

**An investigation into the implementation of the
Developmental Appraisal System
in a primary school in the
KwaZulu-Natal Department of Education and Culture.**

by

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ABSTRACT

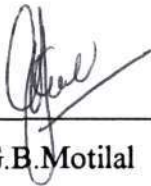
In this research study I shall examine the recently introduced Developmental Appraisal System. I shall carry out an investigation into the implementation of the Developmental System of Appraisal in a primary school in Kwa-Zulu Natal.

The intention of the research is to provide a case study, which will focus on the implementation of the Developmental Appraisal System. In order to achieve this, three main issues of the system will be addressed. These are the conceptualisation of the system; the implementation process and the impact of the process.

Although, the results of my research is focussed on one school the results could be illuminative. The final chapter of this study will concentrate on the findings and recommendations for the enhancement of the Developmental Appraisal System. The paper concludes that despite the many positive aspects of the process it is recommended that the whole appraisal system should be revised, revised and re-conceptualised to make it accessible to most South African schools, paying particular attention to simplifying it.

DECLARATION

I declare that this report is my own unaided work. It is submitted in partial fulfilment of the requirements of the degree of Master of Education (in the field of Educational Management) in the University of Natal, Durban. It has not been submitted before for any degree or examination in any other University.



G.B. Motilal
December 2002

STATEMENT BY SUPERVISOR

This mini dissertation is submitted with/~~without~~ my approval.

A handwritten signature in black ink, appearing to read 'M.H.J. Thurlow', written over a horizontal line.

PROF. M.H.J. Thurlow

ACKNOWLEDGEMENTS

I am grateful to:

- My supervisor, Prof. M.H.J. Thurlow for his patience, expertise, guidance and encouragement throughout the research process.
- My husband, Ajith Motilal and my children Nivikesh, Dhiren and Seranne for providing me space, love and support during my studies.
- Mr S.Govender, Principal of Motala Heights Primary School for his inspiration and support during the research process and without whose assistance this research would not have been possible.
- The staff of Motala Heights Primary School.
- To family and friends who have stood by me during my studies.
- To my late mother and God almighty for health, strength and determination.

DEDICATION

I dedicate my first mini-dissertation to my late father, Mr. Kalkapersad, whose commitment and deep desire for education has inspired me through my years of study and my involvement with education.

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An investigation into the implementation of the Developmental Appraisal System in a primary school in the KwaZulu-Natal Department of Education and Culture.

CHAPTER ONE

INTRODUCTION

Within the broad context of an apparently universal concern in education for the enhancement of quality and effectiveness of schooling, has been an increasing focus on the management of performance both at organisational and individual levels. In respect of individual level, attention has been directed, amongst other things towards ways of evaluating performance for developmental and accountability purposes. In the South African context, an emerging focus has been on the evaluation of individuals for developmental purposes, and this is exemplified in the recently introduced Developmental Appraisal System (DAS).

Prior to 1994, there was evidence of a range of practices broadly related to individual evaluation of performance, which Chetty et al (1993:2) characterised as being ‘... largely inspectorial and bureaucratic.’ In general, these practices were substantially rejected by teachers as lacking effectiveness and legitimacy and the development of the DAS might be regarded as being shaped in reaction to these practices and their shortcomings.

The process of transformation of educator appraisal, which has been clearly outlined by Thurlow with Ramnarain (2001), lead ultimately to an agreement reached in the Education Labour Relations Council in 1998 (Resolution 4) around a ‘new’ approach to educator appraisal for South Arica. Following this, processes were set in motion, during 1999 and 2000, for the implementation of the DAS. At its inception, there was a stated intention to review the DAS towards the end of 2000 but, so far, no such review has been undertaken. Consequently, currently there is no substantial basis of evidence for determining how successful the implementation of this significant innovation has been. One teacher union in KwaZulu-Natal has taken a ‘snapshot’ survey of membership experience of the DAS and

Thurlow with Ramnarain (2001) offered a speculative evaluation, which was not based on empirical research.

✕ [It is the lack of real evidence related to the implementation of the DAS, which provides the motivation, and purpose of this study. It is to carry out an investigation into the implementation of the DAS in a primary school in KwaZulu-Natal.] [The intention of this research is to provide a case study which will focus on the implementation of the DAS] and will be part of similar such study conducted by other education management students.

A review of the literature suggests that, when reviewing any performance evaluation system, such as DAS, there are three main issues, which need to be addressed. These are the conceptualisation of the system; the implementation process and the impact of the process.

¥ [In this study, the conceptualization of the DAS will be assessed critically in relation to related models, which are available internationally. The process of implementation will be investigated both theoretically and experientially. The theoretical aspect will draw on Thurlow with Ramnarain (2001) and related literature, while the experiential aspect will draw upon reported experiences of educators in the school, including the staff development team, as they relate to efforts to operationalise the DAS.] [The issue of impact is more problematic and an assessment of the real impact of the DAS would require longer-term research, beyond the scope of the present project. However, an attempt will be made to assess a 'reported impact' of the DAS, based on the impressions of respondents. Such an assessment can be no more than indicative.]

Questions for Research:

Three broad questions have been identified which shape the intended research, and which link the series of case studies mentioned earlier.

They are:

1. What are the conceptual underpinnings of the DAS, and how do these relate to the contextual realities of South African schooling, as well as other conceptualizations underpinning similar processes elsewhere?
2. How was the implementation of the DAS officially conceived, and what are the limitations associated with this conception?
3. What has been the actual experience of the school in attempting to implement the DAS, and what might be done to enhance the DAS and its implementation?

Research Methods:

[The first question on conceptualization will be approached through a study of the literature and the limited range of local documents available, viz., Chetty et.al 1993 and Mokgalane et al 1997.]

[The second question on the officially conceived implementation process will be addressed also through a study of the literature and local documents mentioned above. In addition, the district manager of the Pinetown district office and relevant staff will be interviewed.]

[The final question will be addressed through research conducted in the selected primary school. The whole educator population will be involved in this process and so no sampling problems will arise. Staff will be invited to respond to a self-completion questionnaire, which will include both closed and open items. If further clarification of responses should be required, the self completion questionnaire will be supplemented with a series of face –to-face interviews.]

[As the questionnaire is built around a series of closed questions, primary analysis of data requires only a comparison of easily determined relative frequencies. In addition, as each questionnaire item has an open-ended element, broad trends identified through frequency counts may be elaborated and illuminated via direct quotation.]

Structure of the Report

This report is structured in five chapters. My first chapter is the Introduction. The Introductory chapter is made up of an introduction, the key questions of the research, the research methods, the structure of the report, limitations of the study and the conclusion.

The next chapter focuses on the Literature Review in which I basically attempt to cover the first two questions of the research. It gives a broad overview of literature based on appraisal systems out of South Africa and literature that I found relevant on the South African system. This chapter starts off with an introduction. It then explains the Purpose of Appraisal, the Components of Appraisal Systems, the Managing of the implementation and developmental of Appraisal, The South African Appraisal System, The Nature of the Developmental Appraisal, How the Developmental Appraisal System works, The Guiding principles of the developmental appraisal system, conducting the developmental appraisal system and the conclusion.

The third chapter begins with an introduction and explains the research methodology I used to conduct my research.

In the fourth chapter I present my findings on the key questions of my research and the case study, which I carried out.

The final chapter is the conclusion and presents a summary of my research and recommendations from my findings.

Limitations of the Study

This mini-dissertation was conducted among the staff of a small primary school in KwaZulu-Natal. The staff comprises of one principal, one deputy principal, three head of departments and sixteen post level one educators. All the educators participated voluntarily in answering the questionnaire and interview was conducted with the principal of the school. The interview with the principal concentrates on the first and second questions of my thesis. These are the implementation at school level and the limitations of the conception and implementation. The case study based on the questionnaire for all educator's deals with my third question, this being the actual experience of the school in attempting to implement the DAS and what might be done to enhance the DAS and its implementation. Out of the nineteen educators, seventeen questionnaires were returned, answered while two were not returned. The reason for this was that two educators, who are temporary teachers, are fairly new to the school (approximately two months) and to teaching, and have not gone through the process of appraisal. Thus it made it difficult for them to comment on something they had no knowledge about.

Being a small staff, I would regard my findings to be pertinent to this particular school and to be of illuminative value rather than to generalise. My recommendations and suggestions for implementations will therefore be more for the school itself than for making changes to the DAS instrument, but could be used together with other research to make amendments and changes if common ground is found.

A further limitation to my questionnaire was the reluctance of educators to complete in comprehensive detail the questionnaire due to their time constraint and their workload. Due to this some of the questions were not answer in much detail leaving the explanations open to my interpretation. Further more some of the educators have encountered the DAS instrument for the very first time in this school and also could not elucidate on all questions as fully and as meaningfully as possible.

Conclusion

In this chapter I have introduced my mini dissertation and have expounded on the need for choosing the topic. I have explained my research proposal, presented my questions, and my research methods. I have also given a structure of the report. I have also illuminated on the limitations of the study high lighting the difficulties experienced by me.

The next chapter deals with a review of some of the literature available on Appraisal systems not only in South Africa but also in countries involved with appraisal.

CHAPTER 2

LITERATURE REVIEW

Introduction:

In education the criteria for appraising performance is complex, according to O'Neill et. Al (1994,77). The actual performance of teachers in a school is crucial to the success of education and the development of education. In this section I will draw on some literature and discuss the purpose of appraisal, components of Appraisal systems and managing the implementation and development of Appraisal.

Appraisal is the on-going evaluation or assessment of performance at the workplace. It is, according to the manual on Understanding School Governance and Culture (2001,32), about looking closely at "what the worker is doing and how he/she is doing it." What makes it complex in education is that it is difficult to assess the end 'product' because it involves human minds rather than a product per se.

Appraisal is a form of evaluation or an assessment on an on-going basis to fulfill the broader aim or goal of improvement in the workplace. It includes two sets of people, viz., the appraisee-the person to be appraised and secondly an appraiser –the person who conducts the appraisal.

O'Neill et al (1994, 77) suggests that since schools have managed a successful selection process of appropriate people and after their induction into their jobs it is essential "to ensure" that they are performing to the best of their ability. Regular feedback on performance is vital but the material agrees that education has not had a good record in providing it. In fact in many countries decisions about promotion, salary increments and other incentives are being made about teachers without the candidate knowing the criteria for assessment. In these cases it is obvious some form of appraisal did take place, but happened in a "closed" system, where the person in-charge assessed and recorded without any discussion.

According to Bollington et al (1990,1) teachers gave the following reasons for appraisal during the School Teacher Appraisal Pilot Study:

“ improve teacher performance, increase job satisfaction, improve the delivery of in service training, and, ultimately and vitally, improve pupil performance;

improve the standard of teaching and improve the quality of teaching;

motivate teachers by indicating they are considered as individuals, highlight problems and difficulties and help solve them;

increase professional awareness, to improve standards of teaching skills, curriculum, pupil and teacher performance, to formulate structured development of school, curriculum, teacher and pupils, to achieve value for money related to resources, buildings, staffing and in-service training, to identify needs.”

(Bradley et al, 1988, pp. 6-8)

This should then form the basis of the purpose for appraisal.

The Purpose of Appraisal

According to Bollington et al (1990, 4) “appraisal comes into the education system with a good deal of attendant baggage”. It has to find a “place among a number of current initiatives designed to improve the quality of education”. In “the forming of qualitative judgements” (DES, 1983) there is a need to consider both the criteria and the purposes of appraisal.

The appraisal system is fundamentally raised because of issues of performance.

Performance should be thought about on two levels at schools,viz.:

The individual in the organization

The individual in the school. Turner and Clift (1985) identified two basic purpose of systematic staff appraisal, these being:

- 1) Formative appraisal concerned with professional development, the improvement of practice by identifying, strengths, weaknesses, needs and interests – the developmental purpose
- 2) Summative appraisal concerned with the selection, promotion, redeployment and dismissal of teachers – the evaluative purpose.

Bollington et al (1990, 10) agrees to this and states that appraisal schemes often serve more than one purpose. However, to separate these purposes in practice is difficult. The purpose of the appraisal system, according to O'Neill et al (1994, 78) is as follows:

- 1) To provide a two-way boss-subordinate review of the subordinate's performance over the year
- 2) To feed back data to senior managers on the performance of an employee or a group of employees
- 3) To tell individuals what their strengths and weaknesses are
- 4) To provide data for reviewing salary and other rewards
- 5) To help with identifying training needs
- 6) To provide an inventory of talents, skills, qualifications, etc.
- 7) To provide input for human-resources planning, career path planning and numerous other devices

(as adapted from Hunt 1986, p22).

Some of these are concerned with evaluation of the individual's performance while some are concerned with the individual's development and other with accountability to the organization. According to O'Neill et al the question arises that can all three purposes be accommodated within one kind of appraisal system. Beer (1986, cited in Fidler and Cooper 1988, p6) separates the goals for the areas of evaluation and development.

The evaluation goals are:

- a) To give feedback to subordinates so they know where they stand
- b) To develop valid data for pay and promotion decisions and to aid communication of these
- c) To provide a means of warning subordinates about unsatisfactory performance

The development goals are:

- a) To counsel and coach subordinates so that they will improve their performance and develop future potential
- b) To develop commitment to the organization through discussion of career opportunities and career planning
- c) To motivate subordinates through recognition of achievement and support
- d) To diagnose individual and organizational problems

Tension does exist between these two goals since individuals want to be at their best when being appraised for promotion and pay purposes but in the case of developmental goals, appraisal focuses on an individual's weaknesses with the view to improvement. This paradoxical situation actually calls for two separate appraisals of individual for different goals.

The management purposes in appraising performance needs to have:

- a) Support for growth and development of the individual.
- b) Evaluation of performance to identify:
 - i. Performance meriting reward.
 - ii. Performance requiring remedial action

iii. Performance that is so unsatisfactory it requires termination of employment

c. Information concerning individuals' and groups, performance and needs to enable the organization to plan ahead.

(O'Neill et al, 1994 , 79)

The ACAS report on a set of purposes of appraisal as stated in Bollington et al (1990, 6-7) provides a list of outcomes of appraisal, which are included in the Cambridge Institute of Education survey questionnaire. These are:

1. Identification of your in-service training needs.
2. A new or modified role
3. The development of professional relationships within the school in which you work
4. The promotion of consistency between your aims and those of the school
5. Enabling you to express views about the school in the expectation that they will receive serious consideration
6. Identifying your potential career development
7. Identifying and helping with any performance difficulty you may have had
8. Obtaining candid feedback on your past performance, and gaining reassurance and motivation for the future
9. Promoting the development of your school
10. Improving the performance of your pupils
11. Contributing to your reference
12. Enabling you to develop further your expertise/skills

These outcomes are significant in determining the purposes of appraisal.

Components of Appraisal Systems:

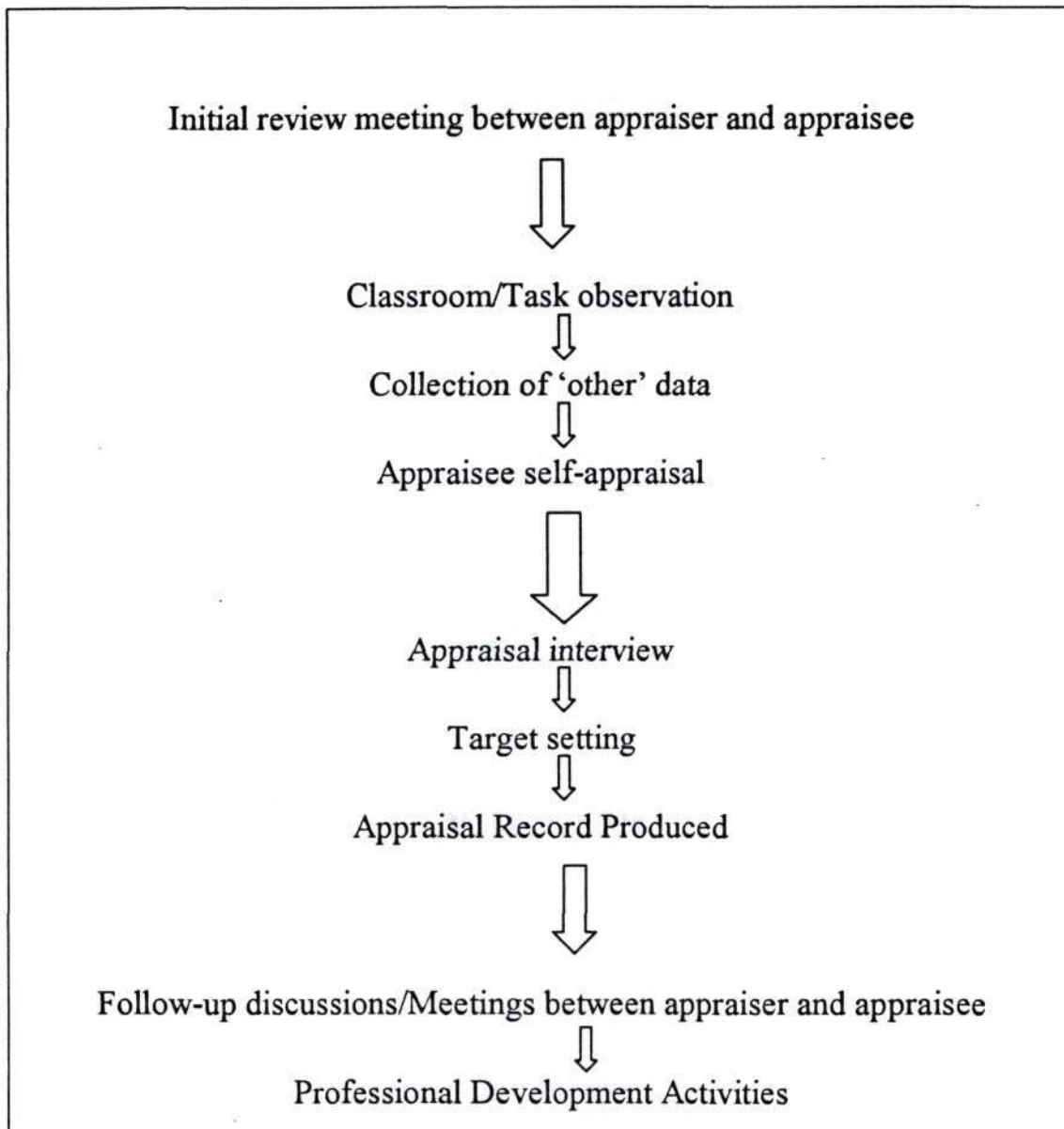
The appraisal schemes can be operated in different ways for different purposes. Bollington et al (1990, 10-11) identify three components imperative for appraisal process, this being the stages of preparation, interview and follow-up. Some of the key components that are relevant for appraisal, whether it is evaluative or developmental, or both according to O'Neill et al (1994,81-82) are:

- a) **Some form of self – review**, where the appraisee makes some kind of judgement about his or her performance. This can be verbal or written using set criteria or a standardized checklist, whereby self- examination is done and the appraisee can suggest improvement in performance.
- b) **Some collection of data about the appraisee**. Both quantitative and qualitative data can be collected. Quantitative data will include records on attendance; punctuality and qualitative data will be reports on the appraisee by reliable people closely associated with him or her such, as the management team and colleagues.
- c) **Observation of the appraisee at work**. This is an essential part of appraisal as the appraisee must be observed in the performance of his or her duties to be assessed accurately and to ascertain difficulties and problem areas.
- d) **Interview meeting between appraiser and appraisee**. Three different types of interviews are identified by Fiddler (1988,10). The first is the ‘**Tell and Sell**’, which involves the manager directing the interview and the appraisee accepting the steps to improve. The second type is the ‘**Tell and Listen**’, which allows the manager to give authentic feedback and then allow the appraisee to respond. This style is dependent on discussion, understanding and communication, which should be followed by improvement in performance. Thirdly is the ‘**Problem-Solving**’ style, which requires both the appraiser and appraisee to jointly acknowledge problems and work through them together.

Bollington et al (1990, 10) sees the interview process as central to the appraisal process, where uninterrupted and sustained discussion of past performance and future plans can take place.

- e) **Targets being set.** Targets are crucial to the effective management of human resources in an educational organization. Due dates and task completion is determined by the very nature of the institution the appraisee finds himself in. Targets being set for appraisal are valuable to gauge responsibility and commitment.
- f) **Follow-up.** Action has to be taken to follow up issues identified for improvement in performance by the appraisal. Bollington et al (1990, 11) agrees that this stage is crucial to the whole process and that the credibility of appraisal depends on success here. At this stage, they say, "targets are worked on, supported and monitored".

Bollington et al (1990,10-11) have identified the following components in the appraisal process:



Managing the Implementation and Development of Appraisal

The actual performance of teachers in a school is crucial to the success of education in any country. An effective means by which this performance is monitored and assessed, through some kind of appraisal, according to Middlewood and Cardno 2001, 181), is therefore necessary. But prior to this process taking place is the more significant part of managing the implementation and development of appraisal. Leicester (199,78) states “the

management of appraisal schemes lies at the heart of the people or performance debate". The support for development requires trust, openness, transparency and willingness for all parties to participate. When appraisal involves evaluation it requires information about areas of improvement. Thus in formulating, implementing and developing an appropriate appraisal system this conflict in appraisal between development and evaluation must be considered. Strategies have to be employed to diminish this tension says Leicester (199, 181).

Beer (op.cit.) suggests the following strategies:

- 1) separating evaluation and developmental schemes. Whether this is feasible in a school is questionable.
- 2) Universal appraisal, including upward and peer appraisal. This will ensure that everyone in the organization is appraised and can encourage confidence in the system, as well as a feeling of 'fairplay'
- 3) Recognising that different systems may be needed for different groups of people.

The South African Appraisal System

Introduction

Appraisal, as defined by in a South African manual, Manual 7 of Understanding School Governance by the Department of Education and Culture (2001,32), is the

“on-going evaluation or assessment of performance at the workplace. It is about looking closely at what the worker is doing and how he/she is doing it”.

A close examination of this definition indicates that appraisal is some type of analysis of work that is 'on-going' in an organization or workplace and passing some type of 'judgement, in order to fulfill broader aims, objectives and goals of the organization or of individuals. It includes two sets of people, viz., an appraisee – the person to be appraised and an appraiser the person who conducts the appraisal.

In order for appraisal to take place then, Middlewood (1997) says that “feedback about performance” has to be collated and analysed so that performance can be enhanced. It is therefore vital that such a process or assessment needs careful conceptualization, implementation and management and feedback.

According to Mokgalane et al (1997, 22-23) there existed in the previous educational dispensation some form of teacher evaluation, but the evaluation varied according to former departments and provinces. These were more summative in nature and were linked in some instances to promotions, merit awards and increments. Other countries such as England, Wales, Canada and New Zealand have appraisal systems in place, although it is relatively new in education throughout the world. What is new to us in South Africa is the shift in focus from a purely judgemental system to one that focuses on development.

A context for change

The new Constitution of South Africa, which came in to being in 1996, legislated the need for transformation of society and social institutions, focusing directly on democracy, human values, skills, values and attitudes. Within this broad context of transformation, according to Thurlow and Ramnarain(2001,1)

“the National Department of Education has refocused the vision and direction of the South African education system through a series of policy initiatives.”

One of these policies includes the development of a policy for educator development and the implementation of the educator appraisal system (Department of Education 2000, 29-30).

According to Middlewood (2001,181)

“the actual performance of teachers in their schools is obviously critical to the success of South Africa’s development of an improving education. An

effective means by which this performance is monitored and assessed, through some kind of appraisal is therefore necessary”.

A brief history of the previous “inspection” system will help to illuminate the need for a new system. The African National Congress (ANC) (1994,7) regarded this system as “one of the most vehemently contested aspect” of the schooling system and hence

“one of the most important factors negatively influencing the quality of education. There is an urgent need to move away from the present summative, authoritarian practices...”

According to Chetty et al (1993,2) since the previous system was

“largely inspectorial and bureaucratic and in the case of black teachers – with bureaucratic efficiency and social control rather than professional development”,

the debate about the purposes of any new system was inevitably intense.

This system was judgmental and according to Chetty et al (1993,3) was amongst other things, politically biased, arbitrary and open to abuse and corruption. Middlewood (1997,192) in a 1993 report demonstrates the suspicion and negativity surrounding this evaluation system of the past. Thurlow and Ramnarian (2001, 93-94) observed that criticisms revolved around

“issues related to concerns over legitimacy and control, the underlying purposes of appraisal and the content and procedures associated with the process”.

Although there was widespread rejection of evaluation and supervision in this form there was a need for an effective means by which performance is monitored and assessed, through some kind of appraisal. Chetty et al (1993,1) points out that “appraisal per se” was not rejected but that

“majority of teachers want appraisal to be a part of their professional development – and not a mechanism for enforcing control”.

The educators actually wanted a uniform, national system of appraisal, developed consultatively, which was open and equitable, school-based, improving the quality of teaching and learning most especially in the most disadvantaged and devastated schools as stated by Thurlow and Ramnarain (2001,94). There was a desperate need to develop a new appraisal “instrument” as it became known.

Fenel’s criticism (1993) was that appraisal had been focused on improving exam results as a narrow objective rather than improving educational processes generally, and was overwhelmingly about compliance with departmental regulations rather than engaging with educators about their work. It recognized, most importantly, that appraisal was not an end in itself

“but a means to a larger end, the democratization and enhancement of learning and teaching in school”.

A process of transformation

A Pilot Project was undertaken in 1997 on a new system of appraisal.

Chisholm(1997,2) stressed that any

“attempt to link appraisal more narrowly to new forms of control over teachers is not part of our vision”.

A Pilot Project report on a new system, which is called the Developmental Appraisal System was released in 1997. This Project showed that educators welcomed openness and transparency as key to the success of any appraisal system and that the sharing of purposes, of data and targets, is crucial says Middlewood (1997,193). A sense of ownership needed to be built in and the principles, which encourage this, are the following, according to Middlewood (1997,193)

- self appraisal
- a negotiated process
- involvement of peer review
- recognition of contextual factors
- recognition that process is as important as product

Middlewood further suggests that the purpose of appraisal be for professional satisfaction (developmental), to fulfill professional obligations to learners (accountability) and to enable teachers to know how they are performing (entitlement).

With these factors in mind the new system of appraisal was formulated and according to Mokgalane et al (1997,3) the principles that were embodied are as follows:

1. The process is important as the product. The appraisal should be considered as a process and not an event.
2. The process should be negotiated.
3. The process should involve peer review
4. It should be developmental rather than judgemental
5. The process should take into account contextual factors eg. Availability of resources, state of school, nature and conduct of learners etc.
6. The process must be nationally instituted.
7. It should be democratic.
8. It should be conducted openly and not in secret.

9. All parties involved in the evaluation should be empowered to conduct the evaluation by receiving adequate training.
10. A system of teacher appraisal should be developed which considers structurally separating summative and formative evaluation in terms of processes, procedures and products.

(Mokgalane et al 1997,5)

After the pilot project was carried out, on the 28 July 1998, a final agreement was reached within the Education Labour Relations Council (ELRC) on the implementation of the developmental appraisal system. This agreement is reflected in Resolution 4 of 1998. According to the DAS Manual (1999,52) it was agreed upon by the ELRC that:

1. the overall nature of the appraisal system that has been piloted should remain, including the “guiding principles”, the nature of the appraisal process and the use of “appraisal panels”.
2. the “instrument” to be implemented is one that is “developmental” in nature only and will be conducted with all levels of personnel within education, in and outside schools, excluding education therapists and psychologists.
3. the appraisal will be tied to the nature of job descriptions of the specific level of post to which a person may be attached.

The Nature of the Developmental Appraisal System (DAS)

The new developmental system envisages being radically different from the previous system, which it replaces as it is fundamentally developmental and formative in nature. The aim of DAS is to facilitate the personal and professional development of educators in order to improve the quality of teaching practice and education management (ELRC: 1999,3). The rationale is to introduce an appraisal system to fill the vacuum, to have a standardized

system, which will assist educators to become more effective and to be a precursor of performance management.

This means that the notion of appraisal is aimed at an acknowledgement of the positive aspects of the educators' performances. It rests on the belief that nobody is just full of faults. Thus, the new notion of appraisal sets out to be "developmental" in nature as opposed to be judgemental. Being formative in nature is linked to developmental as it focuses not only what the individual is doing wrong but also on what s/he is doing right. It seeks to build on the strengths that they have as well develop the weaknesses.

This approach recognizes that teaching and learning are complex processes, and that problems may exist because of various reasons. The appraiser will look at the ways in which the problem occurs, how and why. The focus will therefore be on pedagogical processes.

The person being appraised is going to be part of the appraisal process and will be able to contribute to decisions about his/her performance and ways in which it can be improved.

How the Developmental Appraisal System works?

The Developmental system will be an ongoing process consisting of the following:

The Staff Development Team (SDT):

The staff development team consists of the principal and elected members of the staff. These members should enjoy the confidence and support of the staff. Ideally they are experienced and knowledgeable educators themselves and they have sympathetic qualities. They need to provide guidance during the process of the appraisal so that the appraisee can learn from it. At the end of the process the appraisee should have a clearer understanding of what he/she needs to improve in and know where to get help.

Every school is required to establish an elected staff development team. The responsibilities of the SDT are the initiation of the appraisal process; facilitating appraisal training and ongoing support; preparation and monitoring of a management plan for appraisal; the establishment of the appraisal panels and the identification of appraisees;

ensuring a link between appraisal and whole school development; monitoring the effectiveness of the appraisal system and ensuring that records are maintained.

Appraisal Training:

All members of the staff in a school must receive appraisal training. In order to achieve this a facilitator's manual outlining the content of the training program and suggestions for conducting workshops has been developed. This program includes some contextual background material, some advice on procedures, commentary on the form to be used in the process and very short coverage on conducting development appraisal. Essentially the manual is instructional and operational in nature. These manuals are available at schools.

The appraisal panels

The appraisal process for each individual is carried out through an appraisal panel, which comprises of the appraisee and at least three others. The other members of the panel are drawn from nominated peers, senior management persons, union representatives and persons from outside the institution. Each panel, the composition of which must be acceptable to the appraisee, elects its own chairman who is responsible for scheduling panel meetings, the conduct of the meetings and reporting progress to the S.D.T. It is recommended that two panel's members should serve as active appraisers.

The appraisal instrument

The official manual uses the term "instrument" to refer to the actual tool that is used in the appraisal of educators (ELRC, 1999: 86), which comprises of five forms. According to this manual (1999: 86-88) the following are the forms:

- i) Personal details form, which is a short curriculum vitae of the appraisee.
- ii) Needs Identification and prioritization form. This form provides the actual criteria for management personnel. Although "optional" and "additional" criteria may be added on, the "core criteria" must be covered for the appraisal reports to be valid. These forms are used to identify the specific

criteria on which the appraisal will be based and to record priorities of development.

iii) The professional growth plan (PGP) This form is to be completed by the appraisee and allows the educator to formulate his or her own objectives according to the criteria that have been prioritized. The PGP expects appraisees to indicate how they would practically achieve these objectives and within which time period.

iv) The discussion paper

This paper is completed by the appraisee with subsequent modification from the panel. It reports or notes whether the appraisee's objectives have been reached or not. If it has not been reached this report will stipulate why not and what could be done to improve the educator's professional development.

v) The appraisal report

This report contains prioritized needs/criteria, identified needs, strengths of educators, suggested development programs, suggested development providers and signatures of all the members of the panel.

Guiding principles of the developmental appraisal system

According to the manual (1999, 60) the guiding principles of the developmental appraisal system are:

1. The process of the appraisal should be open, transparent and developmental
2. The appraisal of the educators is in essence a developmental process, which depends upon continuous support. It is designed and intended to entrench strengths, develop potential and overcome weaknesses.

3. The process of appraisal should always involve the relevant academic and management staff.
4. The appraisal should be all inclusive of stakeholders, and their members should be trained to conduct the appraisal.
5. Educators should be informed of all aspects of the appraisal process, so that they can take the initiative to conduct the process of appraisal.
6. Prompt feedback by the way of discussions and written communication to those who are being appraised should be one of the indispensable elements of appraisal.
7. The appraisee has the right to have access to respond to the appraisal report.
8. The instruments for the appraisal should have appropriate criteria to appraise the nature and level of the work performed.

The basic philosophical understandings that inform these guiding principles are;

1. democracy
2. transparency and
3. developmental orientation

Conducting the developmental appraisal system

1. Pre-appraisal:

This stage consists of setting up the appraisal panel, clarifying the roles of members on the appraisal panel, and the appraisee filling in the personal growth forms. These are then tabled and discussed at an appraisal panel meeting.

2. Appraisal

This stage is about actually conducting the appraisal of the educator. The observations of educators must follow the criteria that have been decided upon. These criteria clearly outline what should be observed and how the appraisee should be treated

2. Post-appraisal

In this stage the appraisal would have been completed and the appraisers would report on their findings to the appraisal panel with the appraisal panel present. The results of the appraisal will be discussed openly and honestly, giving the appraisee an opportunity to explain their own professional practices. Overall agreements about the appraisal will be reached to the satisfaction of the appraisees. The discussion paper will first be filled in by the appraisee and discussed and agreed upon by the appraisal panel. The appraisal report will then be completed. All the members will then sign this.

Managing Appraisal

According to Middlewood (1997,173) the way in which appraisal is managed is fundamental to staff management in any organization. To manage effectively demands the setting of adequate benchmarks for staff. Middlewood (1997, 173) the main threads of perceived effective management of appraisal in England and Wales and which can be applied to our system here are:

- 1) A focus upon the growth and development of the individual teacher.
- 2) Consistency of application in that appraisees are aware that all staff members are being treated in the same manner.
- 3) Objectivity of the process.
- 4) The process as being just as important as the outcome.
- 5) Recognition that appraisal involves particular skills

- 6) The process is driven by the appraisee's needs.
- 7) Maintains a balance between confidentiality and sharing
- 8) Evaluation and review.

To effectively manage the appraisal process Middlewood (2001, 197-198) suggests that the school manager should consider the following:

- 1) Ensuring that any system for performance review in the school is procedurally sound and seem to be consistently applied. This is fundamental to perceptions of fairness that staff have. The manager may begin by being appraised personally as the first member of staff demonstrating that there is nothing to be feared in the system
- 2) Establishing an agreed set of principles for carrying out appraisal that are specific to school within the national norms. This not only develops a sense of ownership but clarifies what the manager and all staff are committed to. Examples of these may include:
 - A firm statement as to whether or not the school's scheme is linked to pay, performance, development or promotion.
 - A commitment to equal opportunities, especially with regards to gender and ethnic origin.
 - A commitment to appraisal for everyone including the principal
 - An assurance about the extent of confidentiality, so that there are no misunderstandings as to what was agreed upon and to be shared.
 - A statement about those aspects of a particular school's situation which are or not to be used, for example, parents, NGOs, churches etc.

Initial assessment of DAS

Thurlow and Ramnarain have made the only initial assessment of DAS in its premature stage in the year of its implementation. In their report, which does not have any empirical references, they found that the new system “differed radically from the system which existed previously” (2001,102). According to them “the process by which it was developed and the principles which underpin it combine to invest the new system with an unprecedented degree of legitimacy in the eyes of the stakeholders”. It has been observed that despite this, DAS together with various other departmental initiatives cannot implement themselves. The minister’s ‘Tirisano’ programme acknowledges this and hopes to engage the problem.

Some of the explanations for failure offered by Thurlow and Ramnarain (2001, 102-103) is the lack of financial and physical resources, as well as the lack of human resources. It has also been observed that *insufficient attention has been given to the process of implementation*. The report by Thurlow and Ramnarain identify the following to be the problem:

- The pilot project being to limited in scope and duration and its methodology and findings never evaluated independently
- Fundamental and radical changes in the way schools are management, which are essential for the implementation of DAS, were not considered.
- Confusion arises about DAS and its integral link with Whole school development programme as proposed by the training manual.
- No real attention given to DAS at the implementation and institutional level
- The lack of training for interpersonal skills for the appraisal process
- Lack of the availability of quality appraisal training
- Limitations in the design and content of training for the introduction of the new appraisal system
- The exclusive developmental nature of the new system

CHAPTER 3

RESEARCH METHODOLOGY

Introduction

In this chapter I will discuss the research methodology I used to conduct the research. My research focuses on the actual experiences of the school in attempting to implement the DAS, and what might be done to enhance the DAS and its implementation. What I intend finding out is how DAS was implemented at this school and what impact has been made on the respondents. In this chapter I will provide the research questions and discuss the research approach by explaining how each question will be researched.

I shall then discuss the research strategy by describing how I decided to undertake a case study in a single school. Thereafter, I will explain the limitations of the study, giving an in-depth view of the school together with its organizational structure. I will then describe broadly the instruments used describing the structure and discussing the nature and purpose of the questions asked.

To conclude I will broadly recap what I have done in this chapter and discuss what I am going to do in the next chapter.

1) Research Questions

I have used three broad questions to investigate the implementation of the Developmental Appraisal System. These are:

1. What are the conceptual underpinnings of the DAS, and how do these relate to the contextual realities of South African schooling, as well as other conceptualizations underpinning similar processes?
2. How was the implementation of the DAS officially conceived, and what are the limitations associated with this conception?

3. What has been the actual experience of the school in attempting to implement the DAS, and what might be done to enhance the DAS and its implementation?

2) The Research Approach

The first question on the conceptual underpinnings of the DAS and how they relate to the contextual realities of South African schooling, as well as other conceptualizations underpinning similar processes elsewhere will be approached through a study of literature and some local documents that are available.

The next question on how the implementation of Das was officially conceived and what the limitations are will also be addressed through a study of literature and local documents. Further to this the Pinetown District Office and relevant staff including the school principal will be interviewed

The third question based on the actual experience of the school in attempting to implement the Das and what might be done to enhance its implementation will be addressed through research using a questionnaire conducted in a selected primary school in Pinetown.

3) The Research Strategy

[I have decided to undertake this case study in a primary school in Pinetown as I am a part of the management staff of this school. Being in the school made it easier for me accessible to staff and relevant people connected with my research. It also made it possible for me to get firsthand empirical knowledge about what was really happening in the school situation with regards to the various questions in my questionnaire.] *great*

[The school is a primary school catering for learners in three phases, viz., the foundation phase, intermediate phase and the senior phase.] It falls in the circuit of Kwasanti, which is in the district of Pinetown. The district office is situated about twenty kilometres away in Howard Avenue in Durban. Contact is minimal with the district office because of the distance and very often messages and documents do not reach the school. Due to

this important workshops and meetings may be missed with a result the staff miss out on inputs given at these workshops.

The second question of my research was conducted by interviewing District officials and the principal of the school. (Refer to Appendix B) Since it was difficult to get hold of Department officials the major part of the interview is based on the input by the principal of the school who is in close liaison with the District office.

This third question of the research will be conducted by using a questionnaire, (ref. Appendix B), which I sent to educators from this primary school. I have informed them that this research is conducted for the purpose of my dissertation towards my Masters degree and that the findings and data may be used in conjunction with other Masters students' findings to provide some kind of empirical feedback on this, as yet, un-researched area.

This questionnaire focused directly on the teachers' experience with DAS thus far and intends to expand on the strengths and limitations. Greater discussion will ensue in my findings and discussions. I chose to use a questionnaire because teachers would be free to answer the question without pressure and in their own time, with a result that I would get an honest feedback on their feelings towards DAS. Quote

3. Limitations of the Study

Since the case study was limited to a single school I gained an in-depth view of this school and the findings may be illuminative but cannot be generalized to other schools. However, I will contrast my findings with those of the APEK study.

Other limitations of this study were that the temporary teachers were employed for a very short time and had engaged with the DAS for the very first time this year. Due to this the process had to be explained and work-shopped which was time consuming and feedback in the questionnaire was not done in much detail.

Some educators also took very long to return their questionnaires, but all were willing participants of the case study.

4. The School

The school has a population of 560 learners with 270 learners in the Foundation Phase and the rest in the intermediate and senior phase. There are ²¹twenty two staff members made up of one principal, one deputy principal, three head of departments and ¹⁶seventeen post level one educators. Eleven are permanent educators while five are employed in a temporary capacity by the school governing body. There are fairly big classes of about forty to fifty learners. A well-constituted governing body manages the school and learners are expected to pay a school fee of R450.00 per annum.

✶ [The entire staff participated in the research and questionnaires were sent to all members of staff. However, two of them did not return the questionnaires and their response has not been taken into account. Although I did not ascertain a reason for this I assume that since they are new educators they have not been exposed to the DAS and found it difficult to respond.]

5. The Instruments

[I designed the questionnaire itself with the help of an Apek analysis report completed on DAS in 2001. There are a total of seventeen questions arranged under three broad headings. The first section is headed as 'The DAS and the School' and comprises five questions relating to the school and the type of training received. The next section is headed 'The DAS and you' made up of ten questions, dealing with the respondents own experience with DAS. The third is the 'General' section containing two questions based on the respondents overall impressions and offers of suggestions to improve it. For questions refer to Annexure A.]

Conclusion

I have provided a broad outline of the research methodology I have used, explaining the questions, the research methods, approach and strategies. I have also provided a brief outline on the limitations of the study and given a short background of the school where my

case study was conducted. The next chapter concentrates on the presentation of the findings.

CHAPTER 4

PRESENTATION OF FINDINGS

Introduction

This chapter is to present the findings and comment on the case study. The findings of my first question are covered in detail in my second chapter. The interview, which I am going to present, gives a broad perspective of the school principal's experience with DAS. The interview, which is part one of my research, has six questions covering all three questions of the research.

The third question of the research is covered by a case study, part two of the research, which is based on a questionnaire. Each question is analysed individually and commented on from information from the various literature and my own experience and opinion.

The first part of the questionnaire deals with The DAS and the School. There are five questions in this section. I have covered the DAS manual, the training and support received for the implementation of DAS, the educators opinion about the training and support received, their suggestions for improvement and the problems experienced in organising and administering the Das.

The next section is based on the DAS and the individual concerned. This section headed The DAS and YOU comprise ten questions numbered from 6 to 15. The questions are on whether the educator has been appraised, conducting self-appraisal, value of the panel appraisal, the drawing up of and usefulness of the professional growth plan, their opinion on the forms, time factor, follow-up, the clarity of criteria and definitions, the A/B rating scale and the educators experience of DAS itself.

The final section of the questionnaire is based on General Comments on DAS. There are two questions and they call for the educator's overall impression of DAS and to offer suggestions about what can be done to improve the current appraisal system.

PART ONE: The Interview

1. What is your view of DAS?

It is a very good concept for education and development. It involves the different stakeholders and seeks to dispel any fears and doubts in the mind of the appraisee because it is a negotiated process including the appraisee, his/her peers and members of the management.

2. Do you think that the DAS process is necessary?

The training and guidance given to educators is more theoretical, but actual practice in the schools exposes the educators to new experiences, situations and realities. The educator is suddenly confronted with situations for which there are no fixed and straight-forward solutions. Very often it is found that the educator sometimes lack the basic training. The process of DAS helps to develop such teachers and provide guidance, though the desirable would be to provide such educators with in-service training. Many of the South African schools have educators who lack this basic training, and with the transformation in education they are needed in the classrooms, thus their needs for education must be catered for or provided. DAS together with in-service will cater for this shortfall.

3. What is your understanding of how the DAS was conceived and what do you think are its limitations?

Coming from a background of traditional inspections and supervisions more especially from external supervisors from the Depart of Education, DAS was looked upon by many educators as another form of inspection. Initially there was much resistance from educators. After workshops on DAS were held and the process of the implementation of DAS was explained the concept was gradually accepted. There was still much doubt in the minds of educators and when educators were asked to do self-appraisals very often they were skeptical and put favourable assessments without realizing that they had to be realistic and also indicate their shortfalls in order to receive development and training to overcome these deficiencies.

Educators often have a range of weaknesses, for example, lesson planning and preparation, presentations, class control and discipline, administration, etc. and they expect all of this to be remedied at one time. What has to be understood is that these shortfalls can be rectified one at a time and growth and development will only be realised over a period of time.

4. What is the actual experience of the school in attempting to implement the DAS?

Because DAS is a new concept in the evaluation process many candidates for evaluation/assessment selected members into the panel who were their friends and would not give negative comments. They even chose members onto the appraisal panel who were from outside the school, sometimes without the necessary qualifications to conduct the appraisal or give guidance. It was difficult to get all members of an appraisal panel together at the same time to discuss the panel's appraisal

Time was also of the essence. Due to the heavy workload allocated to educators and members of the management teams as well as the numerous teacher absenteeism it was not possible to get the team to carry out its responsibilities. Sometimes it occurs that the same people have been chosen onto the different appraisal panels and it is difficult for them to cope with the appraisal work of different panels.

I found that the process of implementing DAS in the Foundation Phase is much easier than intermediate or senior phase. In the higher classes, learning area specializations required members of the panel to be au fait with the requirements of the specific learning area. In a small school such as this it is not possible.

It was been found that where the staff size is large it is not possible to justifiably assess all educators within specified times and to do justice to the appraisal and to implement the suggestions for growth and development and to do follow-up on the process of development. It is also difficult to keep to the cycles of appraisal. Due to the time frames stipulated by the Management Plan prescribed by the Department of Education to implement DAS it is not possible to do justice with the process.

The process of reporting is also time consuming and requires too much of administration and paperwork. There has to be consensus and acceptance by the entire appraisal team.

5. What in your opinion are some of the aspects of DAS, which are not appropriate?

Some of the aspects I consider as being inappropriate are:

1. Human Relations as one of the criteria. This is a very subjective aspect. It could lead to biasness, inaccuracies and debates.
2. Community involvement of the educator/appraisee. As much as one's standing in the community is important, this area of appraisal as a criterium is not always easily authenticated. Favouritism and nepotism could sway the assessment. Getting proof of one's involvement in community activities is sometimes difficult. Very often candidates may merely be members of an organization but are not active or contributing in any way other than financially.
3. Mention has been made earlier of the qualifications/expertise of members on the appraisal panel being inadequate to evaluate and/or give advice. Similarly the feedback questionnaire, which learners have to complete on educators' performance, is subjective. Learners can be biased or unqualified to make true assessments in most cases. Learners in the Foundation Phase cannot do this assessment reasonably, why should educators in the senior school be subjected to this aspect of assessment.

6. What might be done to enhance the DAS and its implementation?

I would make the following suggestions:

1. The size of the panel must be reduced – the larger the panel the more difficult and cumbersome to work with. Recommendation is to have three members made up of the appraisee, a peer and a member of management.

2. The time frame should not be prescriptive but follow a process where development is seen over a time period.
3. The reporting process needs to be watered down so that too much of details are not required. It would suffice to have the essential findings discussed and the appropriate measures taken to help develop the educator.
4. Appraisal by way of DAS should lead to the development of individual educators as well as the development of learning area teams based on deficiencies picked up during the appraisal process. This should lead to workshops being organized.
5. The process of appraisal must be discussed with the appraisal panel and sufficient time must be provided for this process to be carried out. Time must then be provided for the appraisal panel to meet and discuss its findings, to make recommendations and suggestions for development and then more time must be provided for re-appraisal.
6. It is essential for training to be given and workshops conducted to S.D.T.'s and members of the appraisal panel as well as to district/regional team members with regards to the process, areas of evaluation and reporting. These people must have a thorough understanding of the instrument pertaining to DAS and also bear in mind some limitations that exist therein.
7. Emphasis must be made constantly to eradicate doubts in the minds of appraisees that appraisal/evaluation is necessary to assess the progress of any individual and that DAS is to identify areas for development and does not carry any penalties of which many appraisees are fearful. Removing the 'fear aspect' from DAS is very important to get a fairer response from appraisees. They must see DAS as progressive and not detrimental to their well being as educator's transparency is essential.

The guiding principles of democracy, transparency and developmental should always be maintained.

8. DAS should not be used to give pay incentives based on performance. This will lead to corruption and deviousness. Some other alternative must be found to give pay incentives.
9. It is very necessary that adequate support is given by district and/or regional support teams to make DAS a viable initiative, more especially when findings are made by panel members for growth and development in the teaching of some learning areas. The school itself may lack the expertise required. The District or Regional Support Services must provide this support.
10. There's a need for constant monitoring for the process of DAS to be effective. Regular praise and encouragement will make the appraisee look forward to assistance and show eager for development.

PART TWO: THE QUESTIONNAIRE

The DAS and the School

Question 1:

Have you seen a copy of the official DAS Manual?

Respondents were invited to indicate 'yes' or 'no' and if 'yes' to comment on the usefulness of the manual. 60% of the respondents indicated that they saw the manual while 30% did not. The other 10% indicated that they had seen 'extracts of the manual.

Those who had seen parts of the manual indicated that the exact process of DAS is not clear. Those who had seen the manual were favourable about the manual, indicating that the criteria for appraisal is well out-lined, that there were clear directives for appraisal, that the quality of the manual is good, the information is clearly outlined and that it is very useful.

According to the APEK analysis on this question those responding favourably found the manual concise, informative and easy to understand and those offering qualified approval found the manual to be somewhat involved and drawn out, and criticized what was perceived as “jargon”. Due to this I would suggest that the manual be simplified and a copy be made available to each and every educator that will go be involved with the process of DAS.

Question 2:

What training and support did you and your colleagues receive for the implementation of the DAS?

Response to this was that 80% of them did receive training in the form of departmental workshops, school based workshops using the cascading of information approach, on-sight training, discussions and by the principals and SDT disseminating information. 20% indicated that they did not receive any training.

The APEK report indicates that at least 21,7% of respondents did not receive any or minimal training. It is essential that DAS is a fairly new process and involves educators at different levels that training should be provided to all educators. This will contribute to the understanding of DAS and also to an overall acceptance of the developmental process.

Question 3:

What is your opinion about the quality and effectiveness of this training and support?

Responses were as follows:

85% of positive responses

15% of negative responses

Those who responded negatively cited the superficiality of training by people who were not too au fait with the process and procedures themselves. Those who offered positive responses indicated that the procedures in the process were clearly explained, but could have been in more detail. Some considered the training useful. Others indicated that an unbiased, objective and fair programme could be useful to highlight the areas, which need developing. They also felt that educators would be able to resolve problems and weak areas. According to some a well- implemented programme would benefit the educators to develop in areas of concern. DAS highlights areas of concern.

The APEK report concurs with these findings and indicate that an overwhelming number of respondents cited the superficiality and inadequacy of the training received, especially by the KZN Education and Culture (KZNDEC) 'providers', who themselves appeared to be ill at ease with the process and details of the procedure.

In my opinion, I feel that DAS was too hastily implemented and should have rather been work-shopped at a greater level with Department advocates and then introduced to schools by initially providing adequate training and support. However, at this stage of its implementation, it is still possible to set up a committee at district level to deal only with DAS and to allow them to train and provide support to educators.

Thurlow and Ramnarain (2001,104) concur that the nature of the training programme itself may be less than adequate for the promotion of effective implementation of the new system and may inhibit it. Another aspect that this report shows is the failure to address the collection of evidence for appraisal purposes. More should be said about this than just compiling a portfolio of documents.

According to them the development of appropriate interpersonal skills are also crucial to the appraisal process and the training programme lacks awareness of this. The appraisal process requires individuals to talk to each other in open and analytic ways and be open to new ideas and change and training is essential to make educators more receptive to this.

Question 4:

Are there any suggestions you would like to make about how the training and support might be improved?

80% of the respondents commented in this area. Among the frequently cited comments are the following:

- Schools lack the capacity to develop educators areas of concern, thus the department should offer more in-service training.
- Individual panels should meet and discuss regularly
- More clarity on composition and functions of the SDT.
- Preparing better quality training material, especially about the actual implementation process. The APEK report also indicates this.
- Having complete “mock” sessions to train educators.
- More careful attention within schools to make certain that DAS is fully understood. Responses from the APEK report also concurs with this.
- Greater school support from department officials.
- Training material to be available in different languages and in a user-friendly way
- To improve on the number of forms to be filled, in order to cutback on paper work and concentrate on the development process.

some of their record books were checked but did not get any feedback thereafter. Those respondents who were not appraised stated that they did not have enough parallel staff members to make up their panel. Level one teachers were too inexperienced to form the panel and other members of management had no training in this particular phase. To get an outside person was impossible.

Difficulties in being appraised as explained by the APEK respondents were to get the appraisal panel assembled, cycle being started but not yet complete, problems in finding people to appraise the principal (especially SEMs) and time constraints.

Question 7

The DAS includes self-appraisal. Did you find this to be of value?

90% of the respondents agreed that they found the self-appraisal exercise to be of value since it allowed for self-introspection and it provided an opportunity to ascertain shortcomings and areas requiring development. According to APEK respondent's, 72,7% were positive about the need for and value of an opportunity for self-appraisal. They acknowledged a need to reflect on one's practice and to take stock, with a view to improving in areas of weakness.

Question 8

The DAS includes a panel appraisal. Did you find this to be of value?

Respondents were invited to answer 'Yes' or 'No' and add further comment if they wished. 60% of them indicated 'Yes' while 40% went with 'No'. Although a majority of the respondents were positive the frequency of the positive response was less compared to the response for self-appraisal. Some of the positive comments received were:

- Greater output because there are many people offering their views, support and suggestions. There are more opinions from various colleagues.

- Greater exposure to other styles of administration and management
- Honest, open discussions can take place with people you trust.
- Responses are shared as individuals view you differently.
- More people will provide you with better guidance and the responsibility is shared
- Positive evaluations in a collegial atmosphere can generate new ideas
- Colleagues can learn from each others strengths and weaknesses
- Allows for constructive criticism in a friendly atmosphere.

The APEK analysis agree with many of these responses and indicate that it creates an opportunity for educators to exchange ideas and learn from each other and hence learn in the process, which I consider to be the value of DAS.

The negative comments seemed to be cynical at times, as in the case of the APEK report, as well, and were characterized as follows:

- Appraisees chose their friends so that comments were positive.
- Panels members did not act as required.
- Panel members did not know what to do and lacked interpersonal skills to deal with criticism at a mature level.
- Panel members could not find time to complete the process.
- One or two lesson observations are too few to get the true picture of a person/educator.
- Process was carried out just to complete the requirements.

The APEK analysis found that the panel appraisal causes stress and tension and in fact will serve as a demotivator. They also found that generally panels were incapable of appraising.

According to the respondents it was a 'shlepp' to get the whole panel together, because all of them were busy in their own classes. Their suggestion is that subject advisors and other professionals are in a better position to do the appraisals.

Question 9

The DAS also includes the drawing up of a professional growth plan (PGP). Has this been useful to you?

Respondents were required to answer 'yes' or 'no' and to comment. Of the majority of negative answers, the response was that they had not reached this far in the process thus no further development took place. Respondents have indicated they were not aware that such a form existed. The 10 % who indicated 'yes' commented that there was not sufficient time to implement suggestions.

According to the APEK report on this question, 55,5% agreed that they found this useful for the following reasons:

- I was able to determine the direction my career could take and which goals to pursue.
- Focuses and gives direction which could be overlooked in day- to- day teaching. It is important to go back periodically to think about one's progress.
- I am able to judge in what areas I am lacking. Can devote more time to specific areas.
- It highlights my areas of weakness and it gives me an opportunity to work on them and to turn them around into strengths.
- This form is important because you can state how long it will take to achieve your objectives and professional development activities. Also the resources, which are needed, can be discussed/finalised with the panel.

These positive comments are imperative to get an informed reflection on the PGP form as in my school educators could not comment, as some of them did not reach this stage. The negative comments of the APEK respondents also reflect this. They also say that although the PGP's were completed very little action had followed. Another observation that was made was that there was not sufficient time to implement suggestions and recommendations made.

Question 10

Please give your opinion on the number and type of forms to be completed.

There were some positive comments for this question but there was an overwhelming negative feedback. Some of the responses were the following:

- Due to time constraints all the forms were not effected
- Many did not see all the forms
- Too many forms make the process laborious and cumbersome as educators are already irritated with being appraised. Too complicated and needs simplifying as the language used is difficult to understand. The APEK respondents agree that there are too many forms and the completion of forms becomes an end in itself. Some say that educators are swamped by paperwork and the general feeling was that the forms were too time consuming.
- Different interpretation given to forms by different people.
- Some forms are not relevant and unnecessary.
- The main aim of DAS is lost in this time-consuming exercise.
- Too much information needed. The completion of forms has taken precedence over the process itself.

- Well laid-out but needs to cater for more professional development to 'mould' educators to occupy more substantive and leadership roles in schools.
- Too much photocopying required which becomes expensive for the school, which the APEK respondents agree with.

Question 11

Was sufficient time allocated to you to prepare for your appraisal?

According to 60% of the respondents there was sufficient time allocated to prepare for the appraisal as they knew well in advance. Those who responded negatively stated the whole process had being rushed because of due-dates and that they did not receive adequate notification.

Question 12

Has there been adequate follow-up to your appraisal in the form of staff development or other types of help?

In this question 65% indicated that they did not get adequate follow-up, but it was too early to tell as the process had just been completed. Another reason that was given was that there was no time and many other time- consuming issues took precedence. Some respondents stated that the 'limitations of educators' should be 'pooled' and common workshops held where educators with strengths in these areas, take leadership roles and suggest ways to overcome these limitations. This must be done more on the principle of 'group therapy'.

The other 35% of respondents answered positively, stating that workshops and staff-development programmes have been organized in some areas.

Question 13

Did you find the DAS (criteria, definitions, etc) easy to understand?

Respondents had to answer 'yes' and 'no' and comment. Of the respondents 70% indicated that they found it easy to understand. The other 30% found it difficult for the following reasons:

- certain aspects, such as the definitions and terminology, were confusing. The APEK respondents agree with this and indicate further that criteria and definitions are not all easy to understand as some instructions are too wordy and open to misinterpretation and the two-point scale is meaningless.
- according to a few more clarity was required on professional development-what can be included and what should not.
- language needs to be more user friendly. The APEK respondents indicate that the language is more OBE-like making it complicated.
- Non -English speaking teachers find it difficult to understand.
- educators tend to interpret definitions differently and it took much time to reach consensus, which was also indicated by the APEK respondents.

Question 14

What in your opinion of the A/B rating scale in DAS?

Most respondents thought that the rating is "flawed". The following are the negative comments received:

- The rating scale is poor because the range is limited. It should range from "A to D", creating a greater scope for differentiation.
- The A/B in reverse is confusing.
- Allow a more accommodating and flexible scale to cater for those who are in-between.
- If this rating is used then 'A' should be for outstanding and 'B' for development

The APEK findings concur with these comments.

Those respondents who were positive stated that the rating is 'fair' but seemed not too enthusiastic about it.

Question 15

Has your experience of the DAS generally contributed positively to your personal and professional development?

Respondents answered both 'yes' and 'no'. 60% of the respondents answered positively. These are some of the comments:

- I am now aware of my areas of weaknesses and strengths.
- I can concentrate on improving my weak areas.
- It helped to reflect on my teaching and improve on it.
- It allowed us the opportunity to view other educator's teaching and be able to learn from this experience.
- Others aspects of teaching is elaborated on.
- The key feature of development allows for individual growth and transformation.
- The management of my work has gained a new momentum as I now make a conscious effort to plan in detail and manage my time better.
- I am now aware of leadership skills, working with the broader school community and displaying positive human relations.

57,8% of APEK respondents agreed that their experience with DAS contributed positively to their personal and professional growth. They stated that it most definitely did so and that some are currently trying out new techniques in the classroom to make learning more fulfilling. Most agree with what I have found in my school as stated above.

Another 40% respondents negatively and gave these reasons:

- With the various department initiatives this is just another futile exercise that overburdens the 'already burdened' teacher.
- A lot of "window dressing" just to suit DAS cannot pick up weaknesses and development areas.
- DAS has been confused with whole school evaluation and internal management supervision with a result teachers are frustrated with this long drawn out process and duplication of strategies to uplift educators.
- Teachers should be left alone to do what they are trained for and that is to teach and supervisors to supervise.
- The whole process is a time consuming exercise to humiliate and frustrate teachers who already have a low moral.
- It has confused and pressurised teachers, who need to concentrate on the large number of weak learners in the class rather than concentrating and getting to understand DAS.
- There was no follow-up on strengths, weaknesses and limitations. There were no developmental workshops to back-up the process and no re-evaluation of the system.

APEK respondents also agreed with most of these comments. Some indicted that

- the staff have been threatened by the whole process and feel that there should be external rewards.
- Time is so precious and to go through the whole appraisal process properly which is very time-consuming to establish what we already know, and the heads of departments know and assist in anyway, just doesn't seem worth the effort.

- DAS is a demotivator, lowering already low morale.
- Once we realized DAS was over we went back to how we always are-only there is no window-dressing.
- Our particular staff members are motivated and dedicated and are continually striving to keep their teaching fresh and interesting. DAS was not productive and we became very negative about the system.
- Forms were merely completed without going through the process thoroughly. PGPs were not drawn up. Pressure to complete forms according to management plan came from the circuit appraisal team led by the SEM.
- It has confused and frustrated educators who have in the past worked diligently, with enthusiasm.
- It simply served as a source of irritation and embarrassment for nearly all the staff.

The questionnaire then moved on to some general comments by respondents

GENERAL COMMENTS

Question 16

What is your overall impression of the DAS as it is currently designed and implemented?

Since this was an open-ended question I am going to classify it under positive comments, semi-positive and negative comments.

Positive comments:

- I hope it is here to stay. With DAS should come some monetary gain.

- If implemented in an appropriate manner, it can be of value to many educators, provided that all educators are fully aware of the entire process
- DAS is a good systems but has been made too involved with not enough follow-up
- A good system and it should stay as an essential part of the profession
- The SDT and panel members should be specially trained and skilled to carry out the process so that it can become completely objective.
- A constructive system and the essence of development should not be lost

Some APEK respondents consider DAS as a fantastic idea aimed to develop an educator rather than to demoralize them as was in the case in the past. They regard it as part of the profession. According to some educators need to be assessed from time to time in order to keep up with changing times. It was designed to benefit the individual teacher in a positive constructive way.

Semi-positive comment:

Some of the respondents indicated that in principle DAS is an excellent 'idea' but when put in practice it has 'failed'. The sentiment expressed is that the 'means' is good, but the 'end' is not in sight. APEK respondents indicate that if implemented properly it could be of value, however it needs a great deal of modification.

Negative comments:

- Very time –consuming was the most frequent comment
- Implementation was with very little understanding and training
- Hastily implemented as agreed to by the APEK report.
- The whole process was complex and elaborate

- Fewer people should be involved to make it less cumbersome and eliminate logistical problems
- The A/B rating is too narrow.
- Nepotism and biasness has not been eliminated by the use of peers in the panel
- Educators feel threatened by the process
- Negative feedback from other schools and educators makes the implementation of the process more difficult. There needs to be some kind of uniformity and consensus in the profession thus providing an equal and just system.
- Announced visits leads to 'window dressing'
- There is no monetary gain from the process
- Concentrate on positive aspects and highlight these to bring some credibility to the profession rather than providing complicated initiatives from first world countries without fore thought and implementation strategies especially for rural and disadvantaged schools
- Development of struggling teachers before appraisal by perhaps using a "buddy system".

The APEK analysis agree with most of these comments but also indicate that an external system of appraisal is preferable, since there are special problems for implementation in disadvantaged schools and for those whose second language is English.

Question 17

Please offer suggestions about what needs to be done to improve the current appraisal process.

Some of the frequently expressed views are the following:

- The system of DAS needs to be looked at, revised and streamlined
- Learning area specialists for different learning areas should hold workshops for educators concerned to discuss what is expected from them with regards to their respective learning areas. This should be done prior to any implementation of DAS.
- Cut down on panel members and SDTs and concentrate on the development of all educators.
- Give educators more 'free time' to fit DAS into their schedules.
- Have fewer criteria for appraisal so that the process can be quicker.
- Allow for cycles to be introduced. In this regard the APEK report suggests that more realistic time frames for implementation should be introduced.
- The number of forms should be reduced.
- Principals and management teams should take over the task of appraisal and should be held accountable for an objective evaluation of educators by being evaluated by the entire staff themselves.
- More external involvement by the Department.
- The rating system should be revised.

The APEK report suggests that a revised system should be streamlined and less complex. They indicate that the Department officials should be better trained themselves and that the quality and the extent of training offered to schools should be improved. They also suggest that the language employed should be reviewed and drastically revised.

Conclusion

In this chapter I have presented my findings on both the interview and the questionnaire. The interview concentrates on various aspects of my research study while the questionnaire focuses on the last question of the research. The interview provides answers as they were

responded to by the respondents. In part two, however, I have collated and analysed the answers together with literature available and the APEK study carried out.

In my next and final chapter I will summarise the research and give my own recommendations.

CHAPTER 5

SUMMARY AND RECOMMENDATIONS

Introduction:

In this chapter I am going to summarise my main findings for all my research questions in the first part and make some recommendations in the second part.

It has to be re-emphasised that due to the limitations of my research being carried out in one small school the findings are illuminative rather than indicative and cannot be used to generalise to other schools. With this caution in mind the following may be taken to summarise the main findings of my research.

Summary:

From my findings I have gathered that appraisal has been and will continue to be a contentious issue at school level. The efforts of this research do not assume that this system of appraisal or any new system will solve the problems of a school. It does, however, serve to emphasise that the success of any project or initiative depends on how it is implemented and that appraisal is not an end in itself but rather the beginning of a larger end, which will ultimately bring about changes in education through development and on-going improvement in teaching and learning.

My research on the first question on the conceptual underpinnings of DAS and how these relate to the contextual realities of South African schooling, as well as other conceptualisations underpinning similar processes elsewhere indicate that the past history of assessments and evaluations in South African schools have been considered to bring about a system of appraisal that could eradicate the injustices and suspicions and to bring about development.

1) The Conceptualisation of the system:

The African National Congress' policy framework for education and training, as quoted by Thurlow and Ramnarain (2001,108), states that:

“The reconstruction of education and training stands or falls with the morale, commitment and capacity of the national body of teachers and trainers. The country needs a dynamic system of teacher preparation and development with a clear mission and sufficient scope to perform it.”

(ANC 1994a: 50)

The conceptualisation of a new appraisal system is part of a number of initiatives by the Education Ministry and the Department of Education to reorganise and revise the nature of teacher education and transform teaching and learning to meet the demands of democratization and change. With a result the profound dissatisfaction of previous supervision strategies gave impetus to the conceptualisation of a new system based on the professional development needs of the educator to enhance the quality of teaching and learning.

Thus South Africa’s developmental appraisal system came into being, with carefully guided principles and guidelines, and has been put into place in schools, despite the initial implementation difficulties.

2) The implementation process:

My research clearly indicates, as Mokgalane, et al (1997, 42) assert, that implementation depends largely on those are expected to benefit from it, the educators and those that implement it, the schools and the department officials. Therefore, the DAS needs to be accepted by all concerned and their co-operation to make it work according to what is expected from it. It requires a responsible and accountable staff with excellent interpersonal relationships with a common goal and purpose that are willing to drive the process forward and benefit from it through well-organized supportive programmes.

However, my research has shown that implementation is difficult if the process is viewed with suspicion as in the case of DAS, and the climate may not yet be feasible for DAS to work, as it should. One of the reasons for this is that DAS has been implemented too hastily

and may not have been advocated in the correct way to be accepted for the purposes intended. The absence of effective implementation powers at the department level also presents obstacles to implementation. A good training system needs to be put in place to deal with this problem.

It is also indicative that the DAS be separated from the Whole School Evaluation process to avoid confusion and to present it for its own intents and purposes.

The case study shows that most of the majority of the staff of the school had been involved in the implementation of DAS.

The DAS Manual

The research shows that most of the educators had seen the manual and responded that the manual, although very helpful, has to be improved upon to make it accessible to all educators, as it was too complex and complicating containing unnecessary detail. Responses indicated that it was problematic to first language users and would be substantially more difficult for users whose first language is not English. The responses also indicate that The DAS Manual has to be made available to all users affected by DAS to enable optimum understanding and clarity about the procedure.

Training for DAS

The case study clearly indicates that those who received little or no training of DAS are still struggling with it. It reflects that the training received from the KZNDEC was superficial and inadequate and did not reach those who require it the most. It also showed that the officials themselves were ill at ease with the procedure.

Implementation Problems

The majority of respondents (90%) suggested that it was a problem to implement DAS and time constraints was the biggest problem. It was difficult for panels to get together to visit educators without disrupting the teaching schedules. Implementation and administration problems had an effect of generating negative attitudes towards the whole process.

Appraisal

Most of the respondents agreed to have been appraised but difficulties arose when some educators in certain phases or levels could not get the appropriate panel members to appraise them or due to incomplete implementation process.

Self-appraisal

Of the 90% who responded positively to self-appraisal found it both beneficial and of great value. They acknowledged a need for self-introspection and expressed a desire to develop in their areas of weaknesses.

Panel appraisal

Although the majority of the respondents were positive of the panel appraisal the frequency of the positive responses were less than for self-appraisal. Positive responses ranged from open, honest discussions, guidance and shared responsibility whereas negative responses emphasized the inadequacies of panel members, time constraints and the lack of interpersonal skills and maturity.

Professional Growth Plans

Although there were very few who had reached this stage of the appraisal process indications are that the PGP can be useful if there is adequate follow-up and development taking place. Plans could be made for specific professional growth.

Forms

The respondents were critical about the number of forms to be completed, indicating on time and paper wastage and the complicated nature of the various forms.

Time allocated for appraisal:

Most of the respondents indicated that adequate notification was given about the appraisal, but others suggested that due dates should not be set as the process will be rushed just to comply to them.

Criteria, definitions, expectations and rating scale

Responses to questions on these indicated that changes should be made to all. The criteria and definitions should be in less complex language and the rating scale should be broadened and changed to avoid confusion.

Experience of DAS

This question, which related to the educators experience of DAS, attracted a 60 % positive response. After appraisal educators are aware of their weaknesses and can concentrate on improving in those areas to bring about individual growth and development. They have had the opportunity to reflect on their teaching and management has gained a new momentum. Appraisal also afforded educators the opportunity to view and reflect on their colleagues' teaching.

Negativity surrounds initiatives introduced by the Department with not much training and proper understanding which are crucial to success. Some respondents viewed "window dressing" as being a camouflage for true growth and development and suggest that all confusion should be allayed, stress and tension removed and the appraisal process should not be used as a threat. Also negativity surrounds the time issue.

3) The impact of the process:

The impact of the process is reflected on the overall impression of respondents on DAS. The majority of educators at this school feel that it should stay and some also feel that monetary gains should be added to it. They feel that it is a good system if followed through correctly. Training is essential to provide the impetus it lacks at the moment.

The semi-positive comments regard the means as good but the end not in sight and suggest that the end should be the development and follow-up, which are seriously lacking.

The negative comments are summarised by respondents citing time as a major factor in hampering and slowing down the process. Another important feature is implementation without adequate training. Furthermore the hasty implementation of DAS has negated its true purpose. DAS has been seen as being complex, cumbersome and elaborate with a confusing rating system. It also has loopholes for nepotism and biasness, which can lead to dishonesty and favouritism.

Recommendations:

In spite of the many positive aspects of the process, which the respondents found, responses to the suggestions for improvement, which required an overview of the entire system, were received by 90% of the respondents and will also form the basis for my recommendations.

The first recommendation is that the whole appraisal system should be reviewed, revised, and reconceptualised to make it accessible to most South African schools, paying particular attention to simplifying it.

The next recommendation is to provide quality training and support to schools by well-trained education officials. Training should be on going and officials must be on hand to give expert guidance when required to do so.

Improved training should include the KZNDEC officials and better prepared resources and training materials, especially those that addressed the implementation process should be made available. Thurlow and Ramnarain (2001, 105) found that the cascade system of training fell short and reflect that it appears to be that

“the programme neglects to address critical issues related to the management of appraisal to the extent that implementation and institutionalization of the new system are likely to be considerably compromised”.

Realistic time frames should be put into place so that all schools have adequate time to implement the process fully.

The frequency of the appraisal should also be restructured so that sufficient time is allowed for development before the candidate is appraised again.

Streamlining the forms and reducing the numbers should reduce the paper work and cut down on administrative work. The need for more administrative staff can also help and in this light the issue of redress and redeployment of administrative staff to schools who are under-resourced should be looked at. Capturing of data and storage of information for future use must be considered to save time.

The notion of panels needs to be reviewed and the number reduced. The revision of the instrument needs to take accommodate all types of schools according to Mokgalane et al (1997,44). Human resource forms a significant part of the process and if substitute educators cannot be brought into schools because of the lack of financial resources then Heads of Departments must be used more efficiently in the appraisal process as they have already been selected and inducted into a position, which requires expertise in their specific phase. Management teams together with the school principal could be trained to give an 'external', objective appraisal.

The use of certain criteria such as assessments by the community and learners, community involvement extra-mural activities and human relations should not be a part of the appraisal system. Only common criteria to all level one educators should be appraised. Greater emphasis should be placed on the assessment of classroom activities, curriculum and professional development as agreed to by Mokgalane et al (1997, 45). A different set of criteria should be drawn up for head of departments, deputy principals and principals.

The rating system should be revised to allow for a broader range of possibilities.

Most of the respondents agreed on the development aspect of DAS, thus emphasis should be focused in this area. Staff development workshops should be arranged so that educator scan develop their weaknesses and be able to overcome problem areas. Universities and

colleges should be linked to these initiatives so that current trends in education could be made available to all educators.

Conclusion:

This research has been an educational exercise for all my colleagues in education who have participated in it, and also for me. This study of appraisal has illuminated on an area which is as yet not researched and has brought to light issues that can be looked at and improved on. What makes it pertinent is that the system has been researched with the very people that it is intended for. The empirical aspect of this research serves to highlight problem areas at the grassroots level. In order to make DAS effective and to bring about the much needed transformation of education in South Africa cognisance must be taken on how it affects the people who are directly involved. Lessons have been learnt about the realities and difficulties facing the implementation stage, the effects of DAS on the staff and also the outcomes of the process. It serves to open doors to more involved research in other schools using a broader spectrum of the educational fraternity.

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Appendix A

The Interview

1. What is your view of DAS?
2. Do you think that the DAS process is necessary?
3. What is your understanding of how the DAS was conceived and what do you think are its limitations?
4. What is the actual experience of the school in attempting to implement the DAS?
5. What in your opinion are some of the aspects of DAS, which are not appropriate?
6. What might be done to enhance the DAS and its implementation?

Appendix B

This questionnaire is aimed at seeking your opinions about the recently introduced Developmental Appraisal System (DAS). So far we have not had official evaluation of the DAS and this research project is one of a series of projects which are trying to gain some 'interim' assessment of the process.

Your opinions, therefore, would be very much appreciated. Please be assured that your comments are anonymous and your response will be treated in strictest confidence.

If you wish to expand on any of your answers to the questions, please free to do so on a separate sheet of paper, but do ensure that you number any additional comments so that they correspond with the appropriate question numbers.

QUESTIONNAIRE

Wherever there are questions which require a YES or NO answer, please enter a cross in the appropriate box.

(e.g. if your answer is NO, please enter a cross in the appropriate box.)

YES	NO	X
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THE DAS AND THE SCHOOL

1. Have you seen a copy of the official DAS Manual? Yes No

If yes, please comment on the quality and usefulness of the manual. *havad*

2. What training and support did you and your colleagues receive for the implementation of the DAS?

3. What is your opinion about the quality and effectiveness of this training and support?

4. Are there any suggestions you would like to make about how the training and support might be improved?

5. Do you think that the school experienced any problems in organising and administering the DAS? Yes No

If Yes, please comment.

THE DAS AND YOU

6. Have you been appraised? If yes, please go to the next question. If no, please explain why not. Yes No

7. The DAS includes self appraisal. Did you find this to be of value? Yes No

Please comment

8. The DAS includes a panel appraisal. Did you find this to be of value?
Yes No

Please comment.

9. The DAS also includes the drawing up of a professional growth plan (PGP). Has this been useful to you? Yes No

Please comment.

10. Please give your opinion on the forms that had to be completed in the DAS.

11. Was sufficient time allocated to you to prepare for your appraisal?
Yes No

Please comment.

12. Has there been adequate follow - up to your appraisal in the form of staff development or other types of help? Yes No
If no, please comment.

13. Did you find the DAS (criteria, definitions, etc) easy to understand?

Yes No

If no please comment.

14. What is your opinion of the A/B rating scale in the DAS?

15. Has your experience of the DAS generally contributed positively to your personal and professional development?

Please elaborate.

GENERAL COMMENTS

16. What is your overall impression of the DAS as it is currently designed and implemented?

17. Please offer suggestions about what needs to be done to improve the current appraisal process

Thank you very much for taking the time to answer this questionnaire.
Your assistance is really appreciated.

The APEK response to this question is that the KZNDEC officers themselves must be better trained and better prepared to support the process. Respondents also call for greater in-school support from KZNDEC officers.

Question 5

Do you think that the school experienced any problems in organizing and administering the DAS?

Of the respondents 90% indicated that it was a problem while 10% stated that it was not a problem. All the respondents cited time constraints as being the greatest problem. Panels could not get together to visit individual teachers because of their own teaching loads and also found it difficult to meet at regular intervals. Some respondents felt that the number of criteria for assessment/appraisal should be reduced.

The APEK analysis agrees with the 'time constraints' problem, both in terms of preparing for DAS and in carrying it out. The other overwhelming reported problem was the disruption to teaching schedules brought about through class observations – often leading to classes being left unattended during the process. Respondents for this analysis found that even where the intentions of the DAS were understood, attempts at implementation were extremely disruptive to school processes and this generated overall a negative response to the DAS.

The next part of the questionnaire dealt with The DAS and the teacher.

The DAS and YOU

Question 6

Have you been appraised? If no, please explain why.

70 % agreed that they were appraised. 20 % stated that they were not while 10% was not sure whether they were appraised or not. These 10% were visited in the classroom and