

**AN INVESTIGATION INTO THE IMPLEMENTATION OF THE  
DEVELOPMENTAL APPRAISAL SYSTEM IN A FORMER  
KZNDEC HIGH SCHOOL IN THE INANDA DISTRICT OF  
THE KWAZULU-NATAL DEPARTMENT OF  
EDUCATION AND CULTURE**

**BY**

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**Submitted in partial fulfilment of the requirements for the degree of  
Master of Education (Educational Management)  
in the Department of Education**

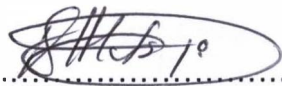
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2002**

## DECLARATION

I hereby declare that “An investigation into the implementation of the Developmental Appraisal System in a former KZNDEC high school in the Inanda District of the KwaZulu-Natal Department of Education and Culture” is my own work and that all sources consulted and quoted have been indicated and acknowledged by means of complete references. The opinions expressed in this study are those of the writer and are not those of the University of Natal or the KwaZulu-Natal Department of Education and Culture.

SIGNED

A handwritten signature in dark ink, appearing to be 'V.S. Hlatshwayo', is written over a horizontal dotted line.

V.S. HLATSHWAYO

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## **ABSTRACT**

One of the results of an increasing concern, in many countries, with the quality of schooling and its improvement, has been that considerable attention has been given, in the literature and in practice, to the management of individual and organisational performance. The matter of organisational performance is being addressed through various means of evaluating schools, and in South Africa, this is finding expression in the current Whole School Evaluation (WSE) project. On the other hand, concerns with individual performance typically are being addressed through various forms of systematic appraisal of teachers. In South Africa, the recently introduced variant of systematic appraisal is referred to as the "Developmental Appraisal System" (DAS). The DAS is claimed to focus entirely on developmental outcomes.

According to Chetty et al (1993), prior to 1994, a variety of processes for evaluating teacher performance were evident, but most of these were substantially "bureaucratic and inspectorial" in nature, and were widely rejected by teachers. Consequently, the current approach to appraisal has been developed largely in reaction what were seen to be the limitations and shortcomings of earlier versions.

Chetty et al (op.cit.) and Thurlow with Ramnarain (2001) have summarised and discussed the processes which led to the development of the DAS, which culminated in an agreement which was reached in the Education Labour Relations Council in 1998 (Resolution 4 of 1998). Subsequently the new DAS was gazetted and throughout 1999 and 2000 the process of its implementation was embarked upon in all schools.

It was intended that a nation review of the implementation of DAS was due to have taken place by the end of 2002. However, for whatever reason, this has not happened and there is no substantial evidence about how successful, or otherwise, the implementation has been. Thurlow with Ramnarain (op. cit) have speculated, without empirical evidence, on the limitations of the implementation process, and the Association of Professional Educators of

KwaZulu-Natal (APEK) undertook a limited review of the DAS among some of its members during 2001.

The literature on the assessment of individual performance indicates that, minimally, any evaluation of systematic appraisal system requires that attention should be given to its underlying purposes (or conceptualisation), the process of its implementation, and its ultimate impact.

As far as underlying purposes are concerned, it is evident that several different “models” for appraisal exist in different parts of the world (and in the literature). Some of these models are “pure” models, while some are “mixed” by design. Some, while officially conceived as “pure”, in fact may be shown to have unintended outcomes. In the present study, the DAS will be examined and compared with other models with a view to offering a considered critique of the “officially” declared underlying purposes of the system.

The above provides the context for this study, which will focus on one school's experiences of implementing the DAS. No matter how sound are the intentions of the DAS, it can only be successful if it is effectively implemented at the school level, and so the reported experiences of those involved at this level are significant.

## STATEMENT BY SUPERVISOR

This dissertation, entitled "An investigation into the implementation of the Developmental Appraisal System in a former KZNDEC high school in the Inanda District of the KwaZulu-Natal Department of Education and Culture" has been submitted with/~~without~~ my approval.

SIGNED



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PROFESSOR M THURLOW

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## **LIST OF ABBREVIATIONS**

DAS:	Development Appraisal System.
USA:	United States of America.
SADTU:	South African Democratic Teachers Union.
NAPTOSA:	National Professional Teachers Organisation of South Africa.
HMI:	Her Majesty's Inspectorate.
QLP:	Quality Learning Project.
DES:	Department of Education and Science.
ELRC:	Education Labour Relations Council.
SDT:	Staff Development Team.
SGB:	School Governing Body.
SMT:	School Management Team.
DAT:	District Appraisal Team.
NGO:	Non-Governmental Organisation.
HOD:	Head of Department.
HRM:	Human Resources Management.
APEK:	Association of Professional Educators of KwaZulu-Natal.
PL:	Post Level
INSET:	In-Service Training.
SEM:	Superintended of Education Management.
OBE:	Outcomes Based Education.
PGP:	Professional Growth Plan.

## CHAPTER 1

### INTRODUCTION TO THE STUDY

#### 1.1 INTRODUCTION

Appraisal is one of the most debated issues in staff development. It has become an important issue in schools throughout the world. Education authorities, school managers and teacher unions agree that appraisal is an important part of teacher development, but they sometimes disagree on methods and content of appraisal process.

In South Africa, appraisal has been officially negotiated by the Education Department and teacher unions. The impetus for the historical development of the new developmental appraisal system has been linked to the breakdown of inspectorate and subject advisory services in the majority of schools in South Africa. Between 1985 and 1990, it became almost impossible for inspectors and subject advisors to go into schools. Within the organised teaching profession the need was felt to develop an appraisal instrument which would be acceptable to all stakeholders and would enhance the development of competency of educators and the quality of public education in South Africa (DAS: Facilitators Manual, 1998).

The principles and practice of the appraisal were approved in the Education Labour Relations Council in July 1998. The agreement stipulated that, by the end of 1999, every educator in a public school should have been appraised, and the approach taken during negotiations stresses a positive developmental approach to appraisal and strongly rejects the judgemental approach to appraisal (Butler, 1999).

The Pilot Project Report (1997) covered a representative sample of 93 schools throughout the country, with KwaZulu-Natal being the only province which did not participate in the pilot. The Pilot Study revealed that there was a unanimous support for the nature and processes of the new appraisal system, that teachers welcomed openness and transparency above all as being the key to the

success of any appraisal scheme and managers in individual schemes may need to recognise that the sharing of purposes of processes, of data and targets, is crucial. Even though there may be disagreement over aspects of the process, this is healthier than the distrust that comes from secrecy.

Through the initiative of one of the major unions, educators were demanding a uniform, national system of appraisal, developed consultatively, which was open and equitable, school-based and focused firmly on their professional development and consequently on the improvement of quality of schooling and the restoration of the culture of teaching and learning, most especially in the most disadvantaged and devastated schools (Thurlow and Ramnarian, 2001).

It was intended that a national review of the implementation of DAS was due to have taken place by the end of 2002. However, for whatever reason, this has not happened and there is no substantial evidence about how successful, or otherwise, the implementation has been. Thurlow with Ramnarian (op.cit.) have speculated, without empirical evidence, on the limitations of the implementation process, and the Association of Professional Educators of KwaZulu-Natal (APEK) undertook a limited review of DAS among some of its members, during 2001.

The above provides the context for this study, which will focus on one school's experiences of implementing the DAS.

## **1.2 OBJECTIVES OF THE STUDY**

The main purpose of this study is to investigate the extent to which the process of implementation of the Developmental Appraisal System is conceived and operationalised in a former KZNDEC high school in the Inanda District of the KwaZulu-Natal Department of Education and Culture.

In particular, the following research questions are addressed:

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

alternative conceptualisations underpinning similar processes in other contexts?

2. How was the implementation of the DAS envisaged officially, and what are the possible limitations associated with this?
3. What have been the actual experiences of the school in attempting to implement the DAS and what might be done to improve the DAS and its implementation?

Underlying these three research questions are the following intentions for research:

- Identify those aspects of the appraisal system that had been successful and those that needed to be improved;
- Determine whether the processes of the developmental appraisal system have been implemented in the selected school;
- Investigate respondents' feelings on the role of developmental appraisal or their personal and professional development;
- Find the impact of developmental appraisal on the improvement of quality of teaching and learning;
- The respondents' views on the whole process of developmental appraisal as it is currently designed and implemented;
- Investigate the perception of the principal of the selected school regarding his responsibility for the implementation process of DAS;
- Obtain the perception of the district official with the overall responsibility for implementing DAS in schools;

- Draw tentative conclusions as to how the implementation of the Developmental Appraisal system can be implemented; and
- Make recommendations to the selected school and the district office regarding the implementation of the DAS in school and about DAS in general.

### **1.3 LIMITATIONS OF THE STUDY**

The major limitation in the proposed study relates to the investigation of impact, which is the most difficult aspect to assess. This is because the institutionalisation of an innovation (such as DAS) takes place over time. The present study, which is limited in scope, takes place within a very limited time-scale, and cannot address adequately the issue of impact. Therefore, the study will only be able to deal with “reported” impact which is not the same thing as “actual” impact. This is an unavoidable limitation to the study.

Furthermore, the study is based on the implementation of DAS only in one selected high school. Time constraints and responsibilities other than research limited the researcher to the examination of one selected high school in which the researcher works. He found it difficult to find time to do research outside his school as this would have negatively impacted on his work as deputy principal of one of the largest high schools in the district.

### **1.4 METHOD OF STUDY**

This study employs a small-scale survey. Questionnaires were handed to teachers, the principal and one district official. The fundamental intention of the questionnaires was to identify broad trends in practice and opinion. The methods proposed are related directly to the questions identified:

**Question 1:** This question, which is concerned with conceptual underpinnings, will be addressed with reference to a study of the relevant literature, together



with a study of a limited range of local sources (Chetty et al. 1993; Mokgalane et al. 1997; Thurlow with Ramnarian 2001).

**Question 2:** This question deals with officially prescribed approaches to the implementation of the DAS and will be addressed in a way similar to the above. In addition to a study of the relevant literature and other documentation, at least one district official, with overall responsibility for implementing the DAS in schools, will be required to respond to the questionnaire specifically designed for him/her.

**Question 3:** This question focuses attention on the opinions and experiences of staff in the selected high school. Selected staff (see sampling) will be invited to respond to a questionnaire, which will comprise a series of closed and open-ended items, directly related to aspects of the implementation process. It may be necessary to conduct follow-up interviews with a number of the staff, if the broad response trends, identified via the questionnaire, require further clarification. The principal will also be required to respond to a questionnaire designed for him/her.

## **1.5 STRUCTURE OF THE STUDY**

- Chapter 1 is introductory. It covers the background, objectives and limitations of the study, methods of the study and summary of the chapters.
- Chapter 2 presents a literature review on the implementation of DAS. It covers the underlying purpose and importance of DAS, conditions supporting the effective implementation of teacher appraisal, the implementation processes of DAS, the impact of DAS and the summary for the whole chapter.
- Chapter 3 relates to research methods used in this study. It describes the population and sampling procedures, the use of questionnaire as a survey instrument, administration of the questionnaire and the response data.



- Chapter 4 is an analysis of data emerging from questionnaires received from teachers, the principal and one district official. Responses to open-ended questions will be addressed through elementary content-analysis, supplemented with direct quotation, as may be relevant.
- Chapter 5 focuses on conclusions and recommendations. The conclusions reveal the roles and responsibilities of the district office in the implementation of DAS in schools, the principal's role in initiating and supporting the implementation of DAS in the school and lastly the teachers' perceptions and views regarding the whole DAS. Recommendations are directed to the district office, the school management team, the principal and to ensure that the processes of DAS are implemented effectively and efficiently in the school.

## CHAPTER 2

### LITERATURE REVIEW

#### 2.1 INTRODUCTION

It is the concern of this chapter to provide an overview of the salient literature and research that have some bearing on, and relevance for, the present study. This chapter attempts to present literature information into the implementation of Developmental Appraisal System (DAS). It covers the following topics:

- The purpose and importance of appraisal.
- Issues and strategies for effective implementation of appraisal.
- Appraisal in South Africa and the context for change.
- Managing the implementation processes of DAS in South Africa.
- An initial assessment and impact of DAS.
- Conclusion.

#### 2.2 THE PURPOSE AND IMPORTANCE OF APPRAISAL

< In England and Wales, where formal teacher appraisal schemes were being implemented in the early 1990s, the focus of the schemes had been upon growth and development of the individual teacher. "This development was to be supported through a process in which appraiser and appraisee operate as a professional partnership, driven by the appraisee's needs. This is shown by the negotiated focus for classroom observation" (Middlewood 1997, p.173).

> In Australia there have been two models of appraisal which have been in use for some time, one leading to promotional eligibility and the other to professional development (Dimmock, 1987). Recently, the latter model has tended to dominate largely because of the lack of promotional opportunities available. Dimmock's conclusion, though, is particularly relevant to the current debate. He suggested that the two models of appraisal are not irreconcilable and that appraisal, for staff development could be seen as generic model embracing career development and promotional eligibility. <

Turner and Clift (1988), Wood and Pohland (1983) argued that the use of checklist appraisal techniques has been common in the USA where appraisal, or performance evaluation, as it is usually called, has often been an attempt to make summative, one-off judgements of teacher effectiveness to be used as a basis for contract renewal or dismissal. In the USA an attempt to use an appraisal system to facilitate the dismissal of teachers have almost invariably ended in litigation (which often failed) (Boulter, 1987).

The concept of performance-related pay for teachers is also one which has its proponents, and undoubtedly underpins the new system of allowances. However, drawing on his USA experience, Boulter (1987), in common with Randell, Packard and Slater (1984), suggests that appraisal should not be directly linked to pay, as this is highly likely to result in the system being regarded negatively.

The Draft Appraisal Instrument proposed by SADTU and NAPTOSA (1996) promulgated teacher appraisal linked to the professional development of teacher rather than the bureaucratic and judgemental system in existence which was seen as "closed and rigid" (Beardall, 1996). Of the six aims stated at the beginning of this Appraisal Instrument (1996), the first five are all concerned with personal development, support and development and optimum potential. The Report on the Pilot Project (Makgalere et al, 1997), which researched teachers' views and those of appraisal panels, recommended that the emphasis in future appraisal should be on such issues as openness and transparency, inclusion of a peer, significance attached to contextual factors and self appraisal.

In moving from appraisal system which was largely inspectorial and bureaucratic and in the case of black teachers – with bureaucratic efficiency and social control rather than professional development (Chetty et al, 1993, p.2), debate about the purposes of any new system was inevitably intense. The Pilot Project Report (1997) stressed that any attempt to link the appraisal more narrowly to new forms of control over teachers is no part of our vision (Chisholm 1997, p.2). The Report met the criticisms of, for example, Felnel

(1993) that appraisal had been focussed 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 educators about their work. It recognised, importantly, that appraisal was not an end in itself, but a means to a larger end, the democratisation and enhancement of learning and teaching in schools (Chisholm 1997, p.20).

Beardall (1996, p.369) argues that the accountability is of course above all to the pupils, but also to the employers and also to the community. Also, however, the teacher needs to feel supported in his/her self-motivation to improve by examining as a professional, areas for personal development. It should be noted this is as relevant to the effectively performing teacher who needs to be enriched as for the teacher performing below expectation.

Following a pilot in 80 schools during 1996, the developmental approach to teacher appraisal was found to:

- Promote openness by avoiding the threatening environment inherent in the previous system;
- Encourage teamwork among staff members;
- Include self and peer appraisal;
- Take into consideration the school and community context; and
- Promote feedback to those being appraised as well as follow up action through development plans.

While the purposes of teacher appraisal in any individual school operate within the constraints of national guidelines, it may prove possible for individual managers to seek to clarify what they believe the purposes of appraisal to be. I suggest that these may be:

- For professional satisfaction (development);
  - To fulfil professional obligation to the learners (accountability);
  - To enable teachers to know how they are performing (entitlement).
- (Middlewood 1997).

He further argued that the purpose of appraisal relates to both improving individual performance and to greater organisational effectiveness, the latter being in the organisation's purpose, i.e. pupil or student learning.

In the national evaluation of Teacher Appraisal Scheme, Barber et al (1995 p.61) concluded that the appraisal contributes to eight of the eleven factors identified by Ofsted as characteristics of effective schools:

- Enhancing professional leadership;
- Promoting a shared vision and goals;
- Increasing the concentration on teaching and learning;
- Establishing explicit high expectations on staff;
- Ensuring positive reinforcement through acknowledging the contributions of staff;
- Monitoring progress and the career development of staff;
- Providing opportunities to develop more purposeful teaching;
- Enhancing the essence of a school being a learning organisation.

Whilst Hunt (1986) and Fiddler (1995) argued that in the context of the effective management of people, some form of feedback about performance is widely accepted as central both inside and outside education. If appraisal is seen in this light, then the way in which it is managed becomes fundamental to staff management in any organisation.

H M Inspectorate on the purpose of appraisal (DES, 1989a) suggest that there is general agreement that the two principal aims of appraisal are to facilitate the professional growth of the individual teacher and to effect institutional improvement. They go on to say that essentially, appraisal is about the judgement of performance and, furthermore, that underlying the purposes of appraisal will be the crucial question of what are reasonable standards to expect of individual teachers. They also suggest that nationally agreed competencies may be developed, and may provide a baseline for what is expected of experienced staff.



In conclusion, the Department of Education (1996) argued that the aim of developmental appraisal is to facilitate the personal and professional development of educators in order to improve the quality of teaching practice and education. The successful implementation of developmental appraisal in schools would lead to enhancement of professional development of educators; an improvement in the quality of teaching and learning; and an improvement in the management and proper functioning of the school.

## **2.3 ISSUES AND STRATEGIES FOR EFFECTIVE IMPLEMENTATION OF APPRAISAL**

Experience of appraisal schemes such as those described in England and Wales can give indications of what factors might support the effective implementation of teacher appraisal. Middlewood (2002) suggests that these factors may be in general terms based on the experiences of appraisal in different contexts and then examine them in specific context of South African schools.

### **2.3.1 Clarity concerning the purpose of appraisal**

Jantjes (1996, p.53) specifically relates the "lack of common understanding between teachers and administration as the real purpose of teacher appraisal" in South Africa, to the lack of a unified vision or philosophy for a school. He further argued that without this unified vision, teacher appraisal will continue to be regarded with mistrust. Appraisal accommodates both accountability and support for development. Beardall (1996, p.369) argues that the accountability is of course above all to the pupils, but also to the employers and also the community. Also, however, the teacher needs to feel supported in his/her self-motivation to improve by examining as a professional; areas for professional development. It should be noted this is as relevant to the effectively performing teacher who needs to be enriched as for the teacher performing below expectations. Middlewood (2002) cautions that one perception of appraisal is that in certain contexts it may be viewed as a way in which the employer controls the employee. This view is further reflected in Newton and Findlay

(1998, p.142) when they argued that performance appraisal is as “inextricably linked to the contested terrain of control and thus lies at the heart of the management of the employment relationship...performance appraisal needs to be seen in the broader context of other forms of performance, surveillance and accountability.” As far as teachers are concerned, much may depend upon the perceived role of teachers in the community. In South Africa, Beardall (1996, p.370) claims that teachers have been relegated to the role of passive civil servants and portrayed as “middle baby-sitters”, because they are seen as state functionaries not as professionals.

At the heart of appraisal is a possible tension between developmental purpose and evaluation purpose (Beer, 1986). The individual needs to be motivated personally to continue to improve through the process, and evaluation or assessment needs to occur so that the accountability of that individual to the organisation is ensured. Sheen (1995) argues that teachers as public servants must face scrutiny of differentiation of performance, i.e. they must accept that appraisal will make it clear that some teachers perform better than others.

### **2.3.2 Appraisees' perception of ownership, support, ethos and trust**

According to Montgomery and Hadfield (1989), Fox (1994) and Smith (1995), research has established the need for professionals to feel ownership of the scheme for it to be likely to succeed.

Research by Montgomery and Hadfield (1989) showed how important it was for teachers to feel that appraisal of their performance involved their own views and perceptions of that performance. When teachers were simply given negative criticism in an imposed way, they tended to reject the criticism, even where it might have contained useful advice. Any scheme therefore needs to include some form of self-appraisal by the teacher and the use of that as the starting point for discussion which will arise from information gathered from other sources, such as observation of classroom practice.

Hadfield (1989) further argued that a positive approach was essential and established that the conditions necessary in a school where appraisal was likely to be introduced successfully, include:

- Consensus of value;
- Ethos of trust;
- Positive self-image; and
- People open to learning.

Research at Kingstone Polytechnic (1989/88), concluded that supportive appraisal increases motivation and can help identify and share expertise and enhance job satisfaction in situations where there are limited chances of promotion.

Longenecker and Ludwig (1995, p.76) argued strongly that trust is always the basis of any effective manager/subordinate relationship and therefore any activity that tempers with this trust factor must be viewed as a threat to long term managerial effectiveness and employee performance. Murphy and Cleveland (1999, p.73) identifies the elements most significant in this trust factor as:

- Good working relationship;
- Well defined job roles;
- Specific feedback, honesty; and
- A low tolerance for political manipulation.

### **2.3.3 Consistency of application**

Closely linked with this trust factor is the need to demonstrate the transparency and fairness of any system by ensuring that it is applied consistently to all those involved. Inequity or apparent inequity of treatment can be quickly perceived as being evidence of injustice, just as much as of inefficiency. If treatment between appraisal in different schools because of different contexts in which they operate has to be dissimilar, the reasons for this need to be open and agreed (Middlewood, 2002).



Whatever the actual form of appraisal (i.e. line manager, peer, etc), it is important that the appraisees are aware that all are being treated in a similar way. This means that the resources (including time) should be distributed equitably, that venues are equally appropriate, that documentation is broadly similar, that procedures, such as note-taking, are agreed (Middlewood 1994).

In order to achieve the aims of developmental appraisal, the following requirements, inter alia, must be met:

- A democratic organisational climate;
- A learning culture at institutions;
- Commitment of educators to development; and
- Openness and trust. (ELRC, 1999, p.2).

#### **2.3.4 Monitoring and evaluation**

Managing the monitoring and evaluation of the actual process is easier than evaluating the impact appraisal has had. The purposes of process evaluation may include:

- Checking on the consistency of the appraisee's experience;
- Ensuring conformity to the school's strategy. (West-Burnham 1993, p.76).

Effective monitoring and evaluation of the appraisal can:

- Inform efficiency;
- Help optimise resources;
- Identify strengths and weaknesses;
- Clarify aims, objectives and priorities;
- Raise the quality of training;
- Improve the effectiveness of teaching;
- Support curriculum development;
- Support professional and personal development;
- Offer feedback to participants and organisers (Embery and Jones, 1996).

For if appraisal is to be judged by teachers and others to be worthwhile, it must have positive and practical outcomes. It must be perceived as having benefits

for pupils, teachers and the community at large. Investments must be made not only in the design and implementation of appraisal in schools, but also in support of its outcomes (Day, Whitaker and Wren, 1987).

## **2.4 APPRAISAL IN SOUTH AFRICA AND THE CONTEXT FOR CHANGE**

In the past, many appraisal inspections in the South African education system were official (bureaucratic) and judgemental. Many teachers felt that inspections did not help them to improve their teaching practice but were used as a way to control them (Butler, 1999).

The impetus for the historical development of the new developmental appraisal system has been linked to the breakdown of inspectorate and subject advisory services in the majority of schools in South Africa. Between 1985 and 1990, it became almost impossible for inspectors and subject advisors to go into schools. Within the organised teaching profession the need was felt that to develop an appraisal instrument which would be acceptable to all stakeholders and would enhance the development of competency of educators and the quality of public education in South Africa. Through negotiations, research and piloting of the various proposals in which teacher unions participated, a document which represents the good faith which exists between various stakeholders, and embraces the democratisation that is prevalent in education in South Africa today was finalised. The need to restore an appraisal system for teachers was, thus, a concern shared by all teacher formations and ex-departments of education. (DAS: Facilitators Manual, 1998).

By 1993, all teacher organisations and unions and all ex-departments of education were involved in these negotiations which sought to address the principles, processes and procedures for the new appraisal system. Through arduous efforts, consultations in each of the organisations/departments involved were held in various workshops nationally to arrive at the “guiding principles” that ought to inform the new appraisal system and the “appraisal instrument” to be used. By 1994, a general agreement on both of these was reached (DAS: A Facilitators Manual, 1998).

In October 1994, a conference on School Management, Teacher Development and Support, hosted by the Education Policy Unit of the University of the Witwatersrand, was held at the Eskom Centre in Midrand, Johannesburg. The newly constituted national and provincial departments and all teacher unions/organisations were represented. At this conference, the following were among the issues in regard to the new appraisal system to be resolved:

- General agreement of the guiding principles.
- Overall consensus on the nature of the instrument.
- General agreement on the need to pilot the new appraisal system with CSI level educators before it may be implemented.

On the basis of these decisions, the Education Policy Unit of the University of the Witwatersrand conducted a pilot of the new appraisal system. This pilot occurred between 1995 and 1996. The report documenting its findings was released in July 1997.

The pilot covered a representative sample of 93 schools throughout the country, with KwaZulu-Natal being the only province which did not participate in the pilot due to a range of difficulties that could not be resolved within the scope of the pilot. The findings of the pilot revealed that there was unanimous support for the nature and processes of the new teacher appraisal system. It also showed that it could be applied in all schools in South Africa no matter what their contextual conditions may be. It also pointed to the centrality of training in the process so that school-based educators are equipped with the necessary knowledge to actually implement the new appraisal system. The pilot indicated that the nature of the new appraisal system contributed significantly to facilitating relations between teachers and school management, and between schools and department offices. The pilot, thus, validated empirically the nature, philosophy, processes and instrument of the new appraisal system.

Simultaneously, while the pilot was being conducted, further discussions and negotiations around the new appraisal system were taking place in the Education Labour Relations Council (ELRC), in which teacher unions/organisations, provincial departments and the National Department of

Education were involved. On 28 July 1998, final agreement on the implementation of the new developmental appraisal system was reached within the ELRC, reflected in Resolution Number 4 of 1998. In terms of this ELRC resolution the new developmental appraisal system is expected to be implemented by 1999, with all structural and other arrangements being put in place within 1998. (DAS: Facilitators Manual, 1998).

## **2.5 MANAGING THE IMPLEMENTATION PROCESSES OF DAS IN SOUTH AFRICA**

The literature on the assessment of individual performance indicates that, minimally, any evaluation of systematic appraisal system requires that attention should be given to the process of its implementation. An attempt will be made to address this in the present study. The main characteristics of the implementation process will be highlighted. Principals and SMTs in each school must take the initiative to establish a Staff Development Team (SDT). The establishment of the SDT should be discussed at a staff meeting. Members should be voted for in an open and fair election (DAS: Facilitators Manual, 1998).

### **2.5.1 Staff Development Team (SDT)**

Every school is required to establish an elected Staff Development Team. Among the responsibilities of the SDT are the initiation of the appraisal process; facilitating appraisal training and ongoing support; the preparation and monitoring of a management plan for appraisal; the establishment of 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 (Thurlow and Ramnarian, 2001).

*performance  
measurement*

According to Butler (1999), the SDT should consist of the principal and elected members of staff. These people should enjoy the confidence and support of the staff. Ideally, they are expert and experienced educators themselves, and they have sympathetic qualities. They need to provide guidance during the process of appraisal, so that the appraisee can learn from the process itself. After the end of appraisal process, the appraisee should have a clear understanding of what ways he/she needs to improve and know where to get help.

The purpose of the SDT in the developmental appraisal system is to initiate, coordinate and monitor the appraisal process in institutions, and ensure that training in the developmental appraisal system occurs. It is also incumbent upon the SDT to facilitate ongoing professional support. Once in place the SDT will initiate the appraisal process. This they will do by possibly organising a workshop on development appraisal system for the entire staff of the institution. Other parties, in the instance of schools, from the school governing bodies are also encouraged to attend such workshops. At this workshop, the SDT will inform people about what the development appraisal system is about, and train people in being able to use it. People from outside the institution may be brought in to assist and facilitate in such a workshop. Also at this workshop or at the first staff meeting which follows it, members of staff will then be asked to be part of appraisal process (DAS: Facilitators Manual, 1998).

Thurlow and Ramnarian (2001) argued that all members of staff in a school must receive appraisal training. To this end the official publication for the system includes a facilitators manual outlining the content of the training programme and suggestions for conducting workshops. This programme includes some contextual background material, some advice on procedures, commentary on the forms to be used in the process and very brief coverage on conducting developmental appraisal. Essentially the manual is instructional and operational in nature.

According to Butler (1999), Staff Development Team drives the process of appraisal in the school. They should start the process by organising a workshop which will explain the process to all members of staff. Members of



the School Governing Body (SGB) should be invited to attend. The school may ask for help from the DAT (District Appraisal Team) or an NGO (Non-government organisation). This workshop is an opportunity to train staff members in the appraisal process. If there are 30 educators at a school (including the principal, administrator, etc), then there will be 30 appraisal panels. Obviously some people will be members of more than one panel, and almost all members of the school will be helping others in their professional development.

### **2.5.2 The appraisal panels**

The appraisal process for each individual is carried out through an appraisal panel, which comprises the appraisee and at least three others (except in the case of small schools, where the requirement is at least two others). The members of the panel are drawn from nominated peers, senior management persons, union representatives and persons from outside institutions (such as someone from a district education office, a college or a university or a non-governmental organisation). 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 meetings and reporting progress to the SDT. It is recommended that two panel members should serve as active appraisers (Thurlow and Ramnarian, 2001).

For each member of staff there needs to be a specific appraisal panel. The appraisee chooses his/her own panel. Who is on the appraisal panel? If it is your turn to be appraised, you are called an appraisee. You should choose the members of the appraisal panel, consisting of at least four members from the following:

- The appraisee;
- A nominated peer (another educator of your own choice);
- A senior management person (principal/deputy/HoD);
- Optional: a union representative;
- Optional: In addition the appraisee may choose to have a person from outside the school (district official, NGO person, college or university) (Butler, 1999).

He further argued that being on an appraisal panel is a responsible position. It is important that all members take their roles seriously, so that the school can gain maximum benefit from the appraisal process. For each panel, members should elect a chairperson who will arrange meetings of that particular panel, and who will liaise with the SDT. All members should attend meetings of the panel appraisal. If a member misses two consecutive meetings, then he/she is disqualified from further participation in the panel. The School Development Team (SDT) should draw up a list of all the appraisal panels. All the names may be written on a list which looks as follows:

He indicated that these panels assume that there are 24 educators on the staff. The SDT must co-ordinate and monitor the appraisal process. Once the Appraisal Panels have been decided, the SDT needs to work out an Appraisal Schedule. This time-table should allow for:

- One announced class visit;
- One surprise class visit;
- Discussing reports;
- Follow up development work.

**Table 2.1. List of the Appraisal Panels**

<b>Panel for Educator 1</b> <b>(principal)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 2</b> <b>(HoD Languages)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 3</b> <b>(HoD Social Science)</b> 1 ..... 2 ..... 3 ..... 4 .....
<b>Panel for Educator 4</b> <b>(HoD Maths and Science)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 5</b> <b>(English &amp; Union site steward)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 6</b> <b>(English &amp; Social Science)</b> 1 ..... 2 ..... 3 ..... 4 .....
<b>Panel for Educator 7</b> <b>(Afrikaans &amp; Social Science)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 8</b> <b>(English &amp; Social Science)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 9</b> <b>(Maths and Science)</b> 1 ..... 2 ..... 3 ..... 4 .....
<b>Panel for Educator 10</b> <b>(Biblical Studies)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 11</b> <b>(Accounting &amp; Computing)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 12</b> <b>(Accounting &amp; Computing)</b> 1 ..... 2 ..... 3 ..... 4 .....
<b>Panel for Educator 13</b> <b>(Social Science)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 14</b> <b>(Social Science)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 15</b> <b>(Social Science)</b> 1 ..... 2 ..... 3 ..... 4 .....
<b>Panel for Educator 16</b> <b>(Languages)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 17</b> <b>(Maths)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 18</b> <b>(Science)</b> 1 ..... 2 ..... 3 ..... 4 .....
<b>Panel for Educator 19</b> <b>(Maths)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 20</b> <b>(Maths &amp; Social Science)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 21</b> <b>(Language &amp; Science)</b> 1 ..... 2 ..... 3 ..... 4 .....
<b>Panel for Educator 22</b> <b>(Guidance)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 23</b> <b>(Librarian)</b> 1 ..... 2 ..... 3 ..... 4 .....	<b>Panel for Educator 24</b> <b>(Administrator)</b> 1 ..... 2 ..... 3 ..... 4 .....

**Source: HRM, 1999, p.42**



The appraisal process may run as two cycles during the year. The first cycle should be finished within first two terms. In the example below, the appraisal process has been filled in for two educators.

**Table 2.2. The Appraisal Schedule**

	Term 1	Term 2	Term 3	Term 4
<b>Week 1</b>	Ed 1: Announced visit ..... .....	Ed 1: Attend INSET workshop ..... .....	..... ..... .....	..... ..... .....
<b>Week 2</b>	Ed 2: Announced visit ..... .....	Ed 2: Make formal arrangements for a mentor ..... .....	..... ..... .....	..... ..... .....
<b>Week 3</b>	..... ..... .....	..... ..... .....	..... ..... .....	..... ..... .....
<b>Week 4</b>	Ed 1: Surprise visit ..... .....	..... ..... .....	..... ..... .....	..... ..... .....
<b>Week 5</b>	..... ..... .....	..... ..... .....	..... ..... .....	..... ..... .....
<b>Week 6</b>	Ed 2: Surprise visit ..... .....	..... ..... .....	..... ..... .....	..... ..... .....
<b>Week 7</b>	Ed 2: Discuss and report ..... .....	<b>EXAMS</b>	..... ..... .....	<b>EXAMS</b>
<b>Week 8</b>	Ed 2L Discuss and report ..... .....	<b>EXAMS</b>	..... ..... .....	<b>EXAMS</b>

**Source: HRM, 1999, p.43**

#### 2.5.2.1 The Overall Management Plan

At the beginning of the year, the SDT in each school should draw up a Management Plan for appraisal. All educators have to be trained in the developmental appraisal prior to its implementation in order to ensure that the spirit of appraisal as stated in Tables 2.1 and 2.2 above is observed in practice. It is recommended that half of the staff should be appraised in the first six months and the other half in the second six months. The Overall Management Plan should look as follows. (DAS: Facilitators Manual, 1998).

**Table 2.3 The Overall Management Plan**

<b>Weeks in Cycle</b>	<b>Action</b>	<b>Responsibility</b>
Week 1	Head of an institution calls a staff meeting to elect the SDT	Head of an Institution
Weeks 2-3	▪ Training of staff	SDT
Weeks 4-6	▪ Identification of appraisees for the 1 <sup>st</sup> and 2 <sup>nd</sup> phases of Cycle One ▪ Constitution of panels and election of Chairpersons ▪ Appraisees complete Personal Details Form	SDT Staff members Identified appraisees
Weeks 6-9	▪ Submission of educator portfolios to the Panel ▪ Observation of educators in practice	Appraisee Panel
Weeks 9-12	▪ Decide on optional and additional criteria and motivate for the decision on the Needs Identification and Prioritisation Form ▪ Self-appraisal on the Needs Identification and Prioritisation Form ▪ Peer/Union Representative/Senior appraisal Needs Identification and Prioritisation Form ▪ Finalise Needs Identification and Prioritisation Form ▪ Complete Professional Growth Plan (PGP) Form ▪ Panel discusses and finalise the PGP Form	Appraisee, Panel and SDT Appraisees 2 panel members Panel Appraisee Panel
Weeks 11-22	▪ Appraisee implements the Professional Growth Plan	Appraisee
Weeks 23-24	▪ Appraisee fills in the discussion paper in preparation for the review ▪ Panel works through the discussion paper ▪ Appraisal Report is prepared	Appraisee Panel Panel

**Source: DAS Manual, 1999, p.8**

Research on Developmental Appraisal System (DAS) conducted by APEK (2001) revealed the following information on the value of appraisal panels. 62.5% of the respondents indicated that the appraisal panel has a positive impact because:

- It creates the opportunity for educators to exchange ideas and learn from each other and hence learn in the process.
- The panel was supportive, they provided guidance which enabled me to overcome my weaknesses.
- The panel was of great value because it was made up of people we trust, we were, therefore, honest with each other. The panel helped to draw out our own positive points and identify negative points and ways to deal with them.

- Friendly, positive evaluations generate ideas, we can all learn from another's strengths and weaknesses.
- It allows for open constructive criticism.
- Panel members have a chance to discuss problems, strengths and weaknesses, the assessment is therefore not only from a management point of view.

However, 37.5% of the respondents responded negatively about the value of panel of appraisers. Their argument is based on that:

- Appraisees choose "pals" and others so that appraisal comments would be positive.
- It creates stress and tension, in fact it will be a demotivator.
- Panel members are not sure what to do, generally panels are incapable of appraising.
- It's not easy to get the whole panel together, because all of them are busy with their own classes.
- Subject advisors and other professionals are in a better position to do the appraisals.
- One or two lessons are insufficient to get a true picture of a person's strengths and weaknesses.
- Friendship between staff members resulted in awkwardness.

There is little doubt that the legacy of mistrust coming from previous experience is the biggest obstacle for the school manager to overcome in developing some form of effective performance appraisal (Middlewood, 2002). Furthermore, the proposal, in attempting to be democratic, includes strong elements of peer involvement and the right of the teacher to elect his/her own appraisal team. Peer appraisal was seen as "softer" model in a review of evidence in England and Wales (TTA, 1996, p.7) and rejected in favour of a clear line management model. The need to balance an avoidance of "cosiness", non-challenging approaches with a need for empathetic responses to the teacher's situation is therefore a task for manager. Writers such as Fiddler (1995) and West-Burnham (1994) are quite clear that line management is essentially for performance appraisal, otherwise managers are not fulfilling their obligations to the school and thereby the students.

Column 2: The second column provides space for the other panel members' ratings after the class visits.

Column 3: At the end of the appraisal process, there will be discussion between all members of the panel, including the appraisee. They will then agree on a final rating, which is filled in the third column. (Butler, 1998).

**Table 2.5. Prioritisation Form for Post Level 1 Educator**

Criteria		Symbols A or B		
1	CORE	Appraisee	Peer/HoD/ DP/ Principal	Panel
1.1	Curriculum development			
1.2	Creation of a learning environment			
1.3	Lesson presentation and methodology			
1.4	Classroom management			
1.5	Learner assessment			
1.6	Recording and analysing data			
1.7	Development of learning field competency			
1.8	Professional development in field of work/ career and participation in professional bodies			
1.9	Human relations			
1.10	Leadership			
1.11	Community			
1.12	Extra-curricular work			
1.13	Contribution to school development			
2	OPTIONAL CRITERIA			
3	ADDITIONAL CRITERIA			

**Source: HRM, 1999, p.49**

Thurlow and Ramnarian (2001) indicated that Prioritisation Form which contains the criteria that are used in an educator's appraisal and different criteria are identified for the various levels of educator. These forms are used to identify the specific criteria on which the appraisal will be based and to record priorities for development.

Appraisal is not only for teachers. All educators must be appraised including the Principal, Heads of Departments and District Officials. Each person will be appraised in terms of their own job definition, that is, the tasks they should be



doing. The Principals and Deputies Prioritisation Form has 23 criteria. The first 13 criteria are the same as those found in Level 1 Educators Form, and there are another 10 criteria that specifically refer to management tasks. This form also includes an explanation of the criteria as well as “expectations” (Butler, 1999).

**Table 2.6. Prioritisation Form for Principal and Deputy Principal**

Criteria		Symbols A or B		
1	CORE	Appraisee	Peer/Dept. Official	Panel
1.1 – 1.13	Same as Educator's criteria			
1.14	Communication			
1.15	Decision-making and accountability procedures			
1.16	Establishment and servicing of representative bodies			
1.17	Servicing the governing body			
1.18	Establishing and maintaining a learning environment			
1.19	Record keeping			
1.20	Strategic planning and transformation			
1.21	Financial planning and management			
1.22	Education management development (EMD)			
1.23	Programmes for appraisal			
2	OPTIONAL CRITERIA			
3	ADDITIONAL CRITERIA			

**Source: HRM, 1999, p.61**

Prioritisation Form for Heads of Departments is the same as that for level 1 educator and includes two more core criteria, that is, generation of departmental policy and professional support to colleagues.

#### 2.5.3.3 The Professional Growth Plan (PGP)

This form is based on the prioritised criteria; is completed by the appraisee, who is required to identify objectives for development, how it is proposed to meet the objectives and within what time period, what resources might be needed and which indicators are proposed to demonstrate attainment of the objectives. As with most forms, the content is discussed and agreed mutually within panel meeting (ELRC, 1999, p.88).

Each time the educator is appraised, s/he should review his/her own Professional Growth Plan. The purpose of this plan is to ensure that appraisal process is developmental from the beginning and has the active participation of the appraisee. The Professional Growth Plan form asks the appraisee to formulate his/her own objectives. S/he is asked to indicate how s/he would practically achieve these objectives and within which time frames/period. The appraisee is also asked what resources will be needed, as well as key performance indicators which will demonstrate that the objectives have been achieved (Butler, 1999).

**Table 2.7. Professional Growth Plan (PGP) Form**

<p>This section is completed by the appraisee and finalised in consultation with the appraisal Panel. A new form will be used for each cycle.</p> <ul style="list-style-type: none"> <li>▪ Formulate objectives.</li> <li>▪ Identify specific activities which will be necessary to achieve these objectives.</li> <li>▪ State resources needed to achieve these objectives.</li> <li>▪ State your key performance indicators.</li> </ul> <p>Name of educator .....</p> <p>Date .....</p> <p>OBJECTIVES</p> <p>.....</p> <p>.....</p> <p>PROFESSIONAL DEVELOPMENT ACTIVITIES</p> <p>.....</p> <p>.....</p> <p>RESOURCES NEEDED</p> <p>.....</p> <p>.....</p> <p>KEY PERFORMANCE INDICATORS</p> <p>.....</p> <p>.....</p> <p>MOTIVATION FOR CHANGING CORE CRITERIA TO OPTIONAL CRITERIA</p> <p>.....</p> <p>.....</p>
--

**Source: HRM, 1999, p.47**

#### 2.5.3.4 The Discussion Paper

The Discussion Paper, completed by the appraiser with the possibility of subsequent modification after discussion with the panel, records information about the extent to which the appraiser has achieved the objectives set, factors which might have affected negatively the pursuit of these, the nature of support received and what might be needed further to improve performance (ELRC, 1999, p.88).

The next step reviews the appraisal process. The appraiser starts by completing a form called Discussion Paper, and then finalises the form after discussions with the whole panel. The purpose of the discussion paper is to answer the following questions:

- Were the appraiser's objectives reached or not?
- If the objectives were not reached, why not?
- Was sufficient support given to the educator?
- Did other factors affect the educator's performance?
- What can be done to further improve the educator's professional development? (Butler, 1999).

**Table 2.8. The Discussion Paper with Panel**

Form to be completed by appraisee before the post appraisal meeting

1. Were your objectives for the period under review realistic?  
.....  
.....
2. Given your programme, what has not been completed?  
.....  
.....
3. What are the reasons for the backlog or shortfall if any?  
.....  
.....
4. What have been the most difficult problems you have had to cope with during this period?  
.....  
.....
5. To what extent have you managed to improve your skills?  
.....  
.....
6. Is there anything you need that could help you develop your job and become more effective?  
.....  
.....
7. Do you receive sufficient support from your colleagues/senior staff/  
principal/governing body/department officials?  
.....  
.....
8. Are there any other general matters you would like to discuss? E.g. factors  
affecting your work? Refer to Contextual Factors  
.....  
.....  
.....

**Source: DAS Manual, 1999, p.39**

The discussion paper is first completed by the appraisee and thereafter with the panel. It reports and notes on whether the appraisee's objectives were reached or not. If they have not been reached, this discussion paper will outline the reasons why. It will also stipulate whether sufficient support was received, whether there were other factors that came into play to affect the educator's



performance and what may be done to further improve the educator's professional development (DAS: Facilitators Manual, 1998).

#### 2.5.3.5 The Appraisal Report

The Appraisal Report contains prioritised needs/criteria; identified needs, strengths of the educator, a suggested development programme; providers and dates for developmental programme delivery. The report must be signed, as agreed, by all members of the panel (ELRC, 1999, p.88).

Butler (1999) notes that in addition to the documents mentioned, there is a final document called "Final Report". This document is prepared by the whole appraisal panel, and needs to be signed by all members of the panel. It includes all the documents used during the developmental appraisal process. These documents are:

- Personal Details form;
- Discussion Paper;
- Results of Prioritisation form with criteria that were used;
- Professional Growth Plan (PGP);
- Learner Questionnaire (optional).

The final report should summarise all the findings of the appraisal panel. In the discussion between the appraisee and the appraisal panel, there should be agreement about what help is needed by the appraisee, and how this help can be obtained.

**Table 2.9. The Appraisal Report**

<ul style="list-style-type: none"> <li>▪ All forms that have been filled during appraisal form part of the Appraisal Report.</li> <li>▪ The following information must also be filled.</li> <li>▪ This Report must be signed by all parties to the Appraisal Panel.</li> </ul>
<b>1. Prioritised Criteria</b> ..... ..... .....
<b>2. Identified Needs</b> ..... ..... .....
<b>3. Strengths of the Educator</b> ..... ..... .....
<b>4. Suggested Development Programme</b> ..... ..... .....
<b>5. Suggested Provider of Developmental Programme</b> ..... ..... .....
<b>6. Dates for developmental programme delivery</b> ..... ..... .....
<b>Signatures:</b> <b>Appraisee:</b> ..... <b>Date:</b> .....
<b>Appraisal Panel Members:</b> 1. .... <b>Date:</b> ..... 2. .... <b>Date:</b> ..... 3. .... <b>Date:</b> .....

**Source: DAS Manual, 1999, p.40**

As an additional option, the outcome of the discussions may be written down in a Personal Development Programme. After discussions between the appraisee and the rest of the panel, the Personal Development Programme would indicate

which actions will be taken, and when they may take place. Some possibilities are shown below. Obviously the appraisee may choose to do only one or two of the following:

**Table 2.10. Personal Development Programme**

<b>Recommended action, and time frames</b>
Seek guidance from senior staff?
Attend a Teacher Resource Centre Programme?
Attend a Subject Advisor's Regional Subject Workshop?
Attend a Subject Advisor's Regional Refresher Course?
Enrol for a school-based programme for teachers?
Organise an in-service programme with an NGO?
Enrol in a formal upgrading course?
Etc

**Source: HRM, 1999, p.58**

#### ▪ **Disputes**

The final result could be disputed by the appraisee or the members of the appraisal panel. If a dispute develops, then the appraisee or any other member of the panel could start grievance procedures.

The first step would be to report the matter to the SDT in the school. If the SDT cannot resolve the matter, they could ask for help from District Appraisal Team (DAT). The matter should proceed until it is finally resolved, and all members are prepared to sign the Final Appraisal Report.

- **Signatures**

The Final Appraisal Report must be signed by all members of the appraisal panel, including the appraisee. Unless they all sign, the Appraisal Report is not a valid document.

- **An appraisal file:**

An appraisal file will be kept for each educator. This file will contain the following documents.

- Personal Details form
- Professional Growth Plan (PGP)
- Prioritisation Form
- Discussion Paper
- Personal Development Programme (if completed).

All these documents will be evidence of the educator's professional growth, as well as his/her commitment to life-long learning. The appraisee should have access to his/her own file, and may use documents as part of his/her CV. The district office should have access to these documents (Butler, 1999).

#### **2.5.4 Criteria and rating**

To ensure that appraisal is related to job functions, core criteria have been identified and defined for each level of educator. These are compulsory elements in the identification and prioritisation of needs. Provision is made for some core criteria, through agreement in the panel, to be deemed "as optional" in the light of particular contextual factors of a school. Further criteria, defined as "additional", may be added to reflect the particular needs of the individual or the institution. A simple A/B rating is used in respect of each criteria, with the former indicating a "priority" need for development in the present cycle, and the latter that performance is in keeping with the expectation with room for further development in future (ELRC, 1999, p.5).

According to the DAS: Facilitators Manual (1998), in all instances the core criteria are those aspects of the educator's work that have been found to be essential for the realisation of the professional practice itself. Without these criteria, the educator would not be performing the professional duties they are meant to perform. These criteria have been found to be standard both locally and internationally. In regard to Post Level 1 educators, the core criteria, three essential areas are covered: i) classroom expertise; ii) professional development; and iii) leadership and communication. The PL1 educators spend most of their time in classroom based situations the instrument provides guidelines for understanding the ways in which these criteria are to be understood by providing a definition and expectation of each criteria. These need to be referred to when the appraisal actually happens and decisions about the appraisal are made.

Furthermore, the core criteria for heads of departments are the same as those for PL1 educators, except the criteria are now defined in ways that take into account the responsibilities that are expected of heads of departments. Heads of departments need to show more professional development and leaderships skills than PL1 educators. The core criteria for principals and deputy principals emphasises leadership, management and administration skills more than other criteria due to the nature of their jobs. However, classroom and curricula criteria are also to be found in this prioritisation form, but not in a dominant way. The core criteria for office based educators emphasises management, administration, budgeting and strategic planning skills.

## **2.6 AN INITIAL ASSESSMENT AND THE IMPACT OF DAS**

Research at Kingston Polytechnic (1988-9) concluded that supportive appraisal increases motivation, can help identify and share expertise and enhance job satisfaction in situations where there are limited chances of promotion (Middlewood, 1994). The benefits of the developmental approach to appraisal seem clear from the various evaluations to date. Table 2.11 links the components of actual schemes of appraisal to these benefits.

**Table 2.11. Benefits of Developing Appraisal and Relationship to Appraisal Schemes Components**

<b>Benefit</b>	<b>Scheme Component</b>
Recognition of individual achievement leading to increased self-confidence	Collecting information.
Opportunity to share ideas and issues through discussions with senior staff leading to improved professional dialogue, communication and co-operation.	Appraisal dialogue or interview.
Increased ability to think critically and reflectively about own practice.	Experience and development in self-appraisal.
Opportunity to improve actual practice and also communication and co-operation.	Observation.
Clarification of educational goals.	Setting targets.
Increase in motivation to improve performance.	Agreed statement.

**Source: Middlewood, 1994**

He further argued that the impact upon the organisation was seen as occurring through the aggregation of individual targets, leading to staff development policy which reflects identified needs and is incorporated into the institution's development plan. Whilst West-Burnham (1993) is supporting this principle, and offering a model for this, points out that it can operate only under certain management conditions, including clear and public mission statements and developmental plans, clear needs and priorities for INSET and actual learning outcome.

A harder edge to appraisal increases its evaluation and accountability aspect, whilst maintaining a developmental and supportive approach (Middlewood, 1994). Writers such as Morris (1991, p.168) pointed to the danger of a "preciousness" about the process, the preciousness inheres in presenting



appraisal as totally non-threatening and non-judgemental. Kennedy and Saunders (1993) suggest that “basing staff appraisal solely on the soft option of developmental outcomes is akin to regarding the appraisal process as the college equivalent of the confessional”. As Fidler (1995, p.4) states: “It is difficult to defend an appraisal scheme which does not have an evaluation dimension, pointing out the lack of any alternative systematic procedure which checks on performance of teachers.

The National Policy on Whole School Education, in the South African context, complements other quality assurance initiatives such as developmental appraisal. This Policy is aimed, firstly, at improving the overall quality of education in South African schools. It will ensure that all children are given an equal opportunity to make the best use of their capabilities. As a process, whole school evaluation is meant to be supportive and developmental rather than punitive and judgemental. It will not be used as a coercive measure, but will ensure that policies are complied with. It will also facilitate support and improvement of school performance using approaches of partnerships, collaboration, mentoring and guidance.

It further sets out the legal basis for school evaluation, its purposes, what is to be evaluated and who can carry out evaluations. It provides guidance on how an evaluation should be conducted. The Policy offers Guidelines, tools for evaluation, and a built-in mechanism for reporting findings and providing feedback to the school and various stakeholders, the Government, parents and the society generally, on the level of performance achieved by schools. As a result, school evaluation is not an end in itself, it is the first step in a long process of school improvement and quality enhancement (Department of Education, 2000).

On the contrary, when the Department of Education tried to implement the Whole School Evaluation processes, SADTU leadership, at its National Executive Council meeting, reaffirmed the following stance:

- To affirm DAS and to call for its speedy implementation by the employer;

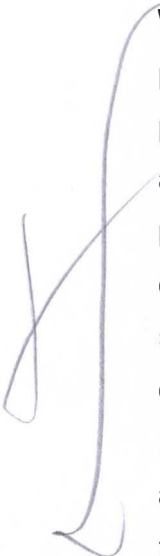
- To call upon the employer to suspend Whole School Evaluation until proper negotiations have taken place; and
- To negotiate a single instrument for teacher appraisal and development based on the principles of DAS (SADTU, 2002).

However, Thurlow and Ramnarian (2001), on their early assessment of South African developmental appraisal system, argued that there does seem to be some tentative evidence which suggests that the new appraisal system might encounter problems related broadly to inadequate attention being given to its implementation. Particular attention has been drawn to the following:

- While considerable attention appears to have been given to administration of the system, although significant issues of detail and process still remain unresolved, there appears to have been only a minimal awareness of the complexities involved in implementing educational change.
- The requirements identified for the successful introduction of developmental appraisal (and its integration with whole school development) represent fundamental changes in the organisational culture and climate of South African schools and imply radical changes in the way in which schools need to be managed. The new system appears to neglect substantially the management implications both for its own introduction and for establishing the conditions required for its successful institutionalisation.
- While the forces which have given rise to an essentially “soft” developmental approach to appraisal are understandable, greater attention probably will need to be given to evaluative and accountability aspect of appraisal if the products of the process are to have any real impact on the quality of teaching and learning in the country’s schools.
- The apparently unexamined assumption that, in performance appraisal, one system fits all could be suggested to be eccentric and misplaced, and it is likely that this state of affairs would merit further investigations.

Middlewood (1994) argued that there is a need to incorporate appraisal of individual performance much more clearly into institutional development planning and staff development. However, Hopkins and West (1994, p.13), in

their evaluation of teacher and headteacher appraisal in Kent, found that in many schools there appeared to be no relationship between appraisal and wider school issues. Only in quite exceptional schools was appraisal having whole school impact as a result of the appraisal. At the national level, there was a recognition of the need for extra dimension in order to relate appraisal to the school development plan (Barber et al, 1995).



While the Northamptonshire survey offered an interesting insight into differing perspectives upon individual appraisal and its relationship to whole school planning, through a divergence. Fifty percent of the heads, deputies and appraisal co-ordinators said that appraisal had a positive impact upon the planning of staff development to a reasonable or considerable degree. On the other hand, virtually no classroom teachers felt there had been any influence on such plans (Middlewood et al, 1995, p.13). The Ofsted Chief Inspector's report of 1996 said that appraisal does not often determine staff development policies and, in overall, appraisal has had little effect so far on the quality of teaching and it is unlikely to do so until it is focused more sharply on the essential features of the teacher's performance (HMCI, 1996, p.25).

A research conducted by APEK (2001) on the impact of DAS on their personal and professional development: 57.8% of the respondents offered positive comments such as:

- Most definitely. I am currently trying new techniques in presenting activities in the classroom to make learning more fulfilling.
- One is able to improve on one's weaknesses and strengths. It is always good to be criticised so as to help you to become a better educator and to improve. There is much to learn about yourself and DAS is an opportunity to highlight it.
- It gave us a chance to help ourselves by looking closely at the way we teach. By visiting other classes we could question our own styles and whether they are relevant and effective to the child. We are also able to share ideas. DAS was not judgemental, instead it was positive.
- The co-operative format in which it occurred resulted in a positive attitude towards improvement.

It is also worthwhile noting that the idea of self-chosen appraisers, which is recommended by Brunnel and Stephens (1984) and which may seem to be in accord with a requirement for shared values between appraiser and appraisee and with a collegial-type approach, has been effectively vetoed by the National Steering Group: "As a general rule, we take the view that teachers should not be permitted to choose their appraiser (DES, 1989).

### **2.5.3 The appraisal instruments**

While the term instrument appeared to have had different connotations in the report on the pilot project (Makgalane et al, 1997), in the official manual it is used specifically to refer to "the actual tool that is used in the appraisal of educators" (ELRC, 1999, p.86). The instrument comprises five forms:

#### **2.5.3.1 A Personal Details Form**

This form is essentially an abbreviated curriculum vitae, completed by the appraisee (Thurlow and Ramnarian, 2001). Furthermore, at the beginning of the process, each appraisee fills in this form. The form will not need to be done again the next time the person is appraised. It should be updated if there are any changes. The form asks the following information:

**Table 2.4. The Personal Details Form**

This form provides space for:

- Surname
- First Name
- Department
- Reference number
- Name of school
- Rank/Post level
- Date of appointment
- Date of last appraisal
- Type of appraisal (Probation or In-service Development)
- Academic qualifications (e.g. BA degree), giving details for:
  - Qualification Certificate
  - Institution where the qualification was obtained
  - When obtained
  - Major learning areas
  - Secondary learning areas
- Professional qualifications (e.g. Teacher's diploma), plus details
- Other certificates or diplomas, plus details
- Teaching experience:
  - Period (dates)
  - Department/Institution/School
  - Nature of experience (primary or secondary)
- Management and administration experience, plus details
- Other (non-teaching) experience)

**Source: HRM, 1999, p.45**

#### 2.5.3.2 Prioritisation Form

This form lists 13 criteria, and provides three columns for ratings:

Column 1: Before the classroom observation, the appraisee fills in the first column. You would write A next to a criteria if you think that you need development on that topic or B if you are performing well in the area. For example:

- |     |                                    |   |
|-----|------------------------------------|---|
| 1.1 | Curriculum development             | B |
| 1.2 | Creation of a learning environment | A |

After the classroom observations, the appraisee will go through the form again. S/he is free to make changes to the earlier ratings.



Whilst on the other hand, 41.4% of the respondents offered negative comments such as:

- The staff had been threatened by the whole process and feel that there needs to 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 HoDs know and assist in anyway, just doesn't seem worth the effort.
- Once we realised DAS was over, we went back to how we always are, only there is no window dressing.
- Our particular staff 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 the forms according to management plan came from the circuit appraisal team led by SEM.

According to Middlewood (1997, p.183), appraisal cannot be a panacea but can be a helpful contributor to the “transforming” effects of education by focusing upon the “transactional” elements of learning and teaching. In this context, the appraisal of teachers performance is undoubtedly best managed as part of a school's whole approach to its management of staff, including recruitment, selection, induction and day to day management. If this is possible, the South African culture, described by Biko (1978) as “situation experiencing” rather than Western “problem solving” could actually prove to be an asset because of its more natural emphasis on mutual support.

## **2.7 CONCLUSION**

The main findings from the literature include the following:



- The underlying purpose of appraisal is to facilitate the professional development of the individual teacher; to effect the institutional improvement; to fulfil professional obligation to the learners (accountability) and to enable teachers to know how they are performing (entitlement).
- Conditions supporting the effective implementation of teacher appraisal include the following: clarity concerning the purpose of appraisal; appraisees' perception of ownership, support and trust; consistency of application which embraces transparency and fairness; maintenance of balance between confidentiality and sharing; review and evaluation of appraisal processes and effects.
- The implementation process of DAS involves the following stages: the establishment of an elected Staff Development Team (SDT); the formation of appraisal panels, the appraisal instruments (which includes A Personal Details Form, The Prioritisation form, The Professional Growth Plan, The Division Paper, The Appraisal Report), and criteria and ratings.
- Appraisal can have a positive impact towards an institution's development, the individual teacher's professional development and an improvement in the teaching and learning practice. However, appraisal can have a negative impact, depending on the culture, ethos and context of a particular school. The approach and attitude developed by educators towards the appraisal processes is imperative for the successful implementation of DAS.

In the next chapter the research methods and procedures used in this study will be discussed.

## **CHAPTER 3**

### **RESEARCH METHODOLOGY**

#### **3.1 INTRODUCTION**

The literature review presented in Chapter 2 strongly indicated that the purpose of developmental appraisal is to facilitate the personal and professional development of educators in order to improve the quality of teaching practice and education. The successful implementation of the developmental appraisal in schools would determine whether the stated objective is achievable or not. An empirical study of such nature, therefore, was necessary to investigate whether such objective was attainable in a former KZNDEC high school in the Inanda District.

This chapter covers key research questions which arise from the overall intention of the study, the case study, the research methods which relate to each research question, the population and sampling procedures, the use of questionnaires as a survey instrument and the analysis of the responses.

#### **3.2 RESEARCH QUESTIONS**

Three key questions have been identified, which arise from the overall intention of this study, 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 alternative conceptualisations underpinning similar processes in other contexts?
2. How was the implementation of the DAS envisaged officially, and what are the possible limitations associated with this?
3. What have been the actual experiences of the school in attempting to implement the DAS and what might be done to improve the DAS and its implementation?

### **3.3 THE CASE STUDY**

This is a case study conducted at a former KwaZulu Department of Education and Culture high school in the Inanda District. The school on which the study focuses was chosen simply because it is the school in which the researcher work, and this ensures access for a small-scale mini-dissertation. The school is a high school and former “black” school and it is possible, though not inevitable, that the specific context of the school might have some impact on the implementation process.

The major limitations in the proposed case study relates to the investigation of impact, which is the most difficult to assess. This is because the institutionalisation of an innovation (such as DAS) takes place over time. The present study, which is limited in scope, will take place within a very limited time-scale, and cannot address adequately the issue of impact. Therefore the study will only be able to deal with “reported” impact which is not the same thing as “actual” impact. This is an unavoidable limitation on the study.

### **3.4 RESEARCH METHOD**

The methods proposed are related directly to the three key questions identified earlier in 3.2.

Question 1: This question, which is concerned with conceptual underpinnings, will be addressed with reference to a study of the relevant literature, together with a study of a limited range of local sources (Chetty et al. 1993, Mokgalane et al. 1997, Thurlow with Ramnarain 2001).

Question 2: This question deals with officially prescribed approaches to the implementation of the DAS and will be addressed in a way similar to the above. In addition to the study of the relevant literature and other documentation, at least one district official, with the overall responsibility for implementing the DAS in schools, will be interviewed.

Question 3: This question focuses attention on the opinions and experience of staff in the selected high school. Selected staff will be invited to respond to a questionnaire, which will comprise a series of closed and open-ended items, directly related to aspects of the implementation process. It may be necessary to conduct follow-up interviews with a number of the staff, if the broad response trends, identified via the questionnaire, require further clarification. The principal will also be invited to respond to the questionnaire design designed for him using the same methodology as mentioned above.

### **3.5 THE POPULATION AND SAMPLING**

Before any survey can be conducted, it is imperative to clearly define the units of analysis. The unit of analysis are the things we observe and describe in order to create summary description of all such units and to explain differences among them (Babbie, 1989, p. 82) This survey like all other surveys, aimed at obtaining information on certain characteristics of the population as a whole. Such information can be obtained by either studying or investigating every element of the target population i.e. census survey or by selecting and investigating a number of elements from the population (Stoker, 1989, p, 100)

There are 36 numbers of staff at the selected high school (including the principal). Of these, six are new members of staff, who have not been involved directly in the schools attempt to implement the DAS. They will be excluded from the study. The principal together with 29 members of the staff will be asked to respond to the self-completion questionnaire. Hence, no sampling decisions are required.

### **3.6 RESEARCH INSTRUMENT**

In this study, questionnaires were used because they provide information and data of a factual nature. This method is appropriate for any survey that is exploratory investigation, where no final answer can be offered. Maser and Alton (1971, p, 283) clearly state the reasons why the questionnaire is the most widely used. technique for obtaining information from subjects. They are:

- A questionnaire can be used even with a scattered, widely-spread sample.
- It is cheaper to send out questionnaires than interviews.
- A questionnaire avoids a problem associated with the use of interviews, interviews error may seriously undermine the reliability of survey results.
- A questionnaire allows respondents to collect information from their documents, this may lead to more accurate information than a door-step interview.
- A questionnaire allows respondents to answer questions which are personal or embarrassing in nature.

The format of the questions used in this study are un-structured (open-ended) and closed (structured) questions. Open-ended questions were chosen because they encourage the respondents to formulate and express their responses freely and they do not contain any fixed responses. These types of questions would be appropriate because a wide range of opinions are anticipated in this study. Furthermore, these questions have the advantage to determine the more deep-rooted motives, expectations and feelings of respondents.

However, the researcher is aware of the shortcomings associated with open-ended questions. The most common limitation of open-ended question is that they often result in lower returns than structured questions, particularly since the considerable thinking they require tend to demotivate respondents.

### **3.6.1 Questionnaire for the teachers**

#### **Appendix A**

This questionnaire was designed for teachers and composed of sixteen items. These items were arranged under three board headings. The first section, headed "The DAS and Your School", Comprised of the five questions broadly related to the implementation of DAS in the school and the training received for the implementation.



The second section, headed "the DAS and You", contained nine questions related to respondents own experiences of DAS. The third section, headed "General" comprised two questions which sought information on the overall impression and what might be done improve it.

### **3.6.2 Questionnaire for the principal**

#### **Appendix B**

The second questionnaire designed for the principal comprised of fifteen questions. The first section, headed "The DAS in Your School" consisted of five questions which broadly relate to the principals overall responsibility in initiating, supporting and establishing structures that facilitate the implementation of DAS in the school.

### **3.6.3 Questionnaire for the district official**

#### **Appendix C**

The third questionnaire, designed for the district official with the overall responsibility for the implementation of DAS in schools, comprised of seventeen questions. These questions were also arranged under three board headings. The first section, headed "About DAS in the District", comprised of seven questions broadly related to the district's role and responsibility in supporting schools to implement DAS processes and procedures.

- Sections two and three in the principals and district officials questionnaires are the same as sections on the teachers questionnaires and requires the same information.

## **3.7 ANALYSIS OF RESPONSES**

Relevant information obtained via interviews will be reported through direct quotations. Questions in the self-completion questionnaire, which are closed, will be analysed through straightforward frequency count. Responses to open-



ended questions will be addressed through elementary content-analysis, supplemented with direct quotation, as may be relevant.

### **3.8 CONCLUSION**

In this chapter, we've sketched the context for research methodology in connection with this study, paying attention to key research questions and research methods used in relation to each research question. It has been emphasised that we were conducting a case study and that the school was briefly described and explained why it was chosen. Limitations associated with this case study were further explored.

The population and sampling used in this study were described with particular attention given to numbers and indicating how many actually participated in the study and further indicating with reasons how many did not participate in the study. Research instruments were fully explored, focussing on questionnaires and the types of questions used. Advantages and shortcomings of open-ended questions used in this study were mentioned. Finally, we explained how responses were going to be analysed.

In the next chapter the researcher will analyse the data emerging from the questionnaires collected from the respondents.

## **CHAPTER 4**

### **PRESENTATION OF RESEARCH FINDINGS**

#### **4.1 INTRODUCTION**

The purpose of this chapter is to analyse the data collected from 29 teachers' questionnaires and 1 principal's questionnaire as discussed in the previous chapter. The format of questions comprise a series of closed and open-ended items. Items in the self-completion questionnaire, which are closed, will be analysed through straightforward frequency counts. Responses to open-ended questions will be addressed through elementary content-analysis, supplemented with direct quotation, as may be relevant.

#### **4.2 ANALYSIS OF DATA EMERGING FROM TEACHERS QUESTIONNAIRE**

See Appendix A.

##### **4.2.1 About DAS in Your School**

Question 1. Have you seen the official DAS manual?

Respondents were invited to respond by indicating "Yes" or "No". If "Yes", they had to provide some explanation on its usefulness and its quality. 29 responses were received and of these, 21 (72.4%) indicated "No" and 8 (27.6%) indicated "Yes".

Those responding positively (27.6%) have found the manual to be well arranged with relevant information; help educators to develop in their learning area, promote the quality of teaching and learning; enriches educators with knowledge and clearly illustrates what is supposed to be done and how that will be carried out.

- However, one respondent was very critical about the manual and indicated that it is too theoretical and it needs to be summarised.

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

Responses to this question were received from 29 respondents. These responses may be summarised as follows:

- No training at all but only feedback from the principal and union representative 15 (51.7%).
- No training and no support 11 (37.9%).
- Training received but was insufficient and not up to standard 3 (10.4%).

51.7% of the respondents who reported that no training took place but feedback from the principal, colleagues and union representatives, had the following comments:

- We received a general report from the principal and the union representative on the workshop they attended on DAS.
- Explanation to educators about DAS such as the formation of panels.
- A briefing workshop conducted on how DAS will develop teachers.
- Colleagues who attended DAS training explain what DAS is and how it helps.
- We were given information on how DAS will be implemented, but it never started.
- We received no training but a feedback from colleagues who had attended DAS workshop.

Whilst 37.9% of the respondents who indicated that no training and support was provided, had the following comments:

- There was no training and support at all (72.7%).
- There was no training and support, the Department of Education has failed; and there is a lack of co-operation.
- There was absolutely no support.

The remaining 10.4% of the respondents indicated that they have received some training, but it was not up to standard and insufficient and therefore it was not possible to implement DAS effectively.

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

While 29 respondents were received, only 25 of these actually responded with regard to the quality of training and support received. 4 respondents (13.7%) did not attempt the question. Of those responding:

- 11 (44%) offered negative responses.
- 7 (28%) offered not to comment because training never took place.
- 6 (24%) were fairly supportive about the quality and effectiveness of training and support.
- 1 (4%) respondent indicated that the district office needs to send officials to come and conduct training and workshops for educators so that DAS is implemented effectively in the school.
  
- Respondents who offered negative comments, reported that the training was of poor quality and its effectiveness would have been determined by the actual hands-on experience of DAS; training was not effective and not done properly; training was ineffective due to short period of training; its implementation is too demanding, time consuming and complicated; we are not satisfied about DAS implementation; colleagues did not understand the purposes of DAS; whole school evaluation is preferable than DAS.
  
- Some of the respondents were fairly supportive about the quality and effectiveness of training and support. These are some of their comments: although it was short, it was informative and could make the implementation of DAS possible in our school; there are qualities of effectiveness; and that DAS will be able to improve our teaching and learning programmes.

Question 4: What suggestions could you make about how the training and support could be improved?

Of the 29 respondents that were received, 8 (27.5%) indicated that they had no suggestions to make. Therefore only 21 (72.5%) of the respondents actually responded to this question. This represents 72% of the actual response rate (n=29), and 85.7% of those who commented on the quality of training and support (n=21).

8 (38%) among the more frequently mentioned the means of improvement in support and training as follows:

- Training should be offered to all educators.
- Training should be provided with demonstrations as to how the process should proceed.
- A thorough training should be arranged and immediately after such training; DAS should begin to be implemented.
- Departmental officials need to be trained so that they are better prepared to support the process.
- The SMT must be fully trained and be acquainted with procedures and issues that are required in DAS process.
- The SDT must constantly hold workshops to monitor the progress and appraisal panels need to meet on regular basis.
- A thorough workshop for all stakeholders in Education must be organised.

However, other general suggestions regarding the improvement of support and training were reported by the respondents. The following comments were made:

- I prefer the old system of panel of inspection coming for inspection.
- The official DAS manual should be readily available to educators; the department must send officials to schools to come and enlighten teachers about DAS.
- Outsiders such as inspectors, subject advisors and others should be involved.

- The involvement of educators from the same school sometimes create problems.
- District officials should be responsible for the implementation of DAS in schools because they've got more time.
- Educators should be motivated and a positive attitude towards DAS be developed amongst educators.

Question 5: In your view, did your school experience any problems in organising and administering DAS?

In this question respondents were asked to indicate with a "Yes" or "No". they were asked to elaborate further if they had answered "Yes". 29 respondents responded to this question. 21 (72.4%) answered "yes" to the question, while 8 (27.6%) answered "no".

Some of the problems mentioned by the respondents that prevented schools from organising and administering DAS include:

- Lack of time both in terms of preparation and carrying it out 8 (38%).
- There is a big problem as we are not clear about DAS; we did appraise ourselves; the Headmaster appraised his SMT and the procedures he used was not clear to us.
- The DAS manual was never brought to the attention of educators; the DAS should be demonstrated to educators so that they should know what is expected of them.
- Time and demand of the subjects make it impossible, educators want to finish the syllabus in time.
- The first implementation failed because we had a very wide choice of peers, trust among educators was not guaranteed and nobody felt free to start.
- There are more serious issues than DAS.
- Lack of motivation and negative attitude towards DAS.
- Organising DAS is difficult and no one knows how to organise it.



- It is difficult to bring all the parties involved together at the time they are required; some of the people that are required (panels) are busy doing their different tasks.
- There seems to be a lack of support and unwillingness on school management team (SMT) and the SDT to implement DAS at school; only appraisal panels were formed and nothing happened after that.

#### **4.2.2 Your Experience of DAS**

Question 6: Have you been appraised?

Respondents in this item had to indicate with “yes” or “no”. If someone had answered “No”, he/she had to provide further explanation. 29 respondents answered this question.

- 28 (96.6%) reported that they’ve not been appraised, i.e. “No”.
- 1 (3.4%) indicated that he has been appraised, i.e. “Yes”.

Explanations offered by those who had not been appraised frequently included the following:

- Postponement by people who are supposed to drive DAS process.
- Lack of time or time factor.
- Overloaded and the large number of learners in classes which leave us with no time to focus on DAS.
- Busy with other issues like OBE, QLP and ongoing workshops organised by the Department of Education.
- The SDT has not yet started with their actual work of implementing DAS in school.
- I appraised myself as I was instructed to do so by the principal, no follow-up and monitoring took place after that; I was very disappointed and demotivated.
- It has not been clear what to expect from DAS.
- We are still waiting for DAS to be implemented.

- The process needs time and other people to appraise you. This is not easy to organise and no one can be blamed for this inability.
- I am still waiting for my turn to be appraised.

Question 7: The DAS includes a self-appraisal. Do you find this to be of value?

Once again, respondents were asked to reply "yes" or "no". 2 (6.9%) of the respondents did not answer the question. Therefore the overall response rate, in this connection, for the 27 respondents who answered the question was:

- 14 (51.9%) offered positive response, i.e. "yes", whilst
- 13 (48.1%) offered negative response, i.e. "no".

Respondents had to comment further on the answers they have provided.

The majority of the respondents were positive about the value of an opportunity for self-appraisal; typical positive comments received include the following:

- Although I have not been appraised, the idea of self-appraisal is indeed an excellent idea.
- Everyone can appraise himself positively.
- It motivates educators to live on their own expectations and to keep their image and reputation at its best.
- It gives me the chance to look at my teaching style critically, helped me to correct the mistakes I've been doing previously.
- It is a true reflection of yourself.
- It tells the other people about the work you've been doing for the school.
- It allows an educator the opportunity to assess himself/herself and that will be corrected by the panel in the post appraisal meeting.
- The educator knows his/her weaknesses and strengths better than the other person.

However, as indicated earlier, some respondents offered negative comments, and these can be summarised as follows:

- Some educators may not be honest in self-appraisal, cheating is possible and this exercise may be a waste of time.

- Someone needs to ensure that self-appraisal is the true reflection of what the educator claims to have achieved.
- Did not have any value due to the lack of criteria used to perform self-appraisal.
- Some people may over-exaggerate their ability to perform certain tasks and be lenient to themselves.
- I don't believe that an educator can appraise himself/herself effectively; this is open to manipulation.
- I do not see any reason why one should appraise himself/herself; there is nothing much one can find in such an appraisal.

Question 8: The DAS includes a Panel of Appraisal. Do you find this to be of value?

Respondents were asked to reply "yes" or "no" to this item. Once more, 2 (6.9%) of the respondents did not answer this question. The overall response rate for 27 respondents who actually answered the question can be summarised as follows:

- 20 (74%) offered a positive response, i.e. "yes", whilst
- 7 (26%) offered a negative response, i.e. "no".

Respondents had to offer further comments on their answers.

The majority of the respondents were positive about the value of panel appraisal; the positive comments that were received clearly reflect the following:

- They can help me in identifying and developing areas where I need assistance.
- The panel helps you to identify areas that need improvement.
- A well trained panel could be valuable, but the HOD can do this better.
- One gets different views from the panel on how to approach the subject matter.
- It enables someone to acquire knowledge and skills from others.

- The appraisal panel have to be clear about the learning content so that their appraisal could be effective and help in providing guidance where necessary.
- Can help in improving the level of teaching and learning in the school

Negative comments were characterised by the following:

- The manner in which the panels are formed did not convince me that I will get any help.
- The panel consists of people who at the same time are expected to be attending to their own work, but must put it aside and form panels; obviously some work in the school is not done.
- Some people are pessimistic in their nature, and therefore cannot be positive about the other person's ability.
- It is difficult to comment on the value of the panel of appraisal since the process of appraisal has not yet started in my school.

Question 9: The DAS includes Professional Growth Plan. Has this been useful to you?

Respondents were required to respond to this question. They had to indicate with "yes" or "no". The relative proportion of "yes"/"no" responses for this question were as follows:

- 12 (41, 4%) offered positive responses, i.e. "yes".
- 8 (27.6%) offered negative responses, i.e. "no".
- 9 (31%) did not answer the question, i.e. "no responses".

Although a majority of respondents offered positive responses, but a substantially large number of respondents did not respond to the question. The following comments are probably representative of the positive responses:

- It will help educators to grow and have more ideas if DAS can be implemented into our school.
- The professional growth plan is valuable and useful, but I have never been exposed to the implementation of DAS.

- Educators will know how to use available resources and eventually achieve their objectives.
- It has prompted me to be more responsible and work to produce learners who can freely work on their own as they have trust in me as I give them an opportunity to criticise me.
- Professional growth plan is necessary because educators need to be developed due to transformation in education.

Whereas negative comments were characterised by the following responses received:

- I have no idea about the question.
- I don't even know what that is.
- I have not heard of PGP.
- I am not clear about it.
- Not yet appraised.

Question 10: Please give your opinion on the number and type of forms that had to be completed in the DAS.

Respondents had to state their opinion on the number and type of forms in this question. 22 (75.9%) of the respondents answered the question, whereas 7 (24.1%) of the respondents did not answer the question. While some positive comments were received, the overwhelming weight of response to this question was negative. The overall comments in this connection were:

- I have not completed any forms.
- I suggest that two forms are enough and they should be very summarised type of forms to prevent delaying and boredom. The more we finish fast what we've been doing, the more we would be interested and motivated to move on with the process.
- One form is enough.
- They are sufficient for the work that has to be covered.
- They are too many and this consumes a lot of time; they need to be reduced. The information required is repetitive.

- The number and type of forms used are suitable for this process considering the stages of DAS.
- Some years back we were visited by the panel of inspectors to check our work for developmental purpose, but the involvement of teacher unions discouraged that. these forms are useless and meaningless as they are too many.
- Of the 22 (75.9%) respondents, those who actually answered the question, 6 (27.2%) of them indicated that they had no idea at all about these forms.

Question 11: Was sufficient time allocated for you to prepare for your appraisal?

Respondents had to indicate whether sufficient time was provided to prepare for the appraisal. They had to indicate "yes" or "no" in their responses. Furthermore, they had to offer some explanation if they have answered "no". The following response frequencies were obtained:

- 13 (44.8%) offered negative response, i.e. "no".
- 9 (31%) offered positive response, i.e. "yes".
- 7 (24.2%) did not answer the question, i.e. "no response".

Respondents who answered "no" to the question had the following comments to make:

- No time was allocated for teachers to prepare themselves for appraisal.
- There has never been time budget to prepare for my appraisal.
- As I teach in more than one learning area, I really don't think I will ever have time to be sure that I am ready.
- This is not clear because preparations were done at the beginning of the year, and nothing happened after that.
- DAS is not functioning in schools; it needs to be done in a correct manner with capable panels who know what is required and have expertise in DAS; time allocation to prepare for appraisal was not provided.
- I was not appraised and time for training was not sufficient.
- There was not enough time provided.



Question 12: What is your opinion about A/B Rating Scale used in DAS?

The majority and overwhelming number of comments received were negative; positive responses received were minimal. Responses to this question can be summarised as follows:

8 (27.6%) of the respondents indicated that they have no idea about A/B rating scale; the following comments were received:

- What is that?
- I know nothing about that.
- I am not familiar with that.
- I have no idea about that.
- I am not clear about it.

The following are typical of the negative responses received:

- It is confusing because A is always regarded as best, followed by B, but in DAS it is opposite.
- As educators we are used to A as indicating an achievement whereas in DAS it means something else.
- It is useless and confusing.
- I feel comments are the best without any rating since this is aiming at developing teachers.
- The A/B rating scale is useless and meaningless, the panel of inspectors should be restored to assess and appraise educators on their work for development.

The following are positive responses that were received:

- I do not have any problem with the rating scale.
- The rating scale is good and relevant according to my opinion.

However, 9 (31%) of the respondents offered not to comment on this question.

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

Respondents were invited to indicate “yes” or “no” in their answers. Respondents had to comment further if they have answered “no”. 29 respondents were received and their responses can be classified as follows:

- 16 (55.2%) offered positive response, i.e. “yes”.
- 11 (37.9%) offered negative response, i.e. “no”.
- 2 (6.9%) did not answer the question, i.e. “no response”.

The following are typical of the negative responses received:

- I have never come across any written document of DAS.
- They are a bit confusing, hence proper training is required.
- It is sometimes confusing and more clarity is needed so that educators understand the meaning of these terms.
- I have no version of what this is about.
- No understanding, we need training so that we understand some of these terms.
- I do not understand DAS language and some definitions because I have not been exposed to DAS training and hence not been appraised.

Question 14: Has your experience of DAS contributed positively to your personal and professional development?

Respondents were required to comment further on whatever they have answered. In response to the “yes” or “no” part of this question, the following frequencies were obtained:

- 16 (55.2%) indicated “no”.
- 10 (34.5%) indicated “yes”.
- 3 (10.3%) did not answer the question. “no response”

The following are characteristic of the positive comments received:

- I have learnt that it is imperative to deliver quality to learners and that the outcome/product of my teaching justifies quality of work done.
- From what I’ve gained in the workshops and training, I believe DAS can contribute positively to my personal and professional development.
- It makes us better educators.

- I've always believed that DAS is not only for implementation, but also to leave me developed. I have in the meantime improved my qualifications to meet with development.
- As curriculum and technology in education changes, DAS helps educators to cope with curriculum and technological transformation in education.
- DAS has developed the sense of commitment and dedication into my work.

However, the majority of the responses received were negative and can be summarised as follows:

- My teaching experience has developed me and not DAS.
- I have not been appraised and therefore cannot elaborate on how DAS contributed to my personal and professional development.
- There is no need for this developmental appraisal system because it does not benefit anyone and is time-consuming.
- DAS has not contributed to my professional development. My teaching experience, exposure, workshops attended, in-service training and my commitment to further education has contributed to my personal and professional development.
- Since DAS has not been implemented into my school yet, therefore I have not been developed through DAS processes.
- We still need training in this aspect.
- It has confused and frustrated educators who have worked diligently in the past.
- DAS is a demotivator, lowering already low morale.

#### **4.2.3. General Views**

Question 15: What is your overall impression of the DAS as it is designed and implemented currently?

Responses were obtained from 29 respondents in this open-ended question. These responses were classified under "positive", "qualified positive" and "negative", and the following frequencies for these were received:

- 4 (13.8%) offered qualified positive comments.
- 11 (37.9%) offered positive comments.
- 14 (48.3%) offered negative comments.

Typical of few positive but qualified are the following:

- It is a good system and can help educators if enough training can be provided.
- DAS could be valuable should it be implemented and considered by all schools. It will improve the quality of teaching and learning which will lead to good results.
- If DAS can be implemented correctly it can positively contribute to the development of educators and the relevant stakeholders.

Characteristics of positive comments that were received include:

- Advantageous and test the level of competency of educators.
- It is good because it develops you in your learning area.
- I think it is a good idea that contributes positively towards the development of educators in the country.
- DAS is very important in monitoring educators delivery service and in developing their teaching skills.
- DAS helps in identifying areas for staff development and motivate teachers to become experts in their respective fields.
- It is a good approach towards professional development of educators.
- This is a very good tool of developing educators to this ever changing education of nowadays.

The following were the most frequently mentioned negative comments received:

- I am not impressed at all.
- I don't like it.
- Difficult to start and waste of time.
- DAS is just wasting teachers' time of teaching.
- These questions will be answered once DAS is implemented in this school.

- DAS cannot be successful in our schools because it is not monitored and evaluated externally. The formation of panels takes too long before one is actually appraised.
- The absence of incentives makes teachers not to take it seriously.
- Negative, because I do not understand its purpose and where does it leading us into.
- It must be restructured and be replaced by another system which is not as wide as DAS and should avoid rating.
- I think the Department of Education should give us one document between DAS and whole school evaluation or combine the two and make one document to be implemented in schools.

Question 16: Please give suggestions about what might be done to improved the current DAS process.

Responses to this question were received from 29 respondents. Several instances were of the view that an intensive training and more workshops on DAS processes were found and respondents were of the opinion that for appraisal system to be effective, it should be the responsibility of education department officials to be responsible for all appraisals. Other respondents have indicated that the old panel of inspection be brought into schools. They have further suggested that teacher unions be totally excluded from teacher appraisals.

The following views were frequently expressed and suggest that:

- Provision of enough training and workshops for educators is essential.
- The Department of Education should link appraisal to incentives.
- You suggest improvement on something that has been implemented and shortfalls/weaknesses have been identified.
- The process is well designed; if it can be implemented in my school, I will be in a better position to suggest any means of improvement.
- Unions are not so much important in the system; they should be excluded.
- Educators should create positive attitude towards DAS.



- Departmental officials should take initiatives and facilitate the implementation of DAS in schools, provide documents or whatever material to spread and improve DAS process.
- The whole system needs to be revised and conceptualised.
- It must be monitored by inspectors as it was done before and that teacher unions should not interfere with the system.
- More training and demonstrations of the entire process to educators must be done before educators are appraised so that they are fully aware of what is required of them.
- It must be repealed because it is a non-starter.

### **4.3 THE ANALYSIS OF DATA FROM PRINCIPALS QUESTIONNAIRE**

See Appendix B.

#### **4.3.1 DAS in your School**

Question 1: Have you and educators in your school seen the official DAS manual?

The respondent had to indicate with “yes” or “no” in his answer. He had to give some explanation on its usefulness and quality. He answered by indicating “yes” which implies that he had seen the DAS manual and he emphatically indicated the document is not useful because its contents are not clear and confusing. He further stated that too many details are included and makes it difficult to understand and implement.

On the contrary 72.4% of educators in this institution indicated that they have never seen the DAS manual; whilst one of the few who have seen the document was very critical of the document and indicated that it is too theoretical and needs to be summarised.

Question 2: What training and support did you and educators receive for the implementation of DAS?



The respondent indicated that workshops were conducted by people who did not understand DAS and who could not answer questions that were directed to them. This view was further expressed by 10.3% of the respondents received from teachers who indicated that training was received but it was insufficient and not up to standard.

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

The respondent indicated that the quality of training was not satisfactory and that the training was not good because facilitators (trainers) did not understand DAS well and have never experienced it. This view is further reflected in 44% of negative respondents received from teachers who also indicated that training was of poor quality and that its effectiveness would have been determined by the actual hands-on experience of DAS.

Question 4: What suggestions could you make about how training and support could be improved?

The respondent suggested that basics should be stressed and that a new document with less content will be more useful. 38% of the respondents received from teachers frequently expressed the view that an improvement in training and regular workshops to stress the basics of DAS is mostly needed.

Question 5: In your view, did your school experience any problems in organising and administering DAS?

Again, in this question, the respondent had to indicate "yes" or "no" in his answer. Should he answer "yes", he had to explain further. The respondent answered "yes", which indicated that his institution was experiencing problems in administering and organising DAS. He indicated that teachers were not eager to be appraised and were applying delaying tactics. Whilst 72.4% of the respondents received from teachers on the same question, also indicated that

the school seems to experience problems in administering DAS. However, their reasons differ from those expressed by the principal of the institution. Some of the teachers respondents to this question frequently cited lack of time, both in terms of preparation and carrying it out.

#### **4.3.2 Your Experience of DAS**

Question 6: The DAS includes a Self-Appraisal. Do you find this to be of value?

The respondent had to indicate "yes" or "no" in his answer, and had to comment further on whatever he had answered. The respondent answered "no" which means that he did not find any value in self-appraisal. He felt that people would not be sincere when they appraise themselves. On the same question, some teachers expressed the same view that some educators may not be honest in their self-appraisal and that exaggeration and cheating is possible.

Question 7: The DAS includes a Panel Appraisal. Do you find this to be of value?

Once again, the respondent had to indicate "yes" or "no" in his answer, and had to offer some explanation on whatever he had answered. The respondent answered by indicating "no", and stated that the panel of appraisers was too big, disturbing the smooth running of the school and cannot be accommodated easily in class during class presentation.

Question 8: The DAS includes a Professional Growth Plan (PGP). Has this been useful to you?

The respondent had to indicate "yes" or "no" in his response, and had to comment more fully on whatever he had answered. He answered "no" and further explained that he did not understand the significance of a Professional Growth Plan (PGP). Of 27.6% of the teachers that offered negative responses

on the same question, some respondents frequently mentioned that they were not clear about the PGP and did not see its importance.

Question 9: Please give your opinion on the number and type of forms that had to be completed in DAS.

The respondent indicated that these forms were too many and time wasting. Educators expressed the same sentiments about the number and type of forms that had to be completed in DAS.

Question 10: What is your opinion about the A/B Rating Scale used in DAS?

The respondent clearly indicated that the A/B rating scale is not clear to him and feels that it does not help the appraisee. The majority of responses that were received from teachers on the same question were negative and 27.6% of the responses indicated that teachers had no idea about the A/B rating scale.

Question 11: Did you find the language of DAS (criteria, definition, etc) easy to understand?

The respondent had to indicate "yes" or "no". If he had answered "no" he would have to comment further. He answered "no" and pointed out that the language of DAS and its definitions do not enlighten the reader, they were unclear and subject to different interpretations. Some teachers have expressed the same opinion that more clarity is needed so that teachers understand the meaning of these terms.

Question 12: Has your experience of DAS contributed positively to your personal, professional and for the development of your school?

The respondent had to indicate "yes" or "no" and had to give some explanation on whatever he had answered. He answered "NO" and reported that they have not yet been able to implement it because of lack of time and the unwillingness on the part of union members to be appraised. Some teachers indicated that

since DAS has not been implemented into the school yet, they have not been developed through DAS processes.

#### **4.3.3 General**

Question 13: What is your impression of the DAS as it is designed and implemented currently?

The respondent answered by saying that he was not impressed at all about DAS, he felt that DAS was a failure. Some educators felt that DAS was wasting teachers time to teach and was difficult to start.

Question 14: Please give suggestions about what might be done to improve the current DAS process.

The respondent felt that teacher appraisal should be done by the SMT only and that no union member and peer should form part of the panel.

#### **4.4 Conclusion**

In this chapter, 29 teachers questionnaires and 1 principals questionnaire were discussed and analysed. This study had initially targeted the teachers in a selected school, the principal of the school and the district officials' roles and responsibilities in the implementation of DAS in schools. Unfortunately the district officials could not respond to the questionnaire that was designed and sent to them. Therefore the district official's point of view was excluded in this study. Questions in the self-completion questionnaire which are closed were analysed through straightforward frequency counts. Responses to open-ended questions were addressed through elementary content-analysis, supplemented with direct quotation.

In the next chapter, the writer will summarise the main findings from this chapter, make recommendations from the findings that have been detailed and draw final conclusion to the study.

## **CHAPTER 5**

### **SUMMARY AND CONCLUSIONS**

#### **5.1 INTRODUCTION**

In this chapter, a summary will be drawn and recommendations made about the implementation of Developmental Appraisal System (DAS) in a selected high school in the Inanda District. Only the main findings will be summarised and linked to literature if possible. Realistic recommendations will be made about DAS in general and the implementation of DAS in the school in particular.

#### **5.2 SUMMARY**

The teachers and the principals questionnaires are similar in their pattern, and therefore would be summarised simultaneously. This would help to identify similarities and contradictions in responses so that rational conclusions and recommendations are made. However, it must be emphasised that this was a school based case study and the findings cannot be taken necessarily to represent accurately the broader views of high school educators about DAS in the district. The following may be taken to summarise the main findings of this study.

##### **5.2.1 The DAS and Your School**

The DAS manual:

The survey showed that the official DAS manual had not been seen by the overwhelming majority of teachers in this particular school (72.4%). In contrast, the principal of this institution indicated that he had seen the DAS manual. It can, therefore, be concluded that the Department of Education, through its local district office, did not issue sufficient DAS manual copies into the school(s). Another possibility might be that the document was not passed to educators by the principal and the SDT for further information.



However, it must be pointed out that 27.6% of educators in this institution acknowledged that they had seen the DAS manual. The majority of the responses in this category exhibited the tendency to approve the quality and usefulness of the manual. Very few responses were critical of the DAS manual and criticised that the manual was too theoretical and that its contents were not clear and confusing.

#### Training and support for the DAS:

The majority of the responses reported that training and support were not provided (89.6%) and that 51.7% of those frequently mentioned that they received feedback from their colleagues who attended DAS workshops, and from the principal and teacher unions. On the other hand the principal reported that workshops were conducted by people who did not understand DAS. These people were unable to answer questions that were directed to them by the teachers (trainees). This view is further reflected in research conducted by APEK (2001) where respondents indicated that the training received from the Department of Education was superficial and inadequate and that the KZNDEC providers themselves were ill at ease with the process and details of procedure. Many indicated that they felt that they were very much left to their own devices to make sense of DAS.

While few educators (10.4%) reported to have received training, they felt that it was not up to standard and was insufficient.

#### The effectiveness of training and support:

The majority of teachers offered negative responses on this issue (44%) and they frequently mentioned that the training was of poor quality and that its effectiveness would have been determined by the actual hands-on experience of DAS. While 28% of the teachers offered not to comment on this question because they felt that training never took place in the school, 24% of teachers respondents in the question were fairly supportive about the quality and the effectiveness of training and support. The overall impression from the



responses indicated that the training was poor and that departmental officials, service providers and school-based DAS facilitators were themselves struggling with DAS processes and procedures.

The improvement of training and support:

Suggestions for the improvement in support and training to ensure that the departmental officials were better trained and prepared to support the process were frequently mentioned. The training of the school management team > (SMT) on DAS processes and procedures was also mentioned. The involvement of external stakeholders, such inspectors and subject advisors to > fast track the process was also mentioned. Very few responses preferred the old system of panel of inspectors coming to schools for inspection. However, 27.5% of teachers respondents did not respond to the question. In essence, greater school based support from officials and the offering of more substantial training by the Department of Education.

Implementation problems of DAS:

The overwhelming majority of teachers respondents (72.4%) together with the principal of the institution indicated that the school was experiencing problems in organising and administering DAS. The most frequently mentioned problems > were those of time constraints both in terms of preparation and carrying it out (38%). Time and demand of subjects makes it impossible to implement and that educators on the other hand had to finish their syllabi in time. Whilst the principal of the school indicated that some teachers were not keen to be appraised and applying delaying tactics. In short, the school was experiencing problems in implementing DAS and that such organisational and administrative problems could generate negative attitude towards the whole process. <

### **5.2.2 Your Experience of DAS**

Appraisal:

A majority of 96.6% indicated that they had not been appraised. They offered reasons such as time constraints; busy with other issues such as OBE and QLP; large number of learners in classes; attending ongoing workshops organised by the Department of Education; SDT not yet started with the process of implementing DAS in school; not clear about what to expect from DAS and others maintaining that they were still waiting for the implementation of DAS in the school. The school had indicated that it was experiencing problems in implementing DAS processes and as a result of that the entire staff had not been appraised.

#### Self-appraisal:

Although the responses were evenly balanced, the slight majority (51.9%) of the respondents were positive and mentioned comments such as that one has the opportunity to appraise him/herself positively; acknowledging a need to reflect on one's practice and to take stock with a view to improving in areas of weaknesses. Those who offered negative comments (48.1%) frequently mentioned that educators may not be honest in self-appraisal; that people might exaggerate their abilities and that this was open to manipulation.

#### Panel appraisal:

The frequency of positive responses were far greater than the case of positive comments received from self-appraisal. Favourable comments were received from 74% of the responses about the value of panel appraisals, and they tended to focus on areas that need development and improvement; acquisition of knowledge and skills from others and constructive criticism and support received from the panel. Negative responses emphasised that the composition of panel was not convincing; difficult to assemble panels; too big and that panel members had to abandon their classes and concentrate on appraising others.

#### Professional Growth Plan (PGP):

The frequency of positive comments to this question, which enquired about the usefulness of the PGP was only 41.4%. Positive responses that were offered, demonstrated the lack of understanding and exposure to the processes of DAS. Comments such as: growth plan is valuable and useful; I believe that it is of use but I have not been exposed to DAS; were frequently cited and are too general. Negative responses emphasised their lack of understanding of a PGP. Comments such as I don't even know what that is; I haven't heard of the PGP; were reported. 31% of the respondents did not even attempt the question, most probably because they had no idea about the PGP.

Forms to be completed:

While some positive comments were received, the overwhelming weight of response to this question about forms to be completed in DAS was negative. Negative comments frequently mentioned that forms were too many and needed to be reduced; and critical of the amount of time required to complete the forms. However, others had reservations and decided not to answer the question.

Time allocated for appraisal:

The overwhelming majority of respondents (96.6%) earlier indicated that they had not been appraised while 31% of the respondents reported that they had been allocated enough time to prepare for their appraisal. Clearly, this implies that other respondents did not understand the questions well or were not honest in their answers. Negative comments indicated that no time was allocated for them to prepare for their appraisals.

Rating scale and the language of DAS:

On the question of A/B rating scale, the response rate was poor. Only 41% of respondents answered the question. 28% of the respondents indicated that they had no idea about A/B rating scale, while 31% offered not to comment. Negative comments about the rating scale frequently indicated that it was

confusing and had a narrow scope. However, on the question that relates to the relevance of DAS language, criteria and definitions, a slight majority of 55% responses were positive. Despite this, 38% of other comments received was negative. Negative comments frequently mentioned that the language did not enlighten the reader and that definitions and criteria were unclear and subjected to different interpretations.

#### Experience of the DAS:

The question related to the extent to which DAS has contributed to personal and professional growth of an individual; it attracted the majority of negative response frequency of 55.2%. Negative responses frequently indicated that DAS did not contribute to their professional development, instead their exposure, teaching experience, their commitment and dedication to their work and further education, contributed to their personal and professional development. While 34.5% of positive responses highlighted that DAS helps educators to cope with curriculum and technological transformation in education, and that it helps in identifying strengths and weaknesses and of trying to adjust and improve practice.

#### **5.2.3 General**

##### Overall impressions:

The question sought views related to an overall impression of the process. Negative views which accounted for 50% indicated that: the process was not impressive and teachers reported that they do not like it; DAS was extremely time-consuming and wasting teachers' time; they did not understand its purpose and where it was leading them; it must be restructured and replaced by another system and that the rating was too restrictive and should be avoided. Whilst 50% of the responses were fairly supportive of the process, 13.8% of those offered qualified positive comments. Some of positive qualified comments that were received reported that DAS could be valuable if it could be

implemented and considered by all schools. It had the potential to improve the quality of teaching that could lead to an improvement of results in schools.

Suggestions for improvement:

The question sought suggestions and views for the improvement of the current DAS. Most of the respondents had frequently mentioned that an intensive training and more workshops on DAS should be organised and that KZNDEC officials take initiative in organising and conducting these workshops; the appraisal should be done by the SMT and that union representation and peer in the panel need to be reviewed. Negative comments constantly mentioned that DAS should be repealed because it was a non-starter and that the whole system needs to be revised and conceptualised.

### **5.3 RECOMMENDATIONS**

On the basis of comments and responses detailed in the previous chapter and the summary of main findings made earlier in this chapter, it is therefore probably justifiable to make recommendations about the implementation of DAS in the school, in particular, and about DAS in general.

#### **5.3.1 Recommendations to the school in particular**

- The school should integrate the Developmental Appraisal System (DAS) in its developmental planning (year plan). This will benefit the school because developmental planning focuses on the implementation of policies that are annual planning cycles which are envisioned as vital and integral part of the school development.
- The Staff Development Team (SDT) together with the principal should organise a workshop that would explain some of the following: historical development of appraisal system; nature of developmental appraisal system (DAS); location of DAS within whole institution development and educational change; guiding principles of DAS; the process of DAS;



forms of DAS and the management plan for DAS. This training would ensure that staff have an understanding of the background and procedure to DAS. People with DAS expertise such as NGOs, KZNDEC officials and District Appraisal Team (DAT) may be invited to come and conduct this workshop. This recommendation is based on the fact that the overwhelming majority of staff members in this particular school indicated that they had never been exposed to DAS training.

- The Staff Development Team (SDT) and the principal in particular, should ensure the availability of the DAS manual in the school and that it is issued to all staff members. Such document contains important information that relates to DAS processes and procedures, and therefore would be of great help to teachers.
- The appraisal process should commence immediately after the completion of training. The first stage of the process which is pre-appraisal needs to be revisited because the survey indicated that it was not done properly. This stage should include: setting up appraisal panel and clarify roles; appraisee completes three forms, (i.e. Personal Details Form, Professional Growth Plan Form and Prioritisation Form).
- Once the pre-appraisal stage has been completed, the school should move quickly to the appraisal stage. It should be noted that when appraising educators:
  - ▶ Classroom lessons are observed twice. The first observation visit is announced, and the second is unannounced. Two people should do these observations.
  - ▶ When observing lessons, appraisers should use agreed criteria.
  - ▶ Appraisers also look at learners' portfolios; educators' lesson plans and other documents.
  - ▶ Results are discussed with appraisee educator.

When appraising managers, it should be noted that:



- ▶ Instead of classroom observations, managers are observed in management situations.
  - ▶ Criteria for judging good management are also pre-decided by the managers appraisal panel (which includes the manager).
  - ▶ Management plans, records, and other documents are also looked at by the appraisers.
  - ▶ Results are discussed with the appraisee manager.
- It is further recommended that once the appraisal stage has been completed, the process should move to the final stage which is post-appraisal. At this stage:
    - ▶ Appraisers should report back to appraisal panel, with appraisee present.
    - ▶ Results are discussed openly and honestly. Appraisee has the opportunity to explain own professional practices. At this point a number of "contextual factors" will be considered as part of the educator's performance.
    - ▶ Overall agreements are reached by the whole panel, including the appraisee.
    - ▶ Final Report, which includes recommendations for professional development, is concluded.
    - ▶ Signatures by all members of appraisal panel is sought. This Final Report becomes an official document. It is included in the appraisee's personnel file, and the educator will have access to his/her file.

### **5.3.2 Recommendations about DAS in General**

- The quality of training and support offered to schools should be greatly improved and that Departmental officials themselves need further training on DAS processes and procedures.
- The whole system needs to be reviewed and conceptualised, it should be streamlined and made easier than it is at the moment.

- The notion of panels for appraisal should be reviewed and instead the school management teams should be empowered and play a leading role in the appraisal of educators in schools.
- The amount of paperwork involved in the process should be reduced and that more realistic timeframes for the implementation should be introduced.
- The role of teacher unions in the appraisal process of educators is highly questionable. It is therefore recommended that teacher unions should not form part of the appraisal process of educators.

#### **5.4 CONCLUSION**

The first key question that was concerned with conceptual underpinnings was addressed with reference to a study of the relevant literature, together with a study of a limited range of local sources (Chetty et al. 1993, Mokgalane et al. 1997, Thurlow with Ramnarain 2001). In South Africa, the Department of Education (1996), clearly stated that the purpose of developmental appraisal was to facilitate the personal and professional development of educators in order to improve the quality of teaching practice and education. Clearly this objective set out by the department of education had to be achieved through a successful implementation of developmental appraisal in schools. Unfortunately, findings from the research conducted in the selected school, clearly indicated that the implementation of DAS is problematic. Therefore, Thurlow and Ramnarain (op. cit.), correctly speculated, without empirical evidence, on the limitations of the implementation process. In England and Wales, the focus of the appraisal schemes had been upon growth and development of individual teachers.

Whilst in the USA appraisal has been used as the basis for contract renewal and for dismissal of educators. Indeed, we do have similar situations in South Africa, where educators who hold senior office based management positions

had to sign performance related pay employment contracts, where they can be dismissed on the basis of poor performance. In Australia appraisal of educators focused on promotional eligibility and on the professional development. On the basis of the relevant literature on the topic, it is clear that the South African approach to developmental appraisal is in line with the international perspective on appraisal in general.

The second key question that deals with officially prescribed approaches to the implementation of DAS was addressed through the study of relevant literature and other documentation. The processes which led to the development of the DAS were discussed and summarised, which culminated in an agreement which was reached in the Education labour Relations Council in 1998. Subsequently, the new DAS was gazetted and throughout 1999 and 2000, the process of its implementation was embarked upon in all schools. It was intended that a national review of the implementation of the DAS was due to have taken place by the end of 2002. However, for whatever reason, this has not happened and there is no substantial evidence about how successful, or otherwise, the implementation has been. It was intended that at least one district official, with overall responsibility for implementing the DAS in schools will be interviewed or respond into the questionnaire designed for him/her. The appointment for an interview could not be secured as he/she was always busy. A questionnaire was sent instead, but unfortunately, the official in charge did not respond to the questionnaire. The remainder of the summary relates to empirical research findings.

This survey has demonstrated that the respondents in general were not opposed to the notion of appraisal in principle; instead, were questioning some aspects of the process that were not clear to them. Findings in this study have shown that some aspects of DAS were acknowledged and valued. However, other respondents showed a totally negative attitude towards DAS and have called for it to be scrapped. Furthermore, findings in this study indicated that the school was experiencing problems in administering and implementing DAS processes in the school. The reported experiences of those involved at this level are significant and these experiences clearly confirm Thurlow and

Ramnarian (2001) speculation without empirical evidence, on the limitations of the implementation process of DAS.

Areas of major concern in this study were found to be in relation to the quality of training and support for the implementation and the process being too complex. Time constrains and various operational problems were encountered at the school.

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## APPENDIX A

## QUESTIONNAIRE ON THE DEVELOPMENTAL APPRAISAL SYSTEM (DAS)

We have tried to implement the DAS in our school. The purpose of this questionnaire is to find out your views and experiences of the implementation of the DAS, and about the DAS in general. Your assistance in answering the questionnaire would be very much appreciated, and your views may help us to improve how we tackled the DAS in future.

Please be open in your answers. No-one will know who you are and your answers will be treated in the STRICTEST CONFIDENCE.

If I haven't allowed sufficient space for your response, please feel free to write more on a separate sheet, which you should attach to the questionnaire. (Please be sure to number these additions so that they correspond to appropriate question numbers in the questionnaire.)

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

For example, if your answer is NO, please enter a cross like this:

YES	NO
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### QUESTIONS ABOUT THE DAS IN YOUR SCHOOL

1. Have you seen the official DAS manual?

YES	NO
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If you have, please comment on its usefulness and its quality.

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

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

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4. What suggestions could you make about how the training and support could be improved?

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5. In your view, did your school experience any problems in organizing and administering the DAS?

YES	NO
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If you answered YES, please explain.

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QUESTIONS ABOUT YOUR EXPERIENCE OF THE DAS

6. Have you been appraised?

YES	NO
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If you have said YES, please go to the next question. If you said NO, please explain why not.

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7. The DAS includes a SELF-APPRAISAL. Did you find this to be of value?

YES	NO
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Please comment more fully.

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8. The DAS includes a PANEL APPRAISAL. Did you find this to be of value?

YES	NO
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Please comment more fully.

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9. The DAS also includes a PROFESSIONAL GROWTH PLAN (PGP). Has this been useful to you?

YES	NO
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Please comment more fully.

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

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

YES	NO
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If you said NO, please comment more fully.

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12. What is your opinion about the A/B RATING SCALE used in the DAS?

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

YES	NO
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If you said NO, please comment further.

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

YES	NO
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Whatever you have answered, please comment more fully.

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### GENERAL QUESTIONS

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

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16. Please give suggestions about what might be done to improve the current DAS process.

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Thank you very much for your time and help in responding to these questions.  
Please give your completed questionnaire to:  
Miss Prudence Mkhize (clerk)

## APPENDIX B



## QUESTIONNAIRE ON THE DEVELOPMENTAL APPRAISAL SYSTEM(DAS)

We have tried to implement the DAS in our school. The purpose of this questionnaire is to find out your views and experiences of the implementation of the DAS, and about the DAS in general. Your assistance in answering the questionnaire would be very much appreciated, and your views may help us to improve how we tackled the DAS in future. Please be open in your answers.

If I haven't allowed sufficient space for your response, please feel free to write more on a separate sheet, which you should attach to the questionnaire. (Please be sure to number these additions so that they correspond to appropriate question numbers in the questionnaire).

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

For example, if your answer is NO, please enter a cross like this:

YES	NO
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### QUESTIONS ABOUT THE DAS IN YOUR SCHOOL

1. Have you and educators in your school seen an official DAS manual?

YES	NO
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If you have, please comment on its usefulness and its quality.

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

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

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4. What suggestions could you make about how training and support could be improved?

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5. In your view, did your school experience any problems in organizing and administering the DAS?

YES	NO
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If you answered YES, please explain.

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#### QUESTIONS ABOUT YOUR EXPERIENCE OF THE DAS

6. The DAS includes a SELF-APPRAISAL. Did you find this to be of value?

YES	NO
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Please comment more fully.

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7.The DAS includes a PANEL APRAISAL. Did you find this to be of value?

YES	NO
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Please comment more fully.

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8.The DAS also includes a PROFESSIONAL GROWTH PLAN(PGP). Has this been useful to you?

YES	NO
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Please comment more fully.

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9.Please give your opinion on the number and type of forms that had to be completed an the DAS.

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10. What is your opinion about the A/B/ RATING SCALE used in the DAS?

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11. Did you find the language of the DAS(criteria, definition, etc.) easy to understand?

YES	NO
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If you said NO, please comment further.

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12. Has your experience of the DAS contributed positively to your personal, professional and for the development of your school?

YES	NO
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Whatever you have answered, please comment more fully.

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### GENERAL QUESTIONS

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

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14. Please give suggestions about what might be done to improve the current DAS process.

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## APPENDIX C



## QUESTIONNAIRE ON THE DEVELOPMENTAL APPRAISAL SYSTEM(DAS)

We have tried to implement the DAS in our school. The purpose of this questionnaire is to find out your views and experiences of the implementation of the DAS, and about the DAS in general. Your assistance in answering the questionnaire would be very much appreciated, and your views may help us to improve how we tackled the DAS in future. Please be open in your answers.

If I haven't allowed sufficient space for your response, please feel free to write more on a separate sheet, which you should attach to the questionnaire. (Please be sure to number these additions so that they correspond to appropriate question numbers in the questionnaire).

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

For example, if your answer is NO, please enter a cross like this:

YES	NO
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### QUESTIONS ABOUT THE DAS IN THE DISTRICT

YES	NO
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1. Have you provided schools in your jurisdiction with the DAS manual?

If you have, please comment on its usefulness and its quality.

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

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

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4. What suggestions could you make about how training and support could be improved?

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5. How do you monitor the implementation of DAS process by the schools.

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6. Has DAS process been implemented by all schools in the district?  
Please comment more fully.

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7. In your view, did the district experience any problems in organizing and administering the DAS?

YES	NO
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If you answered YES, please explain.

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#### QUESTIONS ABOUT YOUR EXPERIENCE OF THE DAS

8. Have you been appraised?

YES	NO
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If you have said YES, please go to the next question. If you said NO, please explain why not.

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9. The DAS includes a SELF-APPRAISAL. Did you find this to be of value?

YES	NO
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Please comment more fully.

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10.The DAS includes a PANEL APRAISAL. Did you find this to be of value?

YES	NO
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Please comment more fully.

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11.The DAS also includes a PROFESSIONAL GROWTH PLAN(PGP). Has this been useful to you?

YES	NO
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Please comment more fully.

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12. Please give your opinion on the number and type of forms that had to be completed on the DAS.

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13. What is your opinion about the A/B/ RATING SCALE used in the DAS?

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14. Did you find the language of the DAS(criteria, definition, etc.) easy to understand?

YES	NO
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If you said NO, please comment further.

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

YES	NO
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Whatever you have answered, please comment more fully.

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### GENERAL QUESTIONS

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

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17. Please give suggestions about what might be done to improve the current DAS process.

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