not in a good state of just capacitating them because even myself I still need more clarity on some issues.*

Along the same lines, even though school principals knew that it is their responsibility to build capacity of the SGB, Mr S. Moodley addressed another issue of capacitating only treasurer and finance committee. This is what he says:

> *We are fortunate in this school that we have SGB members who have financial skills we have not had a serious problem but what I do as a school principal I make sure that my treasurer and finance committee are capacitated.*

From the three different extracts above, it is evident that participating school principals have skills deficits that requires attention of the Department's officials. However, it is unclear as to why these school principals have not addressed such a serious matter given their understanding of their responsibility in terms of financial management. The third excerpt indicates another dimension which is also very important. What we are learning is that the school is endowed with SGB members with financial management skills, and because of that, the school principal has done very little (if any), to even build his own capacity in this regard. It appears to me that this school principal has taken a back seat with regards to financial management.

It is worrisome that school principals have expressed understanding of their responsibilities, but have done nothing. All three participating school principals agreed that they did see a need of empowering their SGB members continuing from what the DBE had done in that regard. Mr S. Moodley elaborated on seeing a need on building capacity of SGBs. He elaborated:

> *Empowerment is an exercise that should be practised more than one time. If a person has been trained it is of vital that he or she needs to be empowered now and again to renew what he or she is supposed to know or be doing.*

Mr S. Moodley continued saying:

> *The department calls on the school principal, treasurer and chairperson of SGB for workshops every year. This brings a gap within the other members of SGB. Starting from scratch empowering other members has not worked for me. The reason other members say the department has called the most prominent members who needs to be hands on managing finances. I usually see this even when we talk about financial issues. They keep quiet looking at me and treasurer for responses.*

Ms B. Mthembu concurred about the issue of the importance in building capacity of SGBs even though the department do workshops at the beginning of each year but calling only school principals, SGBs treasurer and chairperson. This is what she says:

> *For them, prioritising is a challenge, and that is when you as a school principal has to step in. Doing that is not an easy thing; it is then that you go back to documents and policies for more clarity. The other big challenge is record keeping. My SGB is very good in explaining to parents how monies have been utilised but when it comes to*

paperwork we found ourselves in big trouble because even myself administration is not what I am good at.

The above extract clearly shows that there is a dire need for the SGB members to get training in order to perform their duties efficiently; unfortunately, there is no evidence that school principals did that. Nevertheless, the data indicates that some capacity building exercise did happen, but it was the DBE that conducted such exercise, and some school principals such as Mr A. Naidoo, did not see a need for further training since the main front members knew their task as they are the main three responsible for finances. This is what Mr A. Naidoo said:

The reality on the ground is, the department is doing its level best on empowering SGB mainly the front line members who are the one responsible for managing finances. The department calls up meetings with the school principal, treasurer, chairperson and clerk. As a school principal I am there so that I will know what they need to do. Management of finances is mainly SGBs task not myself.

From the participants of three schools, only one participant openly said his role as a school principal to capacitate his SGB was being done to the whole SGB members after they have undergone a departmental training at the beginning of the year. While at Monde Primary School the school principal organised her colleague (another school principal) to do capacity building only to the newly elected members. Mr S. Moodley said:

We have training programmes that we share information looking at policies and amend where possible taking into consideration what PAM document says and any other legal document from the department. We even highlight the importance of being engaged in financial processes, for example, being part of fundraising and to have inputs in a meeting especially on matters pertaining to finances.

Ms B. Mthembu added by saying:

I have even organised workshops from a good school principal to train the newly members but it takes years for them to grasp information.

While we talked about capacity building that school principals' need to perform as their role, data revealed that school principals did not do formal or planned workshops normally they gave feedback to the entire SGB during the meetings if ever they had attended a workshop on financial management. This showed that even if school principals knew their role of capacitating SGB members, each school was doing its own thing and each school principal

called it building capacity and one found it strange because this was not planned as an important activity that needed to be done. Mr A. Naidoo and Ms B. Mthembu shared the same sentiment saying:

> *What I normally do I give them feedback from the workshops attended. I have not started any programme designed by me to capacitate them.*

Ms B. Mthembu added saying:

> *Giving feedback is what I do for now but having my own programme is still going to take some time.*

However, although it was clear from the school principals' responses on their role of building capacity, in addition, I gathered evidence from other participants who were SGB members to find out if school principals did capacitate them. The results showed that the school principals did not empower SGBs but they gave feedback on meetings that they attended and other point that came was if there was misunderstanding, the school principals approached, provided clarity on that particular issue. This is consistent with what school principals had said about not having a structured plan of capacity building of SGBs on finance management. The kinds of support they gave was unorganised and arbitrary. Mr P. Rowan voiced his concern:

> *The trainings that I normally hear about are the ones that the department does. These trainings are done once a year at the beginning of each year. The department only calls for the school principals, chairpersons and treasurers to attend financial management workshop.*

Similarly, to what the above participant said Ms L. Jones lamented:

> *Not as the whole SGB, only school principal, chairperson and treasurer were invited to attend that workshop from the department. Fortunately, after workshop that they have attended, school principal called a meeting to give us the feedback.*

Mr P. Rowan said:

> *There is no scheduled capacity building for the SGB. I think the main reason is that treasurer is familiar with whatever is needed to be done. Not a formally training that has been scheduled by him. What he normally does is whenever he has attended any meeting and there were issues concerning finances, he will then give feedback to us and make sure that whatever has been asked he will submit.*

School financials indicate that a major change in the role of school principals need to escalate from being a leader and manager to that of empowering the SGBs (Cebekhulu, 2016). What has come out strongly in this theme is that school principals did very little in building capacities of the SGB members. This despite their unequivocal stance regarding their role in this regard. The data has indicated that some school principals relied heavily on the training that is provided annually by the provincial DBE. Other such as Mr A. Naidoo organised some workshops either facilitated by members of the SGB that have requisite expertise or by fellow school principals who have the necessary expertise in financial management. Holding such training is important and form part of their mandate as contemplated in terms of Sections 19(1) and 19(2) of the Schools Act (RSA, 1996).

4.3.3 School Governing Body members' perceptions on managing finances

The core purpose of the study was to understand school principals' leadership as a member of SGB in relation to financial management in primary schools. The SGBs were given full responsibility for managing the finances of the school, including establishing a school fund, preparing an annual budget, collecting and administering school fees, keeping the financial records, appointing an accountant and supplementing the school's resources. The participants had different views on how school principals performed their duties in making sure that the SGB understood finance management. Three perspectives came out from participants on their behaviour when it comes to managing finances. They talked of (a) co-operation, (b) engagement and (c) knowledge and skills. The data indicated that members of the SGB were not active in issues of financial management. It emerged that it was only the treasures, clerks and school principals. Even then, it also emerged that only two of three school principals in three schools played an active role in financial management. With regards to the issue of cooperation, one important area where the cooperation was visible was during the fundraising activities, the construction of policies relating to financial management and reporting progress and expenditure to the parents. In this regard, Mr A. Naidoo had this to say:

> *As a school principal, I induct SGB members about technical policies like PFMA. I have to make sure they understand management of funds by taking ownership when it comes to budgeting, buying and keeping of financial records, drafting of policies and fundraising.*

Echoing similar views, Ms S. Chetty shared her experiences by saying:

The things that we do as SGB is drawing up of policies and procedures to be followed. We all become active in drafting those policies. The other thing that we do together concerning finances is engaging ourselves in activities of fundraising.

From the interviews I conducted, it became clear that even though cooperation occurred, some participants went an extra mile in their involvement in financial management. Ms C. Govender had this to say:

I always assist and support mostly as an educator at school being appointed by educators to assist on issues relating to finances. As an SGB member I do give my assistance if the school principal and treasurer asked me to do so. Even that assistance and support I give to them privately. When we are at the meeting I am just like other members who are inactive. We just listen and take it as is.

The second issue is that of engagement, and that process entailed engaging various stakeholders in ensuring that school finances were handled well. Such engagement included soliciting people with finance management expertise even when they do not belong to the SGB. For example, Ms Khumalo from Siphesihle Primary School had this to say:

The issue of working in partnership works in my school because our clerk is not part of SGB. SGB is being engaged because for a report to be given to SGB meetings, treasurer has to meet with the clerk to iron out the financial report.

Echoing similar views, this is what Ms C. Govender had to say:

In my school the clerk (bursar) is responsible for compiling financial reports, budget, payments and collection of monies. Our treasurer is an expert on this, so she takes the lead and whenever we have SGB meetings, it is her who gives us the report. Our clerk is not an SGB member so they meet prior to the finance committee where treasurer is the chairperson of this committee. What I can say management of funds in relation to procedures being followed we have no problem with that. Policies are being drawn by all of us as SGB.

It emerged from the data that some people are involved in the financial planning process even though they are not SGB like Ms C. Govender shared with us. Now Ms S. Chetty expanded on this:

My personal understanding as teachers ours is to draw up budget and present to SGB. Managing finances is part of SGB but not that the whole SGB. For us as SGB, treasurer

gives us report for things that have been done by the school. My interpretation is that for whatever report we are given we take it as is, reason because treasurer works with finance committee and in that committee the school principal is there. The things that we do as SGB is drawing up of policies and procedures to be followed. We all have the same understanding while drafting policies.

The excerpts above clearly show that there are many stakeholders that were involved in the financial management processes. Some of them have the expertise to manage finances while others such as parents are the beneficiaries of financial management. I next shift the discussion to the perennial challenge of skills deficits and skills development. Financial management is a process with several activities like preparation, analyses and interpretation of information. Another participant who is a clerk of a different school has a different experience on managing finances Ms L. Jones said:

I am the admin clerk and I run the finances. SGB is not part of finances as I do invoices, do payments and do records on spreadsheets. The only part SGB plays is sanctioning payments. As a member of SGB my understanding is that treasurer should be the one who reports about finances. She has to do bank reconciliation and sign it every month. By reconciling it is when she will know all transactions that happened and be able to note down whatever that needs to be corrected or if we are still in line with the budget. For my daily duties I account to my deputy school principal I am not supposed to account to SGB.

From the interviews, it emerged that knowledge and skills are an important area of expertise on managing finances. Although the focus of the study was not about knowledge and skills, but the issue of skills is embedded in the study. I am saying this because, the study was about how various school principals built capacities of the SGB members, and therefore, its focus is on skills development. In this section dealing with skills, it has also become obvious that most participants associated the issue of skills with financial management. Ms C. Govender indicated that:

We do not have a clerk. The school principal uses me mostly, in order to make sure that receipts are kept safe and even if she needs some opinions, she calls me. Our treasurer is someone whom they have elected because she is an outspoken person and has a tuckshop. Managing finances need knowledge and skills; it is then that I assist treasurer more especially on filing.

Most participants seemed like having one or two members who had the necessary expertise on financial management. This made them not even to wish to know more about finances and they relied on those members. Ms C. Khumalo a treasurer, pointed out something that differed from other participants:

> *We do not have any clerk; most things are done by the school principal. What we normally do is, the school principal calls me prior to discuss some issues so that when we are at the meeting we speak the same language. At the meeting we look at the records and unpack whatever needs to be explained.*

Schools with clerks had a totally different understanding on management of finances. The above extracts point out that the SGB in each of these three schools, there was one or two members who were familiar with financial management.

The SGBs' perception on management of finances provided an understanding that school principals have a major role to play in building capacity of SGBs on finance management. However, the data revealed that not all members of SGB were in line with what was expected on them to do. The SGB is given full responsibility for managing the finances of the school, including establishing a school fund, preparing an annual budget, collecting and administering school fees, keeping the financial records, appointing an accountant and supplementing the school's resources (Mestry, 2006). The section in Chapter Two on financial planning through budgeting, financial control, financial organising with school structure and financial leadership are the tasks that need cooperation, engagement and knowledge and skills so that things get done. According to Dibete (2015), financial management is a process with several activities, including identification, measurement, accumulation, analyses, preparation, interpretation and communication of information. Transformational leaders focus on members carrying out their tasks, having that relationship and considering their efforts to win their co-operation and commitment (Huber, 2004). This kind of leadership is said to have occurred when engagement in a group results in leaders and followers raising one another to increased levels of motivation and morality.

4.3.4 Challenges facing school principals in building capacity of the School Governing Body members

This study is about the role of school principals in building capacity of the SGBs to manage school finances. The data generated suggests a number of challenges facing school principals in building capacity of the SGBs. Such challenges included school principals being illiterate about finance management, time factor and commitment of SGBs. The data that emerged from the school principals' interviews revealed that, lacking expertise of management of finances has had a negative effect on their ability to build capacity of the SGBs. School principals commented that they did attend trainings called by the DBE once a year but they still experienced difficulties concerning finances. School principals talked of long drained training that is too much information the DBE provided and even terminology used is a challenge. Ms B. Mthembu words were:

> *As a leader of the school, I do not have that expertise. This become worse with the other SGB members because when they are elected, they are not elected based on school expertise but on political or prominence in the community.*

Mr A. Naidoo elucidated saying:

> *My main problem is that I am really afraid dealing with matters concerning finances because I am illiterate when it comes to finances. I know theory of it by reading handouts given to us by the department during workshops. My clerk is good at doing her work and the internal auditor is there to check any discrepancies.*

It is only Monde Primary School as mentioned earlier, that the school principal did capacity building for his SGB on policies and procedures. Then, their treasurer takes over on filing and record keeping and the SGB did this in a structured and planned workshop. This is what Mr S. Moodley said previously:

> *We are fortunate in this school that we have SGB members who have financial skills we have not had a serious problem but what I do as a school principal I make sure that policies and procedures are drawn in a structured way so that every member is familiar.*

To support data generated from school principals, I have extended confirmation from the SGB members wishing to know if they noted if there were challenges that made school principals not to empower them on finance management. Mr L. Jones responded by saying:

> *It was included as one of the items in our year plan, capacity building on financial management. Unfortunately, it never been done; I think the reason is our school principal is unknowledgeable about finances.*

Besides school principals being viewed as a challenge that undermine their capacity building efforts, the use of financial management terminologies, was also found to contribute to the challenges. Ms C. Govender highlighted that the terminology and recording keeping constituted a barrier and a threat to her school principal. She commented saying:

> *My school principal has a challenge when it comes to terminology and the ways of recording. My experience then gives a pressure on my school principal and treasurer. Now and again, they involve me in most of the things seeking for clarity. My school principal takes control but she does not empower SGB on the how part of managing finances, this is still a challenge to her.*

Similar views were expressed by other participants on why school principals found it difficult to build capacity of their SGBs on the management of finances. They, themselves needed in that regard more knowledge and skills. This is what Ms A, Ngcobo said in concurrence:

> *My school principal does not want to be part of anything that pertains to monies. He just plays hide and seek when it pertains to taking a decision or implementing something that will involve money.*

Even Mr L. Jones shared similar views as Ms Z. Ngcobo when he said:

> *My school principal can recall the policies and procedures and the PFMA, but to be hands on, it is really a challenge to him. I do not know if, it could be that he is illiterate about finances or he is afraid to get involved because of the scandals that he hears happening between the school principals and the SGB chairpersons. I do not see what role he plays when it comes to finances.*

The extracts above clearly show that some of the challenges that the school principals encountered were located in their own inabilities to manage school finances. Therefore, it would be inconceivable that school principals would empower others when they, themselves needed to be capacitated.

Another challenge that emerged from the analysis is the issue of time available for both the school principals and the SGB members to undergo training in financial management. The views expressed by the school principals and the SGB members agreed that time factor posed

a challenge to organising a structured capacity building programmes on management of finances. For example, some SGB participants said that it was very difficult to come from work and attend a meeting or workshop. They continued saying that they had even tried to change days and time but still, attendance was low as more apologies were tendered. In this regard, Ms C. Govender stated that:

> *Sometimes, I find it challenging because of time constraints. We agreed at the begin of the year that our meetings will be held on Wednesdays at 6pm; Only to find that it becomes very difficult to attend meeting because of family and work related matters.*

The content of the above extract was confirmed by other participants such as Mr A.Naidoo who expressed frustration of receiving more than four apologies during meetings when invitations had been issued timeously, two weeks before the scheduled meeting. This is what Mr A. Naidoo had to say in this regard:

> *The challenges I am experiencing is attendance at meetings. Sometimes, important issues have to be discussed only to find that SGB members have apologies. Even if meetings are shifted to be on weekends, some SGB members will excuse themselves. It is really a challenge to empower SGB.*

It is clear that this challenge needs to be looked at seriously especially because SGB members are elected by parents to represent them, and the nominees would have confirmed their availability. Therefore, it becomes a serious concern if members excuse themselves from meetings when they are supposed to be doing what they said they would do.

The problem of persistent low attendance in SGB meetings suggested, according to Ms B. Mthembu, that parents were not interested in serving their communities, whereas, they would have made commitments to do so. This is what Ms B. Mthembu had to say:

> *They are less interested. Some of the SGB members are here for their own personal interest. I will quote only two. My SGB has seven members, two of these members are active when it comes to the appointments of educators; if we do not have post for that year you cannot find them for any meeting. The other 3 members are just there when we will talk about renovations because they want to give a tender to the person whom they know. I think Ma'am, you can see how frustrating it is to work with such people. They do appreciate whatever developments that they see. It is very illegal. I know but what I say to myself is, it is of the best interest of the school.*

While there seemed to be challenges surrounding personal and collective interests, it also emerged from the interviews that the use of the term 'workshop' was not well received by some members of the SGB. Because of that, they would not avail themselves for workshops, but, they would be available for meetings. Therefore, some participants have become creative by using the term 'meeting' when they want to conduct workshops. This is how Mr S. Moodley put it:

> *Experience counts a lot. I have been a victim of not capacitating SGB years back because of lacking commitment when you use the term workshop instead of meeting. Our treasurer knows more of these things; so, what I only do is having one scheduled meeting / workshop where we draft policies and then treasurer will give them an idea of what is expected when we deal with finance management.*

The above extract indicates the importance of training and the challenges and frustrations that school principals faced when trying to support them in performing their duties in an efficient manner.

Literature at national level suggests a belief that many school principals lack the relevant knowledge and skills to lead their schools effectively especially when it comes to finances (Mestry & Singh, 2017). The lack of accountability especially on the part of the SGBs in many schools proves to be problematic (Kraft, 2015). Empowerment is an exercise that should be practised more than one time. If a person has been trained, it is vital that he or she is empowered now and again to renew what he or she is supposed to know or be doing (Harman, 2015).

4.3.5 Strategies that school principals used as a way of building capacity of the School Governing Bodies

The analysis of data generated three strategies that school principals used as ways of dealing with the challenges encountered in the efforts to build capacities of the SGBs. From the analysis of data, it was noticeable that school principals have experienced lots of challenges while intending to build capacity of SGBs. This has made them to change the way of empowering them. Relying on the skills of the treasures and the clerks was one of the strategies that school principals used to empower the SGB as they also had their own personal weaknesses in financial management. Giving of feedback after the school principal, chairperson and treasurer

attended workshop called by the provincial DBE was another strategy that all three schools used. All three school principals affirmed that they did give feedback to after attended the workshop. They called meetings and gave feedback. Mr A. Naidoo and Mr S. Moodley said:

> *What I normally do every year after attending the scheduled financial training called by the department attended by myself, the chairperson and treasurer, I then call a meeting for the whole SGB and give feedback. This works for me as a way of capacitating them.*

While this strategy was used by Mr A. Naidoo and Mr S. Moodley. Ms B. Mthembu shared a different way of giving feedback. She gave feedback when a need arose during the SGB meetings. She mentioned that because of too much terminology and things to be done on finances she responded in a meeting by giving clarity in that particular issue. This is how she put on:

> *I do not give feedback from any meeting I have attended unless there is a need that arises during the meeting we have as SGB.*

Giving feedback as an approach was found to be the noticeable strategy that all the school principals in this study used to enhance and empower SGB members on finance management. They indicated that it is the only way for now for making sure that as school principals, they shared information with the SGBs on how finances are managed. To support this, SGB members in this study agreed that school principals did give feedback to them. This is what P. Rowan pointed out:

> *Every-time when we have a meeting our school principal tells us that he has attended a meeting and gives us information on finances if ever there was something discussed on finance management.*

Another strategy of relying on the treasurers and the clerks has been noticed. School principals stated that because of the expertise that treasures and clerks have, this has made them to rely on them and not giving the whole SGB training on finance management. This strategy was used by two schools Monde Primary School and Siphesihle Primary School, the other school Anelisiwe Primary School did not have a clerk and on-top of that her treasurer is unknowledgeable. Relying on treasurers and clerks have made things too easy said the school principals. Clerks were the ones who were hands on when dealing with finances and treasures work hand in hand

with the clerks. This strategy made other SGB members rely on the treasures and the clerk, and they then became passive. Mr S. Moodley voiced out:

> *Fortunately, in my school our treasurer is very good on finances. She is an auditor in her workplace, so in many instances she explains things and most members understand her. This becomes easy for me and the clerk.*

However, S. Moodley said treasurer and a clerk are very useful. clerk being useful. A. Naidoo elaborated saying that he gains a lot from treasurer and the clerk. Mestry (2013) finds a contradiction how school principals lead and empower SGBs. His finding was school principals give explanations to SGBs if ever any member asked. He continued saying school principals do not have a formal prepared planned activity of empowerment on finance management. He also found that participation by SGB members in financial matters is limited to certain issues determined by the school principal. Most parents in the SGBs have limited financial management knowledge, skills and experience. These factors limit their ability to have a reliable and valid input process, relying on the school principals, clerks and treasurers as the literate and supposedly financially knowledgeable people for daily management of finances (Cebekhulu, 2016).

It is always better to seek information to a person who is knowledgeable on what frights you. The treasures sometimes have the experience on knowing how finances are managed. Treasures and or even other SGB member have a lot of wisdom and sensitivity and even sometimes have been there longer than the school principal who is struggling (Rangongo, 2016). The participating school principals seemed to acknowledge the views shared by Rangongo (2016) and ensured that they exploited the expertise available in the school to build capacities of the SGB members.

4.4 Chapter summary

In this chapter, data that was generated through the use of semi-structured interviews, semi-structured participant observation and documents reviews was presented and discussed. Five themes were generated to present the data, and relevant literature was injected into the discussion to enrich it. The next chapter presents the findings from the qualitative data presented.

CHAPTER FIVE

STUDY SUMMARY, FINDINGS AND RECOMMENDATIONS

5.1 Introduction

The preceding chapter presented data that was generated from three primary schools utilising semi-structured interviews, documents review and participant observation. This chapter presents the findings that were drawn from the data analysed using themes discussed in Chapter Four. Firstly, the summary of the entire study is presented in this study. Secondly, the findings are discussed using the three critical questions of the study. Thirdly, based on the findings, recommendations and implications of the study are presented. The chapter summary concludes the chapter and the whole study.

5.2 Study summary

This study was a case study of three primary schools in the Durban Central Circuit under Umlazi District. The study explored the role that school principals play in building capacity of the school governing bodies to manage school finances. The study was introduced in the first chapter by way of providing an overview of the research problem. As part of the orientation of the study, I presented the background, the statement of the problem, the rationale of the study, the objectives and the critical questions. Clarification of key concepts, the demarcations of the study as well as, the outline of the study brought the chapter to the end. The second chapter provided an in-depth review of related literature and the theoretical framework. The third chapter detailed the methodology I adopted for the study and the fourth chapter presented a discussion of data. This is the fifth and the final chapter which details the findings and makes recommendations.

5.3 Key research questions

This chapter will indicate the extent to which the data has successfully answered the critical questions that guided the study. The three critical questions of the study are listed below:

- What are school principals' understanding of leadership as members of school governing bodies in relation to financial management in primary schools?
- How do school principals' role in building capacity in school governing bodies be improved especially in financial management in primary schools?
- What strategies do school principals use in building capacities of school governing bodies to manage finances in primary schools?

5.4 Presentation of findings

The findings presented are discussed under the critical questions, based on data presented in the previous chapter. Data answered the research questions. These research questions are used as headings.

5.4.1   What are the school principals' understanding of leadership as members of school governing bodies in relation to financial management in primary schools?

The first finding regarding the school principals' understanding of leadership as members of SGB in relation to financial management is that school principals demonstrated clear understanding of their role in capacity building of SGBs in financial management. It was mentioned that even though school principals understood their leadership in capacity building, it also became clear that they did not have the capacity for manage finances efficiently. It was evident that although they went through training every year, this was not enough for them to develop confidence in their financial management skills. It could be that although they expressed understanding of their role in this regard, they may not have understood the enormity of the importance of financial management for the schools' operations and development. One of the finding was that school principals expressed frustration about trivial issues surrounding the availability of chairpersons of the SGBs when they had to do purchases. They tended to

complain about the powers that parents in the SGBs wielded instead of focusing on streamlining the dates and times for signage as they are the ones who know more about what Public Finance Management Act requires of them as accounting officers in schools. More details on these issues are provided in Section 4.3.1 of Chapter Four.

The second finding is that school principals in this study did not demonstrate clear understanding of their role as members in the SGB. Clearly, their dissatisfaction with some parents in the SGB created a gap between them as members of the same structure and parents who serve in the same structure, the SGB. In many excerpts in Chapter Four, school principals talk as if they are not part of school governance, and invariably, they projected parents as members of the SGB, while they only refer to themselves as school principals. Perhaps, that is one of the reasons that other participants who were SGB members, did not speak positively of school principals. In other words, it appears that school principals and the SGB do not belong together. Instead of focusing on ensuring that the SGB operates efficiently, they did not do much in that regard. My view is that; this could be linked to their not adequately understanding the role that they should be playing. More details on this issue can be found in Section 4.3.2 of Chapter Four and in Section 2.9.1 of Chapter Two.

5.4.2 How can the school principals' role in building capacity in the school governing bodies be improved especially in financial management in primary schools?

The data presented in the previous chapter clearly in the indicated that very little happened in schools in terms of building the capacity of the SGB members so that they can perform their duties effectively, in particular, the management of school finances. The data also indicated that school principals in the study lacked skills to manage finances. Nevertheless, some did something by way of providing feedback whenever they attended training on financial management, which was an annual occurrence. Some even solicited the assistance of fellow school principals and some sought expertise available in the schools to conduct training on financial management. This is a promising development that can be built on and strengthened. The above discussion underscores the importance of training by both school principals and members of the SGB. The finding in this section draws from the weaknesses exposed by the school principals themselves where they declared lack of financial management skills. Drawing

from literature presented in Chapter Two, I can argue that leadership training is even more important in this regard. This is based on the assumption that school principals as agents of transformation need to demonstrate their willingness to inspire others and also learn from that process. In other words, transformational leadership advocates a scenario where the leader and the led learn together. While this did not feature in the data presented, it does, nonetheless, indicate opportunities for development. This research question focuses on what can be done to improve, and the data indicates the dire need for training in leadership and financial management. More details on this issue can be found in Section 2.9.1 of Chapter Two and Section 4.3.4 of Chapter Four.

5.4.3 What strategies do school principals use in building capacities of school governing bodies to manage finances in primary schools?

The data has shown that there was lack of cooperation between school principals and the SGBs especially in the financial processes which takes place. After engaging with the participants on how school principals empowered them and also engaging with the school principals on strategies they used to empower the SGB members, it became clear that there was no clear strategy. School principals relied on what the DBE was doing for the SGBs. They only provided feedback after attending training. There were other school principals [Name the school] where training was done internally by those colleagues who had expertise in financial management. The strategy here was that the school principal would introduce the topic and handover to the skilled person to proceed with training. This was helpful in terms of ownership of the programme. What I found important in this is that training is shared rather than being a one-person activity. More details on this issue can be found in Section 2.9.1 of Chapter Two.

5.5 Implications of the study

There are numerous implications of this study. One of them is that there is a need to conduct studies that take a form of participatory action research with an aim of identifying challenging issues and empowering the participants in terms of improving their own situation. In short, there is a need to conduct a study that is designed in such a way that change for the better of the conditions of the participants can be made better.

5.6 Chapter summary

This chapter presented the findings drawing from the data presented in Chapter Four. The findings have indicated that very little was being done by participating school principals in terms of capacity building of SGB members in financial management.

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Appendix A:

UNIVERSITY OF
KWAZULU-NATAL

INYUVESI
YAKWAZULU-NATALI

3 Blueberry Place

Mulberry Park

Northdene

4092

20 March 2019

Attention: The Principal

Sample School

Dear Sir

RE: REQUEST FOR PERMISSION TO CONDUCT RESEARCH AT YOUR SCHOOL

I am Zamatolo Nonzuthazelo Xulu currently an educator at Parsee Rustomjee Primary School. For professional developmental growth, I have enrolled for a Master's in Education Degree in the field of Educational Leadership, Management and Policy at the University of KwaZulu-Natal (Edgewood Campus). As part of my degree requirement, I am required to conduct research. I therefore kindly seek permission to conduct this research at your school in May, at any day of your choice. I would, very much like to conduct the study in your school because I believe that you can provide valuable insight in extending the boundaries of our knowledge on this concept.

Appendix B:

<div align="right">
3 Blueberry Place

Mulberry Park

Northdene

4092

20 March 2019
</div>

The   Principal

Sample

Primary School

Dear Sir//Madam

REQUEST FOR PERMISSION TO PARTICIPATE IN A RESEARCH

I am currently a Masters student in Education Leadership, Management and Policy at the University of KwaZulu-Natal, Edgewood campus. I am presently engaged in a research study which aims to explore the role of principals in building capacity of SGBs in relation to financial management in primary schools. The topic of my research is The Role of School Principals in Building Capacity of the School Governing Bodies to Manage Finances. I would, very much like you to participate in this study because I believe that you can provide valuable insight in extending the boundaries of our knowledge on this concept. Your identity in this study will be protected in accordance with the code of ethics as stipulated by the University of KwaZulu-Natal. I undertake to uphold your autonomy as the participant. You will be free to withdraw from the research at any time without negative or undesirable consequences to yourself. However, you will be asked to complete a consent form.

You may contact my supervisors, UKZN Research Office or me should you have any queries or questions. Supervisor: Professor T.T. Bhengu. Office number: 0312603534. Cellphone number: ▆▆▆▆ Email address: bhengutt@ukzn.ac.za. Research Office through: P. Mohun HSSREC. Research Office number.: 0312604557. Email address: mohunp@ukzn.ac. My contact details are as follows: Mrs Z. N. Xulu. Cellphone number ▆▆▆▆ Email address: mamtolozn@yahoo.com. Thanking you in advance for your time and consideration.

Yours sincerely

Z. N. Xulu (Mrs)

Appendix C:

3 Blueberry Place
Mulberry Park
Northdene
4092
20 March 2019

The   SGB
member
Sample
Primary School

Dear Sir//Madam

REQUEST FOR PERMISSION TO PARTICIPATE IN A RESEARCH

I am currently a Masters student in Education Leadership, Management and Policy at the University of KwaZulu-Natal, Edgewood campus. I am presently engaged in a research study which aims to explore the role of principals in building capacity of SGBs in relation to financial management in primary schools. The topic of my research is The Role of School Principals in Building Capacity of the School Governing Bodies to Manage Finances. I would, very much like you to participate in this study because I believe that you can provide valuable insight in extending the boundaries of our knowledge on this concept. Your identity in this study will be protected in accordance with the code of ethics as stipulated by the University of KwaZulu-Natal. I undertake to uphold your autonomy as the participant. You will be free to withdraw from the research at any time without negative or undesirable consequences to yourself. However, you will be asked to complete a consent form.

You may contact my supervisors, UKZN Research Office or me should you have any queries or questions. Supervisor: Professor T.T. Bhengu. Office number: 0312603534. Cellphone

number: ▮▮▮▮▮ Email address: bhengutt@ukzn.ac.za. Research Office through: P. Mohun HSSREC. Research Office number.: 0312604557. Email address: mohunp@ukzn.ac. My contact details are as follows: Mrs Z. N. Xulu. Cellphone number ▮▮▮▮▮ Email address: mamtolozn@yahoo.com.Thanking you in advance for your time and consideration.

Yours sincerely

Z. N. Xulu (Mrs)

Appendix D:

3 Blueberry Place

Mulberry Park

Northdene

4092

20 March 2019

Dear Participant

INFORMED CONSENT LETTER

My name is Zamatolo Nontuthuzelo Xulu. I am a Master's in Education student in the School of Education at the University of KwaZulu-Natal (Edgewood Campus). As part of my degree fulfilment, I am required to conduct research. I therefore kindly seek permission to conduct this research at your school. My study title is: The Role of School Principals in Building Capacity of the School Governing Bodies to Manage Finances.

The aim of the study is to explore the role of principals in building capacity of SGBs in relation to financial management in primary schools. The planned study will focus on primary school principals and SGB members. The study will use semi-structured interviews with principals and SGB members. Participants will be interviewed for approximately 45 minutes at the times convenient to them. Each interview will be voice-recorded. Observations and documents review will also be done.

I therefore kindly request your permission to be one of my research participants. Research will take place in May and the dates and times for these interviews will be organized with you in advance.

PLEASE   NOTE THAT:

- Your involvement is purely for academic purposes only. There will be no financial benefits that participants may accrue as a result of their participation in this research project.

- Your identity will not be divulged under any circumstance/s, during and after the reporting process.

- All the responses, observations and reviewed documents will be treated with strict confidentiality. Pseudonyms will be used to represent the school and names of the participants.

- Participation will always remain voluntary which means that participants may withdraw from the study for any reason, anytime if they so wish without incurring any penalties.

- Participants purposively selected to participate in this study will be contacted well in advance for interviews.

- The interviews shall be voice-recorded to assist me in concentrating on the actual interviews. Your inputs will not be attributed to you in person, but reported only as a population member opinion.

For further information on this research project, please feel free to contact my supervisor or the research office whose contact details are provided below.

Researcher's details: Mrs Z. N. Xulu cell no.: █████████ Email address: mamtolozn@yahoo.com

Supervisor's details: Professor T.T. Bhengu, Office number 031 2603534. Email address: bhengutt@ukzn.ac.za

Faculty of Education HSSREC Research Office. University of KwaZulu Natal Tel no.: 031-260 4557. School of Education Email: mohunp@ukzn.ac.za

Your positive response in this regard will be highly appreciated

Thanking you in advance.

Yours sincerely

ZN Xulu (Mrs)

Appendix E:

Declaration

I _____ (Name of the participant)
_____ (School name) hereby confirm that I have
been informed about the nature, purpose and procedures for the study: The Role of School
Principals in Building Capacity of the School Governing Bodies to Manage Finances. I have
received, read and understood the written information about the study. I understand everything
that has been explained to me and I consent voluntarily to be part of the study. I understand I
am at liberty to withdraw from research at any time should I desire to do so.

I agree/ do not agree for the use of audio recording device.

Signature of Participant: _____   Date: _____

Thanking you in advance

Z. N. Xulu (Mrs)

Appendix F:

INTERVIEW GUIDE FOR SCHOOL GOVERNING BODY MEMBER

PERSONAL DETAILS

1. Tick the appropriate box

   Gender: Male ☐   Female ☐

   Age group: 21-35 ☐   36- 45 ☐   46- 60 ☐
   61- 75 ☐

   How many years have you served in the SGB: 1 ☐   2-3 ☐
   4-6 ☐   7- ☐

Interview Questions

The questions will guide my discussion and probes are indicated where needed.

1. Managing finances is one of the main task of the SGB. Explain your role in terms of managing finances of the school.
2. Do you have any knowledge and skills on how finances are done?
   Probes: If yes, tell us about your experience, knowledge and skills.
           If no, what challenges are you experiencing.
3. What role does the principal play in challenges that you may experience while managing finances?
4. What support systems are in place for you as a person who is supposed to be knowledgeable about finances.

THANK YOU VERY MUCH FOR PARTICIPATING IN THIS INTERVIEW

Appendix G:

INTERVIEW SCHEDULE

INTERVIEW GUIDE FOR PRINCIPALS

PERSONAL DETAILS

1. How long have you been in this school? _____
2. What is the quintile ranking of your school? _____
3. Tick the appropriate box

   Gender: Male [ ]   Female [ ]

   Age group: 30-39 [ ]   40-49 [ ]   50-65 [ ]

   Qualifications: M+4 [ ]   M+5 [ ]   M+6 [ ]

INTERVIEW QUESTIONS

The questions will guide my discussion and probes are indicated where needed.

1. What are your everyday experiences as a principal in your school?
2. You are expected to run the school that is to be a principal and be an ex officio member of the school governing body. Do you take both these roles as your tasks?

   Probes: If yes, what is your understanding of leadership as a school principal as well as an ex officio member of the SGB?

   If no, what is your understanding of these two roles?
3. In your own understanding how does it help the school for SGB to manage finances?
4. From your experience does SGB have financial skills and knowledge on how to manage finances?

   Probes: If yes, can you share what are they doing and how they do this task?

   If no, what challenges SGB experiences and how as a school principal help them?

5. Empowerment is an exercise that is practised, as a principal do you give trainings or build capacity of the SGB especially on finances?

   Probes: If yes, how do you empower SGB on financial management?

   If no, what challenges are you experiencing?

THANK YOU VERY MUCH FOR PARTICIPATING IN THIS INTERVIEW

Appendix H:

OBSERVATION SCHEDULE

This schedule is aimed at observing the practices of participants while having SGB meetings and Finance committee meetings. I will among other things, focus and take note of the following:

1. How effective SGB meetings and Finance committee meetings regarding the roles in financial management.
2. Members participation during SGB and Finance committee meetings.
3. Handling of financial matters by the principal and SGB members.

DOCUMENT ANALYSIS SCHEDULE

The documents that will be analysed will not be older than two years and will include:

1. Records of minutes of SGB and Finance committee meetings. The specific issues of interest will be:
   Distribution of duties within the SGB.
   Frequency and means of communication between the principal and SGB members.
   Frequency of workshops pertaining to challenges that emerge from financial management.
2. Official documents. This will be used to link the observation and interviews, thus improving the trustworthiness of findings.

Appendix I:

education

Department:
Education
PROVINCE OF KWAZULU-NATAL

Enquiries: Phindile Duma   Tel: 033 392 1063   Ref: 2/4/8/1855

Mrs ZN Xulu
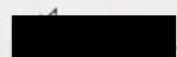3 Blueberry Place
Mulberry Park
Northdene
4092

Dear Mrs Xulu

PERMISSION TO CONDUCT RESEARCH IN THE KZN DoE INSTITUTIONS

Your application to conduct research entitled: "THE ROLE OF SCHOOL PRINCIPALS IN BUILDING CAPACITY OF THE SCHOOL GOVERNING BODIES TO MANAGE SCHOOL FINANCES", in the KwaZulu-Natal Department of Education Institutions has been approved. The conditions of the approval are as follows:

1. The researcher will make all the arrangements concerning the research and interviews.
2. The researcher must ensure that Educator and learning programmes are not interrupted.
3. Interviews are not conducted during the time of writing examinations in schools.
4. Learners, Educators, Schools and Institutions are not identifiable in any way from the results of the research.
5. A copy of this letter is submitted to District Managers, Principals and Heads of Institutions where the intended research and interviews are to be conducted.
6. The period of investigation is limited to the period from 24 July 2019 to 10 January 2022.
7. Your research and interviews will be limited to the schools you have proposed and approved by the Head of Department. Please note that Principals, Educators, Departmental Officials and Learners are under no obligation to participate or assist you in your investigation.
8. Should you wish to extend the period of your survey at the school(s), please contact Miss Phindile Duma at the contact numbers below.
9. Upon completion of the research, a brief summary of the findings, recommendations or a full report/dissertation/thesis must be submitted to the research office of the Department. Please address it to The Office of the HOD, Private Bag X9137, Pietermaritzburg, 3200.
10. Please note that your research and interviews will be limited to schools and institutions in KwaZulu-Natal Department of Education.

uMlazi District

Dr. EV Nzama
Head of Department: Education
Date: 25 July 2019

Championing Quality Education - Creating and Securing a Brighter Future

Appendix J