

**A FRAMEWORK FOR EFFECTIVE IMPLEMENTATION OF INTEGRATED
QUALITY MANAGEMENT SYSTEM IN PRIMARY SCHOOLS IN THE WESTERN
CAPE PROVINCE**

by

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DECLARATION

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I declare that the above thesis is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

I further declare that I submitted the thesis to originality checking software and that it falls within the accepted requirements for originality.

I further declare that I have not previously submitted this work, or part of it, for examination at Unisa for another qualification or at any other higher education institution.



29 November 2019

SIGNATURE

DATE

DEDICATION

The achievement of this study is devoted to my mother who, as a single parent, gave me all the backing all the way through my schooling career. Thanks very much Mum for your years of sacrifices, love and endurance during my years of studying.

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SUMMARY

The purpose of the study was to investigate the practices and challenges faced by primary schools in the Western Cape province when implementing the Integrated Quality Management System (IQMS) policy. The study concentrated mainly on monitoring and evaluation processes; as well as the relevance and appropriateness of the measures in place for refining the IQMS.

In 1994, the attainment of democracy in South Africa brought radical transformation to the education system, which resulted in the development of various educational policies. One of these policies was the Integrated Quality Management System (IQMS), which was introduced in 2003. The IQMS was aimed at improving quality education delivery. However, based on learners' academic and quality results in terms of progression over the past two decades, the South African education system may not have achieved all of its desired outcomes. The school development teams, especially those in rural and previously disadvantaged schools, do not comply with the principles of the IQMS policy and, as a result, fail in their mandate.

The empirical approach employed in this study was successful in obtaining information from participants about the challenges they faced in implementing the IQMS policy. The study used qualitative approach. Participants included post-level one teachers as well as members of the school management team at five different schools. The research findings indicated that some schools only implement the IQMS to comply with the department requirements and to ensure that their educators receive the salary increments based on IQMS. Consequently, there is no real school development taking place. The study made a number of recommendations to consider with regard to effective implementation of IQMS in schools. It is recommended that the School Development Team (SDT) and the School Management Team (SMT) employ a well-adjusted approach to whole school evaluation, with a resilient effort on both professional development and performance appraisal in the engagement of whole school development. The study also suggests the appointment of Senior Education Specialists who will be based at every school and become part of the SDTs in order to assist the schools in converting evaluation into school development. Further

suggestion is also made for performance agreements and targets linked to salary increments.

KEY TERMS: Performance Appraisal, Whole School Development, Professional Development, Whole School Evaluation, Empirical, Policy, Integration, Quality, Management and System.

GLOSSARY OF ACRONYMS AND ABBREVIATIONS

ANA:	Annual National Assessment
BGE:	Broad General Education (Scotland)
CDE:	Centre for Development and Enterprise
CEDU:	College of Education
CEMIS:	Centralized Educational Information System
CfE:	Curriculum for Excellence (Scotland)
CMCs:	Core Management Criteria
DPSA:	Department of Public Service and Administration
DSG:	Development Support Group
ECD:	Early Childhood Development
EE:	Equal Education
EFA:	Education for All
ELRC:	Education Labour Relations Council
EMD:	Education Management and Development
EPMDS:	Employee Performance Management and Development System
ET:	Education and Training
EU:	European Union
GTCS:	General Teaching Council for Scotland
KRA:	Key Result Area
LITNUM:	Literacy and Numeracy
MIB:	Management Intervention Board (England)
NCS:	National Curriculum Statement
OBE:	Outcomes Based Education
OSD:	Occupation Specific Dispensation
PA:	Performance Appraisal
PAM:	Personnel Administration Measures
PAR:	Participatory Action Research
PEDs:	Provincial Education Departments
PGP:	Personal Growth Plan
PLP:	Personal Learning Plan (Scotland)
PMDS:	Performance Management and Development Support
PMS:	Performance Measurement System

PRD:	Professional Review and Development (Scotland)
PTA:	Parent Teacher Association
REC:	Research Ethical Clearance
RIG:	Rewards and Incentives Group (England)
SIP:	School Improvement Plan
SMB:	Standard Monitoring Board (England)
TSM:	Teaching Service Management (Botswana)
UNISA:	University of South Africa
UK:	United Kingdom
UTS:	Unified Teachers Service (Botswana)
WCED:	Western Cape Education Department
WSD:	Whole School Development
WSE:	Whole School Evaluation
ZPSC:	Zimbabwe Public Service Commission

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CHAPTER ONE

INTRODUCTORY PERSPECTIVE

1.1 INTRODUCTION

The study aimed to address the question of how best to monitor and develop the quality of teaching and learning in schools through the Integrated Quality Management System (IQMS). Many research studies and pronouncements made by the various education departments over the past decade had indicated that educator performance in South African schools remained low and contributed significantly to the poor results of the learners (Booyesen, 2010; Baruth, 2013; Armstrong, 2015; Alexander, 2017). The perception around the appraisal component of the IQMS was that it was not aligned with the status and the work of most educators, as, while they were often praised for their good work, the reflection of learner performance in terms of pass rate was generally below average. Such perceptions tended to overestimate the IQMS outcomes in its implementation process in most of the schools in South Africa. Against that background, evaluation of educators (via performance measurement and appraisal) could be a typical example in that regard, i.e. educators continued to be rewarded for their good performance which was in contrast with the learners' level of performance, as was evident in the Annual National Assessment (ANA) and Systemic results every year (Republic of South Africa: CEMIS-WCED Systemic Tests, 2018).

For instance, in the year 2017, the Systemic Evaluation test results for Literacy in the Western Cape province alone stood at 46.6% in Grade 3 and 38.7% in Grade 6, while in Numeracy/Mathematics the results were 59.3% in Grade 3 and 38.6% in Grade 6 (Republic of South Africa: CEMIS-WCED Systemic Tests, 2018). Similar poor results were also seen in 2018: for Grade 3, the Numeracy/Mathematics results stood at 56.6% and the Literacy results stood at 45.8%, while Grade 6 Mathematics results stood at 42.4% and Literacy results at 38.5% (Republic of South Africa: CEMIS-WCED Systemic Tests, 2018). These two national tests (Systemic and ANA) were originally introduced to be an instrument for assessing the well-being of our education system in schools, and were limited to Mathematics and Language, as these are the basic foundational skills for further learning (South African Government, Newsroom, 4 December 2014:1). However, as a result of protests by teacher unions in 2016, the

ANA tests were rejected and consequently scrapped, on the basis that they did not serve the purpose for which they were intended, instead, the results were used to assess teacher competency and categorised schools as performing or underperforming. Moreover, teachers complained that ANA consumed much of their time, thereby hampering the smooth running of teaching and learning.

Nonetheless, since its inception in 2011, the ANA results had shown that serious problems exist in the South African education system. This was also affirmed by the Education Minister Angie Motshekga in her statement released on 4 December 2014, where she indicated that the analysis of the ANA results simply showed that the performance of learners in the Senior phase required instant and major interventions because the performance in Mathematics and languages were below the minimum promotion levels of 40% and 50% individually (Republic of South Africa: South African Government - Newsroom, 4 December, 2014). However, it was pleasing to note that the learners had been obtaining a pass rate percentage of more than 55% for Mathematics in Grade 3 since 2016 (Republic of South Africa: CEMIS-WCED Systemic Tests, 2018). Without a doubt, such an improvement can be sustained, if not improved to a higher level, provided that certain quality measures are put in place.

While there are many factors that contribute to the poor performance of learners in schools, including the socio-economic background of learners and their communities; the environment of schooling; inadequate leadership and quality teaching; as well as a lack of quality resources, the monitoring of educators and the manner in which they are assisted to improve their teaching play an important part in improving learners' successes (De Clercq, 2008).

It is argued that for effective teaching and learning to take place, teachers must have appropriate subject content and pedagogical knowledge, as well as relevant experience. Hence, the majority of people argue that experience is the best teacher. The Centre for Development and Enterprise (CDE, 2015) indicates that less experienced teachers who had been recently trained are actually more effective than the more experienced teachers. This suggests that newly trained teachers have more to offer since they have new knowledge and skills as compared to those with more experience. Against this ethos, Richter (2016) further states that the quality of teacher

training has an influence on teaching methods and improvement of skills. However, the question to be asked is; do those teachers employ the gained skills in schools?

The question can be answered by examining how best IQMS can be implemented in order to change teacher work, knowledge and competencies so as to influence effective teaching for quality education provision to learners at all school levels. It is difficult to define what is meant by 'effective teaching' as the concept is multifaceted and context-based, and schools are unique in terms of their dynamics, organisation and learner populations. In this study the term simply refers to educators who have subject knowledge, academic knowledge and public knowledge; the latter enables them to understand their learners, learning and the learning environment, as well as the appropriate nature of curriculum and resource material (De Clercq, 2008). One of the promises of IQMS is to make educators change their attitude and commit themselves to their job, enabling them to deal with the pressures of the appraisal system and, also, to be treated as professionals. In this regard, the researcher hope that this study will possibly bring about an opportunity for better understanding of the IQMS implementation process, whereby school administrators, teachers and policy makers are able to draw a conclusive statement on how to resolve the tension that exists in the IQMS tenacities, thereby ensuring its effectiveness.

1.2 BACKGROUND TO THE PROBLEM

All over the world, the economic drive leads to educational transformation, and countries globally have tried their best to introduce quality assurance at all levels of schooling, in their search for the provision of high-quality education. The belief is that high-quality education produces critical citizens who have a huge impact on the improvement and sustainability of a country's economy. As a typical example, at the time when Europe was on the verge of reviving its economic growth as a top political priority, its full attention was also drawn to the quality of its education systems. The European Commission had established the European Strategic Framework for Education and Training (ET 2020) on May 12, 2009 in an attempt to produce high-quality education in Europe, i.e. an education which was believed to be very important in terms of the creation of job opportunities, the enhancement of social unity and the improvement of Europe's overall economic growth as well as its general success (OIDEL, 2009). In order to achieve this goal, learning institutions had an important role

to play. The Integrated Quality Management System (i.e. the evaluation of a school) was brought to the fore to assist in the process.

In the main, there are two types of evaluations that are being employed at schools; namely external and internal school evaluations. The external school evaluation focuses on comprehensive school activities, including educational and management tasks, learners' results and keeping in line with regulations. In order to take care of their work, school evaluators depend on a centrally-set framework which has been established in an organised and identical manner, in order to define a good school.

The differences in the scope, as well as the various activities that are evaluated in schools are all based on an identical structure of the process of school evaluation which is comprised of three simple steps, i.e. analysis, visit and reporting (Cassano, Costa & Fornasari, 2019). During the process of school evaluation, the evaluation instruments are always at the disposal of evaluators so as to provide opportunities for increasing sources of information, expanding dialogue with the relevant actors, and reaching transparent and evidence-based conclusions. Of course, differences do exist whereby evaluators exercise their freedom in choosing specific instruments to be used in the process of evaluating schools. However, despite such differences, all external school evaluation is based on a central level inspectorate.

According to the European Commission, external school evaluation in Europe has brought in two practices, i.e. risk-based approaches and profile-raising activities (European Commission/EACEA/Eurydice, (2015). These two approaches are used in several European countries, particularly England and Ireland in the United Kingdom. While external school evaluation serves as a tool for identifying and giving a reflection on good practices as well as sharing evidence on what works, there is also a possibility of producing negative and unexpected results, which may result from the incorrectness and insignificance of the indicators. Irrespective of such possibilities, external school evaluation enables schools to be more accountable to the public. Once schools become accountable to the public, they deliver in order to establish standards, i.e. market-based accountability. In this respect, parents are at liberty to choose the schools their children attend, thereby initiating the market-like underlying forces where

schools have to perform and compete for learners. In the United Kingdom; England, Wales, Scotland and Northern Ireland all fall within that market-oriented vision.

The second type of school evaluation is internal school evaluation. This is structured by central, or top-level authorities. In the internal school evaluation, schools use the very same framework as external evaluators. Internal school evaluation is also referred to as self-school evaluation as there are no inspectors from outside who come to take part in the process. A typical example is the United Kingdom, Scotland in particular, where schools have adopted the very same framework used by external evaluators on the basis of a national agreement (European Commission/EACEA /Eurydice, 2015). It is important to note that in Europe, countries differ in their approaches when it comes to the process of internal school evaluation. Some education systems have guidelines on whom to involve (e.g. involvement of a wide range of stakeholders including learners and parents) while others only regulate the participation of school staff members (European Commission/EACEA /Eurydice, 2015). However, all European countries make measures and tools available to schools for internal evaluation. The best and common way to offer support to schools in Europe is the provision of guidelines and manuals. In this study, the focus is on two selected European countries (England and Scotland), to see how they ensure quality assurance in their education systems and also to establish how effective they are in terms of producing the required educational outcomes. The discussion will be continued in Chapter 3.

A similar approach to the experiences of the European countries had been adopted in African countries, and South Africa was no exception. With the emergence of the democratic government in the country in 1994, came the notion of transforming the education system. Since the attainment of democratic rights in 1994, South Africans have been experiencing drastic changes in the education system in the form of new educational policies. These policy changes have been aimed at improving the quality of education provision to learners so that they may enjoy a better quality of life after schooling. The quality of education provision by schools in South Africa has not been sufficient and has failed to meet the demands and expectations of many South Africans (Baruth, 2013). There are a number of studies of classroom practice in South Africa that give rough accounts of what happens inside classrooms that produce poor

outcomes (see Heather Jacklin, 2004; Ursula Hoadley, 2012; Sarah Howie and her colleagues [Zimmerman, Botha, Howie and Long], 2008; Lorraine Marneweck, 2002; Cheryl Reeves, 2005; Eric Schollar, 2008; Taylor, 2006; Wits School of Education, 2009). All these studies show that:

- most often, learners learn by rote, at some stages without the presence of teachers in the classroom;
- some teachers either do not know the subject matter or do not know how to teach it;
- content coverage is insufficient;
- volume of work is too little;
- there is a lack of reading, writing and calculating exercises performed by the learners;
- there is poor attendance or high rates of absenteeism;
- there is limited tuition time as teachers have to spend too much time on administrative aspects of the curriculum;
- there is a lack of support to teachers as they are not given sufficient guidance from curriculum outlines on what to teach and how;
- there is a shortage of resources and learning is impeded by a lack of materials, equipment and facilities (including laboratories and libraries); and
- the language of teaching and learning is in many cases the second or third language for the learners, therefore language may be a barrier to learning.

Despite the fact that the South African government offers valuable and practical resources to uplift the standards of the education system in a positive way, a significant number of South African schools still continue to perform quite poorly at the matric level. Of course, South Africans celebrated the matric class of 2018 for obtaining a pass rate of 78.2%, beating the 2017 pass rate of 75.1%, with not one of the country's nine provinces achieving a pass rate below 60%. However, despite such notable improvements, there is still more to be done in the areas of efficiency and quality. A total of 624 733 matriculants wrote as full-time candidates in 2018, a decline from the 629 000 learners who wrote in 2017 and only 153 610 of 172 043 learners achieved passes that allowed them to enrol for bachelor studies at varsities. This general upward trend in the Grade 12 results is a clear indication that the quality of education

in South Africa is improving as 400 761 candidates passed matric. However, still more needs to be done as the quality of passes is still very poor. The percentage of matriculants who achieved passes that allow them to enrol for bachelor studies at tertiary institutions only increased by 33.6% (Nkosi, 2019).

It is quite clear from the Grade 12 results that despite the implementation of the IQMS policy, the processes related to the management of quality in the South African schools still continue to be blemished by a substantial number of challenges. Certainly, this implies that the IQMS implementation seems to have failed to positively influence the management of the quality of public education in South African schools. Despite the 2018 Grade 12 results, the unsatisfactory Systematic Test results of the learners in the Western Cape province (i.e. Grade 3 Mathematics = 56.6% and Language = 45.8%; Grade 6 Mathematics = 42.4% and Language = 38.5%) as shown by the Western Cape Education Department CEMIS (Central Educational Management Information System, 2018: 1) is a typical example of the ineffectiveness of the IQMS.

The poor Annual National Assessment (ANA) and Systemic Evaluation results achieved over the past few years justify the above research findings. This suggests that educators must get basic content and academic knowledge through pre-service and in-service education. Such professional development involves on-site or internal training workshops and coaching by colleagues, mentors and/or facilitators who display good practices. Moreover, such initiatives inspire educators to engage in discussions with colleagues who work in similar contexts about their own performances. This is the purpose of IQMS, as it aims to instil in educators the spontaneous competencies to be able to scrutinize what they attain, what professional development they require in order to uplift their educational provision, and which fresh rehearses to learn.

IQMS has two tenacities or purposes, i.e. developmental and performance purposes (Republic of South Africa: DoE, 2013). The two correlated educator appraisal tenacities have a habit of co-existing awkwardly. The developmental tenacity undertakes that educators have faith in one another and that they are keen to mend their performances by reflecting together as professionals on their developmental needs. The performance tenacity gives information to management on educators'

performance for their job confirmation, promotion or dismissal. This tenacity is also called an accountability model because it is understood as a supervisory, judgemental and regulatory exercise which undermines educators' professional freedom, usually causing educators to experience nervousness, stress and defensiveness.

The main objective of IQMS has been to uplift the standard of quality education provision to learners. However, the poor ANA results over the past few years is a clear indication that IQMS has been failing to fulfil all of its aims. This could be seen against the background that ever since South Africa attained democracy in 1994, its learners have been struggling with the disciplines of Literacy and Numeracy, which are the foundations upon which further studies, job satisfaction, productivity and meaningful citizenship are based (Republic of South Africa: Basic Education Department Magazine, Issue 1, January 2013: 3). This has posed some serious questions to the education system with regards to the quality of education provision to learners. It is the researcher's belief that the system of education in South Africa is in a continuous process of change and continuity, and schools or learning institutions are part of that. Therefore, in exploring the effective implementation of IQMS in this study, it was crucial to try and come up with possible remedies that might help in resolving the problem of poor performance by learners as shown in the systematic tests (or results) in the disciplines of Literacy and Numeracy over the years.

1.3 THE PROBLEM STATEMENT

After the attainment of democracy in 1994, South Africa became involved in a process of radical political transformation; therefore, changing the South African education system and its policies became a political priority. Since 1994, South Africans have witnessed educational policy changes that are aimed at improving the quality of education provision to learners at all learning institutions. However, the knowledge and skills that are acquired at learning institutions have not had their desired effects. This could be seen against the backdrop that the majority of matriculants do not pass their individual school subjects with a percentage of more than 50%, a mark which would permit them to enrol in tertiary institutions. Consequently, a huge number of learners who pass matric end up being frustrated.

According to the report tabled by the Department of Basic Education (DBE) to the Parliamentary Monitoring Group (PMG) in 2014 regarding the successes of IQMS, it became clear that IQMS did not achieve all of its aims. The report stated that there were some serious challenges with regard to IQMS implementation, home language instructions, school improvement plans and personal growth plans (Republic of South Africa: SACE, 2014). The PMG therefore suggested that IQMS needed some kind of refining as it puts no responsibility on school principals to enforce the implementation of IQMS, it only made them members of the structure. Hence, a new system of quality management system (QMS) was envisaged. Consequently, the South African Council of Educators (SACE) stated that the implementation of the Continuing Professional Teacher Development (CPTD) management system, which would run concurrently with the IQMS, was being phased-in in all the provinces, in accordance with the approved implementation plan by the Heads of Education Departments Committee and SACE Council in 2012. The CPTD system had to be implemented in a three-year cycle, with the first cohort being principals and deputy principals from 2014, the second cohort being the heads of department from 2015, and the third cohort being the Post Level 1 educators from 2016 onwards. However, it appeared that there was a lack of effective implementation of CPTD, as shown by the many misconduct cases that were referred to SACE (Republic of South Africa: SACE Annual Report, 2018). The ineffective implementation of IQMS and CPTD had a negative impact on school performance and learner performance.

In the main, the school systematic test results in the Western Cape province merely demonstrate that the IQMS should stick to principles that go beyond an ordinary worksheet approach. In other words, in the process of implementing IQMS, the values that strive to continuously advance the quality of teaching and learning have to be nurtured. Such an approach will redirect the educators' focus, particularly those who divert the IQMS focus of being a developmental impetus to the school and focus on gaining rewards or the monetary aspect, i.e. the 1% salary increment. It is therefore against this background that this research evaluates the processes for the implementation of the Integrated Quality Management Systems in the South African schools. This is done with the purpose of determining the factors that can be recommended for improving the IQMS implementation.

1.4 THE RESEARCH QUESTION

The research question to be pursued in the proposed study follows the main concern around the ineffectiveness of IQMS, i.e. *Why is the implementation of the Integrated Quality Management System at primary schools in the Western Cape not effective?* Therefore, the fundamental general research question of this study is: *“Which framework can be recommended in order to effectively implement the Integrated Quality Management System, particularly in primary schools in the Western Cape province?”*

The corresponding sub-questions to this fundamental question would be:

- Which processes and techniques are used in the performance measurement and appraisals in primary schools in the Western Cape?
- What are the measures used for monitoring and evaluating the processes for the IQMS implementation in primary schools in the Western Cape?
- How appropriate are the measures in place for improving the IQMS implementation processes in primary schools in the Western Cape?
- What kind of challenges are encountered during the implementation of IQMS in primary schools in the Western Cape?
- What kind of capacity and support is required to effectively mitigate these challenges?
- Which framework or model or strategies can be recommended for improving the processes for IQMS implementation in primary schools in the Western Cape?

In terms of the IQMS policy, all schools must be guided by the IQMS manual which is distributed to all schools by the Department of Education for effective IQMS implementation. For instance, all schools must establish the School Developmental Team (SDT) as a committee to facilitate the IQMS process within the schools. It is the researcher's belief that effective implementation of the IQMS policy at primary schools can only be achieved through an effective SDT (School Developmental Team) and DSG (Development Support Group), coupled with a sound management system at the school. However, this calls for more educator training workshops so that educators can gain a better understanding of how best to execute their duties with regards to IQMS implementation and be able to handle the challenges that might arise in the

process. It is therefore critical that the sub-questions to the main question of the research study, as stated above, are looked at, so as to address the ineffective implementation of IQMS policy in primary schools in the Western Cape province.

1.5 THE OBJECTIVE OF THE STUDY

The primary aim of this research study was to propose a framework or suggest strategies for effective implementation of IQMS in primary schools in the Western Cape. The corresponding objectives that this study sought to achieve included the following:

- To examine processes and techniques used in the performance measurement and appraisals in primary schools in the Western Cape.
- To assess measures for monitoring and evaluating the processes for the IQMS implementation in primary schools in the Western Cape.
- To assess the relevance and appropriateness of the measures in place for improving the processes for IQMS implementation in primary schools in the Western Cape.
- To identify the challenges encountered during the implementation of IQMS in primary schools in the Western Cape.
- To suggest the kind of support needed to mitigate these challenges.
- To determine the framework or strategies that can be recommended for improving the processes for IQMS implementation in primary schools in the Western Cape.

1.6 THE SIGNIFICANCE OF THE STUDY

It was critically important that this study was conducted because it would help in addressing the attitudes and perceptions of educators, as well as the challenges faced by schools in the implementation of IQMS. This is because, on the one hand, educators have the following perceptions about the IQMS:

- i. The IQMS is used by the school principals as a weapon to threaten teachers and prevent them from getting the 1% salary increment;
- ii. IQMS causes disruptions to the normal programmes of the school because if two teachers are in attendance of one class to observe, then the classes of those particular teachers are left unattended; and

- iii. IQMS diverts its focus of being a developmental impetus to the school and focuses on the monetary aspect of educators, i.e. the 1% salary increment.

On the other hand, schools are faced with various challenges when it comes to IQMS implementation, including, but not limited to, the following:

- i. A lack of adequate support on Personal Growth Plans (PGPs) from subject advisors, circuit managers, etc.
- ii. Irregular monitoring of Personal Growth Plans (PGPs) or School Improvement Plans (SIPs).
- iii. A lack of monitoring, support and development by SMTs.

Therefore, it was anticipated that this study would provide the perspectives on the effective implementation of the IQMS policy and contribute towards the provision of quality education for learners. Also, it was anticipated that the study would shed light on how IQMS could contribute to teacher development. Tapping into evaluation procedures in other countries, this study proposed a framework for the effective implementation of IQMS in South African schools.

1.7 MOTIVATION FOR THE STUDY

The rationale of researching the topic was that there seemed to be a gap or “missing link” (particularly on an effective framework) that could be employed to ease the ongoing challenges encountered in the implementation of IQMS, particularly in primary schools in the Western Cape. The development of former quality management systems (i.e. developmental appraisal and performance measurement) for schools has had some shortcomings. They did not effectively consider the features and variations of schools, nor did they explicitly explain the transition from one system to the other, by trying to successfully address the shortcomings of the previous system. There is therefore a missing link or gap between them.

The objective of this study therefore is to fill the gap and try to develop a guideline, in the form of a generic framework, for the effective implementation of IQMS. Schools are flexible and follow historical patterns of functionality. The methodology used in this study is derived from literature reviews related to quality systems and previous case studies and frameworks in the quality management area. The perceptions of educators

of IQMS, as well as its ineffective implementation in schools, are the basis for developing this framework. The framework might provide answers to the factors, concepts and ideas that have become the fundamental basis for the effective implementation of the IQMS policy at schools. The envisaged framework would take into consideration the characteristics of schools and the obstacles encountered in the implementation of the IQMS policy. The concepts adopted are integration, quality, management, system and effective. The basic idea in this framework was to provide a step-by-step approach, as a stepping-stone towards achieving effective implementation of IQMS at schools.

1.8 THE PHILOSOPHICAL UNDERPINNING, DESIGN AND METHODOLOGY

This section provides a summary of Chapter 4, giving a brief overview of the philosophical perspective, design and methodology. It is important to understand the underlying factors behind a research study. The reader has to be able to recognise how the perceived assumptions in a study relate to the researcher's chosen methodology and methods, and how these assumptions connect to the findings which are presented. This calls for an understanding of the various components of a paradigm or model, i.e. ontology, epistemology, methodology and methods. Scotland (2012) defines the various models as follows: **Ontology** is the study of being, and its assumptions are based on what constitutes reality. In this regard, researchers have to take a position regarding their perceptions of how things really are and how things really work. For this study, the researcher would prefer to be open-minded in order to have a different visual perception of reality, and to be able to critically analyse the perceptions of others. **Epistemology** is about the nature and forms of knowledge. The focus in epistemology is on how knowledge can be created, acquired and communicated. In relation to epistemology, a qualitative research method (i.e. Participatory Action Research) has been employed in this study for acquiring information which will be traceable for its origin and validity. **Methodology** is the strategy or plan of action which lies behind the choice and use of particular designs or methods. Designs are the specific techniques and procedures used to collect and analyse data.

1.8.1 Philosophical underpinning

Knowledge, and the way of discovering it, is independent. Every paradigm is based upon its own ontological and epistemological assumptions. Since all assumptions are speculation, the philosophical underpinnings of each paradigm can never be empirically proven or disproven (Scotland, 2012). Different paradigms contain different ontological and epistemological views; therefore, they have different assumptions of reality and knowledge which underpin their particular research approach. This is reflected in Chapter 4, where the methodology and methods of this study are expounded in more detail. Scotland further explains the differences between the ontological position of interpretivism of realism, which holds the view that reality is subjective and, therefore, differs from person to person, and the interpretive position of epistemology, which is one of objectivism based on the real world phenomena and embraces the view that the world does not exist autonomously of human beings' understanding of it.

Considering both the ontological and the epistemological positions of interpretivism, it is quite clear that meaning belongs exclusively to objects, and not in the conscience of the researcher. The responsibility of the researcher is to obtain the meaning from the objects. Thus, phenomena have an autonomous being which can be discovered via research. Birhanu (2017) believes that individuals create their own realities; therefore, there are multiple realities, as opposed to a positivist paradigm which considers a single reality to be researched. This means that social reality is created by individuals who have a close relationship with that particular phenomenon; hence without the researcher's guidance and interpretation, social realities cannot be precisely known. Birhanu further states that knowledge is in mind, and human beings create and give meaning through their social experiences and/or interaction. In other words, as much as human beings create their social reality independently, their social interaction and experience influences their perceptions on how they view the outside world. Since this study involves a case study, or participants' action, it is important to scrutinize the participants' responses in a manner that recognises the fact that reality is what humans cognitively construct it to be. Hence, it makes sense to base the enquiry of reality on observation and experience, rather than it being explicitly based

on theory. Therefore, it is important that the collected data is examined with a deeper lens, so as to achieve a better understanding of the gained experience.

1.8.2 Design

A design is a well-structured plan developed for carrying out the task at hand; it defines the right procedures to be followed in order to test a specific hypothesis under given conditions. Labaree (2009) defines a research design as the complete strategy that one chooses to incorporate the modules of the study in a rational and reasonable way, in making sure that one is addressing the research problem; it constitutes the blueprint for the collection, measurement and analysis of data. The data that is collected during the research process is either qualitative or quantitative. Kothari (2004) defines a research design as a conceived plan, roadmap and a draft strategy of investigation that is used to obtain answers for the research questions and refers to it as the heart of any study. Considering both aforementioned definitions, it is quite clear that the purpose of a research design is to ensure that the evidence obtained enables one to effectively address the research problem as unambiguously as possible. This could be supported by the fact that, in most instances, obtaining evidence relevant to the research problem generally entails specifying the type of evidence needed to test a theory, to evaluate a program, or to accurately describe a phenomenon. Hence this study has adopted a case study research design, or qualitative research approach. It is in the next section that the description of a case study research design will be expounded.

1.8.3 Methodology

Methodology is the tactic or action plan that lies behind the choice and usage of certain methods. Birhanu (2017: 19) asserts: "Research methodology is concerned with the principles on which researchers base their research procedures and strategy. It consists of ideas underlying data collection and analysis. Methodology asks questions such as how the researcher should go about finding out knowledge. Research methodology is the practical way of carrying out research; it involves techniques of data collection and data analysis."

1.8.4 Empirical Research (Qualitative)

Empirical research is an enquiry by means of practical confirmation; it is a way of obtaining knowledge by using direct and indirect observation or experience (Gulston, 2010). Empirical evidence can be analysed qualitatively or quantitatively. In this research study a case study research design, or qualitative research approach, will be used. A case study is a logical inquiry into an occasion or set of related proceedings which aims to describe and define the occurrences of interests (Cousin, 2005). Simply put, a case study research method is an empirical enquiry founded on observation and experience rather than being overtly based on theory and aims to illuminate how things are taking place and why. Thus, the study purposefully identified five case schools in the Western Cape province from two education districts. According to Gulston (2010) qualitative methodology focuses on the real-life experiences of people while the researcher interacts with the participants in the process of gathering information. Details of the research design and methodology are set out in Chapter 4.

1.8.5 Population and sampling

The population in this study comprised teachers, deputy principals and principals in schools in South Africa, in the Western Cape province. However, from the population, the researcher appropriately nominated schools from the Metropole East and North Education Districts as the sample. A purposeful sampling was used to select two farm/rural schools, two township schools and one urban area school. The sample comprised of fifteen (15) participants made up as follows: 2 principals, 3 deputy principals, 4 teachers (who are co-ordinators of IQMS) and 6 SDT committee members. The participants were selected based on the researcher's judgement and the purpose of the study. The school principals were selected because they had the responsibility of supporting and motivating teachers; and because they use different strategies to manage the implementation process of IQMS so that quality teaching should be a norm at their schools. The IQMS co-ordinators were selected because they are the ones who facilitate the process of IQMS implementation at their respective schools. The SDT members were selected because it is the SDT committee that has the responsibility to plan, supervise, co-ordinate and monitor how IQMS should be implemented at the school. In Table 1.1 below, the academic performance of schools in the systematic test between 2015 and 2018 is tabulated:

Table 1.1: Systemic Test Result in the Western Cape province from 2015 to 2018.

Systemic Test Result:			Grade 3:		Grade 6:	
School	Location	Year	Language	Maths	Language	Maths
A	Farm / rural	2015	29.2%	46.1%	N/A	N/A
		2016	10.0%	36.4%	25.0%	8.3%
		2017	27.0%	59.5%	23.4%	16.8%
		2018	48.6%	69.4%	35.9%	70.9%
B	Farm / rural	2015	80.0%	80.0%	75.0%	75.0%
		2016	35.5%	48.4%	76.9%	50.0%
		2017	69.0%	58.6%	67.9%	46.4%
		2018	62.1%	69.0%	75.0%	64.3%
C	Township	2015	25.0%	50.5%	5.0%	8.6%
		2016	18.8%	38.0%	3.2%	6.3%
		2017	33.1%	56.6%	9.1%	5.7%
		2018	34.6%	73.9%	10.0%	5.0%
D	Township	2015	21.6%	26.6%	6.4%	5.7%
		2016	13.2%	30.0%	4.4%	8.2%
		2017	51.3%	62.3%	11.6%	3.4%
		2018	54.3%	72.0%	36.2%	78.4%
E	Urban area	2015	N/A	N/A	87.4%	97.2%
		2016	N/A	N/A	87.8%	97.4%
		2017	N/A	N/A	88.7%	94.4%
		2018	N/A	N/A	89.8%	96.1%

Table 1.1 indicates that the academic performance of schools in the Western Cape province is poor, particularly those in the rural and township areas. However, it must be noted that some rural and township schools do produce good results. Schools B and D in Table 1.1 could be a typical example in this regard.

The principals, SDT teachers and IQMS co-ordinators from the sampled schools were identified purposefully to give meaning to how IQMS is implemented at their various schools. This is in accordance with the qualitative research method, which emphasises that the research data should be collected from the participants' field where they experience the problem under study (Bokgola, 2015). In this study, they were selected

to provide first-hand information on how they implemented the evaluation of quality teaching and identified methods used to measure teachers' performance and strategies. Those teachers whose responsibility it was to classify areas that needed development were selected to give responses on how they have identified strengths and weaknesses. They were also selected because they were the subject of the evaluation process. The selection of the participants in their natural setting is supported by Chingara (2018), when noting that qualitative research often collects data from the participants' field where they experience the problem under study. With regards to the schools, the considerations for their nomination were mainly based on location and academic performance.

1.8.6 Research Instruments

This study employed a qualitative investigational perspective (Chingara, 2018) in which an observation, data analysis and interview schedule were used to gather data. Bokgola (2015) defines an interview schedule as one made up of questions that are asked by the researcher during the interviews with participants. There are two types of interview schedule (Cresswell, 2008), namely structured interview schedules, in which the interviewer asks pre-set questions and is not allowed to deviate from them, and semi-structured interview schedules, in which the interviewer asks pre-set questions and is also allowed to follow up on them with other questions not on the list in the interview schedule. Semi-structured interviews give guidance and allow the interviewer to follow up on any relevant topic that may come up as the interview progresses. This study used the semi-structured interview schedule. It was chosen for its ability to define the direction of the investigation as well as its ability to change the order of the questions in line with the direction being taken by the interview.

1.8.7 Data collection method and procedure

Data collection is the process of gathering data from the selected sample using different instruments or methods (Tsoetsi, 2013). Data collected in this study entailed the use of data instruments and procedures to collect data, with the aim of understanding the phenomenon, as well as the participants' experience of, feelings about and perceptions of IQMS implementation. In collecting the data for the study, a variety of sources have been used. These include the following instruments; interviews

to enable participants to discuss their experience of, feelings about and perceptions of IQMS implementation (Tshabala and Mapolisa, 2013); observations to offer a first-hand explanation of the situation under study and to allow for a holistic interpretation of the phenomenon under study (Nkambule, 2010); and document analysis to give a full explanation on how IQMS is implemented by providing confirmation evidence of the information gleaned from the interviews and observations. In this study, the use of semi-structured interviews allowed the researcher the freedom to ask questions that were not part of the interview schedule. The tape recording of the interviews and note-taking were used to ensure the accuracy of the captured data.

1.8.8 Data Analysis

Qualitative data analysis takes place throughout the data collection process. While collecting data for this study, consideration was given to reflecting on the impressions, interactions and relationships between the interviewer and the interviewee, as the data was collected at the participants' natural settings (their schools). The aim was to produce appropriate and validated answers to the objectives of the study. During the process of data analysis, the researcher recorded data by making observational written notes during the interviews with participants. The interviews were recorded using a voice recorder and subsequently transcribed. The information for the data analysis was obtained from the completed interviewee questionnaires, the researcher's observational notes and the transcripts of the recorded interviews.

1.9 TRUSTWORTHINESS AND ETHICAL APPROACHES

The trustworthiness of this study was achieved through digitally recording the data and transcribing each interview session so as to make sure the validity and credibility of the collected data. The transcribed interviews, as well as the findings or results of this study will be accessible to all participants for a period of six months after its completion, in order to verify the authenticity of the collected data. In this way, the outcomes of the research study will be trustworthy, relevant and reasonable.

1.10 THE THEORY IN THE STUDY

According to Labaree (2009), theories are ideas that are expressed to clarify, prophesy, and comprehend phenomena and, in many cases, to challenge and spread

out existing knowledge within the boundaries of serious expectations. The theoretical framework is the structure that can embrace or back up a theory of a research study. This means that the theory of a study is not the data, facts, taxonomies or empirical findings as they all operate at the empirical or observational level, but rather a system of ideas intended to explain something, which operates at a conceptual level and is based on logic rather than observations. There is a contentious relationship between theory and research as theory determines what data is to be collected while research findings provide challenges to accepted theories. Labaree further states that choosing a suitable theory for a study begins with the identification of the problem, the goal and the units of practice. This means that in order to select the suitable theory for a study, the researcher should not select a theoretical framework first just because it is interesting, familiar, or in style; rather s/he has to start with the logic model of the problem and work backwards to identify potential solutions. In this study, three theories are looked at: information theory, critical theory and system theory.

1.10.1 Information theory

One of the earliest designs of information theory is the ideal of communication by Shannon and Weaver (1949). Communication theory sought to find the fastest and most effective way to get a message from one end to the other. Shannon and Weaver as cited by Wells (2011) largely defined communication as the processes by which one mind may affect another. Their communication ideal, as shown in figure 1.1 below, consisted of five elements; the information source, a transmitter, a channel, a receiver and a destination.

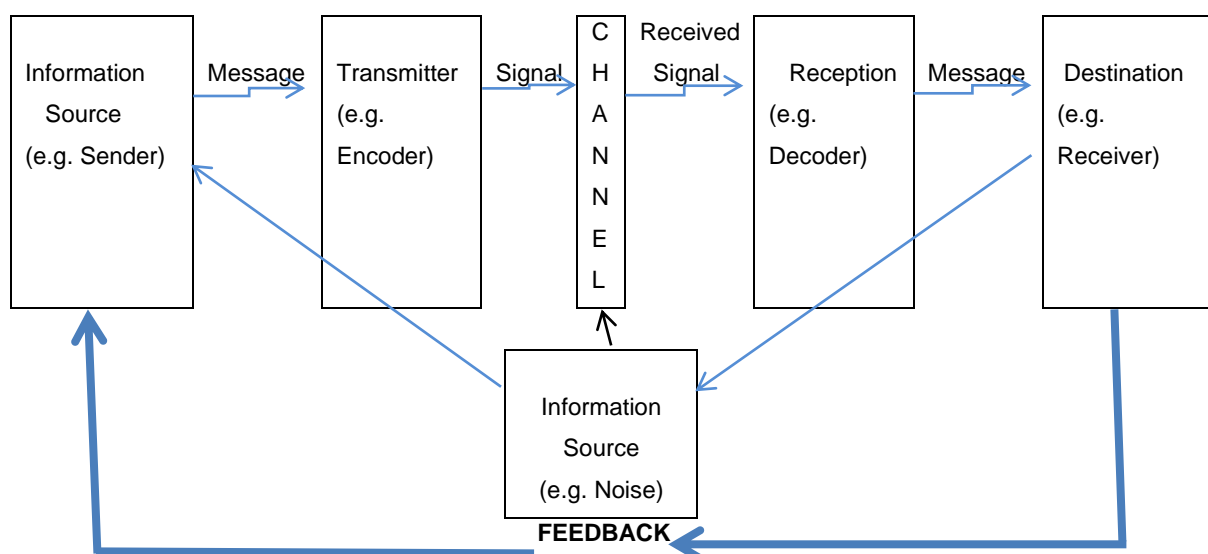


Figure 1.1: Information model of communication (Source: Shannon & Weaver, 1949 cited by Wells, 2011: 4).

According to Cover and Thomas (1991), information is the degree of freedom with which someone chooses a message. In information theory, information and statistics are closely related; the more detailed particular instructions are, the more information is transmitted. Based on the Shannon and Weaver communication model, it is evident that communication is a procedure whereby one mind is affected by another. This calls for the predictability of the outcome of the communication process. Cover and Thomas believe that in information theory, entropy, which they define as the degree of randomness, lack of organisation, or disorder in a situation, is very important. They believe that information theory measures the quantities of all kinds of information in terms of bits (a binary digit).

It is important to note that Cover and Thomas also bring to light the concept of redundancy that has emerged from the information theory, of communication as the direct opposite of information. They believe that while redundancy adds little, if any, information to a message, it is important because it helps to combat noise in a communication system, thereby avoiding the repetition of the same message. Noise is any factor in the process that works against the predictability of the outcome of the communication process. Since the study involved the interviewing of educators as participants, it was necessary to take care of the redundancy factor by choosing not to conduct the interviews during school break times, as the level of the learners' noise might be too high and negatively affect the communication process. The researcher believes that information theory uses the available information to change or improve the current situation by using both qualitative and quantitative methods of data collection.

1.10.2 Critical theory

Critical theory is a school of thought that stresses the reflective assessment and critique of society and culture by applying knowledge from the social sciences and the humanities (Ward, 2013). Critical theory involves serious awareness when it comes to power relations in examining or trying to make sense of information. Since human beings are political beings, knowledge is subjective and political. Therefore, by understanding the power relations of humans, change is brought about as the situation is further understood.

Critical theory is relevant to this study because IQMS involves human beings, such as supervisors or managers, who hold power over their subordinates. Therefore, in understanding the power relations, subordinates should comply with the instructions from their super-ordinates or managers. Such compliance yields positive results as it creates mutually beneficial working relationships between the supervisors and the subordinates, which often leads to improved learner performance and whole school improvement. This research method uses various qualitative enquiries for data collections such as personal experiences, case studies, life stories, artefacts, field notes, interviews, cultural texts and visual texts to gather meaningful information. As the information is gathered from a public domain, it results in various realities. Hence, knowledge is based on interpretations, meanings and experiences rather than on hard reality. It is important to note that critical theory uses case studies, narratives, interpretations and reconstructions.

1.10.3 Systems Theory

The word “system” has a variety of different meanings or connotations attached to it. According to Erasmus, Loedolff, Mda and Nel (2010:5), a system is a set of interdependent components forming a unit. Nicholus and Steyn (2008) describe a system as a structure or method that is an organised or complex whole and/or a semblance of parts interacting in a co-ordinated way. They further explain it is not necessary that the parts should be physical entities rather can also be theoretical or conceptual entities, like linguistic words or stages in a process. In other words, Nicholus and Steyn are aware of the fact that, generally, the term is associated with things that are unrelated, such as river systems, planetary systems, transportation and communication systems, ecosystems, urban systems, social systems, ad infinitum. In the educational domain it is more fitting to follow Nicholus and Steyn’s definition, where a “system” is defined as the set of principles or procedures necessary to perform a particular activity, made up of the following components: organisation, arrangement, structure, coordination and methods.

Systems theory is one of the main administrative theories in management nowadays. It takes an organisation as either an overt or covered system. An overt system is not influenced by its surroundings, while a covert system is. An open system may be

triggered or driven by outside forces. As Birhanu (2017: 67) claims: “The world is in a constant change and entertaining several calamities such as hunger, poverty, environmental degradation, economic instability, unemployment, chronic disease, drug addiction, and war.” Birhanu also points out that a system is a mechanism of an organisation to maintain its integrity and wholeness in order to achieve its overall objectives. In this regard, systems theory acknowledges that information holds systems together and plays an important role in determining how they operate. This means that systems theory can be a management tool that enables managers to see organisations completely structured, despite the presence of subunits created for achieving certain purposes or objectives. This could be seen against the background that, for instance, the challenges that are faced by a country call for a reaction from social organisations such as learning institutions, in an attempt to address those challenges. Thus, their solutions demand critical and holistic diagnostics, as one system can affect the other.

Depending on the social demands, systems can change, adapt, respond to events and seek goals. Against this ethos, learning institutions develop visions, missions, policies, rules and plans; convene conferences and trainings and also provide feedback in order to maintain the system’s cohesion. In any event, if the set goals are not achieved or realised as planned, then the system can be changed. For the purposes of this study research, it suffices to consider systems theory as the most appropriate and relevant theory, as it provides an understanding of how social organisations – in this case, schools – are hierarchically organised, as well as the way in which they work together harmoniously to achieve their objectives of quality education delivery to the learners by interacting with the various schools’ stakeholders. As usual, the main aim of a hierarchy is to help subordinates do their work adequately and efficiently so as to generate the development and progress of the organisation or institution.

1.11 ENVISAGED CONTRIBUTION OF THE STUDY

The reason for undertaking this study was informed by the report made by the South African Council of Educators (SACE) and the Department of Basic Education (DBE) to the parliamentary monitoring group or Portfolio Committee in 2014 about the

purpose and successes of IQMS. According to the report, various developmental programmes for teachers had been presented prior to the 2014 period, which comprised training in IQMS implementation, school improvement plans and personal growth plans (Republic of South Africa: SACE, 2014). The principles of the IQMS policy suggest that “the fundamental undertaking of all schools is to advance the educational achievement of all learners” (Republic of South Africa: DoE, 2001:4). The poor performance in schools specifies that there might be a lack of monitoring and evaluation of quality standards in the schooling system. The researcher conceptualised this study in an effort to contribute towards the improvement of quality standards of teaching and learning, and learner performance in primary schools in the Western Cape province.

An educator himself since 1997, the researcher has experienced first-hand the educational changes that have come into being in South Africa over the years. Since 1997, a number of processes have been put into effect, such as the introduction of Outcomes Based Education (OBE) in 1997, the establishment of the National Curriculum Statement (NCS) in 2002, the introduction of the Integrated Quality Management System (IQMS) in 2003 and the Revised National Curriculum Statement (RNCS) in 2004. All these processes were aimed at enhancing educational transformation in South Africa so that the country could earn that international recognition and be able to provide quality education to learners at all school levels. Countries such as Scotland, Australia, New Zealand, England and the United States of America were brought in to assist with the development of Outcomes Based Education, in particular IQMS (Giessen – Hood, 2013). Therefore, this study tried to ascertain the effect that the IQMS policy has had thus far on education practices.

Moreover, as a deputy principal, the researcher is well aware and has personally observed that some schools are not doing their school self-evaluation (SSE). Over and above this, in other schools there is poor curriculum management and poor leadership. These challenges impede learner performance. The researcher presumed that if these challenges could be addressed, schools could develop. Therefore, this study was established on the view that its findings and recommendations may add value to quality standards of performance in schools.

1.12 DELIMITATION OF THE STUDY

South African basic or primary education is divided into two types of schooling, i.e. private schooling and public schooling. In the Western Cape province, there are eight education districts. However, the study is delimited to two education districts, namely Metropole East and Metropole North, with particular attention being paid to five purposively selected public schools. The rationale behind the researcher selecting the five public primary schools from the two districts was to collect detailed data, which will help in understanding the implementation of IQMS in the Western Cape province. However, from the five selected schools, only one was situated in an urban area, with the remainder situated in rural areas. This presented a limitation to the study, as schools located in urban areas have more of an opportunity to produce excellent academic results than those located in rural or township areas, due to the higher quality of their resources and facilities.

1.13 CLARIFICATION OF CONCEPTS

Having established the general background and the theory of the study, the relevant terms: performance appraisal, whole school development, professional development, whole school evaluation and Integrated Quality Management System are used as follows in the study;

Performance Appraisal – According to Monyatsi (2002), appraisal refers to the act of valuing something; therefore, performance appraisal will mean the manner in which someone's work or effort is valued. In other words, performance appraisal is the evaluation of employees in their place of work regarding their job performance and their potential for further development. In this study, performance appraisal refers to those activities in the teacher's day-to-day duties that may lead to professional development.

Whole School Development – According to Elliot (2015), this is the mechanism used to improve the schooling environment of a learning institution, i.e. academic and social, as well as its infrastructure and security, by looking at leadership, management and governance. It is the systematic sustained effort aimed at changing learning conditions and other related internal conditions at a school.

Professional Development – This is the process by which employees are being trained with the sole purpose of empowering themselves through acquiring the basic skills and knowledge in order to provide or deliver quality service. Saurombe (2014) defines professional development as in-service education and training.

Whole School Evaluation – This is an assessment of a learning institution in order to make judgement on how the school performs in all the aspects of schooling, i.e. academic, social, infrastructure, leadership and management, as well as governance (Bokgola, 2015).

Integrated Quality Management System – This is a monitoring system developed for the production of good products (Mhangani, 2012).

Having clarified the key concepts used in the study, it will be appropriate to highlight the sections the study pursued. The sections of the study have been divided into chapters. These will be discussed in more detail below.

1.14 OUTLINE OF CHAPTERS

Chapter 1 gives the introductory perspective to the study and highlights the problem formulation and the aim of the study. It also introduces the research design to the reader.

Chapter 2 describes the policy of whole school development in South Africa. Firstly, it provides the concept of whole school evaluation and its theorisation and/or impression is discussed. Thereafter, an overview of the South African education system prior to the attainment of democracy in 1994 and the subsequent development of school management is deliberated. This chapter also examines the processes of whole school evaluation by performing an analysis of whole school evaluation and whole school development. In addition, the chapter contains an exposition of the reviewed literatures, integrating broad-based and local literature on school development policies and educator evaluation.

In view of quality education provision, this chapter also touches the principles of the Integrated Quality Management System. The history of educational supervision in

South African schools, together with management systems are examined, i.e. the shift from the previous supervisory systems to the Integrated Quality Management System is looked at. The chapter examines the initiatives of whole school development and whole school improvement in South Africa. In this regard, developmental appraisal and performance appraisal as well as classroom observation receive attention and are examined. The chapter concludes with an analysis, or scrutiny, of the practicality of the integrated management system.

Chapter 3 examines the structure and the theoretical framework of the IQMS policy. It looks at the systems of teacher appraisal in European countries; England and Scotland as well as in African countries; Botswana and Zimbabwe. First, it gives a brief overview of the implementation, monitoring and evaluation of the teacher appraisal system, and thereafter the focus is shifted towards the factors that influence the implementation of IQMS as well as the challenges that face educators in the implementation of the IQMS. This chapter also looks at the strategies implemented to deal with the challenges of the appraisal system within schools, as well as the success factors of these strategies.

Chapter 4 discusses the research design and methodology, as well as giving a brief analysis of the different research paradigms. It consists of a description of the sample population whereby data analysis and data interpretation are discussed in detail. Moreover, this chapter also discusses ethical and confidentiality issues, as well as validation issues.

Chapter 5 provides the context of the study, schools' profiles and bio-data of participants (i.e. their teaching experience by position of responsibility in the school). In this chapter, the systemic test evaluation results of the Western Cape Education Department are presented, the themes and sub-themes that emerged from the interview transcripts are discussed, and the views of participants on how schools should deliver quality education to the learners based on the use of IQMS are interpreted.

Chapter 6 looks at the discovery in the study and summarizes the whole study. In this chapter the findings of the study are discussed, suggestions for refining the process

of IQMS implementation are made and a recommendation for further research on the topic is suggested.

1.15 SUMMARY OF THE CHAPTER

This chapter presents the background to the study. The critical part that professional development in schools plays is discussed and the research problem is put into context with regards to the effective professional development of educators. In this chapter the necessities for success in promoting effective professional development are brought to light, i.e. identifying and understanding the criteria that are needed to assess the professional development of educators. It is in the following chapter, Chapter 2, where the essence of professional development and its implications for whole school development is discussed in detail.

CHAPTER TWO

LITERATURE ON INTEGRATED QUALITY MANAGEMENT SYSTEM

2.1 INTRODUCTION

The first chapter of this research provided the background and motivation for the study. This chapter presents concepts, clarification and research findings of different scholars on IQMS and related terms. In exploring the research topic, it is necessary for one to do a literature review. Reviewing literature is a basis for broadening our understanding of a certain issue. A researcher should have a thorough spectrum of knowledge, gained through intensive consultation of related literature, with a view to identifying both what has already been done and/or is known, and what still has to be done and/or is known in mitigating a certain problem and generating or adapting knowledge. It is through reviewing literature that the researcher can widen his/her understanding of perceived problems. In light of this, this chapter looks at the educational reforms aimed at improving the quality of the education system in South Africa. In so doing, it looks at the enhancement of quality teaching in primary schools, which calls for more effective supervision. The policy of Integrated Quality Management System (IQMS) and its instruments is discussed, as it was introduced in South Africa to be the performance system that would improve the country's quality of education.

The challenges that are encountered for the effective implementation of IQMS and the possible strategies on how to circumvent these challenges are also discussed. The chapter also sheds light on the success factors of IQMS. The specific arguments of these literature debates in this chapter guide the conceptual framework of the study in that they refine the focus angle of the study, which is how best IQMS can be implemented in primary schools in the Western Cape. The literature survey included books, magazines and newspapers, articles from journals, research papers and dissertations. Generally, a literature review is "a critical summary and assessment of the range of existing material dealing with knowledge and understanding in a given field... Its purpose is to locate the research project, to form its context or background, and to provide insights into previous work" (Blaxter, Hughes, and Tight, 1998:110).

For this study, it is important to present the map of South Africa which shows all its provinces and bordering countries, as this enables the reader to see where the nine provinces are located, as well as the research site. Secondly, the chapter provides the reader with a general overview of the history of South Africa and its education system and shows how it is structured, as well as how policies are formulated and distributed. Thirdly, the emergence of the democratic government in South Africa is discussed, as it brought the notion of radical transformation to the education system. This is to enable the reader to understand where South Africans come from in terms of their history, and also to inform them both of what happened in the past and is happening now, with regards to the policy paradigm shifts in the educational sphere which led to the emergence of the IQMS policy.

2.2 CONCEPTUAL OVERVIEW OF PERFORMANCE APPRAISAL

Performance appraisal is viewed by many as the policy direction most likely to lead to a substantial improvement in learner performance at every school (Mji, 2011; Mhangani, 2012; Saurombe, 2014; Elliot, 2015 and Birhanu, 2017). However, for such a claim to be real, it is essential to know the strengths of teachers and those aspects of their practice which could be further developed. It is believed that for teacher performance to improve, the following aspects are necessary:

- (a) **Reflection and goal-setting** - Self-reflection and goal setting are key drivers for performance improvement (Elliot, 2015). In this respect, teachers should reflect on their own teaching practice, informed by evidence and feedback, and set measurable goals related to their performance and development. This is because through self-reflection, one can identify one's own strengths and weaknesses. When setting measurable goals, a development plan is necessary.
- (b) **Professional learning and practice** - This condition involves access to professional learning to support teachers as they work toward their goals. Professional learning enhances teachers' knowledge and skills, leading to improved teaching, which, in turn, raises learner achievement (Darling-Hammond and Bransford (2005). However, these causal effects might still be a challenge to evaluate when determining whether learner improvement results as a direct consequence of professional learning. This is because professional

learning does not necessarily mean the automatic conveyance of the acquired knowledge and skills to learners by educators. It still needs the commitment and the desire to improve on one's own performance as a teacher and/or learner.

- (c) **Feedback and review** – According to OECD (2009), regular feedback on classroom performance as an ongoing dialogue, not an annual discussion, is necessary for performance improvement. Appraisal and feedback have a strong influence on teachers, increasing job satisfaction and improving teaching practice. In this regard, performance appraisals need to provide feedback to teachers about their professional practice and offer opportunities for improvement. This means that once feedback is given, the development plan must follow to mend the weaknesses and/or sustain the good work.
- (d) **Classroom observation and frequent feedback** - Regular classroom observation and the provision of regular feedback from school leaders or managers is critical to performance improvement (OECD, 2009). This suggests that feedback should be a common occurrence for both teachers and learners. Such criteria outline what quality teaching looks like, informed by timely feedback on how to improve and in which areas.
- (e) **Collaboration and action learning** – This condition includes shadowing, coaching and mentoring from peers and leaders. This creates opportunities to contribute to and engage in teamwork, collaboration and action learning with other teachers.

Implementing valid performance appraisal systems in schools is never easy and presents a range of challenges. However, strengthening the link between professional learning and performance appraisals and allowing for greater differentiation of professional learning to address the individual needs of teachers is necessary.

2.3 APPROACHES FOR APPRAISING EMPLOYEES

Organisations, including schools, can use various strategies and approaches to measure or appraise performance of their employees or teachers. There are several approaches that determine how to conduct performance evaluations, each of which has its own strengths and weaknesses. Simply put, there is no best method (Rajarshi,

2018). However, there are four major approaches that can be identified: forced distribution, attribute distribution, behaviour approach and the result approach.

2.3.1 Forced distribution approach

The forced distribution method of performance evaluation derives its name from the fact that those responsible for providing evaluations, i.e. the raters, are forced to distribute ratings for the individuals being evaluated into a pre-specified or listed performance distribution (Jacobs, 2015). In this system, employees, especially subordinates, are rated. This technique is both one of the most commonly used and most criticised methods. In the forced distribution method, supervisors and/or managers are required to assess employees based on predetermined parameters, and thereafter rank them into categories such as excellent, good or poor. This method is also called bell-curve rating or stacked ranking because most often the performers form a bell-shaped image, i.e. the small fraction of the entire workforce is usually at the extremes (which is the outstanding performers and poor performers), whereas the largest section of the workforce falls in the middle of the distribution. The bell-curve shape is illustrated in Figure 2.1 below. This method is known for cultivating high performance in an organisation and is simple and cost-effective.

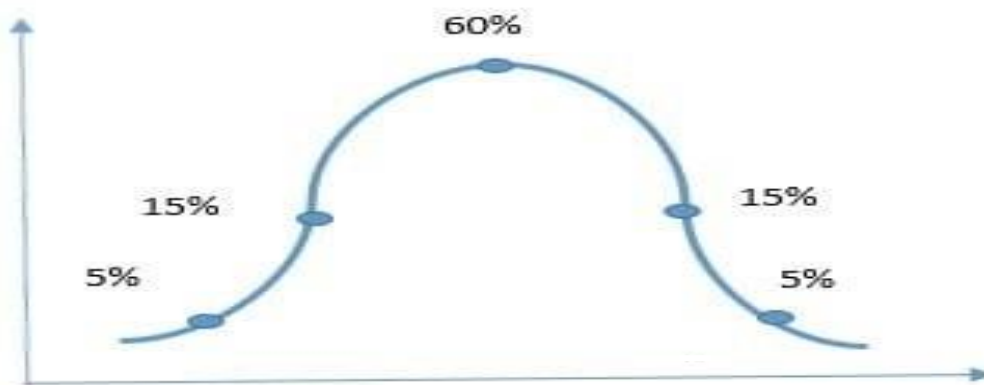


Figure 2.1: Bell-curve shape image of employees' ranking (Source: Madhu, 2017: 1).

Most often, employees feel that in the forced distribution method the evaluation is not fair and can lead to unhealthy competition, rivalry amongst employees and the loss of a decent and honest workforce. In order to ease such critics, supervisors are obliged to clearly understand the limitations under which employees are to be evaluated and those limitations must be clearly defined to avoid unambiguity.

2.3.2 Attribute distribution method

The attribute distribution method of performance evaluation is a scaled evaluation of performance whereby a number of different points such as a 1 – 10 scale is used (Turgut and Mert, 2014). In the attribute distribution method, a minimum level of expectation is set and the employee's performance evaluation is based on this minimum level of productivity. In this method, the supervisor records both the effective and the ineffective behaviour of the employee during the evaluation process as it is believed to have an impact on the outcome of the evaluation process. The achievement of effective performance appraisal using this method may hardly be observed, because the appraisee or supervisor might not be fair in the evaluation process due to errors, i.e. intentional or unintentional attitudes or behaviours (Turgut and Mert, 2014). This implies that the behavioural approach is also included in this method, as supervisors can rank employees based on how they value them. It is quite easy to use this type of appraisal and it might best suit new employees where the organisation wants to find out the training needs for newcomers. This method can be used in any type of organisation as it requires less effort to set up and requires no formal training.

2.3.3 The behavioural approach

The behavioural approach to the performance management system rests on the idea that one can get the right level of performance from employees based on a demonstration of desirable behaviours (OECD, 2009). This system contrasts with the outcome approach in which the results of employee work efforts are emphasised. Employees must receive direct explanation of expected behaviours at the beginning of their employment. This means that delinquent behaviours have some negative outcomes on employees, as they bring low self-esteem to individuals, which may result in poor performance.

2.3.4 The result approach

This approach focuses on the outcomes of the employees' performance results, and includes the other approaches as well, i.e. forced distribution method, attribute distribution method and the behavioural approach method. In the result approach method, performance management safeguards employee goals and objectives, while

the outcomes are in congruence with the goals of the organisation. This approach takes cognisance of the requirements of self-evaluation, as employees judge their own performance during an official performance review to allow for a more thorough discussion and to ensure employees understand how they will be judged. This approach emphasises hard work in order to get good results. The technique of outcomes assessment requires important personal decisions as it helps individuals to improve on the basis of the feedback they receive from a variety of sources, such as their supervisors and peers (Doherty, 2002).

Organisations and institutions such as schools can use all of the above-mentioned approaches together or select the most appropriate to evaluate employee performance. However, for performance evaluation, the result approach might be the most suitable method for schools in South Africa. This is because the result approach method focuses on the outcomes of the employees' performance results and includes the other approaches as well, i.e. forced distribution method, attribute distribution method and the behavioural approach method. The result approach method ensures employee goals and objectives, which is on par with that of the organisation. With clear-cut expected job results and simple comparison with actual performance, there is very little left to the subjectivity of the evaluator's opinions. However, not all work that an employee does can be determined to have results which can be quantitatively measured, for example, improving interdepartmental communication.

2.4 OVERVIEW OF THE HISTORY OF TEACHER SUPERVISION IN SOUTH AFRICAN SCHOOLS

It is appropriate to give a brief outline of the location of South Africa in the form of a map showing all its provinces and bordering countries, so as to enable the reader to understand how the Western Cape province may have been influenced in its implementation of the IQMS policy from areas outside its vicinity. Figure 2.2 below shows a map of South Africa.



Figure 2.2: Map of South Africa showing provinces and bordering countries (Source: One World - Nations Online)

The emergence of the democratic government in 1994 in South Africa had brought about transformation in every sphere of the country, and the Department of Education was no exception in this regard. Prior to the 1994 democratic election, the South African education system was based on the political philosophy of apartheid, which became the policy of segregation (Mgijima, 2012). During the apartheid era, an Appraisal Inspection system was used to evaluate teachers. These appraisal inspections presented the features of educational bureaucracy, namely; top-down, closed, hierarchical and authoritarian. The pre-1994 educator evaluation was closed, autocratic, and hierarchical in nature and was characterised by a purely judgemental appraisal that had a prevalence of political bias. Moreover, the system was tainted by unchecked powers and incompetence of inspectors, as well as secrecy surrounding the appraisal (Badasie, 2014). According to Rabichund (2011), Mhangani (2012) and Badasie (2014), the appraisees were not in any way involved in the process and were also unaware of what was expected of them by the inspectors. Moreover, there was no feedback, and it seems that appraisals were used more as a fault-finding exercise

than a developmental one. Hence, teacher unions started protesting against the appraisal systems, with a view to the creation of an alternative one.

As a reaction to the protests by teacher unions, the South African education system had to look at reforms that were in line with the achievement of political independence, i.e. the restructuring of the public service – including the education sector. In keeping with the transformational imperatives of the country, performance-management policies had to be revised to reflect democratic principles through which the educators could be evaluated (Mgijima, 2012). The education department, after getting rid of any remnants of the inspection structures that remained from the previous regime (apartheid government), started with a Developmental Appraisal System (DAS), then moved towards a Whole School Development System (WSD), and then towards a Whole School Evaluation System (WSE), which was further developed into a Performance Measurement (PM) System, culminating in the IQMS, which had to be practised in South African schools (Madikida, 2016).

2.4.1 Formulation, distribution and implementation of education policies

In terms of the education system, the Ministry of Education sets national policy through the declaration of norms and standards which are developed through its bureaucratic arm, the national Department of Education, and implemented by schools in the nine provincial departments of education (Republic of South Africa: National Education Policy Act 27 of 1996). Each province has its own legislature headed by the province's Premier, who has a cabinet consisting of Members of the Executive Committee (MECs). The MEC for education is the political head under whom there is a Head of Education leading the provincial bureaucracy for education. Each province has a set of education districts, and sometimes smaller units called circuits, with departmental officials responsible for the schools in each district. Each school is governed by a legally established SGB composed of parents, teachers and, in the case of secondary schools, learners.

With regards to governance, the Ministry of Education is governed by two national departments, namely the Department of Basic Education (DBE), which is responsible for primary and secondary schools, and the Department of Higher Education and Training (DHET), which is responsible for tertiary education and vocational training.

Prior to 2009, these two departments were represented in a single Department of Education. Currently, the DBE department deals with public schools, private schools (also referred to by the department as independent schools), early childhood development (ECD) centres, and special needs schools. The public schools and private schools are collectively known as the “ordinary” schools and comprise roughly 97% of schools in South Africa. The DHET department deals with technical vocational education and training (TVET) colleges, community education and training colleges (CETC), formerly known as adult basic education and training (ABET) centres, and higher education (HE) institutions. Each of the nine provinces in South Africa have their own education departments that are responsible for implementing the policies of the national department, as well as dealing with local issues (Republic of South Africa: South African Schools Act, Act No. 84 of 1996).

The Department of Basic Education is headed by the Director-General and its policy is created by the Minister and the Deputy Minister. The Department of Higher Education and Training is headed by the Director-General and its policy is created by the Minister and the Deputy Minister. From the National Department of Education, policies are dropped down to the Provincial Department of Education and further down to district offices and learning institutions or schools (Republic of South Africa: Government Communications - South Africa Yearbook, 2015). Both the DBE and DHE are funded from central government taxes. The Department of Basic Education pays a portion of teachers’ salaries in government schools, whereas independent schools are funded privately. Government schools may, under certain circumstances, supplement their funds through contributions from parents.

The DBE officially groups grades into two bands called General Education and Training (GET), which includes Grade 0 (or Grade R) plus Grades 1 to 9, and Further Education and Training (FET), which includes Grades 10 to 12 as well as non-higher education vocational training facilities. The GET band is further subdivided into phases, called the Foundation Phase (Grade R plus Grades 1 – 3), the Intermediate Phase (Grades 4 – 6), and the Senior Phase (Grades 7 – 9). The DBE’s Foundation Phase includes a pre-school grade known as Grade 0 or Grade R, for reception. While Grade R is compulsory, not all schools offer Grade R, and so this grade may be attended at pre-school facilities as well. However, the administrative structure of most

ordinary schools in South Africa does not reflect the division of bands and phases. For historical reasons, most schools are either primary schools (Grade R plus Grade 1 to 7) or secondary schools, also known as high schools (Grade 8 to 12).

Schools in South Africa receive a grant from government for their operational costs, such as maintaining the grounds, administrative costs, salaries, books, educational materials and extra-mural activities (Republic of South Africa: South African Schools Act, 84 of 1996). Most schools supplement the government grant with other streams of income, such as school fees paid by parents, fundraising events and donations. The size of the grant paid by the government is determined largely by the poverty level of the neighbourhood in which the school is situated, as well as the unemployment rate and general education rate of the population in that neighbourhood. Such differentiation is termed by the education department as quintiles and schools are ranked from Quintile 1 (the poorest schools) to Quintile 5 (the richest schools). Schools in more affluent areas have to raise money from other sources to maintain the same standard of education; consequently, the quality of their education is much higher than that of less affluent schools. The size of the government grant per child depends on the quintile of the school. Quintile 1 – 3 schools can apply to be classified as No Fee schools. In No Fee schools, parents do not have to pay school fees for their children as they are paid by the government. In South Africa, only about 5% of all schools are Quintile 5 schools and about 15% of all schools are Quintile 4 schools.

The performance of schools classified under Quintile 1 – 3 is generally unsatisfactory compared to those classified under Quintile 4 – 5. The socio-economic background of learners plays a big part in this regard; for instance, some learners would come to school not having had breakfast in the morning or not having slept the previous night at home due to chaotic occurrences in the location where they stay. In short, poor school performance in South Africa underlines social inequality and leads to conditions where children accede to the social situation of their parents, irrespective of their motivation or ability. This is how income inequality increases and, unfortunately, most of the children receive their schooling in Quintile 1 – 3 schools. Therefore, it stands to reason that it is not fair to use the same instrument to assess these schools. Having highlighted these disparities, the next section will expound on the implementation of the IQMS policy.

2.5 LEGISLATION GOVERNING INTRODUCTION AND IMPLEMENTATION OF IQMS IN SOUTH AFRICAN SCHOOLS

IQMS is an integrated quality management system that consists of development appraisal, performance measurement and whole-school evaluation programmes, which are aimed at enhancing and monitoring performance of the education system (Republic of South Africa: DoE, 2013). It is important to understand how the notion of IQMS came about (i.e. its introduction, purpose, aims and objectives) if one is to understand the appropriateness of its implementation. It is also important to understand the politicised history in South Africa during the apartheid era with the various systems of school control, and the inspection and appraisal of teachers which were overtly focused on accountability while teacher development and school improvement were neglected.

In South Africa the national Department of Education has developed an umbrella framework of policies across most areas of the system, e.g. the South African Schools Act, the Basic Conditions of Employment Act, the Education Labour Relations Council, the South African Council for Educators, and so forth. These policies are unevenly implemented and in many cases do not contest the school and classroom environments. They are applied to all schools even though the policies only match the capabilities of the best functioning schools rather than the average schools. The policies that highlight the different dimensions between schools include curriculum policies as well as policies for provision for school governing bodies (SGBs). At the school level, the South African Schools Act (SASA) sets out the constitution, legal rights and responsibilities of school governing bodies (SGBs).

A framework of legislation that regulates the conditions of the work of principals and teachers include (together with their amendments); the Labour Relations Act, the Basic Conditions of Employment Act and the Education Labour Relations Act. Based on these legislations, in 1994 the Education Labour Relations Council (ELRC) was established, with the aim of maintaining labour peace through processes of dispute prevention and dispute resolution. The ELRC negotiated agreements on duties and responsibilities of teachers and principals, hours of work, remuneration scales and related matters. A persistent penetrating point has been the agreements around appraisal and accountability, with defiant teachers refusing to allow principals and

education departments the right to visit their classrooms. Consequently, performance management has become an important dimension of the labour relations framework and it has been a contentious issue in education, both because of the breakdown of apartheid-era systems, and because of continuing inequalities between schools in the post-apartheid period.

At school level, considerable powers are vested in SGBs, alongside school principals, for the running of schools (Republic of South Africa: South African Schools Act, No. 84 of 1996). However, the relationship between governance and management is often challenging and at times need to be negotiated to avoid confusion as to who is responsible for what. In most instances, systems for quality and performance management have been complex and contentious, and IQMS is no exception in this regard. In order to work properly, IQMS requires a complex system of paperwork and a time-consuming monitoring system. Due to the complexity of all the systems of quality assurance the results have not always been satisfactory, as the systems have always had a mixed record of implementation and success. Hence, in 2008, an Occupation Specific Dispensation (OSD) was negotiated through the ELRC by striking teachers. This resulted in the establishment of the Performance Management and Development System (PMDS) for public servants working in education (Foca and Worst, 2008). The OSD sets out the performance requirements of different levels of appointment within the education system, and their links to qualification and remuneration.

In terms of the OSD, principals (and teachers) are required to draw up annual personal development plans setting objectives and targets. For principals, there are six Key Result Areas (KRAs) and fifteen Core Management Criteria (CMCs), of which they must select five, each with performance standards and indicators. The KRAs cover many different aspects of the work such as:

- (a) Specific tasks or events which the employee should ensure are achieved;
- (b) Levels of performance which the employee should maintain and promote;
- (c) Actions or situations for which the employee is personally responsible for delivering his/her “unique contribution”; and
- (d) Duties and responsibilities related to advice and support given, for example, by specialists to clients (Republic of South Africa – dpsa [EPMDs], 2007: 12).

In their individual performance plans, principals are required to break down KRAs into measurable outputs, duties/responsibilities and activities, and to give each a percentage weighting in terms of their importance in relation to their own jobs. The fifteen Core Management Criteria are as follows:

1. Job knowledge
2. Technical skills
3. Acceptance of responsibility
4. Quality of work
5. Reliability
6. Initiative
7. Communication
8. Interpersonal relationships
9. Flexibility
10. Teamwork
11. Planning and execution
12. Leadership
13. Delegation and empowerment
14. Management of financial resources
15. Management of human resources (Republic of South Africa – dpsa [EPMDS], 2007: 12)

Each CMC has performance standards and indicators, and principals must choose five for their annual performance plans (Republic of South Africa: Collective Agreement, 1 of 2008). The performance plans are appraised or assessed by the district officials. This explanation demonstrates that the performance management system is designed to have a strong impact on how the work of the principal is defined and judged. In addition, principals and school management teams are responsible for drawing up School Improvement Plans (SIPs) as part of the requirements for Whole School Evaluation. Arguably, leadership development programmes in South Africa need to take into account the regulatory frameworks with which principals engage, such as the agreed standards for leadership, as well as the performance management and SIP requirements.

It is important to highlight that the Developmental Appraisal System (DAS) at the school aims at appraising individual teachers in a transparent manner, whereby a teacher evaluates him/herself and discusses the outcomes with the Development Support Group. The Whole School Evaluation (WSE) evaluates the school's overall effectiveness while Performance Management (PM) evaluates individual teachers for salary progression. In order to successfully implement IQMS, the Department of Education introduced structures comprising School Development Teams (SDTs) and Development Support Groups (DSGs) to facilitate the process. Most often, there are two forms of teacher monitoring that are employed at learning institutions, i.e. the traditional form of teacher monitoring or bureaucratic accountability as well as professional monitoring or accountability (OECD, 2009). Bureaucratic accountability refers to the supervision that is carried out by line management. This can be done either externally (by department subject advisors or inspectors) or internally (by the school management) and is usually carried out for control purposes. This process centres around inputs and processes to ensure equity and standardisation in schools and monitors teachers' work processes such as lesson planning and preparation; curriculum coverage and provision; and teacher obedience with regards to department rules, regulations and procedures such as punctuality, attendance, class registers, assessment, and so forth.

Thus, bureaucratic teacher accountability is brought into line with the notion of teachers as workers who have to submit their teaching lesson plans and programmes and have to comply with departmental procedures and regulations. This approach assumes that teachers work within an uneven school culture and are alone responsible for the transmission of the curriculum. In this manner, it reinforces the isolation of teachers by repressing creative innovative practices and undermines constructive dialogue among teachers on ways to improve their teaching practices. However, professional monitoring, which is of course in contrast to bureaucratic monitoring, refers to professional teachers evaluating their colleagues' work and encouraging them to share and reflect together (often within the school) on ways to improve practices. This approach focuses mainly on teacher practices and is based on the notion that teachers have the professional responsibility to improve their own practices and make them relevant to their classroom-specific contexts. It is a bendable approach to monitoring, which shifts away from an obedience direction by school or

district management towards a more active and context-based process owned by teacher teams.

It is fair to say, as put by De Clercq (2008), that the combination of both approaches (bureaucratic and professional accountabilities) can yield better results as they can complement one another on the grounds that they counterbalance one another's weaknesses. For instance, while bureaucratic teacher accountability is convenient in making sure that there is fairness in service delivery; it does not inspire staff teamwork and group reflection, which professional accountability does best. Hence, professional accountability only works fully with teachers who are knowledgeable professionals and who are committed to improving their practices and the achievements of their learners.

After South Africa's 2009 general elections, in an effort to improve teachers' practices and learners' achievements, the national education department was split into two divisions; i.e. the Department of Basic Education and the Department of Higher Education. The Department of Basic Education has the mandate to raise the quality of education and improve the outcomes of schooling in provincial departments. In terms of governance in the system, authority was split at school level between school governing bodies (SGBs) and principals (or School Management Teams). As juristic bodies, SGBs have considerable powers in relation to the school's mission and overall operations (though not its management), including admission and language policies, as well as the recommendations for staffing and fees (Republic of South Africa: South African Schools Act, No. 84 of 1996).

With the inception of the Annual National Assessment (ANA) in 2011 it became crystal clear that serious problems exist in the South African education system. This was due to the fact that the desired results, i.e. a high learner pass rate, with learners obtaining results above the minimum promotion levels of 40% and 50% in their individual subjects or learning areas, were not forthcoming. Hence, Education Minister Angie Motshekga, in her statement released on 4 December 2014, affirmed such concerns by indicating that the analysis of the ANA results simply shows that the performance of learners in the Senior phase requires immediate and radical intervention, because performance in Mathematics and Languages were below the minimum promotion levels of 40% and 50% respectively (Republic of South Africa: South African

Government - Newsroom, 4 December 2014:2). According to Mji (2011), the policy of IQMS was perceived by the Department of Education and teacher unions as advancement towards unlocking and promoting undiscovered abilities, which teachers and principals could use to better their teaching practices and improve the schools in which they operate.

2.5.1 Developmental Appraisal System (DAS) and its problems

DAS was introduced in South Africa in 1998 (Republic of South Africa: Resolution 4 of the Employment of Educators Act of 1998). Its aim was to facilitate the personal and professional development of teachers in order to improve the quality of teaching and the professional development of teachers. This, in turn, would improve the quality of the teaching practice, and thus whole school development. Whole School Development is the mechanism used to improve the schooling environment at learning institutions, i.e. academic and social as well as infrastructure and security, by focusing on the school's leadership, management and governance. It refers to the improvement in a school's activity; for example, in curriculum, ethos and material resources (Republic of South Africa: Government Gazette, Vol. 433, No. 22512, 2001). In essence, Whole School Development takes the view that in order to improve school performance, the reform process has to be based on concurrently shifting all the components of a school's working environment, so as to bring each component into alignment with the school's main vision.

The Whole School Development as a means for transformation involves all stakeholders in respect of school development as it takes a comprehensive view of the school. It includes all the elements of activities undertaken by the school to nurture an environment that is conducive to growth and development. It is built on structures, practices and processes that promote collaboration, communication, self-reliance and collective leadership. It brings about a learning environment in which school and community work together to plan for the achievement of their dreams (Rabichund, 2011). Through Whole School Development (also referred to as Whole School Improvement), schools become better places for learning by making changes at both school level and within classrooms, all of which depend on schools being committed

to fulfilling the expectations of learners and their parents. In other words, school improvement refers to a systematic approach that improves the quality of schools.

The key elements of an effective school improvement plan are as follows (Sambumbu, 2013):

- (i) Developing the school vision – what the school wants to achieve and what it will define as its success.
- (ii) Conducting needs assessment – in order to move from point A to point B the school must know where it is going to, but also where it is coming from. This calls for an honest assessment of its current practices and results.
- (iii) Identifying goals and objectives – once a school has a sense of where it stands currently, then it can start drafting a persuasive plan to push the school to where it wants to be. The plan should include concise, measurable and achievable goals and objectives that enhance success. For instance, the school might determine that some learners are struggling because they lack values and discipline. Therefore, to address such a problem, the school might implement more personalised learning, to meet the needs of every learner.
- (iv) Outlining of specific action steps – action steps are necessary to guide the school's progress. Because time and resources are always limited, it is better to focus on the most important goals.
- (v) Involving all the stakeholders in the process – collaboration of all school stakeholders helps to get the best possible insights into the crafting of an effective strategic plan.

School improvement provides a framework for defining goals and objectives for improving learners' learning and for selecting and implementing strategies to improve the instructional and organisational effectiveness of every school. According to Harris (2002) there are two ways in which the term "school improvement" is used: one is in terms of the manner in which schools are made better places for learners to learn and; two, as a plan for educational change that will lead to improved learner outcomes, as well as strengthening the school's capacity for managing change. This definition highlights the importance of school improvement as a process of changing the school culture.

Elmore and City (2007) have highlighted two important assumptions about school improvement; first, it is those managing the school from within who are the critical agents of change. Secondly, internal conditions in terms of management, ethos and support systems are important to motivate and sustain the school's efforts to improve. Apart from mobilising change at the school level, the literature also advances the importance of different approaches of intervention in promoting school improvement (Harris, 2002). On the one hand, school improvement has tried to change the professional and organisational culture of schools by promoting a more mutual atmosphere, with the emphasis on collaboration and professional relations among the staff and extended to the local community, but on the other hand, it has also given considerable attention to educator development activities as a way to improve learner behaviour, learning and achievement. Change is required at all levels of the school, i.e. at classroom level and at educator level, engaging educators in the professional exchange of ideas and development, as well as change in the school culture, with the support of external professional agencies. Thus, the focus is on the school as an element of change, and change can only be achieved if there are improvement strategies in place.

Rabichund (2011) maintains that in the process of whole school development, it is essential to draw up a plan that will bring together the whole school community in shaping the future of the school. This school development planning should include the work that is done at the school, so as to co-ordinate and integrate the unconnected planning activities into the coherent structure of an overall plan. Although school development depends largely on the school staff members, it is vital to include all the school's stakeholders. Hence, school development should be an ongoing process embedded in a school culture of logical self-review, in which policies and plans are constantly developed, implemented, evaluated and revised in light of the school's fundamental aims and the changing needs of its community.

As every school is unique, the operation of the planning process will vary considerably from school to school. It is important to note that the major tenacity of School Development Planning is to attain and maintain the highest possible level of effectiveness in meeting the educational needs of its learners in a culture that is characterised by change. Against such an ethos, the school community is able to

develop a clear vision of what the school is about and where it is going, and also to share a sense of purpose and a common set of goals, in addition to consensus on the means of attaining them. Moreover, school development planning enhances the professional role of educators and promotes their professional development. Professional development is the process by which employees are trained, with the sole purpose of empowering themselves to be able to provide or deliver quality service, through the acquisition of the necessary skills and knowledge. Figure 2.3 below is a proposed model indicating the key elements of an effective school improvement plan, which is a systematic ongoing process involving planning, implementation, evaluation and renewal of school improvement activities to meet local and state-wide goals and priorities:

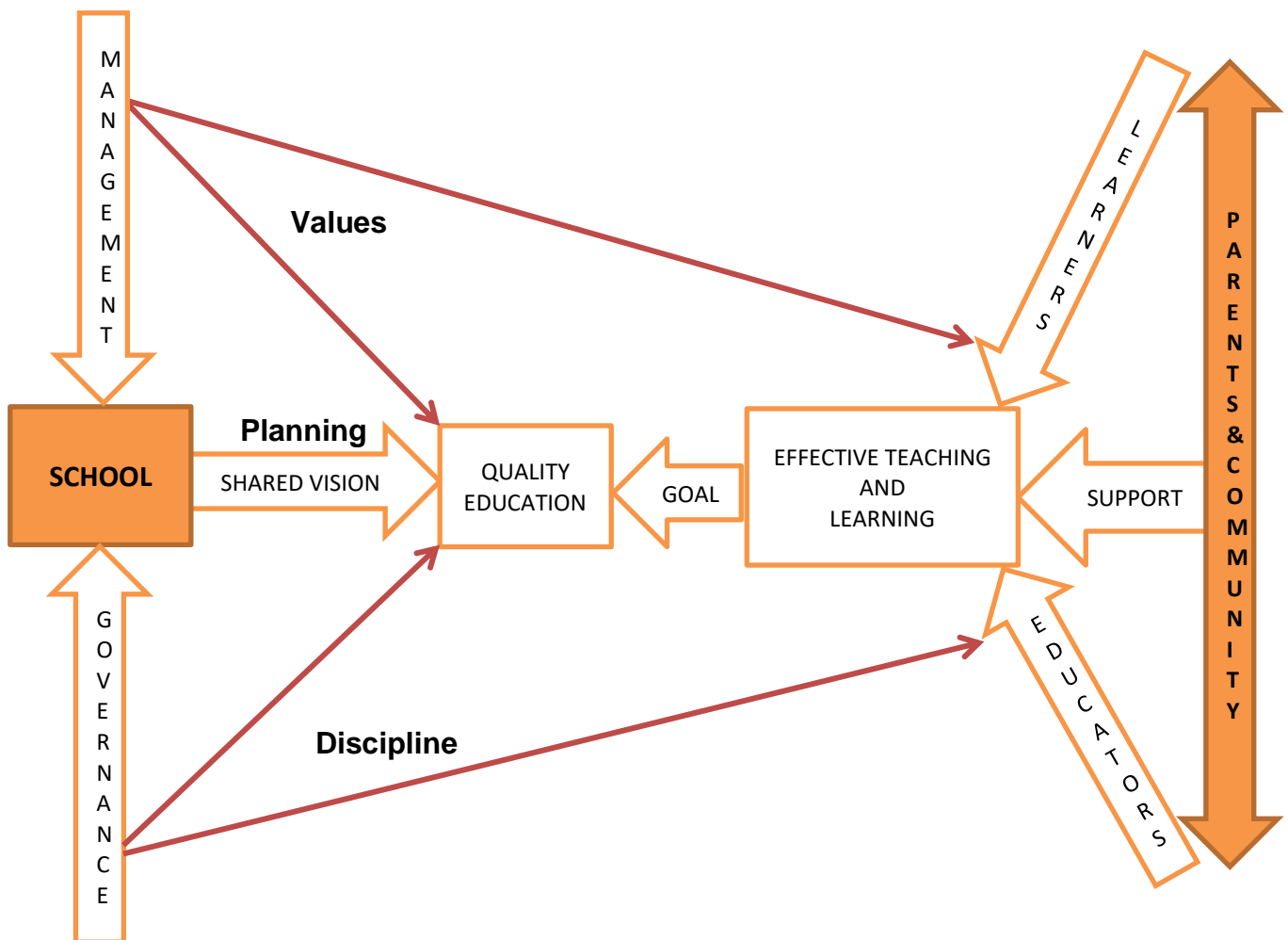


Figure 2.3: A proposed model for a school improvement process.

Winter (2009) maintains that professional development for educators is crucial to assist them in continuing to expand their skills and to cultivate new skills and

knowledge with regards to 'best practices'. In other words, it makes available a platform for developing a comprehensive understanding of existing improvement initiatives. In the workplace, professional development is as a result of performance appraisal. Since professional development focuses on individual teachers, Mathye (2006) describes Whole School Improvement as a process that seeks to simultaneously change all elements of a school's operating environment by aligning those elements with a central guiding vision. The final goal, of course, is to improve learner performance by providing quality education, which involves strategic planning. The schools that seek continuous improvement review and improve what they do on a regular basis. Mgijima (2012) asserts that if schools continue doing what they have been doing, the learners will continue to achieve the same results. One of the strategies to improving schools is to focus on empowering educators and supervisors at the school level. This, as indicated in Figure 2.3 above, entails the planning and sharing of decision-making; the goal of sharing decision-making being to grow the school's capability to learn.

The implementation of DAS in schools had not been very successful (Whitley, 2016). The problems of DAS were related to training, operation and attitude. There were also policy limits involving obstructing factors such as the lack of accessibility set-up and language which, at the end, resulted in the complexity of understanding the content. As a result, this complicated the core criteria and led to teachers and principals not getting a clear perception of what was being assessed. DAS did not link with other policies and appeared to be existing in isolation (Whitley, 2016). The main problem with DAS was the lack of ownership and unclear roles and responsibilities associated with the policy. With regard to the problems related to training, they were caused by a lack of available resources to facilitate the trainings, which resulted in a lack of sufficient knowledge of the policy. Due to the failure of DAS, in 2001, the concept of Whole School Evaluation was introduced (Whitley, 2016).

2.5.2 Whole School Evaluation (WSE) and its problems

Whole School Evaluation (WSE) is an assessment undertaken at a learning institution in order to make judgement on how the school performs in all aspects of schooling, i.e. academic, social, infrastructure, leadership and management, as well as

governance. It is a cornerstone of the quality assurance system in schools (Madikida, 2016). This evaluation, introduced in 2001, was aimed at monitoring or improving the quality of schooling as a whole, which may relate to a broad range of school activities that include teaching and learning, as well as aspects of school management.

There are two major forms of school evaluations, i.e. external school evaluation (which is conducted by evaluators who are not staff members of the school concerned) and internal school evaluation (which is primarily performed by members of its staff). WSE is now a widespread approach used in quality assurance in many countries across the world, including South Africa. Even so, WSE had experienced numerous implementation problems that hindered its success and the ability to achieve its desired outcomes. These included, among others, a weak support process, a fear of harassment by schools and a fear of a conspiracy or hidden agenda. But the major problem, and a threatening one, was the unhappiness of the teacher unions, as they held the view that the Minister of Education was unilaterally implementing a system that was different to the one agreed upon as part of the collective agreement between the Department as the employer, and the teacher unions (Whitley, 2016).

2.5.3 Performance Measurement for Educators and its problems

Performance Measurement (or Appraisal) for educators refers to the evaluation of educators at the workplace, or school, with regard to their job performance and potential for further development (Madikida, 2016). In other words, it is an evaluation or assessment of an educator in order to value the quality of teaching and learning. According to Dillion (cited in Rabichund, 2011), performance appraisal is a structured process through which judgements are reached by the quality of provision offered to learners and the benefits those learners gain, be they academic attainment or personal and social development. Panayak (2002), as quoted by Rabichund (2011), believes that performance appraisal has become a vital tool for assessing and determining the worth of each individual. Panayak maintains that performance appraisal could be classified into two main categories, i.e. evaluative or administrative and developmental. Therefore, educators, being the key agents in the quality of education delivery, are an integral part of an educational institution. Performance appraisal helps with the identification of their strengths and weaknesses, as well as rewarding those

who are doing a good job, i.e. promotions and salary increments. On the contrary, for those educators who are not doing well, either their weaknesses could be identified so as to get specific training for their developmental needs, or they would face punitive measures such as dismissal from their positions.

The purpose of performance appraisal is to monitor the performance of individual educators and schools in providing quality education to learners, through an efficient performance management system for all teachers and schools in order to raise the bar on strengthening accountability to ensure quality and effectiveness of the schooling system. According to Goddard and Emmerson (cited in Rabichund, 2011), educator appraisal is an ongoing and systematic process aimed at helping individual educators with their professional development and career planning, as well as making sure that the in-service training and deployment of educators is in line with the courtesy needs of individual teachers and the school. Therefore, in order to implement the educator appraisal system effectively, schools have to give particular attention to the roles and responsibilities shouldered by individuals and the structures involved in the IQMS, namely: Principal, School Management Team, Educator, Circuit Manager, School Development Team, Whole School Evaluation Co-ordinator and the Grievance Committee at the school.

The Roles and Responsibilities of the IQMS structures and individuals are as follows (Republic of South Africa: ELRC – IQMS Training Manual, 2003: 2):

- **WHOLE SDT** (as stated in the SADTU Training Manual, 2013):
 1. Co-ordinates activities pertaining to staff development.
 2. Links developmental appraisal and developmental needs to the SIP.
 3. With the SMT, develops the School Improvement Plan (SIP) based on information gathered during the annual SSE.
 4. Ensures that the IQMS is applied consistently.

- **PRINCIPAL** (as stipulated in the Employment of Educators Act, 76 of 1998):
 1. Accounting officer, thus responsible for the implementation of IQMS.
 2. Liaises with the District Office through the SMT, in respect of high-priority needs such as INSET, short courses, skills programmes, etc.
 3. Deals with differences between appraisees and DSGs in order to resolve them.

4. Co-ordinates the Internal School Self-Evaluation processes.
5. Liaises with the External WSE Team and the SMT to co-ordinate and manage the cyclical external WSE process.
6. Supervises the moderation of educators' PM scores by SDT.
7. The Principal also has the following responsibilities as per his/her job description, as outlined in the Employment of Educators Act 76 of 1998 / Personnel Administrative Measures (PAM):

a) Aim of the Job

- (i) To manage the school and promote the education of learners in an appropriate manner.
- (ii) To preserve a total awareness of the administrative procedures across the wide range of activities and functions.

b) Core Duties and Responsibilities

These are individual and varied, depending on the needs of the school and include, but are not limited to, the following:

(i) General/Administrative

- To be accountable for school administration, e.g. duty roster, measures to cover absent staff, internal and external evaluation and assessment, school calendar, admission of new learners, class streaming, school functions, and/or school finance and maintenance of services and buildings, e.g. planning and control of expenditure, allocation of funds/resources, the general cleanliness and state of repairs of the school and its furniture and equipment, and supervising annual stock-taking exercises.

(ii) Teaching

- To engage in class teaching, as per the workload of the applicable post's level and the needs of the school, and to assess and record the achievements of learners.

(iii) Extra- & Co-Curricular

- To be accountable for the school curriculum and pedagogy, e.g. choice of textbooks, co-ordinating the work of subject committees and groups, timetabling, "INSET" and developmental programmes, and organising teaching practice.

- To supervise learner counselling and guidance, careers, discipline, compulsory attendance and the general welfare of all learners.
- To play an active role in promoting extra and co-curricular activities in the school and its participation in sports and cultural activities organised by community bodies.
- To participate in departmental and professional committees, seminars and courses in order to contribute to and/or update one's professional views/standards.

(iv) Personnel

- To guide and supervise the work and performance of staff and to discuss and write or countersign reports.
- To participate in agreed school/educator appraisal processes in order to regularly review their professional practice, with the aim of improving teaching, learning and management.

(v) Interaction with Stakeholders

- To supervise/advise the Representative Council of Learners.

(vi) Communication

- To meet with parents concerning learners' progress and conduct.
- To liaise with relevant government departments on behalf of the school.
- To maintain contact with sporting, social, cultural and community organisations.
- To liaise with all organisations, structures, committees, groups, etc. crucial to the school.

• **WSE CO-ORDINATOR**, as stated in the SADTU Training Manual (Republic of South Africa: SADTU, 2013):

1. Make sure that all educators are trained in the procedures and processes of IQMS.
2. Prepares and monitors the management plan for IQMS.
3. Facilitates and gives guidance on how DSGs have to be established.
4. Oversees mentoring and support by the DSGs.
5. Co-ordinates ongoing support provided during the two developmental cycles.
6. Completes the necessary documents for performance measurement, signs off to verify fairness and accuracy and submits in good time to the Principal.

- **SMT MEMBERS:**

1. Monitors the efficiency of IQMS and reports to the relevant persons.
2. Provides the necessary documents to the Principal to submit to the District Office.
3. Ensures that all records and documentation on the IQMS are maintained.

- **POST LEVEL 1 EDUCATOR:**

1. Prepares a final schedule of DSG members.
2. Allows the immediate supervisor to conduct lesson observations.
3. Keeps relevant evidence for the appraisal process.

- **CIRCUIT MANAGER:**

As the immediate supervisor of the Principal, s/he has the responsibility to manage the performance of the Principal in a consultative, supportive and non-discriminatory manner to enhance school efficiency and accountability.

- **GRIEVANCE COMMITTEE:**

This committee tries to resolve disputes and any other problems that come out of the IQMS process.

It is difficult to establish whether the measures in place for improving IQMS implementation in primary schools in the Western Cape are appropriate or not. Gardiner (2003), Jansen (2004) and Chisholm and Hoadley (2005) question the practicality of the Integrated Quality Management System (IQMS) and raise concerns as to whether or not it is realistic to identify needs, offer support, rate performance and evaluate the entire school using the same instrument. According to Rabichund (2011) IQMS has been critically assessed for privileging managerial priorities, as opposed to the needs of educators. Some arguments have been raised by teacher unions such as the South African Democratic Teachers Union (SADTU), as they believe that the IQMS policy is good on paper, but its problems arise during implementation (Republic of South Africa: SADTU 8th National Congress Resolutions, 2014).

2.5.4 Understanding IQMS

IQMS is a concept with four definitive entities; integration, quality, management and system. In essence, this means that IQMS has to be looked at with an understanding of these four terms. The term 'integrated' is from the Latin word 'integer', meaning combining parts in order to work together as one. Mhangani (2012) defines 'integrate' as joining two or more things together so that they work together or become one thing. 'Quality' is something that is seen as good and can only be achieved through putting systems and procedures in place and making sure that those systems are sufficiently and effectively activated. 'Management' is the organisational process that includes strategic planning, setting objectives, managing resources, deploying the human and financial assets needed to achieve objectives, and measuring results. Management also includes the recording and storing of facts and information for later use or for others within the organisation. This means that management functions are not limited to managers and supervisors; but rather every member of the organisation has some management and reporting functions as part of their job.

Therefore, as Mhangani (2012) has put it, 'quality management' can be defined as an organisation-wide approach to understanding precisely what customers need, and consistently delivering accurate product. It is the combination of processes used to ensure that the degree of excellence specified is achieved. In the same vein, 'quality management system' is the quantity of the actions and information used by an organisation to enable it to always better and deliver products and services that meet and/or exceed the needs and expectations of its customers and beneficiaries. Integrated Quality Management System is a cost-effective monitoring system developed for the production of good products, and it is the amalgamation of the three separate systems, i.e. the Development Appraisal system of 1998, the Whole School Evaluation system of 2001, and the Performance Management system of 2003. These three systems, which were all brought together in 2003, form the basis of all the performance measurement and appraisal processes that are followed by primary schools in the Western Cape when implementing the IQMS.

2.5.4.1 Purposes and goals of IQMS

The purpose of IQMS is to measure the performance of educators in line with their respective roles and responsibilities as teachers for decisions on rewards, incentives and other salary-related benefits for the current year (Republic of South Africa: ELRC – IQMS Training Manual, 2003). Its objective is to provide the basis for decisions on the instrument used to identify good performance and address underperformance, by considering the relevant contextual factors in the conduction of assessments. IQMS also determines the levels of competence amongst educators by enhancing educator efficiency, effectiveness and good performance so as to improve accountability levels at the school. In this regard, IQMS ensures that educators perform their duties with integrity and maintain a positive, vigilant attitude towards all learning activities.

2.5.4.2 Assumptions of IQMS

According to Sambumbu (2010), Mhangani (2012) and Rabichund (2011), the factors that affect the implementation of IQMS could be divided into internal factors and external factors. In the following table, Table 2.1, the researcher presented two different leading models on appraisal:

Table 2.1: Different views on appraisal.

ACCOUNTABILITY MODEL	DEVELOPMENT MODEL
<p>Appraisal is seen as:</p> <ul style="list-style-type: none"> - informing decisions on duties, development pay, promotion and tenure - involving judgement by a superior - backward-looking / general one-way - linked to rating or grading - based on standardised criteria - being validated by a written record 	<p>Appraisal is seen as:</p> <ul style="list-style-type: none"> - a process of review and being about improvement and performance enhancement through performance - involving judgement by a team (i.e. development support group) - two-way involving shared evaluation, forward looking/focused and selective - centred on agreeing a target - individualised, with criteria being open to negotiation contextualisation - being validated by effective outcomes

The internal factors refer to those that are found within the school itself, such as the functioning of the school, physical classroom conditions, class size, lesson content, language factors and school discipline. Therefore, the external factors are those that are found outside of the school, e.g. family environment, political, cultural, socio-economic and education administrative factors. Considering all these factors, the IQMS instruments allow provision for the contextual factors when appraisals are done, which allows the evaluators to set realistic expectations and focus on factors that are grounded in reality rather than theorised. It is important to note that neither one of the appraisal approaches or models mentioned above are linked to the other. In this relationship, Craft (2000: 9) identifies the following dimensions:

- (i) Appraisal offers opportunities for professional development, reflection, paired observation, feedback, collaboration involving the exchange of ideas and mutual support. It (appraisal) enhances the acquisition of strategic goals because through it, employees' performance is reviewed against pre-determined objectives.
- (ii) Appraisal can be a particular way of identifying professional development needs. In appraisal, the strengths and weaknesses of employees are identified so that the areas that need improvement can be addressed and improved. In this fashion, appraisal can be used to evaluate the effectiveness of professional development, particularly in the second year.
- (iii) Appraisal can be a means to reconciling the needs of schools and individual professional development by taking down and making explicit any dissimilarities and the reasons for them. This is because in appraisals, the employees are motivated and provided with sufficient challenges and responsibilities in relation to the school's objectives. The process of appraisal puts professional development on the agenda of all educators on a regular basis.

The reflection of the above-stated dimensions is that appraisal is all about helping educators in identifying priorities or targets for future actions. In the process, they are able to identify their weaknesses and build on them for their own strength. According to Craft (2000), cited in Rabichund (2011), the involvement of learners in the appraisal system can play a significant role by providing evidence in the process of the evaluation.

However, on the contrary, Swanepoel et al. (2000), as cited in Rabichund (2011), contends that the involvement of learners in the appraisal system might have a negative impact, because most learners' evaluations would be based on favouritism. This simply shows that the facilitation of the appraisal process by the DSGs is the one to rely upon for yielding positive results. Notwithstanding the positives of the appraisal system, there are some negative perceptions around its practicality. The negative assumptions are that firstly, the IQMS document is too prescriptive and requires strict compliance and secondly, IQMS is a lengthy process and consists of too much paperwork and administrative requirements. According to Whitley (2016: 42) these assumptions result from the following factors:

- (i) Teachers are not willing to disclose their weaknesses, therefore a dishonest discussion about a teacher's weaknesses might occur, which might inhibit any success of the IQMS conference.
- (ii) Principals and the Development Support Groups (DSGs) do not have the time to see each and every teacher in order to give valuable feedback. They believe that being engaged in the IQMS processes, which consumes a lot of time, disrupts the schools' tuition programs.
- (iii) The IQMS instruments are invalid and not reliable. In this instance, the term 'validity' refers to whether or not the IQMS measures what it is supposed to measure. Therefore, teachers believe that the IQMS instruments have no true validity because the items and questions asked are not closely linked to the actual intended focus. As a typical example, this could be seen in **Performance Standard 1** (Creation of a positive learning environment), the **Question** (Does the educator create a suitable environment and climate for learning?), and the **Criteria** (**A** = Learning space, **B** = Learner involvement, **C** = Discipline, **D** = Diversity). Teachers believe that in no way can this be consistent because appraisers can have different perceptions on the factors that constitute a "GOOD" score.

To summarise, many teachers believe that while the IQMS implementation might appear to be perfect on paper, it has many flaws.

2.5.4.3 Guiding principles of IQMS

The implementation of IQMS is guided by the following principles (Republic of South Africa: ELRC - IQMS Training Manual, 2003: 2):

- To recognise that schools are not the same and are operating at different levels of performance.
- To recognise that schools are operating in different contexts and are exposed to different challenges.
- To ensure fairness by taking into account relevant contextual factors that impact on educator performance. These contextual factors include, but are not limited to:
 - 1) Departmental support
 - 2) Infrastructure
 - 3) Socio-economic environment, and
 - 4) Unforeseen challenges
- To minimize subjectivity through transparent and open discussion throughout the appraisal process.
- To ensure that the instrument is valid, reliable and relevant
- To use the IQMS instrument professionally, uniformly and consistently, and
- To provide feedback on the appraisal process by focusing on:
 - 1) Performance and not personality;
 - 2) Availability of evidence and not assumptions;
 - 3) Objectivity and not subjectivity; and
 - 4) The specific and concrete and not the general and the abstract.

According to Gardiner (2003), IQMS has tried to bring together three instruments (i.e. support, development and managerial) which are totally different morally, as well as different in philosophy. For instance, the Developmental Appraisal System (DAS), which is one part of the IQMS, is grounded on the philosophy of support and development. It perceives educators as professionals who are able, with the input of their peers, to identify their developmental needs. The performance measurement system, on the other hand, is grounded on a managerial approach that does not recognize the ability of educators to make their own development trails. Whether the

different philosophies on which these components of the IQMS are grounded will be friendly in practice or not is yet to be seen, as the policy is still being implemented.

2.6 THE IMPLEMENTATION, MONITORING AND EVALUATION OF IQMS

The IQMS policy highlights mechanisms and ways in which decent schools practising good teaching approaches will be illustrated, as well as ways in which underperforming schools will be identified and supported at all levels by districts, provincial and national offices. This makes the system less punitive and more supportive with a feedback mechanism that allows schools and their supportive structures to agree on improvement targets and a School Improvement Plan (SIP) (Republic of South Africa: ELRC – IQMS Training Manual, 2003).

Through the introduction of Whole School Evaluation (WSE), the state has created a situation in which schools are enabled and encouraged to improve. This process has given school principals a new right of way for school effectiveness and school improvement. WSE can make it possible to end failure in the majority of schools if schools can admit its presence and implement it accordingly. However, this requires that all schools be provided with support, especially those schools that are underperforming. This is because WSE does not pay attention only to undesirable issues at schools. Positive aspects are also attended to and acknowledged as ideals of good practice. There are still important aspects that need to be looked at closely in improving the impact of WSE, for example; the impact of the pre-evaluation stage is highlighted as a positive and constructive aspect of the process. This could really mirror what is regarded by the school as its weakness (self-evaluation), and the external evaluation by WSE supervisors could be simply checking on the validity of the self-evaluation and on the school's ability to improve itself. The post-evaluation approach is the responsibility of the school and the district concerned, and they are obliged to take charge of it.

2.6.1 Advocacy, training and planning

Performance management systems are seen as the way to manage employee performance. In order for employee performance to be effective it must be line-driven, not personnel department-driven. That is to say, the vision and objectives of employee

performance have to be communicated to all employees and must be known and owned by everybody at the school. The performance has to be managed through the assessment of the value that the performance of the educator is adding to the overall school performance. However, most often, school organisation is flexible and follows historical patterns of functionality. Based on Muavia Gallie's theory of school functionality, the researcher has developed the following model, as shown in figure 2.4:

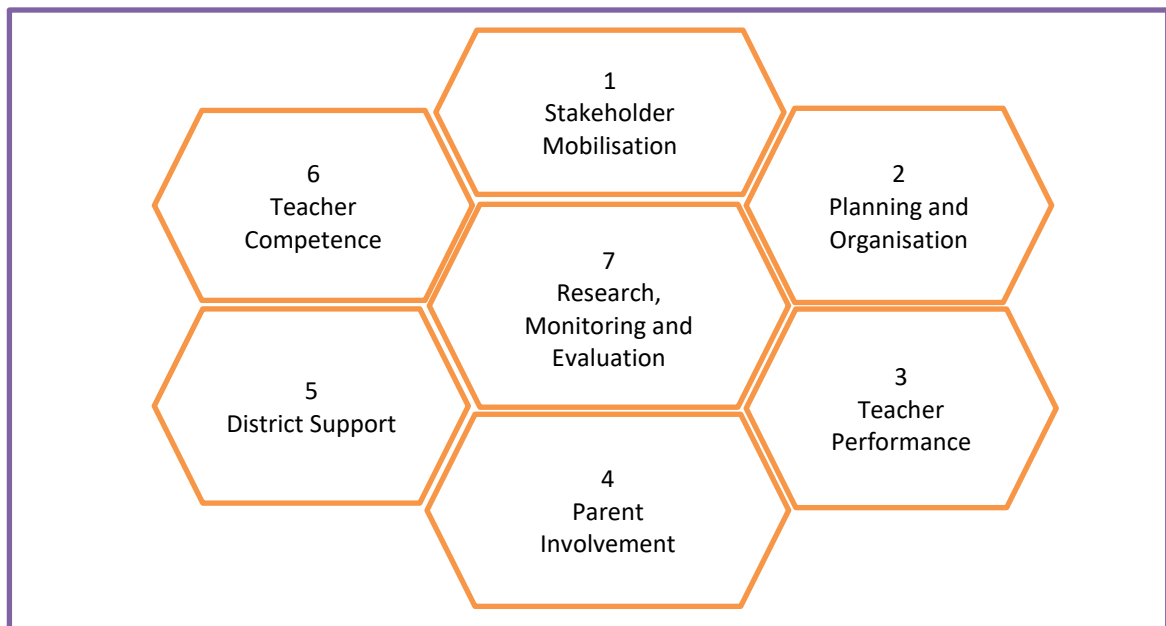


Figure 2.4: A Systemic school improvement model (Adapted from Muavia Gallie, 2006: 73)

The value that is added by the educator to the overall school performance can be in the form of knowledge, skills, abilities, competencies and innovation. There is a formal review of progress towards the set targets that is conducted at the school as embedded on performance management. Taking cognisance of Muavia Gallie's systemic school improvement model, a dysfunctional school results from a lack of sharing the agreed basic principles on strategic planning and monitoring, e.g. the starting and finishing times of the school day; when documents need to be submitted; procedures to be followed when a teacher is absent, and so on. To this list could be added monitoring and reporting of coverage and progress and teacher professional development. Gallie (2006) maintains that due to the differentials in schools' functionality, it makes little sense to have uniform expectations about what constitutes quality and improvement.

Despite the positive contribution of IQMS towards school development, Gulston (2010) and Mtapuri (2014) maintain that IQMS was implemented rapidly, before teachers could be ready for its implementation. They argue that schools find it hard to implement IQMS because they lack adequate support on Personal Growth Plans (PGPs) from subject advisors, circuit managers, etc. Mtapuri further states that even though IQMS addresses problems of previous educator monitoring and appraisal systems on the one hand, on the other hand it creates fresh problems and tensions, particularly in terms of the conceptual understanding of educators, their status, work, and what needs to be done to improve teaching practices. Against this background, Gallie (2006) provides statistics to show the functionality of schools in South Africa, as illustrated in figure 2.5 below:

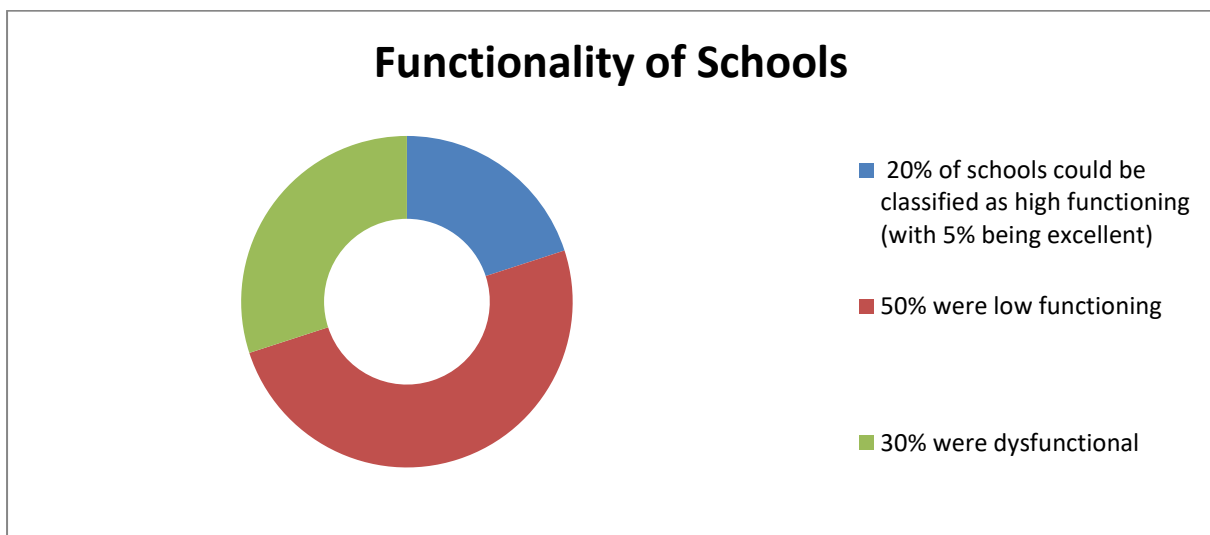


Figure 2.5 Functionality of schools in South Africa.

The IQMS instruments can be broken into two parts, with one made up of four Performance Standards that deal with lesson observation; and the other made up of eight Performance Standards that deal with matters related to aspects for evaluation that fall outside of the classroom. The four Performance Standards that are constituted by the first part of the instrument are as follows (Republic of South Africa: ELRC – IQMS Training Manual, 2003):

- 1) The creation of a positive learning environment,
- 2) Knowledge of curriculum and learning programs,
- 3) Lesson planning, preparation and presentation,
- 4) Learner assessment.

The second part of the instrument constitutes eight Performance Standards, i.e.

- 1) Professional development in the field of work/career and participation in professional bodies,
- 2) Human relations and contribution to school development,
- 3) Extra-curricular and co-curricular participation,
- 4) Administration of resources and records,
- 5) Personnel,
- 6) Decision-making and accountability,
- 7) Leadership, communication and serving the Governing Body, and
- 8) Strategic planning, financial planning and Education Management Development (EMD).

Each of the Performance Standards asks a question, and has a number of criteria with four descriptors which are derived from the four-rating scale, as indicated below (Republic of South Africa: ELRC – IQMS Training Manual, 2003):

Rating 1: Unacceptable, this level of performance does not meet minimum expectations and requires urgent interventions and support.

Rating 2: Satisfies minimum expectations, this level of performance is acceptable and is in line with minimum expectations, but development and support are still required.

Rating 3: Good, this level of performance is good and meets expectations but some areas are still in need of development and support.

Rating 4: Outstanding, this level of performance is outstanding and exceeds expectations. Although performance is excellent, continuous self-development and improvement are advised.

The scale rating in the IQMS is used for developmental appraisal, performance measurement and whole school evaluation. For the Developmental Appraisal there are no overall ratings or totals required. The baseline evaluation, which is done at the start of the first year of implementation and normally by new educators entering the system for the first time, together with all self-evaluations, is strictly developmental. During the process of Performance Measurement, the total scores must be calculated and the final score used to arrive at the overall rating. The rating can be adjusted

upwards, taking into account contextual factors such as lack of opportunities for development, lack of INSET provided by the District Office, or lack of support or mentoring within the school. For Whole School Evaluation, both internal and external evaluations are not necessary to make judgements about the performance of individual educators. Hence, there is no need to record their names, particularly for external Whole School Evaluation. In essence, the necessity is on evaluating the school's overall performance in respect of each of the Performance Standards in order to enable the school to plan for appropriate programmes that will ensure improvement in those areas that are identified.

2.6.2 Evaluation

The criteria of IQMS have been developed to make sure that supervisors judge the quality of a school's performance and the achievements of its learners fairly. In this regard a common approach, i.e. the use of descriptors, is applied by supervisors to ensure consistency. Descriptors are the phrases that help in defining and outlining the expected conduct for a particular criterion (Republic of South Africa: ELRC – IQMS Training Manual, 2003). They provide guidance to supervisors and schools on how to interpret the criteria and descriptors, and tell the supervisors exactly what “outstanding”, “good”, “acceptable” and “needs improvement” are. It should be noted that the descriptors are not a comprehensive listing of conduct that might be associated with the criteria.

During the evaluation process, the rating becomes self-evident in the light of the adjectives used in the descriptors. Guidance is provided on the issues to be considered when reviewing the evidence and the factors to be taken into account when reaching judgement. The criteria, however, are not sealed because there is still a possibility of different judgements being made in practice. Each of the nine Areas of Evaluation which constitute the major aspects of the school's work have specific criteria. The supervisors report on the quality of provision in these areas and on any other aspect that they may consider relevant. As highlighted earlier on, the Areas of Evaluation are basic functionality of the school; leadership and management; communication; governance and relationships; quality of teaching and teacher

development; curriculum provisioning and resources; learner achievement; school safety; security and discipline; school infrastructure; parents and the community.

2.6.3 Feedback and discussion

It is important to discuss both positive performance and areas for improvement on a regular basis. During the discussion the objective should be to discuss the performance review as an important subject by touching on the critical points that are significant to the employee's job. After the discussion of the performance review it is of great necessity to give feedback to the appraisee. In giving feedback to the appraisee, the appraiser should keep it simple, make it one-on-one, focus on performance not personality, focus on individual effort and end on a positive note. This will serve as a basis for modifying or changing behaviour toward more effective habits and serve as an impetus to the improvement of the employee's performance.

2.6.4 Quality management process

In order to ensure the effective implementation of IQMS at schools, there are two forms of appraisal that should be completed. These are employee appraisal and school appraisal.

2.6.4.1 Forms of appraising employees

In terms of the South Africa's Employment of Educators Act (No. 76 of 1998), it is critically important to assess the extent to which educators are performing in line with their job descriptions, in order to improve levels of accountability in schools. Hence, in the Western Cape, in order to examine the contribution that is made by IQMS to an institution's overall effectiveness, the District Education Department in the Western Cape province distributes forms to be completed by schools for evaluating the educators' performances, as well as identifying the specific needs of educators for support and development (see Appendix A, Table 1 – 4 for the template of the form completed by all schools and submitted to the District Office). The guiding principles, or instruments of IQMS are based on the twelve performance standards on which educators are evaluated as follows:

- (i) Post Level 1 educators : Standards 1 – 7

- | | | |
|----------------------------------|---|------------------|
| (ii) Post Level 2 educators | : | Standards 1 – 9 |
| (iii) Post Level 3 & 4 educators | : | Standards 1 – 12 |

2.6.4.2 Forms of appraising schools

As early as 1998, the Department of Education started a process of identifying and selecting appropriate performance indicators that could be employed to measure the quality of the South African education system (Rabichund, 2011). The performance indicators indicate whether progress is being made in realising the school's goals. These indicators are statements with a qualitative value that provide a picture of the school's current state of affairs, which changes over time. Through broad consultation with various role players, a set of indicators of school quality was agreed upon and adopted, and has been branded into the following categories (Rabichund, 2011):

Context indicators provide information on the socio-economic context of learners. This helps to inform the department whether the funding norm of schools is acceptable or whether it needs to be reviewed, which might form part of the recommendations.

The input indicators measure economic efficiency. They look at what it costs the education department to purchase the essentials, for example learning and teaching support material for producing desired outputs, and whether the organisation achieves more with less in resource terms (or efficiency) without compromising quality.

Process indicators refer to how the school seeks to achieve its goals. They include the effectiveness with which the school tries to ensure effective governance, leadership and management, safety and security measures and the quality of teaching and learning, curriculum planning and effective assessment. It is also interesting to look at what the school does to capacitate its staff around developments in the curriculum and other aspects. This will then lead to looking at the implementation of Developmental Appraisal, which in turn will impact development.

Output indicators measure whether a set of activities or processes yields the desired outcomes as envisaged by the school, the department and the community. They measure the school's performance in terms of the achievement of the school's goals and the progress that the learners have made in both co-curricular and extra curricula

activities at the school. The indicators and the nine Areas of Evaluation assist WSE supervisors in making informed judgements of the school. The rating of schools is based on the following scale, illustrated in Table 2.2 (Rabichund, 2011):

Table 2.2: Rating scale of schools

5	Outstanding
4	Good
3	Acceptable
2	Needs improvement
1	Needs urgent support
0	No rating possible

2.7 KEY SUCCESS FACTORS FOR THE IMPLEMENTATION OF IQMS

IQMS implementation can cause tension among teachers at any school. Therefore, it is important for schools to build the professional capacity of their teachers as they seem to lack knowledge on how to implement IQMS for its effectiveness; develop and implement systemic and systematic processes that impact the teaching and learning in every classroom; as well as plan, develop and implement programmes that prepare learners for the next phase of life. By doing so, Mhangani (2012) believes that schools can prevent the creation of tension among the staff members by doing the following:

- i. Recruit, hire, train and retain highly effective teachers.
- ii. Provide high-quality and systemic professional development to all teachers.
- iii. Implement a systemic continuous improvement process that determines what's working and what needs to be improved via a professional learning structure.
- iv. Ensure all teachers understand the intended curriculum.
- v. Ensure all teachers are implementing the curriculum with fidelity.
- vi. Encourage teachers to partake in professional learning teams, as well as consulting curriculum guides.
- vii. Create a conducive learning and teaching environment at the school and in the classrooms.

In the process of facilitating the educator appraisal there are some instruments or key success factors that should be taken into consideration in order to have a fair and effective IQMS implementation process. These include performance criteria, performance measurement, performance standards, scores, pre-evaluation discussion as well as the post-evaluation discussion and are briefly explained below:

Performance criteria – those factors, characteristics or standards that are used to describe and assess effective performance.

Performance measurement – the process of appraising or assessing or valuing performance.

Performance standards – agreed criteria to describe how well work must be done, they clarify the key performance areas of a job by describing what “working well” means.

Scoring or rating – the total points allocated to each performance standard. Most of the DSGs experience problems when it comes to the rating of educators, e.g. awarding high scores to teachers who do not deserve it. This could either be due to the lack of thorough training, or leniency (Khumalo, 2008). Moreover, the monetary aspect of IQMS further complicates matters as every teacher wants to be scored highly so as to receive the salary increment. This implies that there should be a merit on scoring the appraisee.

Pre-evaluation discussion – the interaction between the SMT member (or appraiser) and the educator prior to a lesson observation or performance appraisal during which the purpose, performance standards, criteria, procedures and processes are discussed.

Post-evaluation discussion – a collaborative conference between an SMT member (or appraiser) and the educator, during which feedback on the educator’s performance is provided.

In order to realise successful implementation of the IQMS in public schools, the above-mentioned factors are vital. These factors must be understood in totality by the principal of the school and the development support team, and the information must be conveyed to the rest of the teachers. It is not only the instruments mentioned above that can effect a fair IQMS process at a school. The structures and operating systems at the school also play a big part; for instance, the School Improvement Plan (SIP),

the School Management Team (SMT), the School Management Plan (SMP) and the Work Plan. It is important to give a short explanation of these structures:

School improvement plan – a program of action that a school undertakes in order to effect improvement at the school, particularly in areas of need.

School Management Team – educators at the school who occupy the top positions, i.e. Principal, Deputy Principal and Departmental Heads.

School management plan – the school's plan for the year which is developed and facilitated by the SMT for activities to be completed within stipulated timeframes.

Workplan – a document that outlines the activities to be undertaken by an employee within a particular year, as well as setting specific targets and outlining outputs that need to be achieved.

Having highlighted the key success factors above, the following section explores the challenges in the implementation of IQMS.

2.8 CHALLENGES OF IMPLEMENTING IQMS IN SOUTH AFRICAN SCHOOLS

With the emergence of the democratic government in 1994 came the notion of transforming the education system. Francine de Clercq (2008) and Bhavika Keshav (2012) maintain that from 1994, managerial competence became the focal point as it was believed that it would ensure the successful implementation of change in the educational sphere. Despite such a belief, the South African schooling system has been facing a number of challenges that have proven difficult to shift since the end of apartheid in 1994. Among these challenges, as highlighted by Rabichund (2011), are the following:

2.8.1 Profound inequalities

There are deep differences throughout the system, which has not out-housed its apartheid legacies. Inequalities related to learners' socio-economic background, race and locality (including rurality) were planned into the apartheid system and continue to be predictors of learners' educational experiences and outcomes. Viewed generally, schools perform largely in accordance with their apartheid roots, with the best-performing schools being formerly white and Indian schools, and the poorest-

performing schools being black rural and township schools. Similarly, structural inequalities are an elementary factor that contribute to the poor academic performance of learners.

According to Gilmour and Soudien (2009), South Africans find it difficult to deal with widespread and profound poverty. They argue that the complex continuing effects of historical poverty and racism in relation to schooling in South Africa are not fully understood. They maintain that the effects of historical and intense poverty have a negative impact on learners' experiences of schooling, and on their measured academic performances. Gilmour and Soudien further state that the inequalities as well as the effects of poverty are evident in all aspects of schooling, i.e. in physical infrastructure, in the provision of laboratories and libraries, in classroom conditions, in the levels of functionality of schools, in the quality of teaching and learning in classrooms, and in the results achieved. An important feature to note of the South African education system is that the majority of schools are in poor communities, are not well-provisioned, and are attended by black learners. The background of schooling in South Africa is usually misperceived and, in that, the picture of what a "normal" school is (including the "normal" work of principals) does not hold a dominant or valued place in the minds of policy makers and the general public. Instead, the image of former white schools offers the "hegemonic norm" which the system wants, even though they are in fact a comparatively small and relatively privileged minority of schools.

Of course, there are schools that still achieve success in the mainstream, and such schools do so against all odds. In such instances, the schools get the basics right. For example, a good school does the following: it starts and ends on time every school day, teachers and learners arrive on time, teachers are well prepared for all their lessons and they are in class and teach every day, and teachers contact parents when learners are absent. Moreover, parents support the teachers and their children by assisting their children with their homework as well as respecting the teachers; the entire school focuses on learning and does everything in its power to support learners and help them to do better. Above all, a good school has a good principal. A good principal has a vision for his/her school and gets others to buy into that vision. He or she leads by example and encourages learners to always strive to do better. In

contrast, a badly run school with an ineffectual principal is not doing well and needs some kind of intervention, which can include the following (Mugabe, 2018: 53):

- providing leadership training for the school principal;
- providing training and support for the school governing body;
- building district capacity to support the school;
- reviewing the school policies to better suit the conditions of the school;
- developing measures (including in-service teacher training) to support teacher quality;
- providing support for Heads of Departments as subject leaders at the school;
- extending and improving Early Childhood Education as an important foundation for later learning;
- providing relevant learning materials for the school;
- improving facilities and service delivery at the school level, e.g. science laboratory, computer centre and the school library;
- implementing targeted programmes to improve Mathematics and Science;
- implementing reading support programmes and providing the school with a variety of books;
- supporting children through addressing their life circumstances (such as basic support grants for children in poverty; school feeding schemes; support for children suffering neglect, abuse and violence; support for orphans and vulnerable children); and
- working with local community structures to build forums for a home-grown voice in educational decisions.

2.8.2 School organisation and classroom practice

The school organisation and the quality of classroom practice play a huge role in the performance of both the school and its learners (Mugabe, 2018). The South African education system as a whole is underperforming and, generally, performances have been cock-eyed as the most highly performing learners have been white learners at formerly white schools. Given the extent of need in the system, choosing a strategy for intervention depends partly on judgement about how to improve the system and partly on what the most effective devices for change might be.

There is no argument about the fact that performance on test scores is the “manufactured goods” of teaching and learning in classrooms. As indicated in Chapter 1, a number of studies of classroom practice in South Africa give rough accounts of what happens inside classrooms that produce poor outcomes (see Heather Jacklin, 2004; Ursula Hoadley, 2012; Sarah Howie and her colleagues [Zimmerman, Botha, Howie and Long], 2008; Lorraine Marneweck, 2002; Cheryl Reeves, 2005; Eric Schollar, 2008; Taylor, 2006; Wits School of Education, 2009). Altogether these readings show that:

- learners learn mainly by rote or memorisation, and sometimes have no teachers present in class;
- teachers either do not know the subject matter or do not know how to teach it;
- content coverage is inadequate as the workload is sometimes too little;
- the pace of learning is too slow and the tuition time is limited, therefore the syllabus is often not completed;
- learners do not do enough reading, writing and calculating exercises;
- there are high rates of absenteeism, late-coming and class attendance, during which times learners miss a lot;
- teachers spend too much time on administrative aspects of the curriculum;
- teachers are not given the necessary support by curriculum outlines on what to teach and how;
- learning is impeded by a lack of resources, equipment and facilities (including laboratories and libraries); and
- in many cases, language (especially the language of teaching and learning at the school) may be a barrier to learning.

2.8.3 Authority split between the national and provincial education departments

Due to authority division amongst the national education department and the provincial education department, the education policy landscape is intricate. The national education department is responsible for setting norms and standards for the system as a whole, while the provinces are responsible for implementation. Consequently, capacity is very unevenly spread within and across the system, as education

bureaucracies and districts do not always operate efficiently to support the work of schools, hence accountability measures are weak.

2.8.4 Perceptions

IQMS is seen by many, particularly teachers, as a non-working policy. According to Mgijima (2012) and Mhangani (2012) the problems in performance appraisal typically stem from technical issues in the system and from human issues related to perceptions and the interaction process between the supervisor and his/her subordinate. Despite the existing problems in the system, teachers do benefit from IQMS as it improves their lesson planning, assessments, file arrangement and staff relationships as well as the leadership and management style of the school; including the use of human and financial resources (Gulston, 2010).

Even so, Gulston points out that teachers are faced with many challenges in the implementation of IQMS due to the following reasons:

- (a) they (teachers) believe that the IQMS is used by the school principals as a weapon to threaten teachers and prevent them from getting the 1% salary increment,
- (b) IQMS causes disruptions of the normal programmes of the school because if two teachers are in attendance of one class to observe another teacher, then the classes of those particular teachers are left unattended; and
- (c) IQMS diverts its focus of being a developmental impetus to the school and focuses on the monetary aspect of educators, i.e. the 1% salary increment.

2.8.5 Attitude factor

During the implementation process of the IQMS policy at the schools, there are always challenges that are expected to crop up, such as attitude factor, time factor and scoring or rating error.

According to Khumalo (2008), some teachers have negative attitudes towards the implementation of IQMS as they believe that IQMS is for blaming underperforming teachers, for disciplinary actions or for demoting those who are not performing well. In other words, IQMS is seen by some as an instrument to punish teachers. Therefore,

the DSG and SDT have the formidable task of shifting this kind of thinking in those educators because if it is not shifted, the performance evaluations will never be effective in such schools. According to Grobler (2002), cited in Khumalo (2008), supervisors often avoid the appraisal process as they feel uncomfortable with it because it usually results in conflicts and bad relations between them and their subordinates.

2.8.6 Time factor

Khumalo (2008) further states that school management, particularly school principals, often look at the implementation of IQMS as time-consuming. She maintains that many schools do not complete their personnel-paperwork due to the process of IQMS implementation, let alone the curriculum coverage. Consequently, in many schools IQMS is done at the last minute and rushed through just to meet the deadline requirement of submitting the documents. This is the case because IQMS is given less time as most teachers are unable to perform the multi-task of both IQMS and getting through the curriculum.

2.8.7 Stereotyping

Stereotyping refers to judgements of other people based on group membership and attributes such as sex, race, ethnicity and age. It is important that the appraiser realises that teachers have different character traits, therefore they must not be labelled according to their personal characteristics.

2.9 APPROPRIATE MEASURES TO ADDRESS THE CHALLENGES

As a practising educator and having been involved in the IQMS myself, I have realised that there are some challenges that need to be addressed before we can expect to realise the effectiveness of IQMS, e.g. the commitment of educators to their work. In this regard the supervision and monitoring of educators is crucial. This should include a pre-evaluation checklist, self-evaluation, DSG evaluation, PGP, DSG pre-visitation discussion minutes, DSG post-visitation discussion minutes, DSG consensus score sheet, signed visitation schedule, list of DSG names, internal moderation report, record of D&S intervention as well as the summary score sheet. All of this documentation should be in the School General IQMS File. Over and above this, Mji

(2011) believes that educators need to transform their planning and leadership styles. This view is supported by Tshelane (2008) and Mtapuri (2014), who argue that the aim of IQMS is to help educators through professional development. The established procedure of IQMS was quite rightly drawn up through negotiations between the Department of Education and teacher unions so that, in order for the process to unfold, it had to be planned according to the Education Labour Relations Council (ELRC) Resolution 4 of 1998.

The objectives of IQMS are clearly reflected in the nine areas of school development, which are listed below:

- 1) **Basic functionality**, which includes policies, punctuality and discipline.
- 2) **Management and leadership**, which includes implementation of policies and giving direction to all levels of stakeholders as well as communication.
- 3) **Governance and relationships**, which include the School Governing Body (SGB)'s Constitution as well as the monitoring of human and financial resources.
- 4) **Effectiveness of teaching**, which includes educators' knowledge, teaching methods and assessment.
- 5) **Curriculum and assessment**, which includes the implementation of national and local curriculum guidelines, planning and time allocation.
- 6) **Learner achievement in learning areas.**
- 7) **School safety, security and discipline.**
- 8) **School infrastructure**, which includes the availability of sufficient resources and their efficient use thereof.
- 9) **Parents and community**, which includes the effectiveness of communication with parents by the school and their involvement.

In focusing on the nine (9) areas of development, there are twelve (12) performance standards on the performance measurement instrument of IQMS that should be taken into consideration:

- 1) Creation of a positive learning environment.
- 2) Knowledge of curriculum and learning programs.
- 3) Lesson planning preparation and presentation.
- 4) Learner assessment or achievement.

- 5) Professional development in the field of work or career and participation.
- 6) Human relations and contribution to school development.
- 7) Extra-curricular and co-curricular participation.
- 8) Administration of resources and records.
- 9) Personnel.
- 10) Decision-making and accountability.
- 11) Leadership, communication and service to the Governing Body.
- 12) Strategic and financial planning, and education management development.

Figure 2.6 below shows the composition of School Development Teams (SDTs) within South Africa. The figure clearly reflects the collaborative objective of IQMS, as it includes all the staff members, i.e. school managers (principals and heads of departments) as well as the post level 1 teachers.

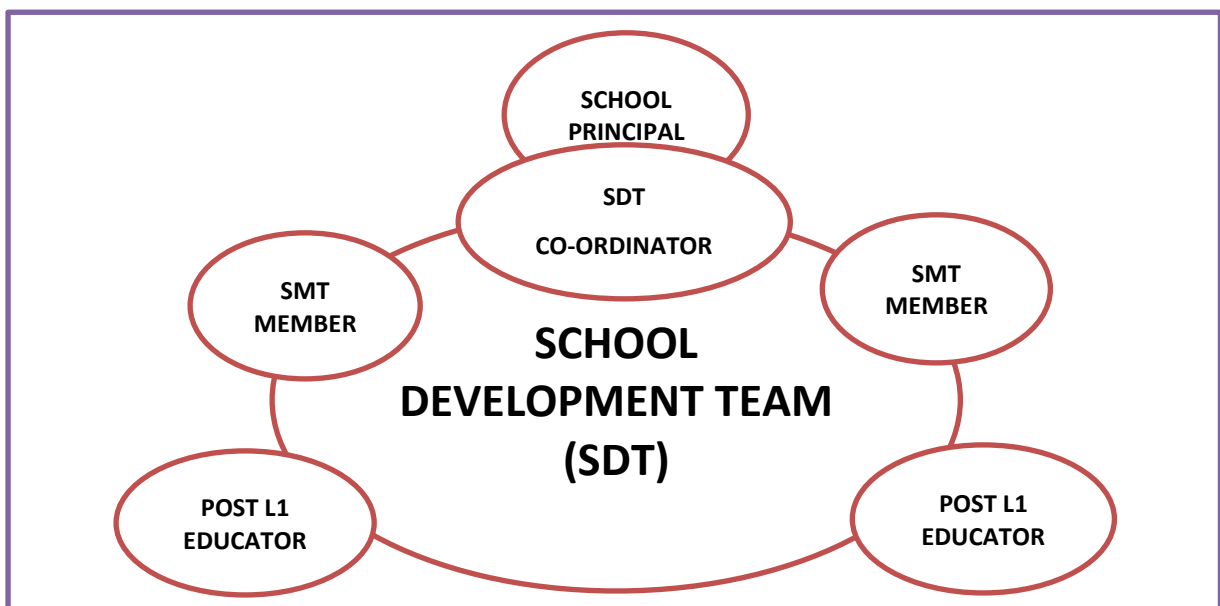


Figure 2.6: indicates the composition of Staff Development Teams (SDTs) in South African schools (Source: collective Agreement 8 of 2003, pages 12 and 13).

Despite the fact that the general aim of the system was to get every staff member at a school involved, it creates loopholes of favouritism and disparities at the school. This is, of course, against the objective of IQMS, which is to make sure that the leadership of the school is accountable, equips the right people with the right skills and is ready to implement the IQMS effectively. By legislation, every school has to elect an SDT, and the size of the SDT is determined by the size of the staff complement of the school

(Republic of South Africa: ELRC - IQMS Training Manual, 2003). This could also be seen in the IQMS templates (see Appendix A, Table 1 - 4) which is a form from the Department of Basic Education (Metropole North Education District in the Western Cape province). The form had to be completed in every school by the SDT co-ordinator and had been distributed to all schools under the Metro North district.

My observation as a practising educator at a primary school is that there is a reluctance from educators to participate in the IQMS process. This has led me to believe that the signing of contracts by educators in the IQMS process could be a possible solution for its effective implementation, as it will serve as an impetus. Simply put, the contracts will bind educators in all their activities. Despite the commitment of educators to their work, there will always be a need for monitoring and supervising, as well as evaluation, of the educators' work. As school evaluation currently stands, the department officials pay more attention to the school principals, with everything else being left to the Staff Development Team (SDT), which is composed of the principal and educator staff at the school (Mhangani, 2012). The SDT should be inclusive of all the levels of the staff members of the school, i.e. the principal, members of the school management team (SMT) as well as the post level 1 educators. The size of the SDT is dependent on the size of the school. Of course, the general impression has been that the SDT, which is made up of the principal and staff members as well as the Whole School Evaluation (WSE) team – which itself is made up of the School Management Team (SMT) and post level 1 educators – will bring a holistic approach to the IQMS process.

2.10 SUMMARY OF THE CHAPTER

The introduction of IQMS in South Africa was part of the radical education transformation elicited by the acquisition of democracy in 1994 and became an ongoing process geared towards the creation of job opportunities and changing the lives of all South Africans for the better. As the main objective of IQMS is increased learner performance, teacher evaluation and development become the focal point. This chapter has illustrated that the appraisal process needs to be fair in order to achieve its goal. As the main objective of IQMS is to help educators grow professionally and for those doing a good job to be rewarded, the records of all employees must therefore be accurate and fair in order to select the appropriate

employees who will get merit increases, bonuses or other increases as well as promotions. Despite the introduction of several systems, i.e. developmental appraisal, whole school development and the IQMS, South Africa still finds it very hard to achieve its objective of increasing learner performance. This chapter has shown that in order to achieve increased learner performance in the case of the education systems, teachers must work harder and smarter. This requires an educational supervision that will make sure that the performance system in place is effective, and as shown in this chapter, which addressed the failures of previous systems (i.e. DAS and WSE), it is not an easy path, but rather, a big challenge. In the next chapter the focus will be drawn to the teacher appraisal systems in other countries, so as to gain an understanding of how other countries manage their teacher appraisal system.

CHAPTER THREE

TEACHER APPRAISAL SYSTEMS IN OTHER COUNTRIES

3.1. INTRODUCTION

The previous chapter focused on the teacher appraisal system used in South African schools, its success factors and its shortcomings. This chapter expands on the same topic and focuses on the teacher appraisal systems found in two European countries and in two African countries. In view of the implementation process of IQMS to enhance the quality of teaching and learning in South Africa, it is critically important to compare it with quality assurance practices taking place in other countries across the world. The education system of the two selected European countries (i.e. England and Scotland) and the two African countries (i.e. Botswana and Zimbabwe) will be discussed. England and Scotland are implementing different educational systems of management for quality assurance. Therefore, the researcher intends to explore both and try to compare them with the education management system of South Africa, and that of Botswana and Zimbabwe, by investigating the effectiveness of their practices of quality assurance (i.e. by looking at the things that they do well and those that they do not do well, as opposed to looking at the gaps found to be present in the South African practices of quality assurance). This will enable the researcher to see how they ensure quality assurance in their education systems and are able to detect how effective their education systems are in terms of producing the required educational outcomes. The two forms of teacher monitoring (i.e. bureaucratic accountability and professional accountability) will also be extensively deliberated in this chapter.

3.2 TEACHER APPRAISAL SYSTEM IN EUROPEAN COUNTRIES

On the 2nd of May 2009, the European Commission established the European Strategic Framework for Education and Training (ET 2020), with the aim of creating high-quality education in Europe, i.e. an education which is vital for creating job opportunities, for social unity and for Europe's global economic and societal success (OIDEI, 2009). In order to achieve these goals, learning institutions had to play a fundamental role, and consequently, schools' evaluation was brought to the fore to assist in the process. In dozens of countries all over the world including Europe, there are two types of evaluations that are being employed at schools, i.e. external and

internal school evaluations (Winter, 2009). The external school evaluation focuses on a broad range of school activities that consists of educational and management tasks, learners' outcomes as well as compliance with regulations. In order to support their work, school evaluators rely on a centrally set framework which has been established in a structured and uniform manner that defines a good school.

Despite the differences in the scope and the various activities that are evaluated in European schools, the process of school evaluation across Europe is grounded in a highly uniform structure which consists of three basic steps, namely analysis, visit and reporting. In this regard, evaluation instruments are always available to evaluators in order to provide opportunities for escalating sources of information, increasing channels of communication with the relevant actors, and reaching transparent and evidence-based conclusions. Of course, differences do exist whereby evaluators exercise their independence in choosing specific instruments to be used in the process of evaluating schools. However, despite such differences, all school evaluation is based on a central level inspectorate.

3.2.1 Teacher Appraisal System in England

School education in England is described as amongst the finest in the world. This is because the schooling system in England includes balancing the curriculum, recognising talents and achievements, and encouraging children and young people in the pursuit of life-long learning. Ofsted, the Office for Standard in Education, is the main body responsible for external evaluation in schools. According to Ofsted, self-evaluation should also be carried out at schools as part of the school's ongoing cycle of review and improvement planning, even though there is no prescribed method, frequency or framework (DICE, 2015). The Education Acts or laws in England give the local authorities some legal duties to promote high standards of education functions, and the fulfilment of individuals' learning potential. As a typical example, the Education Act of 1996, particularly Section 13A, deals with the promotion of high standards, ensures fair access to opportunity for education and training, and promotes the fulfilment of learning potential. The Education Act of 2005, Section 44, relates to 'schools causing concern', while part 4 of the 2006 Act relates to schools that are eligible for intervention (England State: Draft - Bracknell Forest Policy, 2015). The

Education Act of 2011 acknowledges that school governors, head teachers and teachers are responsible for their own school improvement and gives the local authority a strategic role, i.e.

- i. As champions for parents, families and vulnerable pupils by promoting a good supply of strong schools,
- ii. Ensuring fair access for each child,
- iii. Supporting underperforming schools so that they can quickly improve and develop their own school improvement strategies,
- iv. Ensuring support and encouragement for schools to team up; and
- v. Providing information and training to Governors and maintaining the instrument of government for all schools.

Against the various education laws, Bracknell Forest in England, which is one of the six unitary authority areas within Berkshire in Southern England, had set up its own principles to facilitate the process of quality assurance. These principles are listed below:

- i. The relationship between school staff and governors, as well as the Local Authority officers and elected members, should be based on a professional exchange of ideas that aims to maximize the life chances of young people by focusing on their success achievements and well-being. In this regard the Local Authority should maintain good relationships with all schools in the borough or municipality, including academies (i.e. schools and colleges) and work effectively with them all,
- ii. Collected and transparent data as well as evidence-based criteria during the appraisal process should be used and applied fairly in order to avoid disagreements and skirmishes between appraisers and appraisees,
- iii. Acknowledgement that there is always room for improvement, for not only the underperforming schools but also the best performing schools, as part of continuous improvement and ambition so that every individual can come on board and partake in the appraisal process with the intent of benefitting from it,
- iv. Accepting that quality assurance aims to empower schools through providing a reliable and trusted local assessment in order to validate their internal self-assessment, building school capacity to take increasing leadership for improvement, as well as

- v. Accepting that quality assurance identifies potential difficulties in schools very early in order to intervene and support preventatively whenever possible.

Furthermore, Bracknell Forest Council encourages schools to perform the following key school improvement activities (England State: Draft - Bracknell Forest Policy, 2015):

- (i) Getting guidance and advice from advisors and/or other head teachers and governors in order to have good insight of the appraisal process,
- (ii) Carrying out school reviews and setting challenging performance targets that will enhance the school to develop holistically,
- (iii) Disseminating of good practice that is academically ethical and admirable,
- (iv) Governor training and development to promote a mutual working relationship between school governors and management teams,
- (v) In-school commissioned professional development activities to improve identified areas of concern whereby experts or knowledgeable people can be brought into the school to facilitate in those professional development activities,
- (vi) Visiting high-performing practitioners for observation so as to share good practice,
- (vii) Making courses available through the centrally organised professional development program in order to disseminate knowledge to everyone, and
- (viii) Implementing required levels of support following an Ofsted (the Office for Standard in Education) inspection, including making best use of the resources in the borough (area/district).

Whitley (2016) highlights the following elements as the basic appraisal process followed by schools in the United Kingdom:

- Initial planning meeting
- Classroom observation and feedback
- Collection of evidence
- Self-appraisal
- Interview
- Written statement
- Follow up actions
- Review meeting

- Start of the next cycle

As with all education systems, change is imperative and continuously assessing and adapting the appraisal process is a vital aid to its success. This could be seen against the background that, from the year 2012, schools in the United Kingdom had to develop pay and performance-management policies which, among other requirements, were to link teacher performance to plans for school improvement and school self-valuation. This, in some instances included classroom observations and the provision of training as the need arises. Appraisal is linked to pay progression in each school. A similarity can be drawn here to South Africa's present appraisal system, which is linked to a 1% salary increment.

3.2.1.1 Implementation, Monitoring and Evaluation of Teacher Appraisal System in England

a) Implementation

The first phase of school evaluation in England is data collection and analysis, which happens prior to the school visit. The collection of data and analysis falls into one of the following four categories (OECD, 2009);

- (i) Statistical data on performance (i.e. learners' performance and attainment in national tests). Once such data is gathered and completed it is then accompanied by quantitative information such as class size, learner-teacher ratio, number of learners with special needs as well as learner and teacher attendance records, all of which give a clear picture of what the school is like.
- (ii) Reports and other qualitative documents, (previous evaluation reports, the school development plan and the school policy document) are also looked at, mainly with the sole purpose of confirming some of the quantitative information gathered.
- (iii) Administrative documents, (timetables, annual school calendar, minutes of school management meetings and the school year programme) are considered, which give a sense of how the school is operating.
- (iv) The fourth source of information comes from the school stakeholders, (school leaders, parents, learners as well as the representative of the local community). This kind of information gives an indication if there is a sense of ownership of

the school by the school's stakeholders which may result in a mutual working relationship towards realising the school's common vision.

After the collection and analysis of the data, a process called risk-assessment is carried out. This is a screening process whereby underperforming schools are identified. This practice is undertaken so as to focus the work of evaluators on schools that are not performing as expected (European Commission/EACEA/Eurydice, 2015). In this process the indicators of learner performance are the results of learners in national tests, and they are a key feature in the risk assessment process. The data on learning outcomes is completed with results and judgements conveyed from previous inspections. In England, inspections are repeated in cycles, with each school receiving an inspection after a five-year period. However, the schools that are regarded as 'outstanding' in the previous evaluation are exempted from further routine inspection and only undergo a risk assessment three years after the last inspection, and thereafter annually, if the quality is maintained.

The school visits in England are meant to make available evaluators with first-hand evidence of school performance and functioning. The visits are generally structured around three activities; interviews with staff, classroom observation and the inspection of school activities, premises and internal documents. Irrespective of the interviews conducted with the staff members, teachers in England are also addressed through an online questionnaire, available to all teachers, with participation on a voluntary basis. There is also a provision of stakeholder involvement, whereby parents and learners are asked questions that relate to their satisfaction with the overall quality of the school, its educational provision and school facilities. The parents may also be asked to express their opinion on learners' workload, safety, study environment, school climate and bullying. In the process of school evaluation, the evaluators are expected to compile a report when they have completed their work, and their discoveries and conclusions are described in the final evaluation report. The conversation process that leads to a final evaluation report can have different layers of complexity with three basic steps as follows:

- 1) Evaluators send a draft report to schools,
- 2) School leaders provide feedback, and
- 3) Evaluators finalise the report.

The evaluator report is followed by a discussion with the school leader, after which the evaluators organise a meeting with the school management team to exchange views on the school. Following the outcomes of the external evaluation are the various actions that are normally considered in the trials, which are remedial, disciplinary and profile-raising. Remedial action consists of actions that are intended to address weaknesses and shortcomings in the quality of the education provided by the school. The second category relates to disciplinary actions, which are normally undertaken by the responsible authority and applied to those schools where remedial actions were not effective. In this instance, the Secretary of State may decide to cut the financial budget for the school, and the school may not be permitted to employ newly qualified teachers (European Commission/EACEA/Eurydice, 2015). The third category consists of actions that aim at recognising, circulating and promoting good practice, and are thus profile-raising.

For those schools that are not performing well or are causing concern, there is a Standard Monitoring Board which has been set up by the local authority to provide guidance and accelerate improvement. However, the approach of the local authority is to use intervention as a last resort. The Governing Body of the school judged to be inadequate is normally given instructions by the Director to take robust action in those areas of concern. In such instances, consideration of establishing a Management Intervention Board (MIB) becomes a priority. The MIB's duty will be to advise on all areas which are the responsibility of the governing body and attend the meetings of the Governing Body and appropriate sub-committees, as well as compile reports on achievements and progress against the action plan, to the Director of Children's Services.

The procedures for external evaluation in England also place an obligation on schools to develop an action plan that specifically addresses the weaknesses identified. In this regard, resources are made available to schools in case of need. This kind of support is also accompanied by a recommendation for low-performing schools to twin up with stronger ones. Besides the twinning of schools, the government also encourages schools to form clusters so as to drive their own improvement. Clusters help schools to exercise effective peer trial and support as a powerful instrument for development and improvement. Those schools causing serious concern are usually assisted

financially by the local authority and schools' forum at no cost to the school. However, the level of funding provided to the school is often influenced by the monies available in the school's own budget. The reports of external evaluation are normally made public and published on the website of the central or top level authority, the body that carries out the external evaluation, or the school itself. Therefore, schools are obliged to inform the school stakeholders of its existence.

b) Monitoring

In England, the school principal plays an active role in his/her own performance management and professional development as s/he acts as a performance reviewer, and can be a performance reviewer for other teachers as well, including members of the leadership group (i.e. Excellent Teachers and Advanced Skills Teachers) and, where applicable, delegate the role of performance reviewer in its totality (OECD, 2009). The principal has a responsibility to assess the standards of teaching and learning at the school, and to make sure that proper standards of professional practice are established and maintained. The principal also takes review outcomes in school improvement planning into account and makes sure that the school develops an effective plan for the professional development of its workforce. The information and data that schools assemble for performance management should be able to be used in a number of varied ways, i.e. for school self-evaluation, school improvement and development planning.

In England the performance management of the principal is reviewed by two or three school governors on an annual basis. In this regard, the school governing body is obliged to appoint an adviser external to the school to offer advice to the governors in relation to the performance management of the principal, such as a member of another school or an education consultant. As the leading professional at the school, the principal is also responsible for providing leadership and management for the school in order to promote a secure foundation from which to achieve high standards in all areas of the school's work. In attaining such success, the principal must establish a high-quality education by effectively managing teaching and learning to maximize and realise the potential of all learners. In 2014, the Department for Education (DFE) in England had introduced the School Teachers Pay and Conditions Document, which

prescribes the following duties and responsibilities for Principals (England State: DFE, 2015):

Job Description for the Principal in England

A. Overriding requirements

The duties and responsibilities of a school principal are all geared towards quality education delivery and learner success. The principal's professional duties must be carried out in accordance with and subject to the following aspects (England State: DFE, 2015: 4):

- i. The provision of all applicable legislation and any orders and regulations having effect under the applicable legislation, and in particular the Education Act of 1996.
- ii. The mechanism or instrument of government of the principal's school.
- iii. Any rules, regulations or policies made either by the governing body on matters for which it is responsible, by the authority with respect to matters for which the governing body is not responsible or by the principal's employer.
- iv. Where the school is a voluntary, foundation or foundation special school, any trust deed that applies to the school.
- v. Any scheme prepared or maintained by the authority under section 48 of the School Standards and Framework Act of 1998.
- vi. The terms of their appointment.

B. Delegation

The principal's responsibilities may be delegated to a deputy principal, assistant principal or other member of staff in a manner that is consistent with their conditions of employment and in line with the nature and extent of their management responsibilities, while maintaining a reasonable balance between work and other commitments for each teacher.

C. Professional Responsibilities

The functions of a principal at an elementary, middle or high school are similar, whether the setting is public or private. A principal is required to undertake the following duties:

- i. Whole school organisation, strategy and development;

- ii. Provide strategic leadership and, with others, lead, develop and support the strategic direction, vision, values and priorities of the school.
 - iii. Develop, implement and evaluate the school's policies, practices and procedures.
- Teaching;
 - i. Lead and manage teaching and learning throughout the school, including ensuring or serving in exceptional circumstances that a teacher is assigned to every class or group of learners in the school timetable.
 - ii. Teach.
- Health, safety and discipline;
 - i. Promote the safety and well-being of learners and staff.
 - ii. Ensure good order and discipline amongst learners and staff.
- Management of staff and resources;
 - i. Lead, manage and develop the staff, including appraising and managing performance.
 - ii. Develop clear arrangements for linking appraisal to pay progression and advise the relevant body on pay recommendations for teachers, including whether a teacher at the school who applied to be paid on the upper pay range should be paid on that range.
 - iii. Organise and deploy resources at the school.
 - iv. Promote harmonious working relationships within the school.
 - v. Maintain relationships with organisations representing teachers and other members of the staff.
 - vi. Lead and manage the staff with a proper regard for their well-being and legitimate expectations, including their expectations of a healthy balance between work and other commitments.
- Professional development;
 - i. Promote the participation of staff in relevant continuing professional development.

- ii. Participate in arrangements for the appraisal and review of their own performance and, where appropriate, that of other teachers and support staff.
 - iii. Participate in arrangements for their own further training and professional development, and where appropriate, that of other teachers and support staff including induction.
- Communication;
 - i. Consult and communicate with all the school's stakeholders, i.e. governing body, staff, learners, parents and carers.
 - Work with colleagues and other relevant professionals;
 - i. Collaborate and work with colleagues and other relevant professionals within and beyond the school including relevant external agencies and bodies.

It is also appropriate to highlight the responsibilities of the circuit manager, the School Governing Body and the post-level 1 educators as prescribed by the Department for Education (DFE), since they all play an essential role in the functioning of the school (England State: DFE, 2014);

The Role Function of the Circuit Manager in England

The circuit manager, as the immediate supervisor of the principal, has the responsibility to manage the performance of the principal in a consultative, supportive and non-discriminatory manner, to enhance school efficiency and accountability.

The Role Functions of the School Governing Body in England

In England the school governing body develops the school's performance management policy; monitors the process and outcomes of performance management arrangements; reviews the policy and its operation every year and makes decisions about pay and career progression based on pay recommendations made by reviewers (OECD, 2009). The performance management ideal in England is developed and implemented with the guidance from the Rewards and Incentives Group (RIG). In other words, it relies on the collaboration of educational authorities, i.e. school leaders' associations and teacher unions. The RIG is comprised of the following groups:

Association of School and College Leaders, Education Union, the Department for Children, Schools and Family, the Association for All School Leaders, the Teachers' Union (NASUWT), NEOST and Voice (the Union of Education Professionals). The direction of the RIG is that all reviewers should receive proper preparation for their role; hence preparatory training is available for evaluators or reviewers.

The Role Functions of a Post-level 1 Educator in England

Teachers play an important role in their own performance management and professional development including taking action as agreed at review meetings, where the reviewer has been delegated to them in accordance with the regulations; acting as reviewers for other teachers and contributing to the annual planning and assessment of other teachers where applicable (OECD, 2009). Even though teachers can be delegated, the Rewards Incentives Group (RIG) believes that wherever possible the role of the reviewer should be delegated to the teacher's line manager, i.e. the person who directs, manages and has a post responsibility for the area in which the reviewee mainly works. During the process of whole school evaluation in England, the post-level 1 educators are responsible for doing the following:

- (i) Allowing the immediate supervisor to conduct lesson observations.
- (ii) Keeping relevant evidence of the appraisal process.

By 2009, the RIG had established a guide for performance management to facilitate the process, as shown in Table 3.1 on the following page:

Table 3.1: The process of performance management in England (Rewards and Incentives Group, 2009).

Rating	Evaluators / Reviewers	Skill for evaluation
<ul style="list-style-type: none"> - Outcomes of the annual review are qualitative and report to professional development. - Assessments to access the top stages of the career are linked with the promotion decision. 	<ul style="list-style-type: none"> - Head teachers; may either be the reviewer for other teachers or delegate this role in its entirety. The head teacher cannot keep elements of the process while delegating others. It is the head teacher who evaluates and determines whether the standards for post threshold are met. - Teachers; It is the teacher's line manager that has to be given the first priority of being considered as a reviewer. 	<ul style="list-style-type: none"> - RIG believes that teachers' line managers are in a better position to do the job as they direct, manage and have a post responsibility for the area in which the review mainly works. - The guidance of the RIG is that all reviewers should receive appropriate preparation for their role. - Preparation training is available for evaluators / reviewers. - Schools' governing bodies need to make sure that reviewers for the head-teacher receive appropriate preparation for their role.
<p>Responses to Ineffective Teachers; the management of human resources takes place at the school level under the control of the governing boards. Individual ineffective teachers are deliberated by the governing board in accordance with the school's regulation. The school's governing body is also obliged to appoint an adviser external to the school to arrange for advice to governors in relation to the performance management of the head teacher (e.g. a member of another school, an education consultant, etc.).</p>		

c) Evaluation

The teacher evaluation process in England is reciprocal in that it allows a mutual working relationship between the supervisor and the subordinate, as both should have conferences prior to and after the appraisal process. The qualifications of external evaluators in England are formal qualifications and professional experience as well as communication skills, knowledge and competencies. The external evaluators must

have received specialist training, either before their appointment or during their induction or probationary period (Rewards and Incentives Group, 2009).

3.2.1.2 Challenges Encountered with the Appraisal System in England

There are several problems that can arise during the performance appraisal process, some from the manager or supervisor and others from the subordinate. Educators often dislike the interviews of performance appraisal due to fear of criticism, fear of uncertainty in handling questions and fear that their salary increases, promotions and their destinies with the school hinge upon the outcomes of these interviews, as they might serve as justification for decisions that are already made (UKEssays, 2018). Sometimes managers come across various problems and challenges in trying to make the performance appraisal system at the schools effective and successful. These result from the following:

- i. Lack of competence – it is necessary for the raters to attend training so as to gain the necessary knowledge and skills in order to carry out the appraisal process objectively.
- ii. Errors in rating and evaluation – it is important for the employees to be evaluated by more than one different evaluator in order to avoid problems of personal bias like stereotyping in the appraisal process.
- iii. Resistance – the appraisal process needs to be clearly communicated so that every employee is well aware of what is expected of them in order to avoid confrontation from the employees and their trade unions.

3.2.1.3 Strategies Implemented in England to deal with the Challenges of the Appraisal System within Schools

It is important to briefly highlight the importance of making use of, or recognising, the services of Ofsted since it is the office for standard in education, children's services and skills. Ofsted is an office or organisation that reports data directly to parliament and is both independent and unbiased (England State: Draft - Bracknell Forest Policy, 2015). By law it must inspect schools with the aim of providing information to parents, to promote improvement and to hold schools to account. It is also necessary to reflect on how the process for quality assurance is being conducted in Bracknell Forest Council. In the process the adviser is the key contact between the school and the Local

Authority, and all primary schools are allocated a day per term of adviser time. The most critical part of quality assurance for all schools takes place at least once a year when the Local Authority (the attached adviser to the school) and the school leadership deliberate the school self-evaluation and the Local Authority's external evidence assessment. The deliberation involves a professional review of the evidence, aiming to reach agreement both on what the evidence displays and on any necessary action, i.e. an agreed quality assurance overview. The adviser and the school will then have to take any agreed arrangements and monitor the consequences. In the whole, care is given to the drafting of an overview document so that it is both harsh and meaningful. The governing body is involved in the process through confidential reports provided for the top level authority for consideration.

In England, Ofsted directly employs its own inspectors called Her Majesty Inspectors (HMI). These inspectors are often led by teams of inspectors called Additional Inspectors (AI), are employed by commercial organisations termed Inspection Service Providers (ISPs) and work under contract to Ofsted (European Commission/EACEA/Eurydice, 2015). The local authority is held responsible for the quality of education provided in schools. The focus for the support of local authority is published in the Strategic Plan for Children and Young People, which is a working document reviewed annually and modified in response to an analysis of schools' needs and standards attained by learners (England State: Draft - Bracknell Forest Policy, 2015). The local authority has a small team of advisory teachers who work closely with many teams in the local authority, including those supporting school governors, learners with special educational needs, those with behavioural difficulties and those from families requiring help. Therefore, the approaches of school evaluation for quality assurance in England are carried out by local and central authorities and have the same objectives and focus, but the procedures that are used as well as the outcomes for schools differ.

The local education authorities in England have a legal duty to promote high standards in schools that they themselves maintain. Specific evaluation procedures are not prescribed and local education authorities generally do not carry out inspections, although some will conduct visits as part of their monitoring activities. They mainly review the performance of schools through the use of data and identify those schools

that require improvement and intervention. In England both systems, i.e. internal and external school evaluation, co-exist (OECD, 2009). The internal evaluation is recommended by inspectorates, or other bodies in charge of quality assurance of the education system. In the external evaluation process, there are three phases. The first is the collecting and analysing of the data on a single school; the second phase involves a visit to the school to observe practices, inspect documents and consult the school staff members as well as the relevant stakeholders; and the third phase consists of preparing the evaluation report.

3.2.1.4 The Success factors of the Strategies Implemented in England for the Appraisal System

According to the European Commission, external school evaluation in Europe has brought in two practices; risk-based approaches and profile-raising activities (EACEA/Eurydice, 2015). These two approaches are used in several countries in the United Kingdom, for instance England. External school evaluation serves as an instrument for identifying and giving visibility to good practices as well as sharing evidence on what works. However, there is also the potential for counter-effect, i.e. making good practice invisible which, in many instances, results from the inaccuracy and irrelevance of the indicators. Irrespective of such possibilities, external school evaluation enables schools to be more accountable to the public. Once schools become accountable to the public they deliver in order to establish standards, i.e. market-based accountability. In this respect, parents have a greater choice in the schools their children attend and thereby trigger the market-like dynamics where schools have to perform and compete for learners. England falls within that market-oriented vision.

3.2.2 Teacher Appraisal System in Scotland

The curriculum in Scotland has traditionally been implemented through consensus (Scottish Government – OECD, 2015: 12). The basis of the consensus was, in the main, derived from the policies of the Organisation for Economic Co-operation and Development (OECD). The OECD is a group of 34 member countries that debate and develop economic and social policy. All OECD members are democratic countries that support free market economies. The OECD was established on the 14th of December

1960 by 18 European nations plus the United States and Canada and later expanded to include South America and the Asia-Pacific region. The OECD includes most of the highly developed economies. The OECD has dealt with a range of issues, including raising the standard of living in member countries, contributing to the expansion of world trade and promoting economic stability.

According to the OECD (2015), raising teaching performance is possibly the policy direction most likely to lead to considerable improvements in students' learning. In turn, the effective monitoring and evaluation of teaching is crucial to the ongoing improvement of the efficiency of teaching in a school. Therefore, the Scottish believed that it is a meaningful teacher evaluation that can produce the required outcomes, i.e. a correct and effective appraisal system that reflects the strengths and areas for development, followed by feedback, coaching, support and opportunities for professional development. It is important to know the strength of teachers and those aspects of their practice which could be further developed. Against this background, the institution of teacher evaluation is a very important step in the drive to improve the efficiency of teaching and learning and raise educational standards. In this respect, the Local Education Authorities (LEAs) were given the power to manage and run schools by the Department of Education and Employment (DEE).

Due to the OECD's influence, Scotland developed the Curriculum for Excellence (CfE) which became an important reform to put in place a coherent 3 - 18 curriculum. The aim has been to lay the foundations for lifelong learning through Broad General Education (BGE), i.e. incorporating primary schooling and the first stages of secondary schooling. CfE has been attached in consensus to a wide range of parallel reforms. These include teacher education, extensive work on qualifications and vocational educational and training, and the establishment of a National Parents Forum and a new Leadership College. The CfE Management Board, comprising a wide range of representative stakeholders in Scottish education, occupies a central position. Education Scotland has been the basis in terms of providing guidance, resources and quality assurance. In doing so, Education Scotland has been coordinating with other organisations to build system alignment and coherence, tailored to implementing CfE as a Scotland-wide curriculum program. Scotland has a high regard for education, and

there is trust towards teachers' professional judgement. Against this ethos, there has been widespread engagement with CfE and acceptance of its principle by teachers.

In many European countries, specialist training in internal evaluation is offered to schools as a support measure. This specialist training is not compulsory but can be offered on request. However, in the United Kingdom (Scotland in particular), the training in internal evaluation constitutes part of the initial or in-service training for school heads and/or teachers. According to the European Commission (EACEA/Eurydice, 2015: 48), most education systems in Europe seek advice and support from external specialists such as academic experts and school improvement advisors. The inclusion of these external experts, in the main, means that they offer advice, guidance and training on how to conduct an internal evaluation, which tools can be utilised and how to present the findings and draft the action plan based on such findings. Moreover, they can also provide support for planning the targets and measures for quality assurance and development, including their actual implementation. However, in Scotland it is the local authority that has the legal duty to support evaluation and as a result, some local authorities engage independent consultants to help with the analysis of data, or other aspect of self-evaluation. The local authorities sometimes involve teachers in 'peer evaluation' of other schools, or even go as far as allocating a member of the local authority staff who works with the school for a minimum number of days each year to support evaluation.

3.2.2.1 Implementation, Monitoring and Evaluation of Teacher Appraisal System in Scotland

a) Implementation

The process of school evaluation in Scotland is administered locally, with line managers facilitating the process (Scotland State - Glasgow City Council, Education Services, 2003). However, teachers can request or insist that the Professional Review and Development (PRD) be conducted by a manager of his or her choice, and not necessarily his/her manager. This shows the level of control or ownership that the individual teacher has over the process. However, teachers have mixed feelings about the effectiveness of self-school evaluation. On the other hand, professional associations see PRD as an entitlement for each individual. It is not uncommon for there to be tension at various schools between individual professional development

and whole-school priorities. The individual professional development is the Personal Learning Plan (PLP) and it is grounded on a professional conversation between the reviewer and the reviewee. Therefore, tension often arises if the reviewee's self-evaluation of progress is to some extent different from that of the reviewer. In this regard, the self-evaluation of the reviewee becomes paramount.

It is appropriate to define what is meant by 'internal school evaluation'. Internal school evaluation is a process undertaken by schools themselves to evaluate the quality of the education they provide. This process is carried out by members of school staff, and sometimes in collaboration with other school stakeholders, such as learners, parents, or members of the school community. The participation of all the school stakeholders in internal school evaluation is seen as the key feature of successful internal evaluation as it promotes a shared responsibility for the improvement of schools. The focus of internal school evaluation is on any aspect of school life, from its pedagogical approach to its administrative efficiency.

b) Monitoring:

In Scotland, internal evaluation is locally administered. This means that an inspection or monitoring of the process is required. The schools themselves are accountable for monitoring and evaluating individual practice for effectiveness. In the process, teacher unions are also involved so as to monitor and safeguard their members. The professional associations and unions closely monitor the Professional Review and Development (PRD) at local and national levels. All professional teachers in Scotland must have been registered with the General Teaching Council for Scotland (GTCS) which monitors teachers' professional standards and conduct.

In many countries the participation of stakeholders in the process of internal evaluation is managed through regulations. However, in Scotland the participation of stakeholders in internal evaluation is often recommended by the central authorities. There are a number of supporting measures or tools that are made available to schools to help them carry out their internal evaluation. On top of the training that evaluators receive, supporting tools such as documents and data are made available. Furthermore, the evaluators in internal evaluation are at liberty to use an external evaluation framework, the indicators that enable a school to compare itself with others

(such as learners' tests, school's size, geographical location and socio-economic background of learners), guidelines and manuals, as well as online forums or aids (such as the provision of observation sheets, questionnaires, video tutorials and helpdesk support).

In Scotland, local authorities are required to improve the quality of the education provided in the schools they manage. In terms of school evaluation for quality assurance, Scotland uses a sampling system whereby a statistically valid sample of schools to be inspected within the annual program is identified using criteria such as the school's size and its location in an urban or rural or deprived area. The 2001 Recommendation of the European Parliament emphasises the need for enhancing quality and calls on Member States to encourage school internal evaluation (or self-evaluation) as a method of creating learning and improving schools (European Commission/EACEA/Eurydice, 2015). All schools in Scotland systematically use the external evaluation framework employed by Education Scotland and by local authorities for self-evaluation, even though it is not compulsory or required by law. The schools are free to choose the tools that seem to best fit their internal evaluation processes, including the choice of external evaluation frameworks.

c) Evaluation:

In Scotland, the findings of internal evaluation are very significant for external evaluation because the inspectors use the self-evaluation report and improvement plan that are produced by schools yearly as the starting point for external evaluation. The system of external evaluation relies strongly on internal evaluation; that is, schools have to report on the standards and quality of all aspects of their work, whereas an inspector's focus is limited to five main aspects of schoolwork, including improvements in performance, learners' experiences, meeting learning needs, and internal evaluation (Whitley, 2016). The findings of internal evaluation are normally used in the following manner:

- i. By schools for improvement purposes (thus taking the findings into account to inform their management, monitoring and evaluation activities when developing their action plan for development). The whole point of internal evaluation is to assess what is and is not working, and to determine what changes are needed to advance excellence goals.

- ii. By central or top level (i.e. regional) authorities for the external evaluation of schools, and for the monitoring of the education system. This ensures that there are organisational conditions that support development of the capacity to carry out and use evaluation for improvement and innovation at the school.
- iii. By local authorities for the management or evaluation of schools as well as for reporting to higher education authorities. This enhances collaboration or teamwork and ensures that the efforts that go into evaluation lead to improvement, and that such vision is shared by all and can be articulated by all.

3.2.2.2 Challenges Encountered with the Appraisal System in Scotland

The Scottish believe that the wide vision and achievement in learners' performance and the Curriculum for Excellence (CfE) is moving in the right direction, though it needs to be broad, balanced, flexible and inclusive. According to OECD (2015) it needs to meet the aspirations of all young people. It is believed that CfE is the way forward but teachers need to be trusted and given the platform to make it work. Unfortunately, the cuts in education and the shortage of teachers have and will continue to create a narrowing of the curriculum. This will lead to some of the young people disengaging with education, which will have consequences down the line and create further problems. Qualifications and assessments need to fit the teaching and learning, and not the other way round. Teachers' professional judgement must be respected and not tested at every opportunity. The government must be prepared to deliver on its commitment to focus on driving in CfE across S1 to S3 (i.e. first to third year of secondary level of primary schooling, see Table 3.2) and ensure that assessment is proportionate and appropriate from S3 onwards. S1 and S2 are a continuation of the CfE started in primary school, after which no set national approach is established. S3 is considered to be within the Broad General Education (BGE) phase. The little progress made to relieve this burden has led to teachers resorting to industrial action against excessive and unreasonable workloads. The general view is that the government must ensure that good education is an investment not just in children, but in the society and the economy.

3.2.2.3 Strategies Implemented in Scotland to deal with the Challenges of the Appraisal System within Schools

The inspection of school in Scotland is carried out by Education Scotland, a Scottish government executive agency dedicated to improving education. The main purpose of inspection in Scotland is to provide assurance to stakeholders about the quality of education provided; to build capacity for improvement by focusing on schools' self-evaluation procedures; and to inform national policy development through evidence-based advice. The inspection is carried out by Her Majesty's Inspectors who are civil servants working for Education Scotland and is led by a managing inspector. Only professional teachers with University Honours degrees and with successful professional experience in education as well as a proven track record in a significant leadership role can be recruited to be part of Her Majesty Inspectors (OECD, 2015).

It is important to note that the inspection teams also include Associate Assessors who are high performing practitioners such as head teachers; deputy head teachers and local authority quality improvement officers. The inspection starts with a scoping meeting which builds on the school's own self-evaluation report and during which the head teacher presents key information contained in the school's Standard and Quality Report and School Improvement Plan. The meeting is attended by representatives of the local authority and Parent Council as well as a group of children/young adults. The meeting focuses on how self-evaluation is leading to improvement. In the meeting the head teacher may direct the team in the direction of good practice.

The Role Function of the School Principal in Scotland

The duties and responsibilities of a school principal in Scotland are guided by the National Teachers' Agreement, as produced after the agreement reached following the recommendations made in the McCrone report and are similar to that of South Africa and England (Scotland State: McCrone Report, 2001: 26). These duties and responsibilities include:

- 1) Responsible for the leadership, good management and strategic direction of the school.
- 2) Responsible for the school policy for the behaviour management of pupils.

- 3) Responsible for the management of all staff, and the provision of professional advice and guidance to colleagues.
- 4) Responsible for the management and development of the school curriculum.
- 5) Act as adviser to the School Board and take part in the selection and the appointment of the staff of the school.
- 6) Promote the continuing professional development of all staff and make sure that all staff have an annual review of their development needs.
- 7) Work in corporation with parents, other professionals, agencies and schools.
- 8) Manage the health and safety of all within the school premises.

3.2.2.4 The Success Factors of the Strategies Implemented in Scotland for the Appraisal System

The internal school evaluation is structured by central or top level authorities for schools. In the internal school evaluation, schools are obliged to use the very same framework as external evaluators. The internal school evaluation is also referred to as self-school evaluation as there are no inspectors from outside who come to partake in the process. Scotland is a typical example in this regard as all schools have adopted the same framework used by external evaluators on the basis of a national consensus (European Commission/EACEA /Eurydice, 2015). It is important to note that in Europe countries differ in their approach when it comes to the process of internal school evaluation. Some education systems have regulations on whom to involve (e.g. participation of a vast range of stakeholders including learners and parents) while others only regulate the participation of school staff members. However, all European countries put measures and tools at the disposal of schools for internal evaluation. The most common way to provide support to schools in Europe is the provision of guidelines and manuals.

There is an interdependence between internal and external school evaluation. This could be seen against the background that some European countries that carry out internal evaluation are examined by external evaluators. In cases where both internal and external school evaluations coexist, external evaluators make use of internal evaluation findings. In the same vein, internal school evaluation serves as a source of information for external evaluators in order to elaborate on the profile of the school to be visited and better focus their work. Moreover, education authorities influence the

content of internal school evaluation in many ways, e.g. by giving schools a predetermined list of criteria, by providing guidelines and manuals, or through the formulation and distribution of indicators that enable schools to compare themselves with others.

Currently, school self-evaluation is understood as a matter of priority in most economically advanced countries of the world. It flows from a collective concern for quality assurance and effectiveness, fuelled by international comparison which ranks countries on a range of shared indicators. Against this spirit, the performance of learners from countries who partake in the surveys of OECD and UNESCO reflects key areas of skill and knowledge acquisition, and such investment carries high political rewards. This is because the international policy context for self-evaluation is driven by three primary 'logics' (OECD, 2015) as follows:

- 1) An economic logic: which maintains that the costs of training, administration, conduct and follow-up of external evaluation are too high, and may not offer value for money.
- 2) The accountability logic: which prefers that schools render an account to government and parents in return for the investment and public trust put in teachers and school leaders.
- 3) A school improvement logic: which holds that the process of reflection, dialogue and concern for evidence is the engine of better schools.

The three logics mentioned above are not disconnected in their expression but can simply become the dominant or driving motive. When they do get out of balance the quality of learning and teaching suffers. Demanding schools to be 'self-inspecting' (that is, assuming the role of external inspection) may have economic benefits but may divert attention and energy from the fundamental work of the classroom. An over-emphasis on accountability may result in the slow destruction of professional engagement and vitality of teaching. School improvement is the most convincing logic of the three; however, without accountability and attention to the attendant time and opportunity costs, it is bound to fail.

There are important lessons to be cultured from school self-evaluation around the world, with countries striving to reconcile the three main logics and to find the balance

between external and internal evaluation. Having examined the European evaluation models, the following two typologies or classifications can be identified:

- i. Relative typology – in this category inspection takes the school's own data as its starting point. In this model of self-evaluation, the better the self-evaluation the less intensive the inspection. Both Scotland and England are labelled as falling under this rubric.
- ii. Supportive typology – in this category the role of inspectors is to offer support for schools in carrying out self-evaluation more effectively. England and Scotland to some extent fall into this category but to a greater extent, South Africa.

In many countries there are unique differences in the nature of the whole school development process, i.e. the high price implications, support and pressure, the flexibility of frameworks and criteria, the extent of the dialogue and the participation of teachers in developing frameworks, as well as the criteria and procedures. In Scotland, for example, the period of the process of development and refinement involving teachers and other bodies has extended over a decade. Critical to its extensive reception by schools has been its progressive development over that period in which teachers have been involved, in piloting, designing instruments, modifying and slimming down the indicator set, and moreover making the approach less prescriptive and more convertible by schools. While there are schools which use How Good is Our School? (HGIOS) with little sense of ownership, there are other schools that see it as a reference point, as a basis for dialogue among staff and pupils, and sometimes parents.

Most schools in Scotland, as part of their whole strategy for raising achievement, often asked themselves 'How Good is our School', as a way of getting into the whole dialogue with staff and pupils on areas that an effective school should be concerned with (Scotland State: Glasgow City Council - Education Services, 2003). They looked at what impedes learning, what makes effective learning and what makes effective teaching and they worked through that with their own teachers to begin with. This demonstrates self-evaluation being used creatively, formatively and with ownership by teachers rather than as a prescribed exercise. The national context of a country should

be one in which inspection and self-evaluation are in a process of development but give schools the freedom to be creative and in control of the process.

According to Chapman and Sammons (2013) the activities of self-evaluation should be focused directly on pupils and teachers. They maintain that such an approach will enforce highly individualised learning plans, including a range of lesson materials and activities which are designed to meet individual pupil needs across the field from those with special educational needs to the highly gifted. The acceptance of different learning styles and pace should be very much in evidence. This means that both purpose and audience are critical in school self-evaluation. The school's focus is on telling its story about what matters and conveying it through a range of visual as well as written media. With external support from a critical friend or a project team, schools become both passionate and imaginative or creative in self-evaluation, especially in English schools where there has been support either from local authority or in the context of development projects.

3.3 TEACHER APPRAISAL SYSTEM IN AFRICAN COUNTRIES

The main objective of teacher appraisal was to develop teachers in order to improve their delivery in schools. The effectiveness of the process of teacher appraisal is, however, dependent on the perceptions of the teachers themselves. In the next section the researcher will be expounding on the effectiveness of the process of teacher appraisal by focusing particularly on two African countries; Botswana and Zimbabwe.

3.3.1 Teacher Appraisal System in Botswana

Since the expansion of the education system of Botswana in the 1970s and 1980s, as a result of cardinal reforms, there has been concern about quality. One of the quality assurance measures introduced was teacher appraisal. The current teacher appraisal scheme in Botswana was introduced in 1992 as a non-threatening, valid and extensive system to develop the individual teacher and the school (Whitley, 2016). In order to strengthen the supervisory roles and performance of teachers, the Botswana Government's White Paper on Job Evaluation for Teachers was implemented in 1998. Job evaluation linked performance appraisal to salary increments, which is similar to

the appraisal systems in South Africa, Zimbabwe and the United Kingdom. The appraisal system in Botswana could be categorised into two models, namely, the accountability model and the professional development model. The accountability model is managerial, control-oriented, judgemental and hierarchical. In its purest form, it identifies incompetent teachers, identifies weaknesses in teachers' performance, assesses performance for the purpose of pay and promotion and provides evidence for disciplinary procedures. The professional development model is considered to be a two-way process between the appraiser and the appraisee. In this model there is an element of trust and confidentiality. The belief is that teachers are eager to improve their performance in order to enhance or improve learners' performance, hence the focus is on negotiation and the philosophy is the supporting of teaching and managerial development.

The Unified Teaching Service (UTS), now referred to as the Teaching Service Management (TSM), which is a body that employs all teachers in Botswana's government schools, has been looking after the conditions of service for teachers since its establishment in 1975 (Monyatsi, 2002). In 1976, in order to facilitate the conditions of service for teachers, the UTS produced a policy document entitled Code of Regulations, which demanded that the Director of UTS should be furnished with an annual confidential report on each teacher in the interest of the service, and that the report had to be prepared by the head teacher, supervisory officer or any other authorized person. Monyatsi further states that the annual confidential report was in no ways communicated to the appraisee. However, the Director could communicate to the teacher concerned if needs be.

In order to instil a spirit of productivity in the teaching profession, the Botswana government introduced the job evaluation exercise of 1988 (Republic of Botswana, 1989). The Job Evaluation Exercise of 1988 reviewed and defined job contents and levels of responsibility and determined a rational public service pay and staff grading structure. The Government White Paper on Job Evaluation for Teachers emphasized the need for subject teachers to carry out continuous assessment in order to determine whether they were eligible for annual increment, promotion from one salary bar to another along the extended scale to the maximum salary point, and a higher post of responsibility. The Botswana Teachers Union (BTU), which represented the majority

of teachers across all levels, immediately submitted its first memorandum to the Director of UTS expressing the teachers' dissatisfaction with the outcome of the Job Evaluation Exercise.

A concerned group of mainly primary school teachers emerged calling itself the Job Evaluation Unsatisfied Teachers (JEUT). The JEUT engaged its members into a three-week strike by boycotting classes (Republic of Botswana, 1990). The strike mainly involved the primary school teachers because the Botswana Federation of Secondary Teachers (BOFESETE) had just been formed in 1987 and had many problems to contend with, such as lack of recognition by the Ministry of Education and lack of funds for mobilisation. As a result of the three-week strike, the Botswana government was compelled to set up a task team to reconsider the teachers' salary structure. The task team came up with a list of recommendations that led to the introduction of the career ladder structure of progress. Although the protests described above were not directly linked to the process of appraisal per se, they demonstrate that teachers are always concerned when their conditions of service are being tampered with.

3.3.1.1 Implementation, Monitoring and Evaluation of Teacher Appraisal System in Botswana

The drive of the current system of appraisal in use in Botswana schools seeks to indicate whether the performance level of the teacher validates some reward or not; to identify training to improve performance and productivity and to identify the teachers to be appointed to higher positions or advancement to a higher notch/grade. This approach to teacher appraisal fits the accountability model of appraisal. When one looks at the origins of the current system of teacher appraisal in Botswana, it came about mainly as a result of the Job Evaluation Exercise which demanded that teachers should be subjected to continuous assessment to determine whether they are eligible for annual increment. As clearly indicated in one of the biennial reports of the Ministry of Education, "... the objective of the teacher appraisal scheme is to maintain a closer link between teachers in the field and the headquarters of the Ministry of Education annual increments were no longer automatic but awarded on merit after the appraisal process" (Republic of Botswana, 1997:42). The implication is that appraisal should be used to inform those at headquarters about the teacher in the field for the purposes of rewards and promotion.

Of course, after the Presidential Commission on the Review of the Incomes Policy (Republic of Botswana, 1990) which states that government must ensure that there is an enhanced entry salary as well as parallel progression within the current public salary structure, the appointment of a teacher to a higher position, or the advancement to a higher notch or grade was no longer dependent on the appraisal process alone. The implementation of parallel progression for teachers resulted in the introduction of TSM 5 (see Appendix H). Although it can be argued that progression beyond the so-called proficiency bars is no longer part of the appraisal process, the relevant information from the appraisal records continued to be taken into account by head teachers and chief education officers when advising those responsible for taking decisions on promotion. Important to note is that the acceptance by government of the recommendation by the Presidential Commission was based on the reassurance of Botswanans entering the areas of relative scarcity of manpower, i.e. artisan, technical and professional personnel.

a) Implementation:

Prior to the Job Evaluation Exercise of 1988, teachers' annual increment was automatic while that of the Civil Service had been determined by the outcome of the performance appraisal system introduced in 1984 (Monyatsi, 2002). The Job evaluation exercise introduced a system whereby teachers had to get their promotion or increment based on their assessment eligibility. This means, in the absence of such a mechanism, UTS had to devise some instrument by which a teacher's progression could be determined. In response to the Job Evaluation Exercise, the current system of teacher appraisal was born, as UTS introduced Form TSM 3/4 in 1991 (Republic of Botswana, 1994). A Ministry of Education Fourth Biennial Report 1992-93 (Republic of Botswana 1994) claims that the following general points were observed when the scheme was introduced:

- i. The appraisal scheme was to be extended to all teachers employed by the Teaching Service Management (TSM), previously known as Unified Teachers Service (UTS).
- ii. The appraisal scheme was not to be used as a way to discipline teachers.
- iii. The appraisal scheme was to be accurate, frank, and above all, open to the appraised.

- iv. All appraisers and appraisees were to receive training before they were involved in the appraisal process.
- v. The appraisal scheme was to be seen as a continuous process involving support or staff development.

The general points which were taken into consideration when the current scheme was introduced need to be looked at in relation to the aspect of development and accountability. According to Monyatsi (2002), the scheme was to be piloted from 1991 to 1994 in secondary schools only. However, it is uncertain whether there was any piloting at all, or whether the piloting phase was effective because according to the Unified Teaching Service Circular No. 1 of 1991 (UTS, 1991), the revised teacher performance appraisal Form UTS 3/4 was to be dispersed to all concerned for completion by all teachers employed by the Unified Teaching Service. However, the fact that by October 1991 the current system operating in Botswana secondary schools was being implemented nationwide to all teachers employed by UTS raises doubts as to the effectiveness of the piloting exercise. The circular emphasized that the teacher performance appraisal forms had to be completed by both secondary and primary school teachers as well as tertiary teachers employed by the Unified Teaching Service. In this respect, piloting of the innovation was necessary. Piloting is a very important phase in the development of any system at any institution as it discloses both shortcomings and strengths of such a system and permits for amendments to be made before full implementation. It also permits for the involvement of sample groups of those who will be affected by the scheme, a scenario which usually advances ownership.

The purpose of the current teacher appraisal system in Botswana schools is to indicate whether the teacher should get some reward or not, where a denial of such a reward can be counted as a disciplinary measure. The same applies to a lack of promotion. The crucial factor for an appraisal process to be effective is the training of both appraisers and appraisees. Against this ethos, the Revised National Policy on Education of 1994 recommended that ‘... heads of schools should receive continuous management training involving skills of staff performance appraisal’ (Republic of Botswana, 1994). It is believed that training would allow for the smooth implementation by people who are skilled and knowledgeable. Concerning the existing teacher

appraisal system in Botswana, it can be argued that there was no formal training except for the information provided during the Headmasters' Conferences and the instructions contained in the Unified Teaching Service circulars (Monyatsi, 2002). The effectiveness of such training is questionable when one considers that in a conference scenario, there is limited time for effective presentation and comments because of the slight opportunity for in-depth discussions.

b) Monitoring:

In Botswana, a Strategic Plan was developed to facilitate the process of teacher appraisal at schools, and it became successful as teachers were willing to learn and accept being mentored (Tsotetsi, 2013). The Strategic Plan required much effort from the facilitators of the sessions, and planning and preparation of the materials which were some of the conditions that supported it. The other important factor in the Strategic Planning has been the teacher collaboration, which made it possible for teachers to hold meetings and share their subject expertise. In this regard teachers would meet on a monthly basis for reflection sessions and would write journals for future use of the information and the knowledge gained. In order for teachers to fulfil their roles, they are expected by the Ministry of Education to share a common vision with the District Office, hence the establishment of the Teacher Advisory Centres as well as the placement of tutors in those centres, which were meant to provide and manage the professional development of teachers (Republic of Botswana, 1994). With regard to monitoring, the insufficient number of staff at the Teacher Advisory Centres left the tutors with the option of providing professional development without any follow-up at school level, and as a result the tutors were unable to monitor the work of teachers as expected.

The introduction of local Teacher Advisory Centres or the change towards school-based in-service training in Botswana has brought about an advantage to a teacher developing in an environment with which he/she is familiar. According to Monyatsi, Steyn and Kamper (2006), the change to school-based in-service training has several benefits. Firstly, the model focuses on teaching and learners' learning as it is motivated by the needs of the schools as identified by the school management teams in consultation with the staff and Boards of Governors. Secondly, the model is contextual in the sense that holding workshops in individual schools permits for the possibility of

management ideas being shaped to the particular needs of the school. Thirdly, the resources for the programme are specifically designed to support the needs identified by the schools, and not provided by an external list of expert trainers or advisors. Fourthly, it encourages the sharing and analysis of ideas on an equal basis in a group in which no one is considered to be the expert. Lastly, it attempts to balance the upward thrust of school initiative with the downward force of bureaucratic regulation in such a way that neither dictates to the disadvantage of the other.

With particular reference to the school-based approach to in-service training, it is clear that there is a mutually beneficial relationship with the process of teacher appraisal, as data from the school-based in-service training can be utilized during the appraisal process to determine the kind of training the teacher needs. Furthermore, school-based workshops play an important role in staff development, a view which is hardly reflected in the present teacher appraisal in Botswana schools. The appraisal process as practised in Botswana schools apparently contradicts the essence of appraisal, namely that appraisal should be open to avoid mistrust and suspicions. This is against the background that the recorded information of the observation during the appraisal process in sections C, D, E and F of Form TSM 3/4 is not shown to the appraisee (see Appendix G).

c) Evaluation:

The instrument that was employed in the new appraisal system in Botswana was called Form TSM 3/4 (see Appendix G). The new system of teacher appraisal was viewed by its designers as non-threatening, effective and comprehensive, and had the ability to offer teachers the opportunity to learn and develop in a situation that would develop the individual and the school (Republic of Botswana, 1994). The appraisal cycle in the Botswana teacher appraisal system is annual. According to the instructions contained in Form TSM 3/4, the process should include a pre-appraisal interview between the appraiser and the appraisee, where the teacher is given the job description and expectations are sketched. Form TSM 3/4 is divided into six sections, but the appraisee is allowed to see information in two sections only, sections A and B.

Section A of Form TSM 3/4 deals with the demographic information about the teacher and it is completed by the teacher. It involves information such as qualifications,

experience and comments on the job. It is the self-appraisal where the teacher considers, among other things, his or her situational constraints, hopes, expectations and ambitions. Section B of the instrument is the merit assessment which forms the basis of the whole process and is divided into three sub-sections. Subsection B1 is to be completed by the immediate supervisor who should have observed the appraisee on at least three occasions when s/he was teaching. It offers a summary of a number of classroom observations and involves almost all tenets of classroom delivery, from lesson preparation to reaction of learners in class. Sub-sections B2 and B3 assess the appraisee's general school life and are to be completed by the head of the school who should have supervised the appraisee for at least three months. They focus on factors such as the teacher's attitude to supervisors, dress and appearance, punctuality, attitude to work, and example to learners.

According to the instructions of Form TSM 3/4, the merit assessment (i.e. Section B) should be shown to the teacher and be discussed with him/her (see Appendix G). The form also states that the discussion should relate closely to the previous interview, in which the job description was given and expectations were sketched. The form further expounds that the discussion should focus on practical ways to improve the teacher's performance and productivity of the institution, and after the teacher has been shown the merit assessment, s/he must then acknowledge it by making general observations and appending his/her signature. The discussion represents the stage where targets are set and the appraisal statement is formulated. After this stage, the whole exercise is confidential to the appraisee.

During the appraisal process the head of the school makes overall observations and recommendations. Sections C and D of Form TSM 3/4 are completed by the head of the school. Section C aims at assessing the appraisee's training and development needs in order to recommend the appropriate training to improve performance or overcome a known performance gap in the job, while section D deals with recommendations based on Section B. For instance, it states whether or not, based on the merit assessment in Section B, the appraisee is recommended for confirmation to the permanent and pensionable service; the appointment is terminated; the appraisee is recommended for annual increment; or the appraisee is recommended for promotion. On completion, the forms are sent to the Chief Education Officer at

Regional level to make his/her assessment, based on that of the head of the school. The forms are then passed to the Directorate of Teaching Service Management for action.

The current appraisal system as practised in Botswana schools adopts a line management approach because it is the immediate supervisor who makes the merit assessment in sub-section B1. The merit assessment is made on a set of rating scales based on at least three classroom observations. The implication of the line management approach on the appraisee is that he or she has no choice regarding who should appraise him or her. However, it is very important for the success of the appraisal process that the appraiser and appraisee should have a professional relationship. Moreover, there should be trust and confidence between the two. There are some concerns in the merit assessment which need to be looked at. These are discussed below.

Firstly, more than 50%, that is, 14 out of 25 items of the merit assessment in Form TSM 3/4 deal with activities that are not directly linked to classroom activities; some of which may be difficult to assess, for instance, community involvement and the teacher's way of life. These aspects are sensitive and may be too difficult to assess as different people have different cultures. The same applies to dressing codes, as these are personal traits that may not have any bearing on the teaching and learning process and are very subjective. For instance, what does the appraiser do to a teacher whose voice is naturally not strong? In this instance, it might be unfair to judge such a person the same way as the others.

Secondly, the merit assessment assumes that all teachers possess the same skills, knowledge and responsibilities and should be judged in the same way. However, an assistant teacher, or post level 1 teacher, should not be expected to have the same influence and leadership skills as the deputy headmaster or a senior teacher. The same concept applies to guidance and counselling, as these areas in schools are carried out by those who specialised in the topic at college. This treatment of teachers as though they are all the same is very unfair when one considers the fact that TSM uses the aggregate when making the final judgement.

Thirdly, the merit assessment makes the role of the school head more or less similar to that of a policeman in the school, who intrudes into the private lives of the staff in order to make informed judgements; a scenario which negates the collegial and collaborative relationship of supervisors and subordinates.

3.3.1.2 Challenges Encountered with the Appraisal System in Botswana

According to Monyatsi (2002), the identification of the evaluation criteria in Botswana is one of the biggest problems faced by managers or evaluators. This stems from the fact that the performance data that is collected or considered for evaluation has to be carefully selected, and that calls for the selected criteria to be in a measurable form. Hence, teachers in Botswana have mixed feelings and perceptions regarding the appraisal system. Their perceptions can be categorised according to the following terms: teacher performance; motivation of teachers; working relationships and teacher training on appraisal. The teachers believe that not all of these factors are positively embraced by the appraisal system; they consider the appraisal system as an axe ready to “chop teachers down”, and a system with no purpose (Monyatsi, 2002). The very same sentiments are shared by Mpabanga (2016) who further states that the lack of performance monitoring and evaluation skills, poor supervision, poor conditions of service and poor work ethics are some of the factors that are contributing to the ineffective use of performance monitoring and evaluation tools in the service.

Insufficient training, baseline survey and training and presentation done solely by “outsiders” were some of the threats to the functioning of the strategies (Monyatsi, Steyn and Kamper, 2006). The insufficient training provided to the team responsible for monitoring resulted in the monitors being unable to play their part as expected. Moreover, the challenges to the attainment of a common vision incorporated all role players not fulfilling their roles, as the people (or teachers) who were trained to train those teachers who did not attend the training sessions, did not do so. Another challenge in the implementation of the performance appraisal programmes and their policies was the negative attitude which was caused by the non-attendance of areas in need of development.

The analysis on the purposes of the current appraisal system as practised in Botswana schools has shown that by allowing information from the appraisal records to be used

to determine progression, pay, and training opportunities; it may have negative implications in that during the appraisal process, teachers may not be interested in exposing their weaknesses. This may count against the main principle of the appraisal system, which is to identify strengths and weaknesses. It is further argued that the teachers will no longer set challenging targets, which will impact negatively on the twin processes of teaching and learners' learning. Also, by aligning the teaching profession with the requirements of the Job Evaluation Exercise of 1988 which was more concerned with annual increment; such an approach never allowed for the setting of long-term goals. As illustrated in the initial stages of the introduction of the Job Evaluation Exercise, linking the purposes of appraisal to pay and promotion in most cases led to teacher resistance. Despite the fact that there was little resistance, the teacher associations who were united in their actions spearheaded the resistance to the accountability model of teacher appraisal.

3.3.1.3 Strategies Implemented in Botswana to deal with the Challenges of the Appraisal System within Schools

The Revised National Commission on Education of 1994 (Republic of Botswana, 1994) stipulates that with respect to decentralisation, the Ministry of Education should establish offices at the level of the local authority administrative areas. It further states that the district offices should include personnel from all relevant departments and be supervised by an officer of the rank of Chief Education Officer. With effect from January 2001, the promotion of teachers was delegated to the supervisory department in the regional office. The assessment of appraisal forms and the recommendations to the Accountant General for annual increment have also been delegated to the regions from headquarters. On the aspect of training, two instruments, Form TR 1 for Heads of Schools and Deputies and Form TR 2 for all other teachers from Senior Teacher Grade 1 down to Assistant Teacher were introduced to deal with the training of teachers. The instruments have their own criteria for the selection of candidates, however, as with Form TSM 5 (see Appendix H) information from the appraisal process can be used by the relevant authorities when making their recommendations.

The Revised National Policy on Education of 1994 (Republic of Botswana, 1994) further recommended a change to the traditional approach of in-service training by placing it in the schools. In this regard, the head as an instructional leader, together

with the deputy and senior teachers, should take major responsibility for in-service training of teachers within their schools, through regular observation of teachers and organisation of workshops, to foster communication between teachers on professional matters and to address weaknesses. The commitment of government's support of school-based in-service training in the form of workshops is also emphasised in the National Development Plan 8 (Republic of Botswana, 1997) which declares that, because of the shortage of in-service education officers, there will be more emphasis on taking in-service training to teachers through school-based staff development programmes.

3.3.1.4 The Success Factors of the Strategies Implemented in Botswana for the Appraisal System

Every learning institution is interested in best practice, and best practice can be achieved through constantly and actively looking for ways to improve employee performance and to motivate individual employees to achieve the best they can. In Botswana, in order to be effective with the appraisal system, the process of performance evaluation is being formalised in an attempt to ensure fairness to all employees. A fair systematic appraisal of employees makes it possible to achieve various benefits such as rewarding those who do well, regular feedbacks to employees, identification of training needs, transparent disciplinary procedures as well as clear channels of communication between managers and their subordinates (Monyatsi, 2006). The success factors of the appraisal system strategies that are implemented in Botswana are quality performance, improvement on current performances, addressing of identified training needs, effectively resolving grievances and disputes as well as creating conducive platforms for communication between supervisors and their subordinates.

According to Monyatsi, Steyn and Kamper (2006), there are three noticeable features that showed that the strategies of implementing performance appraisal in Botswana have some good results. Firstly, they point out that the principals who went through the professional development programs showed improvement on how to conduct performance management programs for teachers. Secondly, teachers showed an improvement in their pedagogical content knowledge. Lastly, schools were enabled to put structures in place so as to effectively implement the IQMS policy and other

programmes that were meant for the professional development of teachers. However, the challenge that remained was to put in place mechanisms that would ensure the sustainability and monitoring of the implementation of the policies and programmes.

3.3.2 Teacher Appraisal System in Zimbabwe

In the 1990s, government salaries in Zimbabwe were lagging behind those of parastatals by about 84% and those in the private sector by up to 72% (Government of Zimbabwe, 1995). An employee with similar qualifications and experience working in the parastatals or intergovernmental companies would earn 84% higher than one in government, and those in the private sector would earn 72% more than an employee of comparable qualifications and experience who chose to remain in the public sector. Due to these differences there was a huge number of people moving from the employ of government to the parastatals, the private sector and even some abroad. The public service had clearly been viewed as an unattractive employment destination. After an unbearable strike by all sectors of the civil service in 1995, the government was forced to increase salaries as a way of decreasing the imbalances.

In the mid-1990s the Zimbabwe government started to embark on reforms of its human resource policies through a job evaluation exercise of the whole civil service (Saurombe, 2014). According to Saurombe, the government of Zimbabwe was to increase civil servants' salaries by 60% over a three-year period in batches of 20% each year. In 1995, the government awarded civil servants a 20% salary, however in the following year it was not able to fulfil its promise of raising the salary by a further 20%. This resulted in some tensions between the government and the employees, and the bulk of the civil servants in the civil service around the mid-1990s were teachers in the employ of the then Ministry of Education, Sports and Culture. In 1996 a general strike led by teachers, nurses and doctors took place. Thus, in response to the demands of the civil servants on wages and salaries, the government proposed to link all salary increments, advancements, promotion and annual bonus (13th cheque) to performance management, but this faced stiff opposition from the civil servants who again went on strike to protest those proposals. The idea was subsequently shelved and its implementation that was to be effected in 1997 was deferred because the civil servants had threatened to go on another strike. The argument by civil servants for

opposing these reforms in human resource policies was that the sector had not identified and agreed performance targets against which the performance of civil servants would be measured.

3.3.2.1 Implementation, Monitoring and Evaluation of Teacher Appraisal System in Zimbabwe

a) Implementation:

As performance appraisal management is taking centre stage in modern thinking in awarding pay increases and bonuses in most countries, Zimbabwe has not been an exception to this phenomenon. In Zimbabwe performance appraisal is carried out using an appraisal form. The head of school carries out the rating and gives judgement on the teacher being rated (Saurombe, 2014). At the beginning of the appraisal period the supervisee formulates objectives for the period with the assistance and concurrence of their supervisor. In other words, the subordinate is encouraged to take an active part in setting up their production targets and then measuring progress towards these goals.

The implementation of the Performance Management System in the Public Service, and in the Ministry of Education in Zimbabwe had become a legal requirement. According to the provisions of the Statutory Instrument Number 1 of 2000 (Saurombe, 2014) on performance appraisals, in the implementation of the performance appraisal, the following aspects should be considered:

- In order to keep under review and improve the provision of services to the public, the performance, potential and development needs of all members shall be assessed continually and final reports thereon shall be compiled and submitted at least once a year.
- Every performance appraisal should be:
 - i. conducted by way of regular interviews with the member concerned, by a supervisor;
 - ii. identified by the Commission or Head of Ministry or department for the purpose;
 - iii. reported on the forms specified by the commission which shall be signed by the member and supervisor and countersigned by the Head of Ministry or department;

- iv. In respect of a member of a grade specified by the Commission, be submitted through the Head of Ministry or department to the Commission and, in respect of any other member, be kept in the personal file of the member in the Ministry or department in which such member is employed;
- v. In the case of a performance appraisal to be submitted to the Commission, be made known to the member concerned before it is submitted;
- vi. Where the performance of a permanent secretary level is concerned, be conducted by the Commission by way of discussion with the relevant Minister.

Saurombe (2014) further states that at the conclusion of every performance appraisal, the Commission (or the Head of Ministry or department) as the case may be, shall decide on what action to, if any, should be taken on the basis of the appraisal, including:

- (i) Advancement or promotion;
- (ii) Transfer to a post more in keeping with the competence of the member concerned;
- (iii) Participation in a skills training development course to enhance the efficiency and effectiveness of the member concerned;
- (iv) The granting or withholding of any performance award;
- (v) Demotion or discharge subject to, and in accordance with, the disciplinary Procedures.

b) Monitoring:

The ideological drive towards performance improvement is placing enormous pressure on both teachers and learners to the extent that it has brought stress and related illnesses to teachers. In other cases, it has forced teachers to resort to the use of unethical practices in order to improve grades of learners so as to be seen as being successful in the implementation of performance management (Saurombe, 2014). From the time the concept of performance management was introduced in the Zimbabwe Public Service, the gospel had been that the public service was to be transformed to become the employer of choice. The public service was envisaged as an employer that would compete on the job market for the most capable employees by not only offering them salaries comparable to private sector levels but as a trend-setter on the market salary-wise. Thus, premised on such promises, teachers thought

performance management had come as a remedy for poor salaries in the public service. As a way of institutionalising this thinking, the Public Service Commission created its vision as: “To be a world class employer of first choice”, a motto taken from the reminder that all over the world working in the civil service had always been an honourable job (The Worker, 2012: 4). But on the contrary, working for the civil service in Zimbabwe had reduced civil servants to the most degrading profession.

c) Evaluation:

The performance planning process in the Zimbabwean context starts with each individual officer coming up with a summary of duties s/he carries out on a day-to-day basis (Machingambi, 2013). This becomes the basis for building the job description, after which work plans are built. The work plans have between five to seven key result areas in which an officer must show satisfactory performance. Therefore, action plans are made to reflect what will be done by quantifying the activities as percentages; hence measurable outcomes spell out what the key result areas will be benchmarked and evaluated against. The standard performance against which the officer will be appraised is given in the work plan, hence the evaluation becomes the last section at the end of the work plan. After the officer has drafted the work plan, they discuss it with their supervisor, who was normally the school head, deputy head or teacher in charge. If there is a consensus between the two, the document is signed and dated, thus making it a binding performance document against which the whole appraisal process will be based. However, if the two do not agree on the suitability of the plan, then work reviews and adjustments become an inevitable step.

The implementation process runs throughout the year and the fulfilment of those plans takes place as the teacher teaches his or her classes. The interim appraisals are conducted during the course of the year at specified times and according to the Zimbabwean schools’ system and are carried out three times a year. The first interim appraisal is carried out in March; the second in June and the third and last in September. Final rating of performance takes place in October. Thus, if there are any areas where the educator needs support for the implementation process, the supervisor has to make available the necessary resources so as to ensure the successful implementation of the action plans. In the context of the performance management process, an interim performance appraisal can also be set up with the

intent of bringing continuous improvement in the way the educator executes his/her duties and responsibilities in the teaching and learning process.

At the end of the specified period (usually at the end of the twelve-month cycle), all the activities for the year are rated and a final performance score is obtained. The final rating is obtained through a performance appraisal interview between the supervisor and supervisee. This final appraisal is also used as the basis for the formulation of future performance agreements for the performance cycle for the following year. The score is transmitted to Ministry of Education, Sport and Culture Head Office for onward transmission to Treasury. Depending on how the individual officer has been scored, the salary of the employee is increased by a minimum of between one and three notches. The numerical value of one notch is equivalent to the annual salary increment.

3.3.2.2 Challenges Encountered with the Appraisal System in Zimbabwe

The performance management system that operates in schools in Zimbabwe covers the critical components of the performance management process (such as performance planning, performance implementation, performance measurement, reviews and appraisals), however there are still some problems that are caused by the implementation of performance management in schools. These problems are too obvious to be ignored and were counted as possible challenges to the successful implementation of performance management, even at its inception. According to Machingambi (2013), the Zimbabwe Public Service Commission (ZPSC) noted that the implementation of performance management was marred by a lack of a shared understanding, a lack of accountability for the implementation of the performance management system by the schools, a lack of transparency with regards to ratings, use of partial rating to reward certain members, lack of consistency in training and inadequacy of resources (financial, human and material).

Saurombe (2014) further states that in the context of Zimbabwean schools, the problems and objections to performance management had stemmed from the manner in which government imposed this innovation on teachers. From the beginning, teachers were side-lined in decisions that resulted in the adoption and implementation of performance management in schools. The teacher labour unions, Zimbabwe

Teachers' Association (ZIMTA) and Professional Teachers' Union of Zimbabwe (PTUZ) were also not consulted, hence; the real motive for introducing performance management in schools was not known. The Government did not try to find out teachers' views on how a perceived challenge to the effectiveness of the school system was to be improved. No consultative meetings were ever engaged in, either with teachers directly or through their labour unions, even though teachers were the technocrats that were going to implement this innovation.

Teachers, therefore, instead of being policy employers in implementing performance management, became policy followers and deliberately made no effort towards the successful implementation of performance management in schools. The implementation of performance management in schools became just another centrally imposed burden on teachers, and it was not surprising to see none of its direct benefits in the schools. Hence, in Zimbabwe, performance management lived much longer than its predecessor (performance appraisals) that was introduced into schools in 1995 and later phased out in 1998 due to resistance from teacher organisations. As Saurombe (2014) has put it, if the current innovation (i.e. performance management) is to be effective in bringing out effective schools, a holistic approach has to be taken in its implementation whereby teacher teams and individuals become actively involved.

The process of implementing performance management in schools in Zimbabwe was faced with a multitude of challenges. While some of the challenges were hidden, others were very open challenges that were obvious right from the way the programme was adapted or not adapted to the context of Zimbabwean schools. Thus, challenges with capacity in the form of human, financial and technological resource availability made it difficult for the programme to take off smoothly. Hereunder, each of these factors, and how they became a challenge to the implementation of performance management system in schools, is discussed in detail:

i. The challenge of capacity:

The situation in Zimbabwe at the inception of performance management shows that most highly qualified personnel had left the civil service, and more continued to leave to join the private sector, which at that time was paying higher salaries and offered

better conditions of service than those offered by the public service. Consequently, the public service had challenges capacity-wise because its ability to roll out innovations was limited as there were no people who had the requisite skills to lead and implement performance management programmes. According to the OECD (2006), capacity in this case is understood in terms of the ability of people and organisations (in this case schools) to define and achieve their objectives.

However, the issue of capacity does not start and end with people. Capacity, as highlighted by the OECD (2006) is not only about skills and procedures; it is also about incentives and governance. There was great need to develop capacity in all levels of governance structures throughout the hierarchies of the public service. Thus, at ministry, regional office, district office and school level, there was a great need to re-establish capacity. In the schools there was a great need for capacity development. Schools in Zimbabwe were facing high levels of staff turnover because of the poor working conditions present in most schools (Wadesango; Nduna; and Kurebwa, 2013). Consequently, the implementation of reform strategies became greatly compromised due to a lack of people who had the requisite craft competency and craft literacy skills. This sentiment was also shared by the Zimbabwean Teachers' Association (ZIMTA) (2000).

According to ZIMTA, problems regarding the implementation of performance management in schools were centred around the ability of personnel to implement the system, the unavailability of appropriate assessment instruments and the reliability and validity of the rating system itself. Moreover, ZIMTA (2000) as cited by Saurombe (2014: 202), also raised concerns around the following;

- School heads who were teaching full classes and taught ten class periods a day found little time to devote to the proper implementation of the performance management system. An overload of work on a principal has a negative impact on their management of a school as they cannot afford to carry their responsibilities to the fullest under such conditions.
- School heads had to improvise the official assessment forms through photocopying (and in desperate circumstances, handwritten ones had to be used). This meant that delays were experienced in implementing the system and also provided the opportunity for distorted improvisations. The lack of resources jeopardizes any

form of organisation in the school setup, let alone performance management, as tasks either cannot be completed in time or cannot be done at all.

- The relevance of the public service confidential assessment form used to assess teacher performance was questionable because most of the categories evaluated had no direct relevance to the education sector. It is critical that in order to start any project the role players must have a good understanding of what the project is all about and how to facilitate it.
- The appraisal form had not been pilot-tested in the education sector, hence the input from the education sector was minimal, and most of the aspects required for scoring referred to all the government ministries in general without specifically focusing on activities of the teaching process in the school setup. A pilot study helps to address problems that might arise in the actual implementation process of a policy or program.
- Performance targets for teachers in different schools were not the same, so the bottom line was that there were no standardised outcomes from a national perspective. Even though schools are not the same and cannot expect to perform in the same way, standardised outcomes should be set at a national level in order to serve as guiding principles for schools.

Over and above the challenge of human capacity with regards to the implementation of performance management in schools was an additional challenge in the form of a lack of financial and technological resources to steer the programme in schools. This could be supported by the fact that government-related institutions rely on budgetary allocations from government for their remunerations of employees, and after the budget is allocated, no extra funds will be made available to cater for any additional expenses. In the case of Zimbabwean schools, there were no schools where specific funds were made available to purchase technological equipment in order to enhance the implementation of the performance management programme. Above all, school heads could only recommend the awarding of notches to teachers' salaries at the end of the year which, by the time those notches were awarded by treasury, would have already been eroded by inflation. It therefore became a tall order to expect schools as organisations to be able to successfully implement performance management because of the challenges of capacity in terms of human capital, technological and financial resources, among others.

ii. Lack of teacher involvement at the formulation of the performance management policy:

When an innovation is introduced to an organisation, there is a need to ensure that necessary steps are taken to enable the people to whom the change is introduced to cooperate with the change. The only way to achieve cooperation from employees is to involve them in building up the change programme so as to ensure that they buy-in the change. The introduction of performance management systems in schools has been shrouded with secrecy. In the case of the Zimbabwean schools' system, it has been imposed on the schools because it has been proved to provide positive outcomes in other organisations (private and public sectors) which do not have the same culture, structure, characteristics, products and mandates as schools, hence the Zimbabwe Teachers' Association (ZIMTA) was in the dark on why performance management was introduced (ZIMTA,1998). The fact that performance management was introduced simultaneously with performance-related pay, and at a time when government was downsizing in order for it to curb expenditure, resulted in sending out mixed messages to a workforce that was already disgruntled by poor pay and challenging working conditions and stressed by the possibility of losing jobs.

iii. Lack of political will from the top:

Organisational politics play an instrumental role in the success or failure of reform projects or programmes in public institutions, including schools. In Africa, the results-oriented appraisal system used in performance management is attacked on the grounds that it is irreconcilable with the African environment, where favouritism based on kinship, gender, ethnicity and race is rife (Wadesango; Nduna; and Kurebwa, 2013). In most instances, those closest to the appraiser in terms of kinship or ethnicity, and who keep good relations with him, will in general perform better than those who only have a distant connection or none at all. This diversity factor in performance management in the African setting poses a great challenge to the unity of purpose required in advancing and sustaining a comprehensive and impact-oriented programme of reform. Thus, individuals with their own personal agendas have capitalised on ethnic, religious, linguistic and other differences to promote intra-organisation tension.

Despite the sentiments given above, in the Zimbabwean situation, when government introduced performance management in its ministries, there was no thorough preparedness on its part and this resulted in the disorganised implementation of performance management. These premature policy pronouncements made civil servants less committed to these innovations because they knew that these changes wouldn't last. This manifested itself as an attempt to bring in another aspect of performance management without having evaluated the current programme in order to ascertain its strengths and weaknesses or its successes or failures. Such policy change most often comes from outer space without consultation with the agents that are meant to implement the change at grass-roots level. Therefore, these kinds of innovations will not be readily accepted by those meant to be affected by such changes or those who are expected to implement those innovations at grass-roots level.

iv. Lack of proper leadership at school level:

The importance of capable leadership in the successful implementation of innovations at an institution is crucial. It is therefore important for the leadership of an institution (or school) to create conducive environments that ultimately determine the success or failure of a programme implementation, and in this case, the success of its learners, which is the major purpose for its existence. In order for performance management to be successful it needs to establish some change in the mind-set not only of the school leadership, but also of the whole staff complement of the school, so that it can establish a learning ethos of the highest standard. Leadership that creates conditions for favourable learning builds a school climate that has necessary preconditions for a focus on learning. If performance management systems are to be a vehicle for the improvement of learner outcomes in both the academic and other spheres of their school life, then it is important for the school leadership to enhance the school's physical determinants (school buildings and classroom arrangements) so that they project powerful and implicit messages about the nature and process of learning (Saurombe, 2014). Effective leadership adds value to the impact of the classroom and teacher practices and ensures that lasting changes flourish. Therefore, it was not surprising to see performance management in Zimbabwe not yielding the positive results expected. Consequently, the positive effects on improved learner performance and on teachers' job satisfaction remain an elusive model.

It is quite clear that the problems and objections to performance management in Zimbabwe came from the manner in which government imposed performance appraisal on teachers without involving them in decisions about the need to adopt and implement performance management in schools and disregarded the upgrading of the schools' physical resources. The situation was worsened by the fact that the performance management system was introduced without consulting the labour unions, Zimbabwe Teachers' Association (ZIMTA) and the Professional Teachers' Union of Zimbabwe (PTUZ), hence the real motive for introducing performance management was not known to them.

It has been a tradition in Zimbabwe for teachers to get their salaries and bonuses at the end of the month and year respectively. However, with the introduction of the appraisal system in Zimbabwe, teachers had to get their salaries depending on the rating that they received after the appraisal cycle. As a result, teachers have raised objections to the appraisal system. Moreover, they have also shown a lack of interest in the implementation of performance appraisal through their teacher unions. Tshabalala and Mapolisa (2013) point out that performance appraisals can be easily biased, as managers may not like to play the role of a judge and be responsible for the future of their subordinates. This often leads to the point where they feel uncomfortable about providing negative feedback to their employees, and this tendency can cause them to inflate their assessment of the employee's job performance, i.e. giving higher ratings than deserved.

3.3.2.3 Strategies Implemented in Zimbabwe to deal with the Challenges of the Appraisal System within Schools

The major components of performance management system are Vision, Job Description, Key Results Areas, Objectives, Action Plan, Standards, Performance Reviews and Ratings. With the financial assistance provided by the Swedish International Development Agency (SIDA), the government of Zimbabwe, through the Public Service, carried out training workshops to equip all government employees with the knowledge and skills necessary for the successful implementation of the performance management programme (Wadesango; Nduna; and Kurebwa, 2013). The focus of the performance management programme was directed towards managers and the subordinates who were to carry out the positive effects of the major

components of the performance management system as stated above. Although performance appraisals can easily be biased, in Zimbabwe there are certain steps that are taken to improve the evaluations and reduce the margins for error (Tshabalala and Mapolisa, 2013):

- i. Training - thus transferring knowledge and awareness as well as acceptance in the people who are conducting the appraisals so as to include a wide range of different skills and abilities.
- ii. Providing feedback to raters – in this regard trained raters provide managers who evaluated their subordinates with feedback, including information on ratings from other managers so as to reduce leniency errors.
- iii. Subordinate participation – in this instance employees are allowed to partake in the evaluation process where they discuss the discrepancies between self-ratings and supervisor ratings with their supervisors, thus increasing job satisfaction and motivation.

It is important to note that the training programmes which were carried out with the financial aid provided by SIDA took place in different centres and were carried out over a period of three days. Participants were divided into two groups, one for supervisors and the other one for supervisees (Saurombe, 2014). The content of the training programme focused on the components of the performance management programme (i.e. school vision, mission statement, job description and key result areas). Each of these components will be discussed in detail in order to show how they affect the performance management process:

- i. The school vision:

The vision of school is what the school would like to be in future. It establishes the direction that everyone in the school would like to pursue in a united effort to achieve the desired outcomes (Zimbabwe State - Public Service Commission, 1997). A vision is a statement of future aspirations of the school (Aguinis, 2009). Therefore, a clear vision is important for schools for the following reasons:

- It gives direction to the school.
- It enhances a wide range of performance measures to be undertaken.
- It enables members (school management and teaching team) to see how their efforts contribute to the school's success in service provision.

- It motivates members as it provides a reference point.

ii. The mission of the school

A mission statement defines the purpose or reason for the existence of the institution unit, ministry, department, school, team or section. The mission statement also summarises the institution's most important reasons for its existence (Aguinis, 2009). The schools in Zimbabwe had to develop a mission statement in which the purpose of their very existence was spelt out, as well as the services they provided and the values that guided their service delivery. All these were to be derived from the provincial mission statement which emphasises that, in order to enrich the lives of the people of Zimbabwe, the education system has to provide high-quality, relevant primary, secondary and non-formal education and to facilitate access to and participation in sport, recreation and culture (Mathula, 2004). The national vision and mission of the Ministry of Primary and Secondary Education had to be spread to all schools where they would filter the national and provincial vision and mission in order to formulate their own, which would be displayed in each and every office in the school at visible points.

iii. The job descriptions

At the school level, each member (teacher, deputy head and school head) formulated their job description. These job descriptions, according to the Public Service Commission (1997) are lists of activities that a member (teacher) should perform in order to satisfy the requirements of the job they hold. It sets out the purpose for a job, its position in the school's structure and the major duties and responsibilities to be performed.

At the schools, these job descriptions were developed in consultation with the school head who acts as the chief accounting officer of the school. The job description has the following components:

- Job Title - the name by which the job is identified in the school, for example; Substantive School Head, Senior Teacher, or Teacher.
- Job Purpose - a summary description of what that particular job stands for.
- Duties - a summary of tasks performed by the job holder on a daily, weekly or monthly basis.

iv. Key Result Areas (KRAs)

The key result areas are a critical group of duties and tasks developed from the job description that an officer must perform in order to achieve set targets (Zimbabwe State - Public Service Commission, 1997). These key result areas help individuals to focus on groups of duties and tasks according to their importance and are arrived at in consultation with the school head. Both the school head and teacher agree on the duties and tasks the teacher performs. Duties and tasks that are closely related form a key result area and they are given one collective name for identification purposes. A number of key result areas were ranked and allocated percentages, with the most important key result area that consumes the teacher's time in the daily routines scoring the highest percentage. The purpose for ranking the key result areas, according to the Public Service Commission (1997:13), was to help indicate the importance of the duty so that the individual does not spend a lot of time doing less important tasks.

3.3.2.4 The Success Factors of the Strategies Implemented in Zimbabwe for the Appraisal System

The success of performance management in an institution depends largely on how the personnel are viewed and treated, which in turn influences how the personnel view the institution and behave towards it. Generally, performance management increases the contribution of personnel to the institution while at the same time meeting individual needs of the employees. Individual employees can contribute more to the success of the institution only if they have the necessary expertise, powerful tools and access to knowledge, and if there is a share of common goals between the personnel and the institution. If people are going to be motivated to perform, there must be clear benefits for them in the first place, before they respond positively to calls for more and better productivity (Mathula, 2004).

The introduction of performance management in schools was seen as a move to improve the quality of education. This improvement had to come from the result of efficiency in meeting goals (i.e. achieving more with less resources), making education more relevant to human and environmental conditions and needs, the exploration of new ideas and the pursuit of excellence and encouragement of creativity. In the Zimbabwean schools' system context, the following reasons are put forward for the introduction of performance management in schools (Saurombe, 2014: 194):

- It helps to improve service delivery to clients;
 - Learners
 - Parents, and
 - other stakeholders such as the local community.
- It helps to achieve accountability among teachers.
- It rewards teachers based on their performance on the job, i.e. salary increment and positional promotions.
- It creates and maintains satisfactory levels of employee performance.
- It is a tool for needs assessment for the employee professional growth and development.
- It is an intervention strategy to build a shared vision between supervisor and supervisee.
- It recommends that non-performing teachers enrol in upgrading courses or training.
- It dismisses incompetent teachers from the school system.
- It helps personnel to be aware of any job problems and to identify training and development needs.

According to Mathula (2004), there are many benefits credited to the implementation of performance management as follows:

- Clear work goals and responsibilities, greater commitment and motivation of staff at all levels.
- A reliable method of measuring performance, focusing on results and elimination of unnecessary activities.
- Improved communication, greater managerial motivation through goal setting, and more effective development of people.
- Can be linked with a variety of human resource systems such as performance appraisals, performance-related pay, training and development, transfer, promotion and demotion.

3.4 COMPARATIVE EVALUATION OF THE SYSTEMS

Different structures in various countries were put in place to enable the monitoring process of performance management, among which were tutors, staff development teams (SDTs), senior management teams (SMTs), co-ordinators, staff development committees, provincial and district.

3.4.1 England versus Scotland

In most European countries, especially in the United Kingdom (UK), primary schools are organised into year groups, i.e. children are taught with others of the same age. The United Kingdom (UK) consists of England, Wales, Scotland (which collectively make up Great Britain) and Northern Ireland. In both England and Scotland children start their schooling at the age of five, and schools are organised as indicated on the following in Table 3.2:

Table 3.2: The manner in which schools are organised in England and Scotland.

ENGLAND	SCOTLAND
When do children start school? - Children start school in September before they turn five.	When do children start school? - Children start school in August when turning six.
How are primary schools organised? - Children of the same age are put into one class, or in some schools – for example, the very small ones, into one class, which means year groups may be combined within the same class. - Children are also grouped in stages or phases: <ul style="list-style-type: none"> □ Foundation Stage / Phase, includes pre-school nursery and Reception. □ Key Stage 1, covers Years 1 and 2. □ Key Stage 2, covers Years 3 to 6. 	How are primary schools organised? - Children of the same age are put into one class, or in some schools – for example, the very small ones, into one class which means year groups may be combined within the same class. - There are no phases or stages; the Curriculum for Excellence runs progressively from age three to 18. <ul style="list-style-type: none"> □ Early level: pre-school and P1; First level: P2, P3 & P4, Second level: S1, S2, S3 and Senior phase: S4, S5, S6.
What curriculum do primary school children follow? - The National Curriculum applies to children in Key Stages 1 and 2 and includes English; Maths; Science; Art and Design; Computing; Design and Technology; Geography; History; Music and Physical Education. Key Stage 2 children must also study a foreign language.	What curriculum do primary school children follow? - The Curriculum for Excellence includes Expressive Arts; Health and Wellbeing; Languages; Mathematics; Religious and Moral Education; Sciences; Social Studies and Technologies.

ENGLAND	SCOTLAND
<p>How are children assessed?</p> <ul style="list-style-type: none"> - Children's learning and their progress are continually assessed by their teachers through activities such as classwork, homework, reading, spelling tests and maths tests. In some areas, there are also externally set assessments at specific points of a child's education: <ul style="list-style-type: none"> □ Baseline assessment, in Reception to assess their ability on starting school. □ Phonics screening tests, at the end of Year 1. □ Set Assessment Tests (SATs), at Key Stage 1 in English and Maths in Year 2. □ Set Assessment Tests (SATs), at Key Stage 2 in English, Spelling, Punctuation and Grammar in Year 6. 	<p>How are children assessed?</p> <ul style="list-style-type: none"> - General screening takes place in P1 to assess a child's ability to start school. Standardised assessment in literacy and numeracy, known as SNSAs, take place in P1, P4, P7 and S3.
<p>Who is in charge of inspecting schools?</p> <ul style="list-style-type: none"> - Schools are inspected by Ofsted every five years, but more often those schools where problems have been highlighted. Schools are rated as Outstanding, Good, Requires Improvement or Inadequate. 	<p>Who is in charge of inspecting schools?</p> <ul style="list-style-type: none"> - Schools are monitored by Her Majesty's Inspectorate for Education. They choose a random sample of 240 schools across the country to assess each year. Schools are not given a specific result or grade, but a letter explaining their strengths, weaknesses and targets.
<p>What are the school terms' dates?</p> <ul style="list-style-type: none"> - Term dates vary not just from country to country in the UK, but also from area to area. <ul style="list-style-type: none"> □ The school year starts at the beginning of September and ends in the third week of July. 	<p>What are the school terms' dates?</p> <ul style="list-style-type: none"> - Term dates vary not just from country to country in the UK, but also from area to area. <ul style="list-style-type: none"> □ The school year starts in the third week of August and ends in mid- to late June.

Teachers are the most important resource in schools as they play a significant part in raising the standard of education. In order to improve the efficiency and equity of schooling, schools depend largely on highly skilled, well-resourced and motivated teachers in executing their classroom duties. Therefore, raising the level of teaching performance should be the policy direction that must lead to substantial gains in the performance of learners. This is simply because teachers are responsible for supporting learners' learning and skills development. In the process of empowering the learners, parents are also involved in the decision-making regarding learner

progression from one school year to the next. Apart from the specific problems encountered at the beginning of their careers (for which particular support measures are provided) teachers may be confronted at any point in their careers with situations that hinder them from performing their duties effectively. In this regard, there are three areas of support that can be identified, namely:

- 1) personal matters,
- 2) interpersonal conflicts involving learners, parents and/or colleagues, and
- 3) the teaching activity and/or the development of professional competences.

The support of teachers with regards to personal matters often stems from the general employment legislation, which reflects on the teaching profession as well as focusing on the welfare, health prevention and work-life balance issues. With regards to the support for teachers in dealing with interpersonal conflicts, it is regulated at the school level through the access of mediation services or intervention at the request of teachers, school heads, learners or parents. The provision of support for the development of professional competences is often regulated within the framework of teachers' continuing professional development. There is a multidisciplinary guidance service that help teachers with learner diversity issues and related learning difficulties. In many instances, advisors would help in improving teaching methods and introducing innovations, and in selecting or creating curriculum and teaching materials.

In the majority of European education systems, it is compulsory for schools to have a Continuing Professional Development (CPD) plan, developed at school level. Continuing Professional Development refers to formal and non-formal training activities, which may, for example, include subject-based and pedagogical training (Gulston, 2010). In some countries CPD is a duty and prerequisite for career advancement and salary increases. The development of such a plan is usually the responsibility of the school head, the school management team or a teacher assigned to co-ordinate the CPD activities in the school. In some education systems, the adoption of the CPD plan is the collective responsibility of the entire teaching staff, i.e. the CPD plan has to be approved by the entire teacher assembly. In the United Kingdom, particularly Scotland, individual teachers are responsible for developing their own CPD plan, though their evaluation is based on external quality assurance.

The evaluation undertaken by those bodies or individuals not directly involved in the activities of a particular program is generally referred to as external quality assurance, and Scotland is a typical example in this regard. External quality assurance is a process whereby data, information and evidence relating to individual programs is collected in order to make a statement about its quality. It is normally carried out by a team of experts, peers or inspectors. This external review aims to reach an independent judgement concerning the quality of education provided within a particular setting. In the United Kingdom, particularly in Scotland, the inspectorate for school education, the teaching council and a separate agency is involved in the external evaluation as they normally carry out quality assurance. In most European countries, such as Scotland, new teachers who have just entered the teaching profession are immediately provided with a structured induction programme, and in some instances those induction programmes are offered to graduates directly after gaining their qualification (Rippon and Martin, 2006). The induction phase is generally seen as a structured support programme for beginning teachers. During induction, newly qualified teachers carry out all or many of the tasks incumbent on experienced teachers, and they are remunerated for their work. Induction has formative and supportive components for beginning teachers as they receive additional training, personalised help and advice within a structured phase.

3.4.2 Botswana versus Zimbabwe

In Botswana, a Strategic Plan was established to expedite the practice of teacher appraisal at schools, and it became successful as teachers were willing to learn and agree to being mentored (Tsotetsi, 2013). The Strategic Plan required much energy from the facilitators of the meetings, and planning and preparation of materials. The other significant aspect in Strategic Planning is the teacher partnership, which made it possible for teachers to hold meetings and share their subject expertise. The success of the monitoring process in Botswana was enabled through frequent (monthly) reflection sessions and via journals kept by teachers. The introduction of local Teacher Advisory Centres or the shift towards school-based in-service training in Botswana also brought in an advantage, as teachers were developed in an environment with which they were familiar.

In Zimbabwean schools, the findings of previous studies indicate that there are several factors that negatively impacted on the successful implementation of both the appraisal system and the much broader performance management system as follows:

- The introduction of performance management was prematurely implemented as no groundwork preparation had been done to train both the employees and implementers of the programme (Chipangura and Musekiwa, 1998). Chipangura and Musekiwa also state that there was insufficient consultation between stakeholders and the driver of the innovation, who was the Ministry of Public Service, through its administrative arm of the Public Service Commission that was mandated with the introduction of the performance management in all the public sector institutions. Chipangura and Musekiwa further state that linking the results of performance appraisal ratings to financial and non-financial awards did not go down well with teachers. Their dissatisfaction was rooted in the fact that the employment environment did not guarantee the mobilisation or availability of resources in order for teachers to be able to successfully implement the innovation.
- Many implementers of performance appraisal had not been involved in any training on the implementation performance management process, therefore they were jeopardising the possibility of success at an individual school level (Saurombe, 2004). According to Saurombe the job descriptions for teachers were not derived from the schools' mission statements, thus teachers failed to direct their efforts towards the fulfilment of the schools' mission statements. Saurombe further states that the system was open to abuse by supervisors through favouritism and victimisation, with some teachers believing that the system was introduced in order to punish underperforming teachers.
- Teachers had negative attitudes towards performance management because the process involved too much paperwork and did not reward teachers with appropriate rewards (Chinhengo, 2001 and Moyo, 2003). Moyo (2003) further states that there were no clear legal avenues or structures for redress if a teacher felt that the appraisal process was not fair.
- Chipangura and Musekiwa (1998), Moyo (2003) and Gotekwa (2007) point out that the quality of training and the length of time for such training given to teachers and school heads did not fully capacitate them to successfully implement the

programme. Hence some school heads were not capable of monitoring their performance, awarding them objectively and giving fair ratings for their efforts.

3.4.3 South Africa versus England, Scotland, Botswana and Zimbabwe

At a time when Europe was on the verge of reviving its economic growth as a top political priority, its full attention was drawn to the quality of education systems. This led to the establishment of the European Strategic Framework for Education and Training (ET 2020) in 2009 (OIDEI, 2009). The improvement of quality and the effectiveness of investment in education throughout the European Union (EU) became one of the key objectives of the European Strategic Framework for Education and Training. All over the world, countries have tried their best to introduce quality assurance at all levels of schooling in their education systems.

School inspection in South Africa is carried out at national, provincial, district and school levels. In England it is carried out by Ofsted, which is the central body that carries out all inspection processes (Madikida, 2016). According to Madikida the inspection process in England is extremely bureaucratic in that the higher authorities who handle the process may have little knowledge about the school environment. In Scotland the Local Education Authorities (LEAs) have been given the power to manage and run schools by the Department of Education and Employment (DEE). The LEAs were conceived to develop strategies for the improvement of schools. Both LEAs in Scotland and Ofsted in the UK conduct inspections and use the inspection reports to assist the schools to improve in the areas identified (Mphahlele, 2018).

It is important to note that in England, Ofsted touts its improvement plan through an inspection strapline as it moves more openly towards an accountability purpose. Yet with self-confidence and support at an individual school level, schools in England do pursue an improvement agenda. When there is a sense of ownership and freedom schools may go down their own diverging paths with the knowledge that they have and account for when asked, with due consideration to evidence. This is explicit in some national policies but appears to be indirect in the new Ofsted framework, although the proposed critical friend appointment, the negotiation of targets and the sharper focus of inspection do not sit comfortably within that approach as it is more flexible and collaborative. Therefore, what can be learnt about self-evaluation is that

schools need to believe that they have the space, the authority and the goodwill to pursue an improvement agenda within an accountability framework.

In Zimbabwe the introduction of performance management was prematurely implemented as no groundwork preparation had been done to thoroughly train both the employees and implementers of the programme, hence many teachers (most of them who attended the training sessions) had to leave the teaching profession for greener pastures in the private sector as they were being paid less money (Saurombe, 2014). Similar to the education system in Zimbabwe, Botswana's novice teachers have also experienced mentoring challenges. Unlike Zimbabwe, where mentors assume the position of "experts", in Botswana the mentors are often unavailable. Novice teachers do not receive adequate mentoring during their first years of teaching but rather are left alone to deal with ill-disciplined learners and adjust practices to their new roles, and as a result they feel embarrassed and abandoned (Monyatsi, 2002).

According to Mpabanga (2016), the lack of performance monitoring and evaluation skills, poor supervision, challenging conditions of service and poor work ethics are some of the factors that are contributing to the ineffective use of performance monitoring and evaluation tools in the service. The crucial factor for an appraisal process to be effective is the training of both appraisers and appraisees. In Botswana, there was no formal training except for the information provided during the Headmasters Conferences and the instructions contained in the Unified Teaching Service circulars (Monyatsi, 2002). The insufficient training provided to the team responsible for monitoring resulted in mentors being unable to play their part as expected. The lack of skilled personnel in Zimbabwe was tantamount to that of Botswana. In Zimbabwe, most highly qualified personnel had left the teaching profession to join the private sector, which at that time was paying higher salaries and offered better conditions of service than those offered by the public service. In South Africa, teacher professional development is an aspect in the IQMS policy document (DoE, 2003:3). Although the IQMS policy has a program of professional development, Khumalo (2008) states that teachers did not show or display the actualisation of the contribution of the IQMS on teacher development. It stands to reason that the training offered by the Department of Education (DoE) is inadequate for teachers to implement the policy, which results in its failure.

Important to note is that there are components of best strategies used in other countries which seemed to make a significant difference in the effective implementation of performance management. In Scotland the Local Education Authorities (LEAs) have been given the power to manage and run schools by the Department of Education and Employment (DEE), while in England it is the Office for Standard in Education (Ofsted). For schools, the approach should be similar to that of an expert who has all the solutions to the schools' challenges. These structures (i.e. LEA in Scotland and Ofsted in England) have more power in terms of deciding what would be good for the schools, which were to remain as passive recipients of an innovation. Unlike England and Scotland, in Botswana, Zimbabwe and South Africa the Ministries of Education are taking the lead in ensuring that teacher professional development materialises. Even though tutors in Botswana were delegated a duty of the daily activities of the performance management programmes in trying to bring the control of the programmes closer to the schools, the Ministry of Education still remained in charge. Of course, these were the positive moves in ensuring the provision of professional development to teachers.

The similarity in the above five countries lies in the absence of parents, district official(s) and union members in the team dedicated to the successful implementation of the performance management programmes. However, in South Africa (DoE, 2003) a further positive move has been the inclusion of democratically elected members of the SMT and the post level one teachers in the School Development Team (SDT). Even so, the approach is similar to that of teams in the other four countries as it does not have parents, district official(s) or union members in the team driving the performance management programs. Another important component in these five countries is the presence of a vision to which all members adhere and are bound in terms of their actions to implement the performance management programme accordingly. However, missing from the formulation of the common vision was the absence of consultation with the masses.

Having said that, in all five countries there were strategies that were implemented which were meant for the successful implementation of performance management at the schools. Different structures in various countries were put in place to enable the monitoring process, among which were tutors, staff development teams (SDTs), senior

management teams (SMTs), co-ordinators, staff development committees, provincial and district officials (Monyatsi, 2002, DoE, 2003; and Saurombe, 2014). The teams driving the professional development programmes were supported by a number of factors. Firstly, the positive relationship between the learning institutions (i.e. schools) and the Ministry of education enabled teachers to adopt the programmes of performance management at their respective schools. Secondly, the Ministry of Education offered some training to teachers and tutors in order to capacitate them on the performance management programmes, even though the trainings offered were inadequate. Other factors which supported the success of the programmes included funding, patience, hard work, the clear purpose of the teams, open communication between the team and other teachers, clear roles and responsibilities, strong relationships between the team and other teachers, a willingness to share information and listen to other people, as well as the partaking in the programs. Another condition that served to support the programmes of performance management was the discussions between teacher unions and the Ministries of Education at a national level. However, consultation at a grass-roots level would have been more fruitful as it would have made teachers and parents align themselves with the vision of their schools.

3.5 SUMMARY OF THE CHAPTER

In this chapter, the attention of the researcher was fully drawn to the teacher appraisal of Botswana, Zimbabwe, England and Scotland. It was discovered that, similar to South Africa, the economy of a country is the driving force for education transformation in all four countries, which translate that it is the same all over the world. The chapter has shown that through quality education provision to learners by learning institutions, the economy of a country can be developed to greater heights and be sustained. In all countries, teachers are recognised as the key players in the strategies targeted at stimulating the development of the economic society. Hence, teachers' efforts are directed towards the strategic objective of the building of a nation, so that it can become the most competitive and be dynamic in its economic system with regards to knowledge and its capability of sustaining economic growth, with a greater number of and better jobs, as well as greater social cohesion. Against this ethos, the primary objective is to increase the quality of teaching as well as the quality and effectiveness of education and training systems. In this regard, teachers have an important role to

play in motivating learners for their success in school. For this reason, teacher evaluation has become the object of attention in African countries (including Botswana, Zimbabwe and South Africa) as well as in European countries, with England and Scotland also in the fold.

CHAPTER FOUR

RESEARCH DESIGN AND METHODOLOGY

4.1 INTRODUCTION

In Chapter 3, the implementation, monitoring and evaluation of teacher appraisal systems in England, Scotland, Botswana and Zimbabwe were discussed (i.e. strategies, challenges and the success factors) including the salary increment, tuition time, as well as the gross lack of confidence, feelings of insecurity and ambivalence on the part of the DSG and SDT. In the discussion, the researcher highlighted the notion of comparative teacher evaluation in these four countries, as well as in South Africa, which was discussed in Chapter 2. In all five countries, the researcher found some critical similarities in the manner in which teachers are evaluated.

The focus of this chapter therefore is directed at qualitative in-depth case study methods to assess the influence of the extent and effectiveness of IQMS in bringing about the desired educational outcomes, i.e. the provision of quality education to learners. In order to conceive the research topic in a way that permits a clear formulation of the problem and the hypothesis, some background information is necessary. The background information provides the reader with critical information about the topic being studied, such as highlighting and expanding upon foundational studies conducted in the past, as well as highlighting the important historical events that inform why and in which ways the research problem is going to be explored. The background information identifies the root of the problem being studied and the appropriate context of the problem in relation to theory, research, and/or practice.

This chapter presents the research design and methodology for this research. In the chapter an ontological perspective, which maintains that something exists only when one experiences and gives meaning to it (Chingara, 2018), is expounded. The chapter also presents an interpretive epistemology, which upholds that knowledge can only be made and understood from the point of view of the people who live and work in a particular society or organisation (ibid, 2014). A qualitative research design was particularly suitable for this study, because in the context of this study, the researcher would collect data appropriate to generate the much-needed theory. Qualitative research refers to the design where data is collected in the form of words and

observations as opposed to numbers and analysis based on the statistical analysis (Mphahlele, 2018). Mphahlele further states that qualitative research can be applied to the study of past events, and when applied to the past it is called historical research, and the events are called qualitative research. This method gives the research an in-depth understanding of the first-hand information and phenomenon. For this study the researcher chose the qualitative research design and a case study as the data collection method to be used. In this chapter the researcher also discusses the population, the sampling method used, and the interview schedule as the research instrument to be used in the semi-structured interviews. The researcher concludes the chapter by explaining how the data was analysed and providing descriptive summaries of the collected data.

4.2. PHILOSOPHICAL FOUNDATION OF THE STUDY

Every research study is grounded on some philosophical assumptions about the natural surroundings of the world and how information about the world can be acquired. According to Saurombe (2014), these assumptions must be made explicit even before the study begins so that the researcher's position is well known to their readers. These assumptions make available the foundation for everything that follows in any research process.

There are three major philosophical perspectives or paradigms that guide the research process, i.e. Positivist, Interpretive and Critical perspectives (Creswell, 2009). An explanation of how each of these philosophical perspectives influence research will be given; thereafter, the researcher will focus on a specific philosophical perspective that informs this research study. The reasons and justification for choosing the particular perspective having been outlined, the strengths and weaknesses of other competing philosophical assumptions will be outlined. The philosophical assumptions for purposes of this research study can be viewed "as the underlying epistemology which guides the research" (Saurombe, 2014). It is important to describe the concept "epistemology"; however, it is in the next section where the concept "epistemology" will be explored in detail. Epistemology refers to theory of knowledge, especially with regard to its methods, validity and scope. It is the study of knowledge and justified belief (Steup, 2005).

4.2.1 Epistemology and ontology

Epistemology is one of the core branches of philosophy and is concerned with the theory of knowledge, especially with regard to its methods and the possible ways of gaining knowledge of social reality or whatever is understood to be. An understanding of what epistemology is and how it affects and influences the research process is very important. Epistemology refers to the theory of knowledge. The researcher's epistemological positions will lead them to employ a different methodology than one would otherwise use. Thus, when undertaking a research study on the same phenomena, their epistemological positions normally lead one to discover different views of the same social phenomena.

Our view of the nature of reality, which is referred to as ontology, affects our beliefs about the nature of knowledge, i.e. our epistemology. This implies that a particular view of the world affects the whole research process. According to Saurombe (2014) epistemology involves two parts, i.e. theory of knowledge (what is known) and a theory of knowledge acquisition (how it comes to be known).

4.2.2 Research paradigm

Firstly, it is important to explain what a paradigm means. A paradigm is the pattern, structure, and framework or system of scientific and academic ideas, values and assumptions (Patton, 1990). A paradigm influences a person's worldview and ultimately changes the person's perceived aspects of reality. This means that in some instances a person may change his or her view depending on the situation. According to Baruth (2013), the different modalities of each research paradigm can be understood within the following context:

4.2.2.1 Positivism / Empirical

The term 'positivism' is normally used to describe an approach to the study of society that relies specifically on scientific evidence, such as experiments and statistics, to reveal the true nature of how society operates (Henning, Rensburg, and Smit, 2004). In a positivist research, the researcher endeavours objectivity and precision by focusing on scientific enquiries, facts, theories, laws and predictions. During the investigation the researcher is detached from the study, or stays outside of the

research, so as to obtain objectivity. This gives the researcher a perfect opportunity to employ systematic quantitative methods to conduct the research and collect, as well as record, the data systematically. Such a modality predicts the phenomena through various quantitative methods and represents the truth in the most appropriate and objective fashion in a natural setting. The results of empirical tests are analysed through logical reasoning, observations, numerical data and large sampling. Since the results are obtained through statistical analysis and numerical data, they are therefore guaranteed and they can be applied and generalised to other practices.

4.2.2.2 Constructive / Interpretive

According to Bowen (2009), the constructive or interpretive model (or paradigm) captures the lives of participants in order to understand and interpret meaning. Unlike the positivists' paradigm, which advocates for single truth and single reality, the interpretive paradigm supports the view that there are many truths and multiple realities. The interpretive paradigm focuses on the holistic perspective of the person and the environment which is more congruent with the social discipline. In this paradigm multiple explanations and descriptions are offered for people's actions. According to Bokgola (2015), interpretive paradigm is underpinned by observations and interpretations. In the interpretive method the researcher believes that the mind is active in the construction of knowledge. Views, decision-making, perceptions, judgements and beliefs, as well as an understanding of humankind underpin and reinforce the interpretive theory. The interpretive research method allows participants to interact with each other to draw out their feelings and viewpoints, and in the main it is used in social science and education research since it focuses on interpretive inquiry, which is understood as knowledge. In the interpretive paradigm, the researcher interrogates his/her conclusions based on the opinions, viewpoints and feelings of the participants. The common and well-known weakness of interpretive paradigm is human error, which results in complexities.

4.2.2.3 Critical Theory

Critical theory is a philosophical approach to culture, and especially to literature, that considers social, historical and ideological forces (Boyce, 2006). Since human beings are political beings; knowledge is subjective and political. On this basis, critical theory

involves serious awareness when it comes to power relations in examining or trying to make sense of information. By understanding power relations, change is brought about as the situation is further understood. Therefore, this research method uses various qualitative enquiries for data collection, such as personal experiences, case studies, life stories, artefacts, field notes, interviews, cultural texts and visual texts to gather meaningful information. As it is socially constructed it results in a variety of realities, and its knowledge is based on interpretations, meanings and experiences, rather than on hard reality. For the purpose of this study research, the critical research paradigm is the most appropriate and relevant as it uses the available information to change or improve the current situation by using both qualitative and quantitative methods of data collection. Moreover, it also uses case studies, narratives, interpretations and reconstructions.

4.3 RESEARCH DESIGN

Kothari (2004) claims that a research design is a plan, roadmap and a blueprint strategy of investigation conceived so as to obtain answers to research questions and lies at the heart of any study. A research design can be described as a general plan about what one will do to answer the research question. According to Labaree (2009), it refers to the overall strategy that one chooses to integrate the components of the study in a coherent and logical way, ensuring that one is addressing the research problem; it constitutes the blueprint for the collection, measurement and analysis of data. Labaree (2009) states that a research design is a description of the most adequate operations to be performed, in order to test a specific hypothesis under given conditions. The purpose of the research design is to ensure that the evidence obtained enables one to effectively address the research problem as unambiguously as possible. This is because, in most instances, obtaining evidence relevant to the research problem generally entails specifying the type of evidence needed to test a theory, to evaluate a program, or to accurately describe a phenomenon.

4.3.1 Design

In this research study a case study research design, or qualitative research approach will be used. A research design provides a set of guidelines, instructions and prescriptions to follow in order to address the research problem. It provides a blueprint

or a plan of how the research is to be conducted by describing the research sites, how the subject is selected and data collection procedures, with the purpose of anticipating the decisions to be taken to maximize the validity of the findings. In qualitative research, there are several research methods that can be used to collect and analyse data. Research methods are the means, methods and procedures used to collect and analyse data.

4.3.1.1 Case study

In simplest terms, a case study is a practical enquiry that investigates the current occurrence in depth and within its actual or realistic context. According to Chingara (2018), it is a systematic inquiry into an event or a set of related events that aims to describe and explain the phenomenon of interest. Chingara further states that in an interpretivist viewpoint, the characteristic feature of a case study is that it attempts to provide a complete understanding of how participants speak and work together in particular circumstances and how they develop the meaning of the occurrences they are reviewing (ibid). In a case study research, the unit of analysis is a critical factor. In this research study, through the case study, the researcher hoped to get a clearer understanding and acquire knowledge about the issues under investigation, i.e. the issues around the implementation of IQMS in schools in the Western Cape province.

4.3.1.2 Advantages of using the case study

The advantage of using the case study method in collecting data is that most often, if not always, it becomes practically impossible to research to entire population, hence a small group is often envisaged for a research study to draw a conclusion. A case study generates a rich and detailed set of data that leaves the participants' perspectives intact and provides various contexts for understanding the phenomenon under study (Bokgola, 2015). However, the small group has to be selectively chosen so as to meet the actual purpose of the study, and without disregarding cost and time constraints. Simply put, in qualitative research the researcher should seek the participants and settings that would enable them to study the occurrences more closely and carefully. That is to say, the sample must be able to provide the necessary information to answer the research question. Therefore, it goes without saying that in

this research study, particular care and consideration will be given in choosing the participants.

According to Creswell (2007) as cited by Bokgola (2015), a case study approach is useful for the study of a phenomenon in its natural context. Bokgola (ibid) also states that by making use of case studies in research, the researcher has an ample chance of acquiring a huge and detailed quantity of information about the topic under research, which allows the researcher to work with a broad range of unprocessed information. This allows the researcher to analyse the different views from the participants as they interact with each other in given circumstances. The significant benefit of the case study approach is its use of many informants and methods in the process of gathering data. The researcher decides in advance what facts to gather and what investigation methods to use to obtain the data that will help in answering the research question. In a case study, various methods to collect data are used, i.e. interviews, document review, observation, and even the distribution of questionnaires. For this study, the researcher has also done a literature review by consulting recent sources. The background information acquired from the literature review also highlights the scope and the extent to which previous studies have successfully investigated the problem under study by noting, in particular, where gaps exist which the current study attempts to address.

4.3.1.3 Challenges of using case study

A case study is a logical investigation into an incident or set of related occasions which wishes to define and explain the phenomena of interests (Cousin, 2005). It is essential in addressing dramatic, fact-finding research questions. It provides the researcher a perfect stage on which to better understand the circumstances. However, there is a possibility of influencing the results in a case study due to the longevity of capturing the data. In the next section, the researcher expounds on how to address the challenges that are incurred in using a case study for a research.

4.3.1.4 Addressing challenges incurred in using a case study

In order to prevent the problem highlighted above (i.e. taking a long time to read, understand and analyse the case study information) it is important that the location

and context of the research study is clearly identifiable and outlined. Therefore, in this study the focus will be on the effective implementation of the Integrated Quality Management System at primary schools in the Western Cape province.

4.4 RESEARCH APPROACH

Every research study is centred around the philosophical assumptions about the natural setting of the world and how knowledge about the world can be attained (Saurombe, 2014). These assumptions must be crystal clear to allow readers to get a sense of the researcher's position or point of departure before anything gets started. This research study pledges to the qualitative research design as opposed to the quantitative research design, and in undertaking the aims of this research study, the researcher analyses the experiences of teachers, school heads and the School Development Teams in the implementation of performance management at the schools by collecting data through in-depth interviews with the above mentioned personnel. This data must be tape recorded and transcribed for meaning and relevance to the research aims and objectives. Besides the interviews, the data will be collected via questionnaires and the studying of documents.

The questionnaire will be completed by one member of the SDT committee in each school to obtain data regarding IQMS implementation, i.e. teachers' qualifications (were the teachers/appraisers trained in IQMS?), teachers' experience (how long have teachers/appraisers been involved in the IQMS implementation process at their respective schools?) and knowledge (how capable are the teachers in facilitating the IQMS implementation process?). Such data will help to affirm the information retrieved from the interview with the school principals and, also, to portray a balanced picture of the acquired data from the various data collection methods (i.e. interviews, personal observation and document analysis). The original documents by which the performance management programme was made mandatory for introduction in the education system, as well as the IQMS documents used at each school will be closely studied. The researcher believes that through the use of various data collection sources, a more convincing and accurate case study will be provided.

4.4.1 Defining the qualitative research method for the study

According to Mphahlele (2018) qualitative research refers to the "design where data is collected in the form of words and observation as opposed to numbers and analysis based on the statistical analysis". Therefore, a case study as a qualitative methodology focuses on the number of participants and the real-life experiences of the participants, whereby the researcher interacts with the participants in the process of gathering information (Cresswell, 1994 and Gulston, 2010). The advantage of qualitative research is that it allows the researcher to get to know the respondents' personalities. Due to the interaction of the researcher and the participants during the process of gathering information, qualitative research is therefore referred to as participatory-action research. Mouton (2001) maintains that participatory-action research is a study that involves the subject of research (research participants) as the integral part of the design. In this research study the researcher opted to go for a participatory-action research (PAR), and the collection of data was done via questionnaires and interviews in the participants' natural setting, namely the school.

According to Cohen, Manion and Morrison, (2000) PAR is an approach to research in communities that emphasises participation and action. It seeks to understand the world by trying to change it collaboratively and following reflection. In this way it emphasises collective inquiry and experimentation grounded in experience and social history. This therefore calls for the interpretive or constructive model (or paradigm) as it captures the lives of participants so as to understand and interpret meaning and, in the process, multiple explanations and descriptions are offered for people's actions and ways of living in a subjective or particular reality or natural setting (for instance, in the case of this study, the school). Interpretive paradigm is underpinned by observations and interpretations.

4.4.2 Addressing the challenges and benefits of using qualitative research method

Since the study focused on Participatory-Action Research (PAR), the emphasis was on the collaboration of the researcher and participants. In PAR both the researcher and participants become part of a cycle of research, or the investigation. Mouton (2001) claims that the key benefit of participatory action research is that it is

empowering and actively engages the participants. Jonathan Smith (2015) maintains that PAR is a qualitative research methodology that requires further understanding and consideration, and it is a democratic, equitable, liberating and life-enhancing qualitative inquiry. Against this spirit, this research study was conducted in phases, and in all phases there was collaboration between the researcher and participants.

In phase 1, a semi-structured interview was conducted with all educator participants in each of the participating schools. These interviews served two purposes, first; to gain the trust of the educators and to motivate them to participate in the research, and second; to probe for the views of the educators regarding effectiveness of the implementation of IQMS policy. **In phase 2**, a start-up or information workshop was convened. The data collected was analysed and shared with all the educator participants. The data analysis was interactive as ideas were taken from the initial interviews and built into the next phase or stage, i.e. phase 2. A qualitative empirical research with multiple methods in five different schools in the Metropole East and North Education Districts in the Western Cape province was carried out for this study. A three-phase research process was therefore considered, i.e. data collection, data analysis and data verification. In this three-phase research process, the researcher observed the participants and took field notes, asked the participants to write a reflective journal (or complete a questionnaire form) and interviewed the participants.

The advantage of the in-depth interviews was that the data was collected in a face-to-face situation whereby the researcher interacted with the selected people in their settings. This method was important since these individuals were likely to give valuable information on their excitement or frustrations with regard to the whole process of the implementation of performance management in the education system. The qualitative research process was very important in this study because findings of this study might be used in the formulation, development or improvement of education policy.

4.5 RESEARCH METHODOLOGY

Research methodology is the theory of how we collect data (Whitley, 2014). It focuses on the actual life experiences of people while the researcher interacts with the

participants in the process of collecting information. In this fashion, the researcher gets to know the respondents' personally.

4.5.1 Piloting the study

Before the study began, the researcher conducted a pilot study to determine whether the respondents are able to provide the relevant information for the research study. A nearby school was chosen for the pilot study, and after requesting permission from the school principal to conduct the pilot study, the researcher was granted permission. For the pilot study, the researcher interviewed the deputy principal while the IQMS coordinator was completing the questionnaire form. The pilot study entailed a one-day visit to the pilot school. This enabled the researcher to determine whether the questions asked, particularly in the interview, were understandable to the participants of the research study. The purpose of the pilot study was to determine the approximate time for each interview and each questionnaire, and also to check for any inconsistencies and/or ambiguity in the structured questions.

By piloting the study, the researcher was able to check clarity, easily identify problem areas and rectify those problem areas. This gave the researcher an opportunity to focus on what is relevant and remove any items of irrelevancy. One set of interviews and one set of questionnaires was piloted at the school, with one educator completing the questionnaire and the deputy principal being interviewed. Both participants were asked to comment on the type of questions asked, the level of difficulties encountered, the questions relevant to the objectives of the study, as well as the length of time it took to complete each interview and each questionnaire. After the pilot study some questions were rephrased and reworded so that the main idea could be communicated to the participants in the final research.

4.5.2 Empirical research (Qualitative)

An empirical or qualitative research is an approach on how to conduct the research process. According to Cousin (2005), it is a case study and involves a systematic inquiry into an event or set of related events which aims to describe and explain the phenomena of interests. It is used to address descriptive, exploratory research questions, and it gives the researcher a good platform of better understanding the

situation. Cousin also points out that a case study might produce adverse results as it might take a long time to read, understand and analyse. Therefore, in order to prevent such a problem, it is important that the location and context of the research study is clearly identifiable and outlined. In this study, the focus was on the effective implementation of the Integrated Quality Management System at primary schools in the Western Cape province. The study was conducted on qualitative approaches that relied on purposive sampling of sites and participants, based on how richly informed the informants were on the topic under investigation. The study was oriented towards examining individual cases and was therefore classified as an empirical research. According to Saurombe (2014), the common characteristics of empirical research are as follows:

- It seeks to explore and discover, construct and describe phenomena. These help the researcher to gather the factors and analyse them in line with the objectives of the study.
- It presents the researcher with greater access to the sites because of the intended interviews with the participants in their sites (stations). This is necessary for the research as further explanations and clarifications can easily be requested if the researcher feels there is a need to do so.
- It gives the researcher a chance to study the participants' behaviour in their natural settings (or environments) during the investigation and data collection processes, as opposed to studying human behaviour in unnatural environments such as laboratories. This is more appropriate in instances where, for example, a topic is new or has never been tackled with a certain sample or group of people before, as it might have some influence on the current study.
- The approach relies on the collection of data through interviews and document perusal. This allows the in-depth examination of phenomena and makes it possible to achieve data saturation.
- The data that is collected is analysed convincingly so that there is no hypothesis needed to prove or disprove. In this regard, it is helpful to explore new areas of research and deal with value-laden questions.

4.5.2.1 Site

It is practically impossible to research an entire population. Therefore, a small group should be envisaged for a research study in order to draw conclusions. However, the small group has to be selectively chosen, so as to meet the actual purpose of the study and without disregarding any potential cost and time constraints. Simply put, in qualitative research the researchers should seek the participants and settings that would enable them to study the occurrences more closely and carefully. That is to say, the sample must be able to provide the necessary information to answer the research question. Therefore, it goes without saying that in this research study particular care and consideration was given in choosing the participants and their sites.

The research study was conducted in five primary schools in the Western Cape province of South Africa. These schools were purposefully selected to represent the diverse historical background of South Africa so as to accommodate the race of both the teachers and the learners attending the five schools. The sample was chosen on the basis of their annual academic performance on the Systemic Evaluation Test as follows:

- a) A school from a rural area or disadvantaged community that had been experiencing poor results, from 2016.
- b) A school from a rural area or disadvantaged community that had been experiencing good results, from 2016.
- c) A school from a township that had been experiencing poor results, from 2016.
- d) A township school that had been experiencing good results, from 2016.
- e) A school from an urban area that had been producing good results, from 2016.

4.5.2.2 Participants selection

A group of 15 educators from five different schools in the Metropole East and North Education Districts in the Western Cape were chosen. The schools were chosen on the basis of their location as well as their annual academic performance on the Systemic Evaluation Test. Thus, as the research unfolded, the researcher tried to observe and toe the line of qualitative research. The phenomenon of the implementation of performance management happens in the school setup, so the researcher visited the five schools as sites of the study to gather data from these

natural environments. At the sites (or schools) the researcher interacted with the participants (i.e. the 15 educators - principals and teachers) from the five different schools. Information that was collected from documents was also collected in the environments where these documents are filed. For the study, the researcher had chosen qualitative research because of its sensitivity to social context and the capturing of data which is detailed, rich and complex, as it employs a variety of methods, including in-depth interviews; groups; observation; conversation and documentary analysis.

In the study, the educators were given the opportunity to become participants in a teaching practice that involved their Performance Measurement (PM) evaluation, and also took part in a training program that involved their shortcomings which were identified during their evaluation process. The participants were interviewed and given an opportunity to write a journal, in order to evaluate and reflect on their own performance and participation during the course of their training development programmes. During these two sessions, i.e. the educator evaluation and educator training development programme, the researcher was an observer taking field notes. During the process of interviewing the participants, a tape recorder was used to gather information as accurately as possible. Through all these characteristics of qualitative research as highlighted above, the research was able to generate data that had both width and depth.

4.5.2.3 Permission to conduct research and informed consent

As for ethical considerations, permission to conduct the research was requested from the Western Cape Education Department (WCED), from headmasters, heads of departments (HODs) and educators from the selected schools that participated in the research study. Research ethics refers to the correct behaviours and procedures that are necessary for the researcher to conduct a research study. Ethics reflects honesty and integrity of professional colleagues during the entire research study and thereby provides guidelines to guard against any undesirable effects that might occur as a result of the research process. According to Bokgola (2015), ethics are the moral principles that are widely accepted and which provide rules and regulations within a profession. It is important that a researcher takes into consideration both the ethical

and the legal responsibilities, as this provides the standards by which the researcher can examine his or her work. Hence, in this study the researcher had expounded the research process in phases, and in the following manner:

4.5.2.3.1 Ethical research phase 1 (prior to beginning the field study)

- It was important that the researcher produced an ethical research design in order to get the ethical clearance in terms of the regulations and policy of the University of South Africa (UNISA). In terms of the UNISA Policy on Research Ethics, or the Code of Professional Ethics by the College of Education (CEDU), all students who intend to conduct a research study are governed by the same ethical framework and are obliged to sign an undertaking to comply with the UNISA Code of Conduct for Research. The researcher had completed the Research Ethical Clearance (REC) application form in order to be permitted to conduct the research study. The form included identification of the researcher, identification of the purpose of study, identification of the benefits of participating, an indication of the level of participant involvement and involved risk, guarantee of anonymity, confidentiality and assurance of rights to withdraw at any time.
- In line with the CEDU procedures, strict measures were undertaken for privacy and confidentiality, to the extent that acronyms and/or alphabet letters were used in the place of the participants' names, because no participant or organisation could be revealed during the process of the research study. Moreover, a request was made to all the participants of the research study to sign letters of consent.
- A request to conduct the research study on the selected schools was made to the Western Cape Education Department, permission of which was granted and is attached in the Annexures. Furthermore, all the participants in the study were assured that all information disclosed was to be used for research purposes only and nothing else. The participants were made aware of all the activities they were to be involved in and were allowed to withdraw it any point if they so wished.

4.5.2.3.2 Ethical research phase 2 (beginning the field study)

The researcher applied ethics principles from the onset, i.e. before the field study began and throughout the study, in the following ways:

- By explaining to participants' the purpose of the study and how long it would take.

- By informing all participants that they could withdraw from the research study at any time, if they so wished;
- By encouraging the voluntary involvement and participation of all participants;
- By assuring confidentiality and anonymity as well as privacy;
- By ensuring the participants that there would be no physical harm and distress to any of them during the study process; and
- By handing out the consent forms, with clear instructions to be signed by all the participants.

Before the investigation began, permission to conduct the research study had been requested from the Western Cape Education Department. The collection of data, the distribution of questionnaires and the conducting of interviews were all completed before the schools started writing examinations, so as to avoid disturbing the programmes or the smooth running of the schools. This is because, from my experience when completing my Master's Degree in Education, I know that neither principals, teachers, nor the Department of Education want any disturbances during the examination period.

4.5.2.3.3 Ethical research phase 3 (collecting the data)

The researcher consulted with principals and district officials before entering into the research sites. The data collection process was conducted at the appointed times that did not disturb the normal schools' programmes. In order to get reliable information from the participants during the process of collecting data, the researcher had to ensure that he:

- informed all the participants during the interview process that there was no wrong or right answer to the questions; and that they should therefore express themselves as freely and openly as they could.
- remained open, honest and transparent in order to ensure that all information was valid and that no information was withheld.
- upheld self-respect and human dignity when conducting the research study.
- displayed a sense of caring to all the participants so as to promote personal morality and fairness.

The collection of data, the distribution of questionnaires and the conducting of interviews were all done before the schools started with their examinations. Based on the rationale and the purposive sampling highlighted above; the researcher believed that PAR would allow for a detailed exploration of the research problem of the study.

4.5.2.3.4 Ethical research phase 4 (analysing the data)

During the data analysis of the research study, it was important that the researcher put together all the information acquired from the interviews, questionnaires, school observations and school documents analysis in order to literally analyse all words and sentences for the purpose of interpreting and theorizing the data. Throughout the whole study, the anonymity or privacy of participants was protected and respected.

4.5.2.3.5 Ethical research phase 5 (reporting, sharing and storing data)

In the study, the researcher had ensured the validity and credibility of the study through the following aspects:

a) Reporting:

By acknowledging all consulted books and journal articles, as well as presenting evidence in the collected data, findings and conclusions. There were some risks that the participants in the study were exposed to, i.e. the disturbance to their school's normal programme; misinterpretation of the research questions; feeling insecure, especially when giving out negative information about their school; and insufficient time to respond to the questions so as to answer the questions to the best of their knowledge and understanding. Therefore, in order to avoid the adverse events or injury or harm (including emotional discomfort) by the participants, the following aspects were taken into serious consideration:

- The interview and the completion of the questionnaire were done after the tuition time.
- The interview questions were simplified and rephrased where there was any misinterpretation.
- The participants were informed of the undertaking that confidentiality would be maintained with regard to all information given.

- The interviewer was patient, sensitive and compassionate towards the needs and feelings of the interviewees.

For any changes to the procedure or the research design or to any occurrences during the research process, the researcher had to report to his Supervisor in writing so as to get advice on what should be done going forward.

b) Sharing:

The researcher shared details of the research and the research design with interested educationists and stakeholders who had helped to increase the credibility and relevance of the study for the teaching profession. The participants were informed that the findings or results of the study would be made accessible to all of them for a period of six months after completion of the study. In this regard, the participants were given a form to complete, indicating their intentions and providing their contact details (e.g. telephone numbers and email addresses). Similarly, the researcher provided his details so that the participants could contact him in case they required any further information or wanted to contact the researcher about any aspect of the study.

c) Data storing:

All the data collected for the study would be securely protected in a locked cupboard at the researcher's residence for a period not less than five years. The electronic information would be stored on a password-protected computer. All the data stored would be for future research or academic purposes and would be subjected to further Research Ethics Review and approval, if applicable. If needs be, all information would be destroyed, i.e. hard copies shredded and/or electronic copies permanently deleted from the hard drive of the computer through the use of the relevant software program.

It is important to note that in order to validate the findings, the study must be freed from all bias and errors, which allows other people to confirm the findings without any subjectivity. In this regard, any person or researcher can conduct the same observations at any other time but produce similar results. The interpretation declared by the researcher should not be based on the imagination of the researcher but rather on qualitative data that can be logically traced back to its original sources. Hence, throughout the research study, the researcher avoided having an influence on the

participants or becoming biased during the interview process. It was for this reason that the researcher constantly checked the responses and comments of the participants.

Once the study had been validated, the following would be applicable:

(i) Transferability

In the research study the researcher had to gather as much information as possible so that the findings of the research could be transferred to another. In other words, the findings of the research study must display the authenticity of the research study in a manner that the findings can be used by others to understand similar situations that they are facing. However, it must be noted that it was not going to be easy in a small sample of qualitative research to ensure transferability. This is because a small sample cannot be representative of a large group, as interviewees only share their innermost thoughts, feelings, fears and desires. In this way, it was difficult to achieve transferability, due to the interviewees' own experiences of their definition of their world. Even so, it can also be argued that the researcher was able to achieve transferability by purposively choosing the participants for the study and by using the direct quotations of the participants retrieved from the data.

(ii) Credibility

Credibility maintains that the outcomes of a research study are trustworthy, relevant and reasonable. It is therefore imperative that the research study is designed in a manner that eliminates any form of bias and/or errors. This could be achieved by the use of triangulation or using different methods of data collection such as interviews, observations, questionnaires and document analysis. In addition, a constant check of the data also eliminates errors and ensures credibility.

Both the transferability and the creditability in the study were guaranteed by the completion of the acknowledgement form regarding plagiarism, which declares that no duplications of text were made and all texts used in the study were duly referenced and reported on in the references section of this thesis.

4.6 RESEARCH INSTRUMENT

In gathering information from the participants during the investigation process, various strategies and instruments were used, i.e. tape or voice recorder, questionnaires, interviews and personal observation. Before the researcher started with the collection of data, he convened a meeting with the teachers in order to make sure that they were not going to be disturbed during the examination period or during their school holidays. Data collection is the process of gathering and measuring information on variables of interest in an established systematic fashion that enables one to answer stated research questions, test hypothesis, and evaluate outcomes (Patton, 1990).

4.6.1 Data collection method and procedure

As this research study sought to find out the peculiar and personal experiences that the selected informants had had, qualitative research was the preferred method to elicit these experiences, while still making the experiences relate to the sample of people being studied. The study's primary purpose was to try and gather data that provided the subjective (qualitative) view of the sample being studied, as opposed to the general view (quantitative research). Through the use of qualitative research, the participants' views on the challenges of implementing performance management, as well as their fears, frustrations and emotions about the programme were captured in the data. As informants were allowed to give unrestricted information to questions they answered during the interview, an opportunity was created to collect detailed data that was practically possible and academically relevant to the understanding of performance.

By choosing to do a qualitative study as opposed to quantitative research, the researcher stood a chance of collecting as much data as possible without interpreting the acquired data. This resulted in a rich description of phenomenon, which allowed the researcher to analyse thick data and draw conclusions from the informants' responses in a context-specific situation. Based on the strengths of qualitative research as explained above, qualitative research was the research method of choice for this research study as it produces a wealth of detailed data with a small number of people and cases, as well as providing depth and detailed data through careful description of situational events, interactions and observable behaviours. In carrying

out this research study, there was a great desire to generalise huge data from a purposive sample of 15 informants. The methods for analysing these data were those best suited to qualitative data, and it was deemed to be the most appropriate method when one considered that the aim of the research was to understand the way teachers understand and implement performance management in schools. Thus, such data could be generated through in-depth interviews, inquiry, questionnaires, observation and documents.

4.6.1.1 In-depth Interviews

Baruth (2013) describes an interview as an “interaction between two persons whereby the interviewee gains access to the informants’ own personal experiences in order to share their beliefs, knowledge, reasoning, feelings and thoughts, so as to make a generalisation of our own experiences of the interviewee”. The set of questions for an interview are referred to as an interview schedule. According to Kumar (2011) cited by Baruth (2013), an interview schedule is an interaction between two persons where an interviewer uses a set of questions designed to be asked as worded, and instructions given to the interviewer about how to proceed through the questions. In other words, an interview schedule is the set of questions informed by the literature review and focuses on the main questions that need to be asked. Accordingly, the interview schedule in this research was based on the general research questions which looked at the effective implementation of IQMS in primary schools in the Western Cape province, and the focus was on school management and leadership, as well as the individuals and structures involved in the process of whole school evaluations. The focus had also been extended to areas such as the integration of the experiences and challenges that were faced by educators in the process of implementing the IQMS policy. Therefore, the interview schedule (see Appendix C) was comprised of open- and closed-ended questions.

The participants were asked if the interview could be digitally recorded and the researcher was given the go-ahead. The researcher explained the purpose of the study and gave the undertaking that confidentiality would be maintained with respect to all information supplied. At the beginning of the interview, the researcher also explained to the interviewees that they should not rush to answer the questions as

they had sufficient time to digest them. They were also advised that there were no right or wrong answers and to therefore simply give answers to the best of their knowledge. In order to avoid disturbances and disruptions on the schools' programmes, the interviews were conducted outside of school hours.

In-depth interviewing is a qualitative research technique that involves conducting intensive individual interviews with a small number of respondents to explore their perspectives on a particular idea, programme, or situation (Boyce, 2006). Through the interview method, people are given an opportunity to share their beliefs, knowledge, reasoning, motivations, feelings, thoughts, experiences and ideas. In other words, the interviewer enters into the world of the interviewee and makes a generalisation of the data collected during the interview process by validating their own experiences of the interviewee. Therefore, it is important that the interview data is examined with a deeper lens so as to obtain a better understanding of the gained experience. The purpose and advantages of an interview are as follows:

- It is flexible in the sense that a question can be rephrased when a problem arises.
- It can be assured that all questions are answered.
- It has a certain amount of control over the environment.
- It establishes an element of trust between the interviewer and interviewee.
- It helps the interviewer to stay focused and to keep to the point.
- It enables the researcher to get to the root of the problem being investigated.

The role of the interviewer is to create an environment for the interviewee which is conducive to him/her expressing him/herself freely during the entire interview period. This can be achieved if the interviewer knows his/her subject very well before initiating the interview process. The interviewer should also clarify any misinterpretation of the research questions and, if need be, rephrase them. Before the interview starts, the interviewer explains the key purpose of the study to the participants as follows:

- The contents of the study.
- The use of a digital tape recorder.
- The procedures that will be followed during the interview.
- The undertaking that confidentiality will be maintained with regard to all the information given.

The interviewer needs to give the interviewee sufficient time to respond to the questions so as to allow them to answer the questions to the best of his/her knowledge and understanding. The interviewer also needs to be sensitive and compassionate towards the needs and feelings of the interviewee. In the in-depth interviews it is important to debrief the respondents to avoid any misunderstandings. The aim of an interview is to retrieve information concerning the feelings, viewpoints, beliefs, experiences and encounters of the participants. The in-depth interviews in this research study were meant to fully understand how the SDTs felt about their key role functions in the primary schools, as well as the challenges that they were facing in implementing the IQMS policy.

For the purpose of this study, it was appropriate to rely on the in-depth interviews because the participants would feel comfortable expressing their viewpoints, which could also produce reliable information. Moreover, all interviews had to be conducted on a one-on-one basis for a period of at least 30 – 60 minutes after the school day had ended, to avoid any disturbances to the interview process that might have been caused by the noise of the learners. After all participants had given their consent, the interviews were audiotaped. The interview questions were structured in such a manner that they enabled the participants to relate to their actual experiences as members of the SDT. For the in-depth interviews, only two (2) principals and three (3) IQMS coordinators of the five (5) participating schools were interviewed. Five (5) participants (i.e. SDT members) from all five of the participating schools were requested to complete a questionnaire form. The researcher believed that, through the use of the methods, the information acquired would be relevant and reliable.

For the in-depth interview, the researcher drafted an interview schedule that would help to facilitate the interview process. An interview schedule is a written list of questions prepared by an interviewer for a one-on-one interaction with an interviewee (Boyce, 2006). Such questions can be open-ended or closed-ended. The literature review often guides the interview schedule and focuses on the core questions that need to be asked. Therefore, in this study it was focused on the general research questions that interrogated the experiences and challenges faced by SDTs in managing the implementation of the IQMS policy in primary schools. The interview schedule (see Appendix C) comprised of both open- and closed-ended questions and

all the interviews were digitally recorded. All interviews took place outside of school hours so as to avoid disruptions and disturbances to the schools' programmes.

The research question of this study is, "*Which framework can be recommended in order to successfully implement the Integrated Quality Management System (IQMS), particularly in primary schools in the Western Cape province?*" The following sub-questions to the main question of the research study were critical when addressing the ineffective implementation of IQMS policy in primary schools, not only in the Western Cape province, but across the entire country:

- Which processes and techniques are used in the performance measurement and appraisals in primary schools in the Western Cape?
- What are the measures used for monitoring and evaluating the processes for IQMS implementation in primary schools in the Western Cape?
- How appropriate are the measures in place for improving the IQMS implementation processes in primary schools in the Western Cape?
- What kind of challenges are encountered during the implementation of IQMS in primary schools in the Western Cape?
- What kind of capacity and support is required to effectively mitigate these challenges?
- Which framework or model or strategies can be recommended for improving the processes for IQMS implementation in primary schools in the Western Cape?

The purpose of the interview was to find out the kind of experiences encountered by the teachers at their respective schools when it comes to the implementation of Integrated Quality Management System. During the interview process, the interviewees were made aware that the information provided would be kept confidential and therefore should feel free to share any relevant information that was reliable. For the purposes of this study, interviews were used. Interviews investigate the experiences of people and through a sequence of questions and answers, the meaning people give to their experiences is brought out (Chingara, 2018). In the five selected schools, only the principal or deputy principal were interviewed. Interviews may be structured, in which an interview guide is used with set questions from which no digression is permitted by the interviewer; or semi-structured, in which an interview

guide is used with set questions and potential follow-up questions. The latter allows the interviewer to follow up on topics that may arise during the interview which seem relevant.

4.6.1.2 Observations

Table: 4.1 below represents the network of classroom observation, including the course of action as a developmental process.

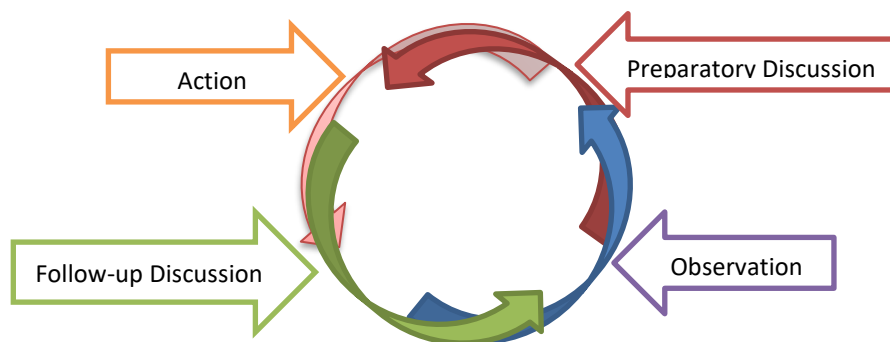


Table 4.1: Classroom Observation as Developmental Process (Balkaran, 2000: 75, cited in Rabichund, 2011: 50)

According to Balkaran (2000) as cited in Rabichund (2011) the preparatory discussion entails outlining expectations or aspects to be focused on during the observation. The researcher contends that the follow-up discussion is of supreme importance as it addresses the educator's strengths and weaknesses. If any weaknesses are identified, then plans need to be put in place to ensure that they are addressed. A practical model for classroom observation has three distinct aspects: preparatory discussion; observation; and follow-up discussion and feedback leading to agreement on action (Balkaran, 2000) as cited by Rabichund (2011). Too often, educators will attend workshops and then be left on their own to attempt to implement what they have learned. Similarly, just as educators should not expect their learners to be without questions after an important lesson, professional development planners should not expect educators to be without questions after the professional development has been completed.

Another element of effective professional development programmes is those that have the structures set up for consistent follow-up and support (Monyatsi, 2003). Monyatsi further states that support and follow-up is crucial in order to help when facing new issues or problems that may arise from classroom implementation. The full potential

of professional development may not be reached if educators do not implement practices learned in their classrooms. Without the opportunity to follow up on any questions that may be occurring, professional development may not be fruitful (Guskey, 2000). Again, educator ability comes into play. Educators who are supported and have a high sense of effectiveness will likely feel good about teaching and will feel confident that they are able to influence learning (Jansen, 2004). An evaluation of successful professional development programs by Reddy (2005) has shown that educators benefit from support as they try to implement new strategies and learning activities. Again, this promotes the range and long-term supportive effect that professional development can have on educators.

Whether peer observation or observation by a mentor or supervisor is being undertaken, this model is equally appropriate. The conditions of peer review likewise exist for educators, because of the daily opportunities for observing the performance of colleagues (Monyatsi, 2003). Reddy (2005) also supports peer review as an elemental factor in advancement and continuing appointment, stating that another advantage of peer-review is that co-workers who perform similar tasks are more knowledgeable about the work than a supervisor is and are therefore in a better position to evaluate work. This means that peer appraisals provide more accurate and valid information than appraisals by superiors. At the same time, there is a natural conflict of interest inherent in peer reviews, which can result in either positive or negative bias, depending on the situation. Accordingly, peer reviews are likely to be lacking fairness. However, in the main, there are many advantages to classroom observation. These are listed below (Hofer, 2016: 21):

- It offers educators feedback on their teaching.
- It offers educators “the second eyes”, i.e. an opportunity to find out more about what is happening in their classroom.
- It encourages collaboration between colleagues and the exchange of ideas.
- It encourages more reflection on teaching.
- It encourages better preparation of lessons.
- It ensures that an appraisal interview is based on knowledge of an educator’s real work.
- It breaks down classroom isolation.

- It provides support.

When lacking proper two-way feedback about one's effort and its effect on one's performance, one runs the risk of decreasing one's motivation. According to Todd (2017) and Farrel (2017), useful feedback should be in accordance with the following aspects:

- Descriptive rather than evaluative. For example, instead of saying "the memo is poorly written", supply some specific areas upon which to improve.
- Specific rather than general. Instead of saying someone is "dominating" it would be more appropriate to say, "I felt forced to accept your arguments or face attack because it seemed as though you did not listen to what others said."
- Cognisance must be shown towards the needs of both the receiver and the giver. It can be destructive if feedback serves a manager only.
- Directed toward behaviour that the receiver can do something about.
- Solicited rather than imposed.
- Well-timed and offered as soon as possible after the event.
- Checked to ensure the communication is clear and was received in the way it was intended and that active listening skills were used.

As Todd (2017: 12) claims, observation is about looking at behavioural patterns of people in certain situations in order to get information about the phenomena of interest. During the observation process, the events and incidents that are taking place are recorded in order to gain insight into situations. Henning; van Rensburg and Smit (2004) maintain that observation is a systematic process of recording behavioural patterns. Observations can be categorised into two main types, namely participant observation and non-participant observation. During participant observation, the researcher becomes fully involved in the research study by taking part in all the activities of the process and eventually becoming a member of the group. Consequently, the researcher begins to feel and understand what the participants are actually going through and is able to make sense of and attach meaning to the world. In contrast, during non-participant observation, the researcher does not get fully involved in the study and is not influential to the research study. Furthermore, the observations are unstructured and the researcher records the actual activities taking place at the research site.

Accordingly, a non-participant observation was preferred for the purposes of this study. The natural setting where participants would be observing the phenomena was visited in order to gauge how the participants would react to the phenomena. It was explained to all the participants that the researcher would be a non-participant observer during the process of the research study. As the researcher, I believe that I, being a non-participant observer, would have had ample time to examine the thinking of the participants and to interpret their discussions and reflections. It was of paramount importance that the researcher understood the operation of the SDT at the school and, in order to achieve this, the researcher attended the meetings of the SDT committee. In these meetings, the researcher took down notes, deciding what was important and which of the data should be recorded. The recorded data was detailed and accurate in that it included all the activities and the emotions of the participants during the meetings. In this regard, the researcher was not influenced by the previous experiences of the participants who were observed. The focus remained on what was happening currently. Of course, some bias might have crept in during the process, but the researcher tried to keep it at a very minimal level so as to protect the validity of the study. Notwithstanding such a disadvantage, an observation tends to require a lot of effort and is time-consuming.

Observation plays a fundamental role in the Integrated Quality Management System (see Appendix D). The ensuing section expounds the aspect of data analysis as it is another important element in the Integrated Quality Management System.

4.6.1.3 Document Analysis

Document analysis as a qualitative research method is a low-cost way to obtain empirical data as part of a process that is unremarkable and non-reactive (Bowen, 2009). In this study, official documents were requested to verify and support the data retrieved in the interviews and observations (see checklist of documents perusal in Appendix E). Document analysis provides an important source of information for the researcher and serves as a supplementary source. The main documents used in this research study were the minute book of the SDT committee and the score forms of the performance measurement of all the educators in each school. As there was a

slight possibility of bias towards the information in the documents provided, it was important to compare the documents so as to avoid expressed bias or hidden agenda.

4.6.1.4 The Questionnaire Form

A questionnaire is a data-collecting instrument that is used to gather information on the case study (Baruth, 2013). In this research study, the case study were the schools, i.e. the two rural schools (with one producing good results and the other poor results), two township schools (one producing good results and the other poor results), and one urban school (producing good results). The questionnaires were used to retrieve information on the school location, qualifications and teaching experience of the teachers as well as their knowledge about IQMS, composition of the SDT, implementation of IQMS and its contribution to the academic performance of learners. In other words, the questionnaire was a versatile tool used to collect data. Against this ethos, open-ended and closed-ended questions were used. In each school, only one participant was required to complete the questionnaire form. The questionnaire forms were distributed to the SDT committee members of all the schools to be completed by one member of the SDT – with the exception of the Principal (as s/he was interviewed) – and preferably the IQMS co-ordinator. It was the duty of the IQMS co-ordinator at every school to administer the circulation and completion of the questionnaire form. The questionnaire was intended to supplement the interview so as to make sure that all aspects had been covered. In order to avoid the wasting of time, educators were asked to put a cross (x) where applicable or next to the appropriate answer from the list of possible answers they were given to choose from (see Appendix B).

In qualitative research, data analysis is an ongoing process (Henning; van Rensburg and Smit, 2004). Before analysing the data, the researcher had to rewrite or type all the information acquired from the interviews, observations, questionnaires and document analysis. In the process of typing the texts, the researcher had literally analysed all words and sentences so as to interpret and theorise the data. In this way, the data was set into its original forms and revealed its characteristics, elements and structures. During the typing process, the researcher had also edited and rectified errors and filed the data according to specific themes. In so doing, the researcher had

to look for the thickest and richest part of the interview transcripts in order to summarise specific meanings and themes so that they could be filed accordingly.

It was important for the researcher to read the transcripts repeatedly in order to be familiar with them. Thereafter, the researcher had to match, compare, contrast and order the data in a systematic fashion. This helped the researcher to identify the underlying meanings of the data. Most importantly, the data was categorised, summarised and given codes in order to be reduced from its bulk form to smaller units of information, so as to make it easy to understand and comprehend. The data was organised around the central themes to make it understandable with reference to the point of view of the participants. Moreover, direct quotes of the participants were used to capture what the participants were actually saying. The data analysis had to be systematic in the sense that groups were to be compared, responses matched, negative cases analysed, frequencies calculated and data assembled.

4.7 Data analysis

The information deduced from the data sources was scrutinised and analysed in a manner that ensures reliability. Data sources were the origins on which the acquired information of the research and findings were based. Mainly, there were two choices to be made on data sources, i.e. primary data and secondary data, or the use of both, which is termed triangulation or dual methodology (Cohen and Manion, 2000). Primary data is the data collected by the researcher him/herself, and uses mostly surveys, experiments or direct observations. Secondary data collection may be conducted by collecting information from diverse sources, such as documents or electronically stored information, census and market studies. Therefore, this study was mainly focused on the primary data for the research. Hence, the unit of analysis, or focus group, were the educators participating in IQMS, as well as the school principals. The research for the investigation was focused on the selected schools in the Metropole East and North Education Districts, Western Cape province.

The notion of reliability was assured by the notion of triangulation and making tireless observations in the field which led to consistent results. The debriefing of the peers and the extended engagement in the field also ensured reliability. It was important that the respondents were checked time and again so as to ensure that the findings were

reliable. Any influence of the third party had to be prevented at all costs, because that would have jeopardised the research process and produced unreliable outcomes.

4.8 Researcher's role

In the study, the researcher's role was to look at the recurring patterns when comparing various situations or settings. In order to gain an overall understanding of the phenomena of IQMS implementation at primary schools, the methods employed were interviews, observations, document analysis and questionnaires. These multiple methods allowed the researcher to bring together different methods to an understanding of the same phenomena. Triangulation does not necessitate consistency and repetition; however, it is an important instrument to be used when investigating complex phenomena. Accordingly, through the use of triangulation in this study, i.e. literature reviews; interviews; observation; questionnaires and document analysis, problem areas were addressed, problems were eliminated, and strategies for improvement were suggested.

Triangulation refers to the use of two or more methods of research, and is often referred to as a multi-method approach (Cohen and Manion, 2000). Triangulation gives the researcher a platform to explain the complexity and richness of human behaviour in more than one perspective or position. In using more than one technique, the researcher was able to give an assurance that the data collected was a true reflection of the research study. Through triangulation, multiple sources of data were retrieved so that they could converge to develop a theory or hypothesis. By looking at the occurrences from more than one viewpoint, the validity of the research study was enhanced, and the sufficient validity of data collected was ensured. Accordingly, in this study, this was in terms of the challenges faced by teachers in implementing the policy of IQMS at primary schools.

4.9 TRUSTWORTHINESS OF THE STUDY

The trustworthiness of data is linked to authenticity, neutrality, conformability, consistency, applicability, credibility, transferability and dependability, all of which are equated to external validity, internal validity, reliability and objectivity in quantitative research design (Gulston, 2010). In this study, the trustworthiness was achieved

through digitally recording the data and transcribing each interview session. The transcribed interviews were then made available to verify the authenticity of the actual data. It is important to note as well that the participants were also given the opportunity to express their opinions and suggestions in order to ensure the trustworthiness of the research study. Participants were able to express their opinions freely when they understood the interview questions clearly. In this regard, the researcher had given much care and consideration to developing the research questions.

4.10 BENCHMARK FOR EVALUATION CRITERIA OF THESIS

The research study involved only five schools, which makes it difficult to make generalisations about other schools. The problem with such a small sample size is that it does not represent the entire population, hence the opinions and experiences may differ according to the different geographical contexts of other schools. Moreover, the interview process takes up a lot of time, which makes the analysis and interpretation of the data a huge task. This therefore might result in some of the data collected from the interviews being insufficient, as the respondents might have been reluctant to answer all the questions they were asked. Despite such instances, the researcher still maintains that quality is better than quantity, as in-depth information might still be acquired from a small sample. The researcher hopes that the very same sentiment will be shared by all readers of this research study, and that the study is beneficial to schools in South Africa.

4.11 SUMMARY OF THE CHAPTER

Since the attention on this chapter has been fully drawn to the investigation and clarification of the study, it would be through the research design and the data collection techniques that the research analysis and presentation would become practical and, as such, the researcher would therefore be able to answer the research question, “What should be done in order to successfully implement the Integrated Quality Management System, particularly in primary schools in the Western Cape province?” Accordingly, this chapter had to provide a description of the research study methodology which has been employed in the study, so as to understand the implementation of IQMS within the selected primary schools in the Western Cape

province. The focus in the next chapter will be on the investigation, i.e. the data collection and analysis.

CHAPTER FIVE

DATA ANALYSIS AND PRESENTATION

5.1 INTRODUCTION

This chapter examines data collected from five case schools, categorised as school A, B, C, D and E, located in the Metropole East and North Education Districts. The purpose of the study was to explore how IQMS is implemented in the Western Cape province, with a view to providing quality education to learners. As a form of fieldwork, ample data was collected by engaging qualitative research methodology and subsequently presented and analysed in relation to research questions. The data was critically scrutinised and classified into themes and sub-themes in such a manner that it enabled the researcher to answer the basic research questions.

5.2 CONTEXT OF THE STUDY

As indicated in the introduction, this study was concerned with understanding how IQMS is implemented in schools in the Western Cape province, with a view to providing quality education to the learners. To unpack the investigation or understanding, five case schools were considered. The researcher gave a brief outline of the school's academic performance and its resources. It is also important to note that schools are categorised by the education department into quintiles, i.e. either Section 20 or Section 21 (Nurina and McLaren, 2016). The quintile system gives information as to how poor or wealthy the school is (and has a serious bearing on a schools' academic performance), while the section's categorisation clarifies the capability of a school to manage its funds, especially the subsidy from the education department. For instance, Section 20 schools are the ones that cannot manage their allocated funds by themselves, while those schools falling under Section 21 manage their allocated funds by themselves.

5.2.1 School A

This school is at the Metropole North Education District (MNED), and is located in the Cape farmlands near the city of Cape Town, in the Western Cape province. School A is a quintile 3, non-fee, Section 21, public school. This means that the school is subsidised by the education department and manages its own funds. The learners are

provided with food by the school through a feeding scheme organised by the education department. This school caters for learners from Grades 1 to 7. The school is located in a rural area. Most of the parents of the learners at this school are unemployed and uneducated, and they live in public houses which were previously referred to as informal settlements or squatter camps. Such a community is now known as a disadvantaged community or poverty-stricken community. This year (2019), the school has enrolled 940 learners (i.e. mostly black learners who speak Xhosa and few coloured learners speaking Afrikaans) for a staff of 21 educators, one school secretary and three general workers.

The school has proper infrastructure, i.e. a school building and playing grounds. However, the classrooms are not large enough to accommodate the learners and the educator-learner ratio at the school is 1:45 (one educator to forty-five learners in a class). There is enough furniture for both learners and educators. The school has a computer laboratory but no library; books and reading material are kept in the classrooms. The school does have a photocopy room with photocopy machines. At the administration office there is one computer and a photocopy machine that is used by the administration clerk for school matters. There are two telephone lines; one in the administration office and another in the principal's office. The academic performance of the school is relatively good in terms of annual pass rates across grades. However, the result of the systemic tests evaluation is unsatisfactory as the average pass rate percentage for Literacy and Mathematics in Grade 3 and Grade 6 in the last three years (since 2016) has been below the adequate achievement of 50%, with the exception of last year (2018) in Mathematics, when it was above 60% in Grade 3 and Grade 6.

5.2.2 School B

This is a quintile 5, Section 21 public school at the Metropole North Education District. The school manages its own funds. The learners at this school do pay a school fee. This means that the school is subsidised by both parents and the education department. There is no feeding scheme at the school. The school caters for learners from Grades R to 7 and is located in the same rural area where school A is found. Most of the parents of the learners at this school are working and are also educated,

and live in public houses which were previously referred to as informal settlements or squatter camps. This year (2019), the school has enrolled 239 learners (mostly coloured learners who are Afrikaans-speaking and a few black learners who speak Xhosa) for a staff of 11 educators, one school secretary and two general workers.

The school has proper infrastructure, i.e. a school building and playing grounds. The school has enough classrooms to accommodate all the learners. The educator-learner ratio at the school is 1:22 (one teacher to twenty-two learners in a class). There is enough furniture for both learners and educators. The school has a computer laboratory with computers. It also has a library containing many books and a lot of reading material, and a photocopy room with photocopy machines. At the administration office, there is one computer and a photocopy machine that is used by the administration clerk for school matters. Because the school does not have a storeroom in which to keep all the school textbooks and leftover learners' exercise books, these books are kept in the classrooms. There are two telephone lines, one in the administration office and one in the principal's office. The academic performance of the school is relatively good in terms of annual pass rates across grades. The results of the systemic tests evaluation are also satisfying as the average pass rate percentage in the last three years since 2016 for both Mathematics and Language in Grade 3 have been above the adequate achievement level of 50%. This includes the Grade 6 Language results. The Grade 6 pass rate percentage in Mathematics in the years 2016 and 2017 was disappointing as it was below the adequate achievement level of 50%. However, in 2018 an impressive pass rate percentage of above 60% was achieved.

5.2.3 School C

This is a quintile 1, non-fee Section 20 public school at the Metropole East Education District. The school manages its own funds via the Department of Education. At this school, learners do not pay school fees as the school is subsidised by the education department. The school caters for learners from Grade R to Grade 7, and it is located in a township. Most of the parents of the learners at this school are unemployed and uneducated, and they live in public houses which were previously termed informal settlements or squatter camps. The learners at the school are provided with food

organised by the education department through a feeding scheme. This year (2019), the school has enrolled 1488 learners (mostly black learners who are Xhosa speakers and few coloured learners who speak Afrikaans) for a staff of 44 educators, two school secretaries and four general workers.

The school has proper infrastructure, i.e. a school building, but no playing field or grounds for their sporting activities. The classrooms are large enough to accommodate the learners, and the educator-learner ratio is 1:34 (one educator to thirty-four learners in a class). There is enough furniture for both learners and educators. The school has a computer laboratory with computers, a library (with books and reading material), and a photocopy room with photocopy machines. At the administration office there are two computers and two photocopy machines that are used by the administration clerks for school matters. The school also has a storeroom in which to keep all the school textbooks and leftover learners' exercise books. There are three telephone lines, in the administration office, the principal's office and the deputy principal's offices respectively. The academic performance of this school is relatively good in terms of its annual pass rates across grades. However, the results of the systemic tests evaluation are poor, even though they have been improving every year. The average pass rate percentage in the past three years, since 2016, for both Mathematics and Language in Grade 6 has been below 20%. Similarly, the Grade 3 results have been disappointing too, with the pass rate percentage in the past three years, since 2016, falling below the adequate achievement level of 50%, with the exception of last year (2018) where an impressive 70% pass rate in Mathematics was achieved.

5.2.4 School D

This is a quintile 3, non-fee Section 20 public school at the Metropole East Education District. The learners do not pay school fees as the school is subsidised by the education department. The school manages its own funds via the Department of Education. It caters for learners from Grade R to Grade 7. The school is located in a township, in the same vicinity where School C is found. Most of the parents of the learners at this school are unemployed and uneducated, and they live in public houses which were previously termed informal settlements or squatter camps. The learners are provided with food by the school through a feeding scheme organised by the

Department of Education. This year (2019), the school has enrolled 1856 learners for a staff of 43 educators, two school secretaries and four general workers. The majority of the learners at this school are black (Xhosa speakers), and a few are coloured (Afrikaans speakers).

The school has proper infrastructure, i.e. a school building and playing fields. However, the classrooms are not large enough to accommodate all the learners and consequently, all the classes are overcrowded. The educator-learner ratio is 1:43 (one educator to forty-three learners in a class). There is enough furniture for both learners and educators. The school has a computer laboratory with computers. It also has a library with books and reading material, and a photocopy room with photocopy machines. In the administration office, there are two computers and a photocopy machine, used by the administration clerk for school matters. The school also has a storeroom in which to keep all the school's textbooks and leftover learner exercise books. There are three telephone lines; one in the administration office, one in the deputy principal's office and another in the principal's office. The academic performance of this school is relatively good in terms of annual pass rates across grades. However, the results of the systemic tests evaluation are unsatisfactory even though there has been a drastic improvement of the average pass rate percentage in the last three years from 2016, particularly last year (2018), when the results were far beyond the adequate achievement level of 50% for Mathematics in both Grade 3 and Grade 6, as well as Language in Grade 3. The Grade 6 Language results have been disappointing as they have been below the adequate achievement level of 50% since 2016, despite the fact that they have been steadily improving as well.

5.2.5 School E

This is a quintile 5, Section 21 public school at the Metropole North Education District. The learners do pay school fees and the school manages its own funds. The school caters for learners from Grade 4 to Grade 7. The school is located in an urban area. Most of the parents of the learners at this school are working and educated, and they live in privately owned houses which are known as bond houses. Such a community is now known as an elite community. There is no feeding scheme for learners at this school. This year (2019), the school has enrolled 1190 learners (mostly white and

Indian learners who speak English and Afrikaans, a few coloured learners who speak Afrikaans, and a few black learners who are Xhosa-speaking) for a staff of 50 educators, six school secretaries and eleven general workers.

The school has proper infrastructure, i.e. a school building and playing fields. The classrooms at the school are large enough to accommodate the learners, and the educator-learner ratio is 1:24 (one educator to twenty-four learners in a class). There is enough furniture for both learners and educators. The school has a computer laboratory with computers. It has a library containing a lot of books and reading material, and a photocopy room with photocopy machines. At the administration office there are six computers and six photocopy machines, and they are all used for school matters by the six administration clerks. The top management, i.e. the principal and the two deputies, each have their own office, their own secretary and their own operating system with their own computer, photocopy machine and telephone line. The school also has a storeroom in which to keep all the school textbooks and leftover learners' exercise books. The academic performance of the school is excellent in terms of annual pass rates across grades. The results of the systemic tests evaluation are more than satisfactory, as the average pass rate percentage in the past three years has been above 90%, in both Home Language and Mathematics.

5.3 DATA PRESENTATION AND ANALYSIS

For the purpose of analysis, the collected data was classified in the form of themes and sub-themes. These themes are presented below in Table 5.2.

5.3.1 Bio-data of participants

Three participants in each of the five schools participated in the study; i.e. the school principal or the deputy school principal, the co-ordinator of IQMS at the school, and any one member of the school development team. Fifteen participants took part in the study. In Table 5.1 on the next page the participants' positions in terms of responsibility at their respective schools as well as their service experience is tabulated. Two school principals, three deputy principals, four IQMS co-ordinators and six SDT members participated in the study.

Table 5.1: Bio-data of participants.

School	Participants	Participants' position in terms of responsibility	Service experience
A	1	Principal	24
	1	IQMS co-ordinator	14
	1	SDT member	9
B	1	Principal	29
	1	IQMS co-ordinator	18
	1	SDT member	13
C	1	Deputy principal	16
	1	Deputy principal	12
	1	SDT member	9
D	1	Deputy principal	13
	1	IQMS co-ordinator	11
	1	SDT member	8
E	1	IQMS co-ordinator	17
	1	SDT member	9
	1	SDT member	12
Total	15		

Table 5.1 above shows that one of the two school principals who participated in the study was approaching his thirtieth year of service, whilst the other principal is in his twenty-fifth year. One of the three deputy principals who participated in the study had more than 15 years of teaching experience, whilst the teaching experience of the other two deputy principals ranged from 10 to 15 years. Of the four IQMS co-ordinators, two had teaching experience lasting longer than 15 years, whilst the other two had between 10 and 15 years of teaching experience. In School E, neither the deputy nor the school principal participated in the study, but the IQMS co-ordinator had 17 years of teaching experience. All six SDT members had teaching experience which ranged from between 10 and 15 years. Results on the teaching experience of the participants show that the majority had more than 10 years of teaching experience, four had just below 10 years of teaching experience, and two had more than 20 years of teaching experience.

5.3.2 Research questions, generated themes and sub-themes

Any data collected needs to be interpreted because it does not explain or tell everything by itself and the message needs to be deduced. Therefore, this section provides the classification of data into the themes and sub-themes that emerged from the interview transcripts. Participants' views about how schools should deliver quality education to learners based on the use of IQMS, in order to improve quality education in their schools, are converged under six themes, as shown in Table 5.2. The data from the interview transcripts was analysed using NVivo data analysis software. Codes were carefully chosen from the interview records using open coding. The codes were then categorised into classifications falling under six themes that are related to the research questions and objectives, as displayed in Table 5.2 above.

The first generated-theme; *planning ahead*, had two sub-themes, namely *class visits and approaches to IQMS implementation*. The second generated-theme; *philosophy and principles within the IQMS policy for monitoring and evaluating the IQMS processes*, had two sub-themes, namely *supervision and IQMS manual*. The third generated-theme; *implementation of IQMS*, also had two classifications, namely *IQMS knowledge and capability to deliver*. The fourth generated-theme; *factors influencing IQMS implementation in schools*, had three sub-themes, namely *inadequate resources, resistance to change and work overload*. The fifth generated-theme; *Intervention*, had only one sub-theme; *training workshops*. The sixth generated-theme; *proposed models or frameworks for planning and implementation process of IQMS*, also had only one sub-theme; *changing the composition of SDT*. There are eleven sub-themes altogether. Some generated themes have only one sub-theme, and the reason for that could be that NVivo allows the merging of sub-themes that are a duplication of other sub-themes. Although the schools in this study were purposefully selected based on their varied academic performance, in most instances the views of the participants were similar. This implies that the manner in which SDTs and DSGs would facilitate IQMS in order to improve quality education in their schools was similar, regardless of the academic performance of the schools. Table 5.2 on the following page indicates the research questions, generated-themes and sub-themes for the study.

Table 5.2: Indicates the research questions, generated-themes and sub-themes.

Research questions	Generated-themes	Sub-themes
1. Which processes and techniques are used in the performance measurement and appraisals in primary schools in the Western Cape?	5.3.2.1 Planning ahead	5.3.2.1.1 Class visit 5.3.2.1.2 Approaches to IQMS implementation
2. What measures are used for monitoring and evaluating the processes for the IQMS implementation in primary schools in the Western Cape?	5.3.2.2 The philosophy and principles within the IQMS policy for monitoring and evaluating the IQMS processes	5.3.2.2.1 Supervision 5.3.2.2.2 IQMS manual
3. How appropriate are the measures in place for improving the IQMS implementation processes in primary schools in the Western Cape?	5.3.2.3 Implementation of IQMS	5.3.2.3.1 IQMS knowledge 5.3.2.3.2 Capability to deliver
4. What kind of challenges are encountered during the implementation of IQMS in primary schools in the Western Cape?	5.3.2.4 Factors influencing IQMS implementation in schools	5.3.2.4.1 Inadequate resources 5.3.2.4.2 Resistance to change 5.3.2.4.3 Work overload
5. What kind of capacity and support is required to effectively mitigate these challenges?	5.3.2.5 Intervention	5.3.2.5.1 Training workshops
6. Which framework or model or strategies can be recommended for improving the processes for IQMS implementation in primary schools in the Western Cape?	5.3.2.6 Proposed frameworks or models for planning and implementation process of IQMS	5.3.2.6.1 Changing the composition of the SDT

In order to converge an understanding of the identified themes and sub-themes charted above in Table 5.2, a discussion supported with direct quotes from the interviewees is presented hereunder. The data of each theme is discussed and analysed under a specific research question.

Research Question 1:

Which processes and techniques are used in the performance measurement and appraisals in primary schools in the Western Cape?

5.3.2.1 GENERATED-THEME: Planning ahead

The generated-theme ‘planning ahead’ reveals how School Development Teams (SDTs) and Development Support Groups (DSGs), as IQMS structures and facilitators of the IQMS process, worked out their intervention programmes within the organisational structure of their schools to improve quality education. The DSG and the SDT play an important role in the implementation of IQMS in schools as they effectively manipulate the school setup and draft an IQMS programme that has to be followed during the appraisal process, with a view to improving quality education. It is in this context that the findings as presented under the theme “planning ahead” focus on class visits and personnel development. The presentation of results under this theme is presented under the sub-themes of class visits and approaches to IQMS implementation.

By planning ahead, one is able to set the direction for future events. Therefore, in this study, setting direction was an aspect that was grounded on the participants’ ability to set the direction in which they intended to take their schools. The findings in this study revealed that while schools were able to set their own visions and mission statements to achieve the school’s goals, they were actually not guided by them. For instance, the principal of School A had said: “... *to make the school a safe haven for the learners and make them proper citizens of South Africa...when this systemic test started we took it as a joke, we were getting zero percent and we did not care.*”

The statement made by the principal of School A above implies that School A was underperforming simply because they had not planned for any positive results or performance. The school principal of School A went on to say: “*But after we realised they are using it (IQMS) to label your school saying your learners cannot read and write, and you can even lose your job, we then started taking it serious. I spoke to my teachers telling them that I do not want to be a principal of a zero percent school. As a result, we started with our intervention programs.*”

It is evident that the drive for improvement at School A was not necessarily from their actual planning, i.e. their vision and mission, but rather from the teachers' reputations or their fear of losing their jobs due to poor performance. However, such an effort cannot lead to a sustained improvement. Hence, the principal of School A had this to say: "... however, you cannot compare apples with pears, i.e. comparing such an under-resourced school with those resourced schools it's not right. Again my learners' home language is Xhosa but they write the tests in English, so how do you explain that to me, I really have a problem with that. But after we started our intervention programs, i.e. Saturday classes, long days and continuous tests, we can see that our results are improving."

Of course, while every school has its own challenges, the principal of the school has to be visionary and plan ahead in order to be able to mitigate foreseeable challenges. The Saturday classes, long days and the continuous tests highlighted by the principal of School A above could have been part of their planning. In contrast to School A, in order to realise their educational goals, School E has been guided by their vision and mission as they planned ahead for their operation. When asked about their vision and mission, the IQMS co-ordinator from School E said: "*The main vision of the school is teaching with excellence and we are very much set on the vision which is also reflected on our four pillars, academic, sport, culture and values, and all the classrooms have the posters of all these values.*" When asked whether the school had already started with the IQMS process, the IQMS co-ordinator from School E responded: "*We finished it...some of the staff members I do in the second term and others now in the third term. We see it as a continuous development process. Here is the timetable. Some in the second term and some in the third term, we planned the previous year for the current year.*"

The responses by the IQMS co-ordinator from School E implies that all those in the organisation should know their vision and plan accordingly. In other words, they must decide where they want to go: "What is our vision? Where do we want to go? What are the expectations of the learners?" This is because it would be a futile exercise to just struggle along without aiming towards a certain point. The study has revealed that planning ahead for IQMS implementation is beneficial to schools. For example, School E had managed to minimise their challenges by planning for the following year during

the current year and, consequently, their academic performances over the past years have been excellent.

When School B was asked whether they had already started with the IQMS process the principal had said: *“Yes, we have started and will be done by 15 September.”* When asked about the areas in which they were still lacking and where some assistance was needed in order to better facilitate the implementation of the IQMS process, the principal responded: *“I do not think there are areas where we are lacking, only few teachers at the school.”* It was really unclear whether School B was planning ahead or not. Therefore, the deduction from the principal’s response was that School B was managing the implementation process only because they had few staff members. In other words, School B did not have stress in terms of time management and would consequently finish on time, regardless of the fact that there was no guarantee that they were planning ahead.

The deputy principal of School C, when asked whether the school had already started with the IQMS process, had this to say: *“Yes, we have already started. We are busy with the evaluation process, doing the class visits.”* Similarly, the deputy principal of School D responded with: *“Yes, we have started already with the IQMS process. We are almost done with everything now, only left with the moderations.”* Considering the responses from Schools C and D, it was clear that their planning was inadequate. This could be supported by the fact that it was not even clear as to when they would finish their processes. Hence, the deduction was that School C and School D did not plan ahead.

5.3.2.1.1 Sub-theme: Class visits

Having looked at the planning of all five schools, it became clear to me that the exhibition of findings under the sub-theme of class visits is within the context of participants’ capability in terms of using their experiences, skills, knowledge and qualifications to achieve set objectives. The class visit programme had always been intended to observe and assess the level of teacher performance in the classroom. As per the requirements of the IQMS policy, all five schools shared the same sentiments that they were complying with the principles within the IQMS policy in terms of the

classroom visits for the evaluation of teachers. This is what the participants had to say regarding class visits:

School A (the principal) had said: *“We have set up the visitation program and we are done with the baseline assessments of the new-comers”*. The principal of school B had this to say: *“We set up the class visitation program and then follow it, ... will be done by the 15th of September.”* The deputy principal of school C indicated that: *“We are busy with the evaluation process, doing the class visits”*. And the deputy principal of D had this to say: *“We are almost done with everything now, only left with the moderations.”* The IQMS coordinator of school E indicated that: *“We finished it, ... Some of the staff members I do in the second term and others now in the third term.”*

The conclusion that one can draw from the sub-theme on class visits is that it gave a reflection on whether or not the individual school’s programme in terms of class visits is within the perspective of the participants’ ability to set direction for their schools. This involved influencing the teaching and learning process at the school, and the extent of that influence on academic performance. It is critically important to note that School B and School E were clear in terms of their operation, and therefore their academic performance was good.

5.3.2.1.2 Sub-theme: Approaches to IQMS implementation

One of the other sub-themes that emerged from the interviews was how different schools approach and implement IQMS. It became apparent that schools dealt with it in different ways. The study had shown that schools had different approaches when it comes to the implementation of IQMS. For instance, when the principal from School B was asked about the processes and techniques used in the performance measurement and appraisals at his school, his response was: *“We set up the class visitation program and then follow it, we are only eight teachers at the school so we do not have problems.”*

However, the IQMS co-ordinator from School E had this to say: *“In February we do the baseline for the new educators, all other staff members are divided into two groups as we are a very big school, the first group do the IQMS in the second term and the other group in the third term. Every Tuesday afternoon we have staff meetings, so*

before the process gets started we would give a brief overview of what the IQMS is all about, but each grade has a representative in the SDT and that grade representative is responsible for providing development to the other staff members in the grade. Normally grades hold their meetings on a weekly basis.”

As a form of development, all teachers at School E are engaged in various IQMS activities and eventually become owners of the process, which made it easier for them to facilitate the IQMS process. When the IQMS co-ordinator was asked about the processes and techniques used in the implementation process, this is how she responded:

“As the IQMS co-ordinator I have a junior teacher, a Grade 4 teacher, who is helping me collect the files from teachers and who also has representatives in each grade who brings the files to her and after checking, forwards all the files to me for final check-up. The headmaster has deputies who take care of the departmental heads (HODs) while all post level 1 are looked after by either a senior teacher or deputy head. All these activities are done in accordance with the time-table or IQMS program which has the time frames.”

It was a different case with the other schools, especially the “underperforming” schools, Schools A, C and D, as the evaluation process usually started in the third term of the year, and the activities became congested. When asked about the processes and techniques they followed in the implementation of IQMS, the participants from School A, C and D responded as follows:

The principal of School A said:

“We do IQMS in the third term of the year. We first have a pre-visit meeting with the teachers. The meeting is facilitated by the DSG, and from there the class visit will follow following the class visit timetable that is drafted by the DSG. After the class visits we discuss the scores to reach an agreement on it.”

The deputy principal of School C said:

“We do the process according to the book. After the performance measurement programme we sit in various meetings where an educator sits with his or her group (i.e. the peer and the supervisor) to discuss the scores and reach consensus on the scores. After the scoring, the co-ordinator will check all the scores and thereafter the principal will do the final check-up.”

The deputy principal of School D said:

“We do internal moderation checking the workload in the learners’ books and also checking if teachers do moderate the learners’ books, including the learners’ volume of work, which also helps us to identify those learners with problems.”

The techniques used by Schools A, C and D (i.e. the underperforming schools) were tantamount to Schools B and E. This could be seen against the background that all five schools had given similar accounts. All the participants had expounded that, before the evaluation process unfolded, the SDTs would convene a pre-evaluation staff meeting to discuss how the process would work, following a set-up programme or timetable. The pre-evaluation meeting would be followed by class visits (which were conducted by the DSGs to observe their appraisees) and, finally, the post-evaluation meeting, where the evaluation process would be finalised. When there were disagreements regarding the evaluation score, a grievance meeting would be held by the grievance committee. However, according to this study’s research, no grievances were experienced in any of the case schools.

In terms of the scheduling of their IQMS programme, the IQMS co-ordinator from School E said: *“All these IQMS activities are done in accordance with the timetable or IQMS programme which has the time frames... In February we do the baseline for the new educators, all other staff members are divided into two groups as we are a very big school. The first group do the IQMS in the second term and the other group in the third term.”* In contrast, as indicated earlier on, the other schools in the study, Schools A, B, C and D, did not spread their IQMS programmes out throughout the year.

The study revealed that schools use different approaches for IQMS implementation. The fact that School E starts the process in the second term of the year, while others begin in the third term of the year, serves as a typical example. Hence, School E is doing extremely well in terms of IQMS implementation as it spread out the IQMS activities throughout the year, which allows teachers to do their work without added pressure and therefore, positive results are achieved.

Research Question 2:

What measures are used for monitoring and evaluating the processes for the IQMS implementation in primary schools in the Western Cape?

5.3.2.2 GENERATED-THEME: The philosophy and principles within the IQMS policy for monitoring and evaluating the IQMS processes

The philosophy of IQMS has been suggested in theory to be successful in improving school performance. As much as the teacher appraisal process is conducted in order to comply with the IQMS policy which emphasises accountability and development, the majority of the teachers' interest lies in the monetary aspect of the process, i.e. the 1% salary increment. This results in a situation where teachers tend to cheat the process or, if they are given low scores in accordance with their performance, dispute the process or their scoring. The IQMS salary increment serves as a driving force for the implementation of the IQMS policy at the schools. Since every teacher is keen on the salary increment, a transparent and consultative process between the appraisers and the appraisees, as well as a proper moderation of the appraisal process has to be put in place to avoid the cheating of the process.

It is in this context that the findings under the generated-theme "*philosophy and principles within the IQMS policy for monitoring and evaluating the IQMS processes*" were based on the need to find out whether the participants in the study could describe what IQMS was, identify the principles of IQMS from those that were given (see Appendix A), identify those IQMS principles not yet implemented in the schools, and identify the principles of IQMS that influence quality education improvement. The findings related to this theme are discussed under the sub-themes of supervision and IQMS manual.

5.3.2.2.1 Sub-theme: Supervision

In South African schools, the School Management Team (SMT) is responsible for providing adequate support to teachers and learners through supervision, for the development of teaching and learning. This requires an adequate level of dedication and more importantly, the time to do so, yet the majority of participants in this study confirmed the contrary. The principal of School A said, *“We do not have enough time for the IQMS because it takes a lot of time and teachers are also expected to take care of their classes.”* In contrast, the principal of School B said, *“We are only eight teachers at the school so we do not have problems.”*

Collaborating the statement made by the principal of School A, the deputy principal of School C said, *“Managers should call a staff meeting and explain to teachers how the process will unfold.”* The IQMS co-ordinator from School E said, *“As the IQMS co-ordinator I have a junior teacher, a Grade 4 teacher, who is helping me collecting the files from teachers and who also has representatives in each grade who brings the files to her and after checking, forwards all the files to me for final check-up.”*

The deputy principal of School D said: *“I am not sure about the establishment of the SDT, I only realised it this year.”* When asked about the moderation process at the school, she responded as follows: *“We do internal moderation by checking the workload in the learners’ books and also checking if teachers do moderate the learners’ books including the learners’ volume of work, which also helps us to identify those learners with problems.”* This shows that there was either a lack of communication from the leadership team of the IQMS structures (SDT and DSG) in terms of disseminating information about the IQMS to all staff members, or it was a case of ignorance on the part of the deputy principal.

The conclusion that can be drawn under the sub-theme ‘supervision’ was that IQMS should be regarded as a continuous development process, and therefore it is important for the school management team to engage all the teachers into some discussion on how the IQMS process will be conducted and to explain the role that will be played by each individual educator during the process. This suggests that once the IQMS

process begins and the teachers are well aware of their responsibilities, the process will run without any hiccups, as the managers will be supervising their subordinates.

5.3.2.2.2 Sub-theme: IQMS manual

In terms of the training manual, before the evaluation process begins, all schools must have established their DSGs and SDTs. Both the DSG and the SDT should have received training, as they are the school structures or committees entrusted with the task of facilitating the IQMS process. Despite the IQMS training, it is of vital importance that the IQMS manual is consulted on a regular basis for further knowledge. This was affirmed by the deputy principal of School D who said, *“I would advise teachers to read those IQMS books, especially the performance indicators, because it helps by giving guidance on everything.”*

The principal of School A said: *“We need the resources which obviously require finance, if we can have funds we can be able to get all the resources required for the effective implementation of this IQMS program.”* In School B, the feeling was that there was no need for the IQMS manual, with the principal saying, *“We are only eight teachers at the school so we do not have problems.”* School C had this to say: *“We normally do not have grievances as we do the process according to the book.”* The deputy principal of School D said, *“We use the IQMS performance indicator books to score them as it tells us how teachers should be scored.”* The IQMS co-ordinator from School E had this to say: *“We use the policy document as the measurement tool.”*

The finding in the study under this sub-theme was that although there is merit in IQMS, it is improperly implemented. Therefore, for it to be effective, teachers will have to be supervised and encouraged to read the IQMS manuals as supplementary documents to the training workshops. It is believed that IQMS gives a reflection on the school's image. Therefore, because the principals of schools do not want to be seen by the public as having failed, they tend to translate these same thoughts to the educators. Consequently, teachers try to double their efforts, with the intention of improving the pass rate percentage of their learners. Therefore, the SMT, together with the SDT should take it upon themselves to make sure that there is close supervision and monitoring of teachers at the school to ensure that teachers put extra effort into their service delivery. Moreover, in order to raise the bar in terms of quality teaching and

learning, the Department of Education must hold teachers accountable for their poor performance, or the production of poor learners' progression results.

Research Question 3:

How appropriate are the measures in place for improving the IQMS implementation processes in primary schools in the Western Cape?

5.3.2.3 GENERATED-THEME: Implementation of IQMS

The effective implementation of IQMS helps teachers to identify those areas where they need improvement, in order to be effective in their teaching. Therefore, the type of training workshops required for an individual educator should be determined by the areas of development identified in the IQMS process. The training workshops should serve as an impetus that drives educators to work towards the school's vision, i.e. working towards excellency. As the vision and mission of every school is to strive for excellence, the IQMS policy of the school should automatically be aligned to that ideal. The implementation of IQMS at the schools sets the tone for excellence, as teachers want to do an excellent job and be rewarded for their good work. Knowledge, skill and hard work are required in the implementation of IQMS if it is to be successful, and that requires committed teachers who are prepared to go the extra mile.

According to the principal of School B, IQMS is a form of management whereby one is ensuring that results are achieved and quality education is delivered. As he put it, *"... it motivates teachers and sets a benchmark to see where they are, as well as setting their own personal growth plan which results in improved learner performance."* These sentiments were shared by the principal of School A, who said, *"IQMS helps learners to realise improved academic performance."*

The data collected from the case schools indicates that the implementation of IQMS improves the level of service delivery by individual teachers. As the deputy principal of School D put it, *"The implementation of IQMS gives teachers an understanding of what their duties and responsibilities are."* Collaborating this statement, the IQMS co-ordinator from School E said: *"The implementation of IQMS is so influential, particularly to the new teachers as it serves as part of mentoring."*

The study shows that schools have different approaches when it comes to the implementation of IQMS. For instance, School E starts the process every year as early as February. When the IQMS co-ordinator from School E was asked about the processes and techniques used in the performance measurement and appraisals at her school, her response was: *“We finished it. With us it is done slightly differently – we do it differently as our staff is too big, we cannot manage to do it in the month of August.”* She went on to say, *“As the IQMS co-ordinator I have a junior teacher, a Grade 4 teacher, who is helping me collecting the files from teachers and who also has representatives in each grade who bring the files to her and after checking, forwards all the files to me for final check-up... In February we do the baseline for the new educators, all other staff members are divided into two groups as we are a very big school, the first group do the IQMS in the second term and the other group in the third term.”*

The situation was different at the other schools, especially the “underperforming” schools (i.e. Schools A, C and D), as the evaluation process usually starts in the third term of the year (see Appendix C question 9, as all the participants responded that they were conducting the IQMS processes in the third term of the year). However, with regard to the implementation process, IQMS is conducted in the same way, i.e. before the evaluation process unfolds, the SDTs convene a pre-evaluation staff meeting to discuss how the process will go and a set-up programme or timetable is followed. The pre-evaluation meeting is followed by class visits (which are done by the DSGs to observe their appraisees) and a post-evaluation meeting, where the evaluation process is finalised. When disagreements regarding the evaluation scores arise, a grievance meeting conducted by the grievance committee is held.

The findings revealed that most participants described IQMS as a way of looking at quality through participation, cooperation, supervision and monitoring. Others described it as a form of management that ensured that good results were achieved and quality education was delivered. As the IQMS co-ordinator from School E said: *“There is merit in the IQMS because the way we do it, you can actually mentor the junior teachers.”*

5.3.2.3.1 Sub-theme: IQMS knowledge

The purpose of training workshops is to equip educators with the necessary knowledge and skills to enhance the development of their careers. It is logical to expect that after the training workshops, educators should display a sense of creativity and maturity in executing their duties, which will in turn be reflected in their learners' achievements. In order to help the learners to realise their full potential and achieve the desired educational outcomes, there should be a positive working relationship between the educators and their learners. In other words, on the one hand, teachers must execute what they have learned from the training workshops, while on the other and, learners must do the work they are given by their respective teachers. The co-ordinator of IQMS must have been adequately trained so as to be able to give the required guidance to all staff members.

This was found not to be the case at School D, where the IQMS co-ordinator (the deputy principal) was brought into the fold without having received the requisite basic training. He said, "*We still need some training on the IQMS as some of us like myself we were never trained. I really need training because it is my first time to do IQMS, so I am still learning.*" A school such as this, where the IQMS leader or co-ordinator is still on a learning curve, cannot expect the IQMS process to run smoothly. The basic principle of IQMS relates to the proficiency of identifying important aspects for development at a school, and in the case of School D, the school chose an educator who had never been trained in IQMS principles to be the IQMS co-ordinator.

The findings in the study suggest that it should be compulsory for all educators to receive the IQMS training before they are allowed to engage in the process. Those teachers who have attended the IQMS training workshops know what to do during the process of its implementation. This is synergistic with the ethos that IQMS training workshops empower educators to be able to deal with all matters related to IQMS. Those teachers who missed the training offered by the Department of Education should be trained at the school by the SDT. IQMS should be a continuous process, to enable all educators to be conversant with the process of IQMS implementation.

5.3.2.3.2 Sub-theme: Capability to deliver

Lack of knowledge leads to incapacity. The capability to deliver is an important factor in terms of participants in a school being able to reach their full potential. Some of the participants in this study indicated that they felt they did not have the capability to deliver and therefore needed to attend more IQMS training workshops, as suggested by the deputy principal of School D who said, *“Personally, I think we still need some training on the IQMS as some of us like myself we were never trained. I really need training because it is my first time to do IQMS, so I am still learning.”*

The study has revealed the importance of giving credit where credit is due. That is to say, when schools are doing well this should be recognised and their efforts should be appreciated. This was evident in the case of School A. Their performance was initially poor, but once they started improving their performance, they received recognition from the Department of Education. The principal from School A had this to say: *“Honestly, when this systemic test started we took it as a joke, we were getting zero percent and we did not care. But after we realised they are using it to label your school saying your learners cannot read and write and you can even lose your job, we then started taking it seriously. But after we started our intervention programs, i.e. Saturday classes, long days and continuous tests, we can see that our results are improving. ... this year again we received an Award in Mathematics as the most improved school getting 56%.”* Giving credit to deserving recipients in the field of education motivates not only those schools who are recognised, but other schools as well, to try their best.

It is important to note that when a school is doing IQMS the right way and the good results are not forthcoming, they must be patient because they will come eventually, and when they come, then that performance should be sustained. Even if a school is implementing IQMS the right way, reaching greater heights is not something that can be achieved overnight. It takes time to produce the desired outcomes. For instance, School C, whose performance was very poor at the commencement of the implementation of IQMS, did manage to achieve very pleasing results over time. The school's deputy principal had this to say: *“We have those learners that are weak, we have average ones and we also have high performers. There is drastic improvement.”*

The main objective of IQMS is to identify those areas that need development for the delivery of quality education to learners, and once those areas are developed, the end result is improved academic performance with regards to the learners' pass rate or academic achievements. Given the views expressed by the participants and tapping in the on the objectives of the IQMS, it is suggested that an ineffective implementation of IQMS at a school is the end product of a lack of supervision and monitoring, which gives rise to the poor academic performance of its learners. There is a core relationship between an effective implementation of IQMS at schools and the production of good systemic test results. School E could be seen to be a typical example in this regard. When the IQMS co-ordinator from the school was asked about the areas where the school is lacking or where they still need assistance so that they can implement the IQMS effectively, she responded: "*Not sure if there are areas where we are lacking.*" This meant that the implementation of IQMS at School E had been effective, resulting in an excellent academic performance.

Findings revealed that most of the participants were in a position to effectively implement IQMS in their schools, as more than 90% of them had attended the training workshops organised by the Department of Education on how to implement the IQMS process. This finding is reflected in "Appendix C, question 17" where all the participants acknowledged that the Department of Education had offered IQMS training to their schools.

Research Question 4:

What kind of challenges are encountered for effective implementation of IQMS in primary schools in the Western Cape?

5.3.2.4 GENERATED-THEME: Factors influencing IQMS implementation in schools

Findings under this generated-theme are grouped in the need to reveal the factors that promote or inhibit the implementation of IQMS in schools. The participants from the case schools under study have highlighted the following as some of the aspects that lead to the improper implementation of IQMS: inadequate resources, work overload (a lot of paperwork) and the reluctance of teachers to consult the IQMS manuals.

The influence of the SDT is another essential aspect that is grounded not only in the SDT's influence, but on the extent to which this influence is a prerequisite for the successful implementation of IQMS in schools aiming to improve the quality of their education. When asked about the influence of the SDT on the IQMS implementation process, most participants in the study concurred that it has indeed been a very positive one. The principal of School B had this to say about the SDT: *"It motivates and provides advice to teachers, as well as making sure that the IQMS process is without problems."*

Similar accounts were given by the IQMS co-ordinator from School E, who explained, *"The SDT provides mentoring and gives advice and support to teachers."* This was similar to the accounts given by School A and C. But for School D, the influence of the SDT was not as positive, with the deputy principal admitting: *"I am not sure about the establishment of the SDT, I only realised it this year. We hold our meetings once a year because it is something that is new to us."* This statement clearly indicates that the SDT at School D is ineffective in terms of IQMS implementation.

5.3.2.4.1 Sub-theme: Inadequate resources

The lack of resources has a negative impact on IQMS implementation at the schools. In this regard, the principal of School A said: *"We need the resources which obviously require finance. If we can have funds, we can be able to get all the resources required for the effective implementation of this IQMS program."* The principal of School A added: *"We are improving because in the beginning of this IQMS we were at zero percent in the systemic test evaluation but now we are at 20 or 40 percent ... however, you cannot compare apples with pears, i.e. comparing such an under-resourced school with those resourced schools, it's not right."*

An insufficient number of classrooms for a huge number of learners at a school was also cited as a mitigating factor. The deputy principal of School C stated, *"We have 50 learners in a class,"* while the deputy principal of School D said: *"We have plus or minus 50 learners in a class... the performance of our learners is average and that is because of the overcrowded classes."* Contrary to Schools C and D, the participant from School B had this to say: *"There are about 30 learners in a class. We are doing*

very well; we have an honours certificate as the most improved school.” These sentiments were shared by the IQMS co-ordinator from School E, who stated, “We have more or less 30 learners in a class. They are performing very well, and we have systems in place such as didactical programmes after school for those learners struggling in Maths and Language.”

The conclusion that can be drawn under the sub-theme of inadequate resources is that schools can never be treated as being exactly the same because they are all unique and operate in different contexts. The schools from the disadvantaged communities will always find it difficult to compete with their urban counterparts because of their lack of financial muscle.

5.3.2.4.2 Sub-theme: Resistance to Change

In some schools, teachers are reluctant to implement the IQMS policy. This was affirmed by the IQMS co-ordinator from School E when she cited the problem of teachers’ resistance to change their attitudes towards implementing the IQMS policy, saying, *“Because of the paperwork teachers are reluctant to do IQMS, otherwise there is merit in it.”* The IQMS co-ordinator from School E suggested that *“IQMS should be run by a very strong person who cannot be retracted by teachers’ moaning.”*

Under this sub-theme it was revealed that although teachers were more than willing to implement the IQMS policy, they were limited by their incapability to deliver, which was caused by a lack of knowledge as a result of not having attended the IQMS training workshops. The deputy principal of School D said: *“I think we still need some training on the IQMS as some of us like myself we were never trained, so I am still learning.”* This statement shows that while the deputy principal of School D, as an IQMS co-ordinator, had a passion for IQMS implementation, she was unable to perform as expected, due to a lack of knowledge in this area.

5.3.2.4.3 Sub-theme: Work overload

For those schools hoping to achieve effective management of the school’s systems and processes, it is important that they adhere to the recommended educator-learner ratio of 1:35, as determined by the Department of Education and avoid overcrowding

of classrooms at all costs. This is because an overload of work results in an inefficiency in terms of the service delivery of educators. As the principal of School B put it, "... due to the fact that the school has only eight teachers there are no challenges, the process runs smoothly." In contrast, the deputy principal of School C had this to say: "There is a lot of paperwork that must be completed within a short space of time and it becomes very difficult to do a proper job within that period." This statement is supported by the IQMS co-ordinator from School E, who claimed that "because of the paperwork, teachers are reluctant to do IQMS."

The findings in the study are that an overload of work has a negative impact on the system. Schools need to have a proper plan in place in terms of how IQMS is going to be managed. The IQMS programme must be included in the school's year plan, and it should be indicated when the IQMS process will start and when it is anticipated to finish.

Research Question 5:

What kind of capacity and support is required to effectively mitigate these challenges?

5.3.2.5 GENERATED-THEME: Intervention

With respect to the prevention of potential challenges that come with the implementation of the IQMS process, the principal of School A had this to say: "The major challenge with IQMS at our school has been the disagreement on scores but because of the pre-talks, during talks and after talks we have been managing it well."

In view of the above, it is clear that to overcome the challenges experienced in the implementation of the IQMS policy, educators must be well trained. A knowledgeable person who is familiar with the IQMS processes will sometimes be called upon to make a presentation, whereby s/he will simplify difficult areas or aspects of the process. The IQMS co-ordinator from School E shared that "...we have been doing the IQMS, it has been running for years, it is not that now all of a sudden we are doing IQMS, it is a continuous thing... Teachers are trained on IQMS, we normally take the new teachers to the department for baseline training, and the other staff members are taken care of by the SDT."

In addition to attendance at the training workshops, it is necessary that the IQMS manual be read by all teachers as a supplementary document in order to gain the required knowledge on how to implement the IQMS policy. It would be beneficial to encourage teachers to read the IQMS manual, as claimed by the deputy principal of School D, who said, *“I would advise teachers to read those IQMS books, especially the performance indicators, because it helps by giving guidance on everything.”* However, there is always a risk that the information contained in the manual could be misinterpreted, leading to the teachers straying from the principles of the system. Therefore, in order to avoid such a situation, it is important to identify a knowledgeable person who can provide guidance in the initial stages. Thereafter, the school can continue with the process on its own. It is common knowledge that it is always good to share one’s knowledge and ideas with somebody else. Besides the option of getting someone in from the outside, schools could also organise internal training workshops where their staff members could give presentations and engage the teachers in discussions, thereby allowing them the opportunity to gain different perspectives on the subject.

The finding from the study is that schools should hold regular IQMS meetings. As the principal of School A put it, in the pre-talks you plan the process, in the during-talks you discuss the problems you are encountering during the process, and in the after-talks you assess the whole process. This helps the process to run smoothly. Another strategy that can be used to overcome the challenges experienced in the process of implementing the IQMS policy is to have a limited number of teachers and learners at the school, i.e. having the correct teacher-learner ratio at the school. This could be seen against the background that at School B, where the teacher-learner ratio is 1:22, the school does not experience any challenges in implementing the IQMS policy. The same could be said about School E, who have the correct teacher-learner ratio and whose academic performance is good.

5.3.2.5.1 Sub-theme: Training workshops

The development of personnel, coupled with the appropriate qualifications and experience, is an essential aspect for the acquisition of the necessary skills and knowledge necessary for the successful implementation of IQMS, with a view to

improving the quality of education in schools. Every school is guided by the IQMS training manual (Republic of South Africa - ELRC, 2003) in the evaluation of teachers for their performance measurement. The Department of Education has trained almost all the teachers at the case schools, with the exception of new teachers (those who have been recently employed). All the participants in the study indicated that training was one of the important factors influencing IQMS implementation. The principal of School A said: *“Almost all of us are trained on IQMS because even the newcomers, we are sending them to the training workshops at the District Office.”* The IQMS co-ordinator from School E added: *“We normally take the new teachers to the department for baseline training, and the other staff members are taken care of by the SDT.”* Similar accounts were presented by the participants from Schools B and C when asked if they were trained on IQMS. The principal of School B responded by saying, *“Yes, the training was offered by the department,”* and the deputy principal of School C said, *“Yes we did get training on the IQMS, it was offered by the Department of Education.”*

Although the Department of Education offered training to all schools and to all educators, School D presented an exceptional scenario in that the deputy principal (who is also the school’s IQMS co-ordinator) had been at the school for quite some time but had never attended any IQMS training. When asked whether the teachers at the school were trained on IQMS, she responded: *“Yes, the other teachers were trained but I was not.”* If all the educators at the schools – with the exception of the newcomers – were trained on the implementation of IQMS, the chances of there being too many challenges to overcome would be minimised, as everybody would understand what was expected of them. The training workshops for the IQMS implementation play an important part in the effectiveness and efficiency of IQMS implementation. Both the IQMS training workshops and the commitment of teachers in their service delivery can yield positive results in terms of the academic performance of learners in general.

There is tremendous evidence in this study to suggest that teachers were capacitated to implement the IQMS so that they could use their abilities for the school’s benefit. It is important to note that in some of the schools, there are no internal training workshops organised by the school to train the untrained teachers. Consequently, not

all teachers were trained on IQMS. The deputy principal and IQMS co-ordinator of School D put it plainly when she said, “*Personally, I think we still need some training on the IQMS as some of us like myself we were never trained. I really need training because it is my first time to do IQMS, so I am still learning.*” Despite such an acknowledgement, and the school’s poor performance on the Systemic Tests, this IQMS co-ordinator still maintained that School D didn’t face any major challenges. To claim there are no major challenges when a school is underperforming and the person in charge of IQMS is untrained on the system, is nonsensical.

The fact that School D is underperforming and there are no internal training workshops for IQMS organised by the school is a clear indication that an external intervention is required. Moreover, the fact that the IQMS is headed by a co-ordinator who has never attended any IQMS training shows that the school needs some assistance, if not capacitation of the IQMS co-ordinator. An internal training workshop might be relevant as other educators at the school had received IQMS training and might well be able to facilitate the process. These internal training workshops might ease the pressure that the IQMS co-ordinator seems to be feeling and consequently improve the systemic test results. In other words, the internal training workshops could be seen as a possible solution to the unsatisfactory situation found in School D.

Research Question 6:

Which framework or model or strategies can be recommended for improving the processes for IQMS implementation in primary schools in the Western Cape?

5.3.2.6 GENERATED-THEME: Proposed models or frameworks for the planning and implementation process of IQMS

Organisational structure is critical for effective quality management at schools as it enhances academic improvement. It is in this context that findings under the generated-theme ‘*proposed models or frameworks for the planning and implementation process of IQMS*’ were grounded. There was a need to explore the changes that needed to be made to the organisational structure of the SDT for the successful implementation of IQMS. In this regard, the principal of School B made the following suggestion: “*I would advise that the Circuit Manager becomes actively*

involved in the process and also have a Subject Advisor who is a specialist on the system who will regularly interact with the teachers throughout the process.”

When considering the information presented by the principal of School B, one may suggest the following guidelines in order to successfully implement IQMS:

- Schools must plan properly and follow the set-up programme as a lack of proper planning brings ineffectiveness to the system.
- The Circuit Manager must be actively involved in the whole IQMS process and in addition, schools must have Subject Advisors who are specialists in the system and who can regularly interact with the teachers throughout the process.
- Schools should begin the process of IQMS in the first term and before anything else happens, managers should call a staff meeting and explain to teachers how the process will unfold.
- The person running the IQMS at schools should be knowledgeable and decisive, and not easily distracted by the petty grievances of the teachers.

The study also revealed that most of the learners at primary schools are assessed in their second language, which makes it difficult for them to interpret some of the questions asked correctly. In order to be fair to all learners at primary schools, both the language of teaching as well as the home language should be taken into consideration. Currently, those schools where learners are assessed in their home language have an advantage over those tested in their second language.

5.3.2.6.1 Sub-theme: Changing the composition of the SDT

In principle, it is the IQMS structures (i.e. DSG and SDT) that should influence the implementation of IQMS in a significant and positive way. The findings under the sub-theme of changing the composition of the SDT is therefore in the context of the conduciveness of the environment in which the participants in the study work, the influence of organisational structure and the quality of education delivery in the schools. When asked about the effectiveness of the system in relation to the organisational structure of their SDTs, some of the participants were not happy with the way things currently stood and felt that the organisational structure needed to change. The principal of School B had this to say: *“IQMS is a very good system but*

the only negative about it is that teachers assess themselves and you only have to sign off with no input, I would advise that the Circuit Manager becomes actively involved in the process and also have a Subject Advisor who is a specialist in the system who will regularly interact with the teachers throughout the process.” This statement suggests that some changes should be made with regards to the composition of the schools’ SDTs and that they should possibly include a departmental official such as a Circuit Manager or Subject Advisor.

When asked about the advice they would give to schools that find it difficult to implement the IQMS policy effectively, the participants chose a change of approach and changes to the composition structure of the IQMS. This is what some of the participants had to say:

The principal of School B said, *“The fact that teachers assess themselves brings ineffectiveness to the system. I would advise that the Circuit Manager becomes actively involved in the process and also have a Subject Advisor who is a specialist on the system who will regularly interact with the teachers throughout the process.”* The IQMS co-ordinator from School E concurred and added that *“... understanding of IQMS is crucial and that is the first thing, thereafter one has to familiarise himself or herself with the documents. If you understand what IQMS is all about then you will know how to use it.”*

Currently, the responsibility of the DSG is to help individual teachers in their career developments, while the SDT helps the entire school in the whole school development. The school’s DSG and SDT help teachers by providing them with the necessary knowledge on how to implement the IQMS, and by giving advice and support to individual teachers for their own personal growth in their careers. It is only when the DSG and the SDT are well equipped with knowledge and skills that the IQMS process can be facilitated without any problems. Therefore, in order to bring a new and effective dimension to the course of IQMS implementation, the proposed change to the IQMS structures – particularly the SDT – is that all school stakeholders should be included in its composition. This includes department officials, as suggested by the principal of School B. In every school, the DSG and the SDT should be working in parallel, but

towards a common goal. It would be wise for both the DSG and the SDT to set targets of what they want to achieve on an annual basis with regards to IQMS implementation.

According to the participants in the study, IQMS is a very good system, with the only defect being the limited input that the principal has on it. The principal only signs off the documents when they are done and does not make any vital contributions to the process. As stated by the principal of School B, *“The headmaster should be an active participant in the IQMS process from the start to the end.”* That is to say, in order for the IQMS process to be effective, the headmaster should partner the educator’s peer with his/her supervisor when allocating the educator’s score during the performance measurement process. In other words, it should not only be the peer and the supervisor of the educator, which is the way it is currently done. This calls for an earlier start of the IQMS process, preferably in the first term so as to accommodate the headmaster in the whole IQMS programme.

Similar sentiments were expressed by the principal of School B, who felt that IQMS is a good system because *‘it motivates teachers and sets a benchmark to see where you are, as well as setting your own personal growth plan’* were echoed by participants from the other schools. The following are the accounts given by the other schools when asked about the influence IQMS has on teachers:

The principal from school A said: *“It has lifted up the teachers’ performance.”* The deputy principal from school C had this to say: *“The implementation of IQMS has improved the teachers’ level of performance.”* And the deputy principal from school D had said: *“IQMS gave us an understanding of our duties and responsibilities.”* The IQMS co-ordinator from school E had said: *“It is a very nice tool to mentor a junior teacher in terms of leadership.”*

Based on the foregoing findings, one may conclude that all the participants in the study believed that an effective implementation of IQMS can yield positive results in terms of academic improvement at their schools, with the participant from School B suggesting a change in the composition of the SDT where the Circuit Manager becomes actively involved in the whole IQMS process at the schools.

5.4 SUMMARY OF THE CHAPTER

In this chapter, the collected data was presented and analysed. The names and bio-data of the participants presented in Table 5.1 were represented by letters of the alphabet, in order to protect their identity and to shield them from any potential harm which may arise as a result of their responses. Data collected through interviews, questionnaire forms and document analysis were transcribed and edited several times. Through repeated readings of the transcriptions, six major themes and eleven sub-themes emerged and were presented in Table 5.2. The relationships that exist between themes was recognised and acknowledged, so as to compare the effect of each theme on the other. Consequently, the major findings were identified. These major findings are summarised in the following chapter; Chapter 6.

CHAPTER SIX

SUMMARY OF MAJOR FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

This chapter presents the summary of chapters, highlights of major findings, conclusions and recommendations. It also presents the limitations of the study, future research areas on IQMS implementation, knowledge contribution of the study and proposed strategies for the implementation of the Integrated Quality Management System (IQMS) in primary schools in the Western Cape province.

6.2 SUMMARY OF CHAPTERS

In **Chapter 1**, the research purpose was presented; the rationale for the study was explained, and the research questions guiding the study were provided. The research design and methods were also briefly discussed. The delimitations of the study and clarifications of concepts were acknowledged.

Chapter 2 provided the literature review on concepts and theories underpinning IQMS. The implementation of IQMS in South African schools was also deliberated. Thereafter, an overview of the South African education system prior to the attainment of democracy in 1994, and the subsequent development of school management was discussed. This chapter also examined the processes of Whole School Evaluation by performing an analysis of Whole School Evaluation and Whole School Development. In addition, the chapter contained an exposition of the reviewed literatures, integrating broad-based and local literature on school development policies with educator evaluation.

This chapter also captured the essence of the Integrated Quality Management System as it relates to the provision of quality education. The history of educational supervision in South African schools, together with management systems, was examined, i.e. the shift from old, supervisory systems to the newer Integrated Quality Management System was addressed. The chapter examined the initiatives of Whole School Development and Whole School Improvement in South Africa. In this regard, developmental appraisal and performance appraisal, as well as classroom

observation, received attention and were examined. The chapter concluded with an analysis, or scrutiny, of the practicality of the Integrated Quality Management System.

Chapter 3 focused briefly on IQMS implementation in two European countries; England and Scotland, and two African countries; Botswana and Zimbabwe. The structure and theoretical framework of the IQMS policy was examined and the systems of teacher appraisal in the aforementioned countries were looked at. This chapter gave a brief overview of the implementation, monitoring and evaluation of the teacher appraisal system, before shifting its focus towards the factors that influence the effective implementation of IQMS and the challenges that educators face when implementing the system in their schools. This chapter also addressed strategies that have been implemented in an attempt to deal with the challenges of the appraisal system within schools, as well as the success rate of these strategies.

In **Chapter 4**, the research design and methodologies used and the choices made with regard to research instruments were discussed. Measures to ensure the trustworthiness and credibility of the study, together with the research design and methodology, were discussed, and a brief analysis of the different research paradigms was provided. A description of the sample population, whereby data analysis and data interpretation was provided, was discussed in detail. Finally, this chapter addressed ethical, confidentiality and validation issues.

Chapter 5 presented data analysis and the research findings, which were organised in line with the research questions. This chapter provided the context of the study, the profiles of the schools under study and the bio-data of participants (i.e. their teaching experience in terms of the positions of responsibility they held within the various schools). In addition, the systemic test evaluation results of the Western Cape Education Department were presented, the themes and sub-themes that emerged from the interview transcripts were discussed, and the views of participants on how schools should deliver quality education to learners using the IQMS were interpreted.

The final chapter, **Chapter 6**, presents a summary of the research findings, draws conclusions and makes recommendations. The study as a whole is summarised and the findings of the study are discussed. Finally, suggestions for refining the process of

IQMS implementation, together with recommendations for further research on the topic, are provided.

6.3 SUMMARY OF THE FINDINGS

This study involved five primary schools from two education districts in the Western Cape province. Two of the schools were from Metropole East Education District (MEED) and the other three were from Metropole North Education District (MNED). The schools were chosen according to their academic performance and their geographic locations. The five selected schools managed to provide the data that enabled the researcher to bring to light an understanding of IQMS implementation in the Western Cape province. The study not only focused on the effective implementation of the IQMS policy and its impacts on the quality of education delivery to the learners, but also looked at both performing and underperforming schools.

In Chapter 1, the researcher had discussed three theories, i.e. information theory, critical theory and system theory (refer 1.10). Information or communication theory sought to identify the quickest and most efficient way to get a message from one point to another. When discussing information theory in Chapter 1, two concepts emerged as very important in the study; entropy and redundancy. Entropy is the degree of randomness, lack of organisation, or disorder in a situation. This was relevant in the study during the interview process as the researcher did not follow the order of questions from the interview schedule. Instead, he would follow up a question in the interview schedule with one that was not part of those questions in the interview schedule, in order to get an appropriate response for the question he had initially asked.

During the interview process, redundancy came to be a very important factor as the direct opposite of information acquisition, for instance the noise level. Redundancy is important because it helps combat noise in a communication system and thereby avoids repetition of the same message. Noise is any factor in the process that works against the predictability of the outcome of the communication process. Since the study had involved educators, it was important to take care of redundancy and not to conduct the interviews during the school break times, as the level of the learners' noise might be high. The researcher believed that information theory could use the available

information to change or improve the current situation by using both qualitative and quantitative methods of data collection.

Critical theory considers social, historical, and ideological forces. Critical theory involves serious awareness when it comes to power relations in examining or trying to make sense of information. This research study had used various qualitative enquiries for data collections such as personal experiences, case studies, field notes, interviews and visual texts to gather meaningful information. Through the usage of these instruments for the study it was discovered that IQMS had been improperly implemented in most schools, however there is still merit in it.

System theory is an administrative theory in management that treats an organisation as either an open system influenced by outside forces, or a closed system with no influence from outside forces. In the study, the researcher had discussed schools as open systems directed by the economic drive in their respective countries. For instance, the challenges that are faced by a country call for a reaction from social organisations such as learning institutions, in an attempt to address those challenges. Hence, schools are implementing the IQMS due to the social demands that had enforced previous management systems to change and resulted in the current system (IQMS) as a system that can adapt, respond to events and seek goals for an improved economy. System theory acknowledges that information holds systems together and plays an important role in determining how they operate. Therefore, it was logical and appropriate to consider system theory in this study as the most appropriate and relevant because it provides an understanding of how social organisations, in this case schools, are hierarchically organised and work harmoniously in achieving their objectives of quality education delivery to the learners by interacting with the various schools' stakeholders in order to meet the social demands.

The next section provides a summary of major findings which emerged from empirical research. The summary of the research findings is given in terms of the research questions originally asked. This study explored possible strategies that can be recommended to effectively implement IQMS in primary schools in the Western Cape. The research question that guided the study is as follows: *What framework can be recommended in order to effectively implement Integrated Quality Management*

System (IQMS), particularly in primary schools in the Western Cape province? In order to answer the main question, sub-questions were asked and thereafter, particular themes which had emerged during the interview process were discussed. The sub-questions are listed below:

- Which processes and techniques are used in the performance measurement and appraisals in primary schools in the Western Cape?
- What are the measures used for monitoring and evaluating the processes for the IQMS implementation in primary schools in the Western Cape?
- How appropriate are the measures in place for improving the IQMS implementation processes in primary schools in the Western Cape?
- What kind of challenges are encountered during the implementation of IQMS in primary schools in the Western Cape?
- What kind of capacity and support is required to effectively mitigate these challenges?
- Which framework or model or strategies can be recommended for improving the processes for IQMS implementation in primary schools in the Western Cape?

6.3.1 GENERATED-THEME: Planning ahead

The researcher had argued throughout the study that there is a core relationship between ineffective implementation of IQMS and the poor academic performance of schools. Table 1.1 showed that South Africa's education system is not good enough, despite the fact that the government is spending so much money on education. The pass rate over the past four years in the systemic tests has been disappointing, with the exception of the results for Numeracy in Grade 3 (WCED CEMIS, Systemic tests 2018). Generally, the systematic test results are poor, as reflected in Table 1.1. This is a clear indication that the system is performing poorly overall. The average pass rate percentage in the Western Cape province in 2018 was below 60% in both Literacy and Numeracy, in both Grade 3 and Grade 6. It is also important to note, as discovered in the investigation, that the pass rates also differ by quintile (a measure of relative wealth/poverty) as well as in terms of whether the schools performed better than others in the past, for example, former white and/or Indian schools tended to perform better than others.

The tests tell exactly what should be done to improve performance in Literacy and Mathematics, which provide the foundation for all learning. Atwell (2016) states that the Department of Education uses the data to plan remedial interventions on all levels, including teacher training and support, school leadership and management support, as well as improvement plans for schools, districts and the department as a whole. In essence, the tests are central to achieving the department's three strategic objectives (Western Cape Government – Education, 2019), which are as follows:

- (i) Improve learner performance in languages and mathematics.
- (ii) Increase the number and improve the quality of passes in the National Senior Certificate examinations.
- (iii) Improve access to quality education in poor communities.

The above-stated goals are all related and tantamount to the objectives of IQMS; that is, to build foundations for learning in primary schools in order to ensure sustained and improved learning in high school, good matric results, and success in further learning and the world of work.

In Chapter 2, the instruments or key success factors for effective implementation of IQMS were presented (refer 2.7) and, in the process, planning was highlighted as one of the major instruments. The planning included factors such as school improvement plan, school management plan and the work plan. The study clearly indicated that proper planning for the IQMS implementation is crucial. This view is consistent with Bokgola (2015) who argues that the SDT, together with the SMT has the responsibility of developing a plan for the implementation of IQMS. However, the study has indicated that the SDTs are experiencing challenges in managing the implementation process of IQMS. These challenges include incorporating their own plan to the one supplied by the Department of Education, managing the plan provided by the Department of Education and implementing the evaluation process as stipulated in the plan. According to the IQMS co-ordinator from School E, it would have been helpful if schools were adjusting the department's plan to suit their contextual factors, such as spreading the IQMS activities throughout the year if they had a large staff complement.

The study has also revealed that, in order to realize successful implementation of the IQMS in public schools, the planning should include class visits and approaches for

IQMS implementation. For the class visits, the appraisee must have been well prepared in advance for his/her lesson observation by the appraisers in his/her classroom. Bokgola (2015) argues that this gives learners an opportunity to do well academically, as it provides the teacher with the confidence to be able to control his/her class when executing his/her duties. The preparedness of the appraisees include being prepared for lesson presentation in class and being knowledgeable about the subject content of the lesson. Therefore, the appraisers must have been trained and must be knowledgeable enough to do a proper job in evaluating the appraisee or the teacher. This means that teachers must have been trained, in order to be capable of carrying out their teacher-evaluation duties with ease. This is one approach that the implementers of IQMS should apply, for the effectiveness of the system. The approaches for IQMS implementation include personnel development. According to Chingara (2018), this is crucial. He argues that “employee development is when employees are allowed to make decisions and instigate action, as well as participate in quality assurance teams and work together” (Chingara 2018: 61). However, the findings had showed that some teachers had not been trained, such as the IQMS co-ordinator from School D who had never attended any IQMS training sessions and whose school consequently used different approaches for IQMS implementation.

As much as there is evidence of some sort of empowerment of teachers in this study, there seems to be a lack of clarity with regards to exactly how the schools empower their teachers and what it is exactly that the teachers were doing in the training sessions they attended, or at least where the focus of the training sessions lay. All the interviewees in the study acknowledged that the Department of Education offered training to all schools. However, it was unclear whether the teachers were able to use the acquired knowledge from the training workshops to effectively implement IQMS at their schools. Chingara (2018) states that schools that empower their teachers have the potential to implement IQMS effectively and have a competitive edge over their rivals. This entails not only empowering teachers in terms of IQMS implementation but also offering them support measures that will enable them to deliver quality service to the learners for improved academic performance.

6.3.2 GENERATED-THEME: The philosophy and principles within the IQMS policy for monitoring and evaluating the IQMS processes

The discovery in the study is that the implementation of IQMS at the schools in the Western Cape province is ineffective and the domino effect of this is unsatisfactory results in the academic performance of learners. Despite the various assessments employed at schools in the Western Cape province, far too many learners, especially African learners, do not perform at the required level. This can be seen in Table 1.1, where the constituency of Schools A, B, C and D – which are poorly performing schools – is mostly black and coloured learners. Despite significant advances, the primary measure of quality in education, i.e. learner achievement, lags behind. The results of the systemic test evaluation are a typical example of poor quality in the delivery of education. It was critically important that the researcher highlight the various factors that cause South African schools to underperform and, of those factors, which could be a direct outcome of the ineffective implementation of IQMS.

In principle, all schools should set up a School Development Team (SDT), as required by legislation, to be the committee that is entrusted with the responsibility of facilitating IQMS implementation (South African Republic: ELRC – IQMS Training Manual, 2003). This brings in the importance of supervision and the use of IQMS manuals as the relevant instruments in this regard. The SDT has the duty to monitor and supervise the IQMS process and, also, to make sure that the IQMS manual is utilised, so as to prevent grievances resulting from the process. All the case schools under study had complied with the requirement of establishing the SDTs. The SDTs were democratically elected in all the case schools, and consisted of the school principal, School Management Team (SMT) members as well as post Level 1 teachers.

In all the case schools, the evaluation of the teachers was carried out by the Development Support Group (DSG), which consisted of the peer teacher and the supervisor. In Schools A, B, C and D the performance measurement and appraisals of teachers were done in the third term of the year. School E conducted its own appraisals in the second and third terms of the year and was comfortable about starting the process earlier. Any grievance or dispute relating to the process had to be referred to the IQMS grievance committee for settlement. However, none of the case schools ever experienced grievances during the investigation. The finding in the study was that

all the case schools had complied with the basic principles of the IQMS policy. This could be seen against the background that, in terms of the IQMS policy document, any grievance or disagreement between the educator and the DSG that is not resolved within five working days should be referred to the grievance committee for a resolution (South African Republic: ELRC – IQMS training manual, 2003: 9).

According to Mphahlele (2018), the philosophy and principles contained within the IQMS policy are intended to bring to the fore an effective monitoring and evaluation process that is vital to the improvement of standards of performance in schools. The DoE intended to change the manner in which schools used to run their affairs so that efficiency and effectiveness could characterise the South African education system. As the study has shown, this was due to the fact that the South African schooling system performs well below its potential (South African Government, News-desk, 4 December 2014). The study suggests that educator development and accountability, being the major principles of IQMS, seemed to have failed to bring effectiveness and efficiency to the schooling system. This view is consistent with that of Mphahlele (2018), who indicates that schools in South Africa perform below their capacity. Hence, the academic performance of learners in the systemic test remain poor.

It was pointed out in the literature that different countries introduced teacher evaluation to provide quality education to learners by developing their teachers and using the process for salary increment; promotion and dismissal (refer to 3.2 and 3.3). The participants in the study were familiar with the philosophy and principles of IQMS, even though their descriptions differed. The description of the principals from Schools A and B, as well as the deputy principals from Schools C and D was that “the philosophy and principles of IQMS are accountability and development”. The IQMS co-ordinator from School E understood the philosophy and principles of IQMS to be about supervision and monitoring. As a result of this varied understanding of the principles of IQMS, some schools were not performing as expected. Whilst all the participants seemed to have a good understanding of the philosophy and principles of IQMS, not all seemed to value the evaluation system and use the system professionally. School E, on the other hand, can be viewed as a typical example of a school which was successful in this regard. They planned ahead or well in advance for the IQMS process, and, along with it, engaged in monitoring and close supervision of the system during the

evaluation process. The school planned the implementation of IQMS in the current year for the following year and spread the activities out throughout the year. As a consequence of these practices, School E had been performing exceptionally well in their systemic test evaluations (see Table 1.1). It appeared that an understanding of the philosophy and principles of the IQMS, i.e. valuing the IQMS process and wanting to be professional in its implementation, influences schools to plan ahead and, as a result, positively impacts on their academic performances.

6.3.3 GENERATED-THEME: Implementation of IQMS

In Chapter 2, the measures for effective implementation of IQMS were presented (refer to 2.5, 3.2 and 3.3) and implemented through stages: the initial meeting, self-evaluation, pre-evaluation, classroom observation, data collection, post evaluation, monitoring and formal review meeting. On that score, participants stated different opinions on the implementation process of the evaluation of teacher quality. Their opinions concern the factors of the vision of the school; the description of IQMS; the purpose of IQMS; training; roles and responsibilities of the participants; identification of strengths and weaknesses; the compiling of the Personal Growth Plans (PGPs); the development of the School Improvement Plan (SIP); linking Development Appraisal (DA) to School Improvement Plan (SIP); and the moderation of scores.

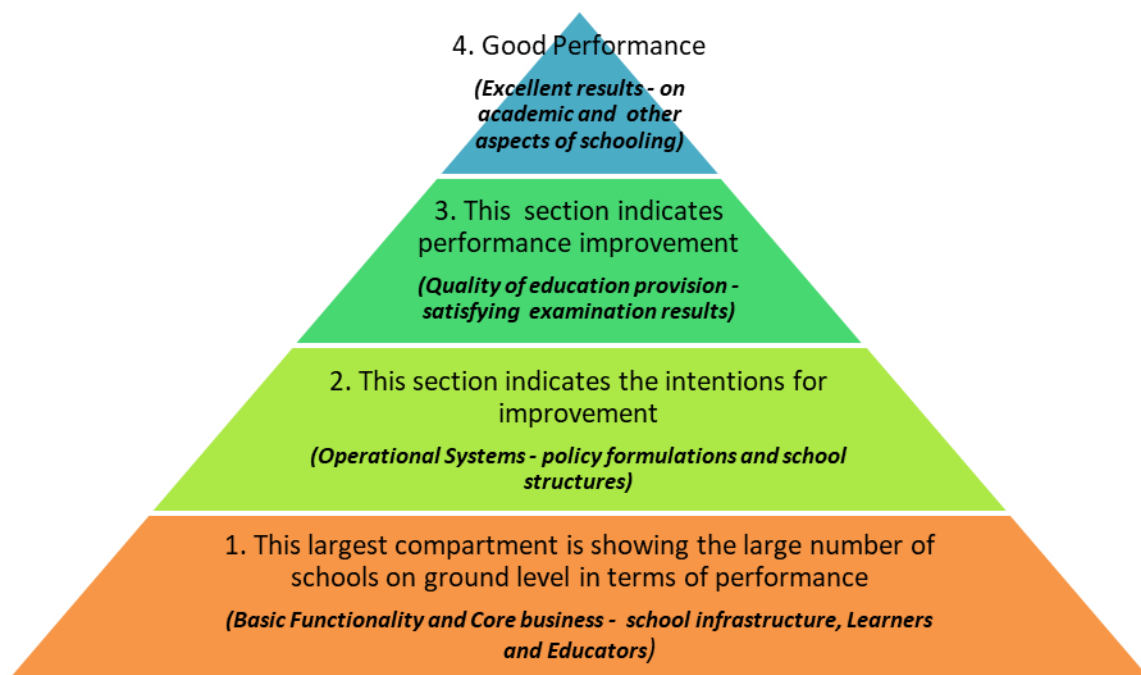
All the participants in the study indicated that there is merit in the IQMS. However, they maintain that the implementers of the system, i.e. the educators, must be both knowledgeable about and capable of implementing the system. The study revealed that an effective implementation of IQMS can benefit schools. According to Mphahlele (2018), these benefits include, amongst others: appraising all elements of the school including its physical infrastructure and surrounding grounds, appraising the school's organisational structure with the aim of delineating factors that may hamper teaching and learning, evaluating the extent to which stakeholder involvement features in the operating and running of the school; and checking the extent to which recommendations on previous evaluation reports on suggested areas for development are heeded to, and whether or not they assist the school in reaching its optimal development.

In addition, this study further suggests that, in order to achieve effective implementation of the system in schools, the following is required:

- More reliable rating or grading of schools with regards to their performance. This would help schools to set a benchmark as to where they are in terms of their performance, as affirmed by the principal of School B.
- Clearer information for learners and parents in those areas needing attention. This would help in addressing learning barriers caused by contextual factors such as burdensome family backgrounds, as affirmed by the deputy principal of School D.
- Clear signals to schools on what is important in the curriculum. This would help schools to stick to their vision and mission. This was reinforced by the IQMS co-ordinator of School E, who stated that as the school was very much set on values, they were producing good academic results.
- Identifying and addressing gaps in achievement between advantaged and disadvantaged schools and ensuring consistent leadership and management across all schools. This would help schools such as Schools C and D, which were situated in disadvantaged communities and performed poorly.
- Ensuring equity, by directing the necessary support to needy schools based on real or factual current data. This would help schools such as Schools C and D, the most underperforming of all the case schools.

Table 6.1 on the following page indicates how schools can improve their performance through the implementation of IQMS:

Table 6.1 Suggested measuring tool for performance improvement through IQMS (Source: adapted from Mphahlele, 2018: 51)



Level 1 of the pyramid shown as the largest segment at the bottom, reflects the South African schools, i.e. performing and under-performing schools. As the pyramid narrows up, it shows that as schools are striving for better performance only some will manage to improve and move from Level 1 to Level 2. The same applies from Level 2 to Level 3, and Level 3 and 4 are no exception.

6.3.4 GENERATED-THEME: Factors influencing IQMS implementation in schools

The study has also shown that there is an element of reluctance in some schools and some teachers to implement IQMS, which, according to the researcher, provides an opportunity to review the contribution of IQMS in improving not only the systemic test results, which have been displayed in the study as indicative of poor school performance, but rather the education system as a whole. As a result of this reluctance, one of the five schools which the researcher had initially chosen to participate in the study had to be substituted. Some of the reasons cited by the school for its reluctance to participate in the study include the following:

- IQMS is time consuming.

- IQMS is not yielding the change needed.
- The Western Cape Education Department (WCED) uses IQMS to label teachers and schools.

According to the researcher, the rationale behind the reluctance to implement IQMS is ungrounded. Firstly, if there is proper planning at a school, IQMS does not place any additional burden on its teachers. In this regard, one of the five schools under study (School E) could be a typical example. The school is doing extremely well as it is spreading the IQMS out throughout the year and as a result, does not feel any pressure with regard to the implementation of the system. With regards to planning, the following practices were noted in School E, which might be relevant to other schools as well:

- Planning of the IQMS process in the current year for the following year.
- Spreading out of the IQMS programme throughout the year.
- Involvement of all the staff members (teachers).
- Holding of regular IQMS meetings.
- Close supervision and monitoring of junior teachers.
- Conducting of internal IQMS training workshops.

Given the value of the outcomes to the entire system, the time spent on IQMS is time well spent.

Secondly, the primary focus of IQMS is on development. This does not mean, however, that the monetary incentives should be scrapped. The whole point of the IQMS, as highlighted by all the interviewees from the schools under study, is to identify areas needing remedial action, interventions and special support. The quality of a schooling system is provided in the smallest component of the school; i.e. the classrooms, which is where the learning experiences and learning outcomes of the learners are reflected. Both learners and teachers bring with them to the classrooms material and cultural elements that make a difference to the learning and teaching interaction. The study revealed that the quality of teaching and learning is always dependent upon the knowledge of teachers and the manner in which they execute their duties, as well as the schooling contexts in which they operate. Everything that happens inside the classroom is the crucial educational practice of the system that is

difficult to change (Ndashe, 2016). All the other aspects, such as governance, funding, and other visible aspects of the schooling systems are easier to change than the core of classroom practice. However, it is in the classroom where quality is delivered.

According to the findings of this study, a logistical view that gives a sense of what changes learners' learning outcomes is as follows:

- The provision of an adequate workload, excellent teaching practices and superb learning experiences.
- The establishment of a reciprocal working relationship between teachers and learners with materials in classrooms.
- The acquisition of teachers who are competent and committed in terms of executing their duties in the classroom. This requires a proper curriculum, good teaching practices, and a system of assessment that is aligned with the curriculum. In addition, adequate resources or sufficiently provisioned classrooms, libraries, laboratories and so forth add support to good classroom practice.
- The provision of good management and quality leadership. This gives way to effective teaching and learning. The managerial capability of schools and the quality of school leadership makes a difference. The functionality of a school will always be affected by the support it receives on both a district and a provincial level.

The above-stated findings are consistent with those of Chingara (2018), which indicate that the provision of adequate support to teachers and learners through supervision, coupled with their hard work and commitment towards the development of teaching and learning, promotes the successful implementation of quality management, which, in turn, positively impacts learner outcomes.

The findings of the study also revealed that the context of the school, together with its composition, are also major influences on teaching and the quality of learning it provides. In this regard, Ndashe (2016) highlights the following:

- Teaching and learning that produces good results needs teachers who are competent and committed. In this regard, issues of curriculum, pedagogy and assessment are relevant.

- Schools that support teaching and learning improve learners' academic performance. In this regard, administrative and managerial capability, leadership, clear purpose, and a culture that supports achievement and reciprocal accountability are all important.
- Department policies, parental involvement and practices that support schools enhance the academic performance of their learners. Positive working relationships between parents and the immediate community, as well as those in the broader social context, are crucial.

6.3.5 GENERATED-THEME: Intervention

The study revealed that the WCED has implemented a wide range of interventions over the years, based on the developmental needs identified at schools during the process of IQMS. Consequently, there is ongoing development of Language and Mathematics strategies, based on the identified needs at schools. Ongoing training is available at the Cape Teaching and Leadership Institute (the WCED's in-service training centre), which focuses mainly on Language and Mathematics. It goes without saying that there is ongoing support by subject advisors and service providers in the districts to assist schools that need this support the most. According to Nkambule (2010) cited by Bokgola (2015: 183) "training lays a foundation for the successful implementation of the teacher evaluation process". In order to supplement the training provided by the Department of Education, schools are obliged to organise their own internal training workshops. The study revealed that Schools A, B, C and E had done so, but it was not clear whether School D had organised internal training workshops, as the IQMS co-ordinator said she had never attended any IQMS training. Despite the scenario at School D, it is quite clear that the aim of IQMS is neither to blame teachers nor the schools, but rather to provide detailed information that the Department of Education can use to build on strengths and to address weaknesses. Moreover, IQMS also highlights the areas that need particular attention for development, towards which schools can redirect their efforts.

Furthermore, the study also revealed that IQMS places a high priority on continuous professional development. In this regard, the Department of Education has a responsibility to inform schools of areas needing attention and also, to provide training

and support in the best interests of the schools (ELRC – IQMS Training Manual, 2003: 2). At the same time, the department also has a responsibility to hold all role players to account, to ensure systemic improvement on all levels. This includes senior officials, district and circuit managers, principals and school management teams, as well as teachers.

6.3.6 GENERATED-THEME 6: Proposed frameworks or models for planning and implementation process of IQMS

Planning is one of the most important aspects for a school's efficiency and effectiveness because it provides purpose and direction. Planning can be regarded as a process of responding to questions such as "what?", "when?", "where?", "who?" and "how?" (Ndashe, 2016: 18). The principal of School B suggested that there should be a link between school performance and the quality of leadership at school level and at district level. Hence, he proposed the active involvement of the Circuit Manager in the IQMS processes at the school level. This suggests that the promotion of quality education should always place leadership and management at the centre. It is essential therefore to look at IQMS as a collective initiative that is inclusive of all the school stakeholders. Hence, the researcher suggests that the SDT should include all the school's stakeholders in its composition. It goes without saying that there is a need to reconceptualise performance management in education and that the link between IQMS and salary progression has adverse effects on quality education delivery. This can be seen in the fact that schools tend to rate themselves highly simply in order for them to get the salary increment. Such an occurrence is fuelled by the dilemma that district personnel are unable to monitor schools and verify data. Consequently, officials are unable to identify schools that are in dire need of immediate intervention.

IQMS strategies seem to lack an understanding of the direction that education should take in order for it to improve in quality. The strategies of the monitoring and evaluating in the teacher evaluation system lead to performance management and effective employee performance. In Chapter 2, it was discussed how these two aspects might bring about change in schools (refer to 2.6.1). It was indicated that the evaluation process helps employees to be line-driven, as opposed to personnel department-driven, whereby the vision and objectives of employee performance is shared by all at the school. In this fashion, the employees can start to develop a sense of ownership

of the school vision and begin to redirect their efforts towards a common goal. Moreover, the employees will know how the evaluation process has to be implemented and the strategies for improvement developed, in order to bring about and sustain quality. In other words, the evaluation of employees should not be used to judge the individuals but to build them up.

In order to maintain quality in schools, those in management positions need to prepare a framework for monitoring and evaluating the IQMS process. Thus, the study suggests a different logic model for effectively implementing IQMS at schools (refer Figure 6.1). In addition, there should be agreement about what should be monitored and also when and where this will be done, and by whom. For example, the systematic test results in the study (see Table 1.1) reflect that learners do need support for the assessment, and therefore attention should be given to key issues for quality education like resources and teacher development, as well as quality leadership at the school level. Currently, however, when a school has shown an improvement in its results, the DoE shifts its focus from that school towards the underperforming schools. The DoE should keep its focus with close monitoring of the school showing signs of improvement, so as to ensure continuity and sustainable growth. However, as mentioned, in most instances once a school shows signs of significant improvement, the DoE shifts its focus away from that school, as everything is seen to be “done and dusted”.

A school’s poor performance is an indication of the system failing as a whole. Therefore, school stakeholders must work together to ensure that the learners are granted every possible opportunity to flourish and realise their potential. In this regard, the IQMS provides relevant information that indicates those areas towards which the most effort should be directed, and where the planning should be centred, for example, changing the composition structure of the SDT.

6.4 CONCLUSIONS

6.4.1 Summary of the theoretical basis of the study

Within the school context, IQMS serves two purposes, i.e. development and accountability, which are the theoretical basis of the study. As the leadership and

management of a learning institution are meant to enhance its development and progress, they play a critical role in a school's success. Unfortunately, leadership within a school can sometimes be misguided and ineffective. In such instances, it leads the school community astray, and this calls for the third component, which is the principalship, to come to the fold. The three concepts of leadership, management and principalship are not identical.

Leadership is about exercising influence and setting directions (UKEssays, 2018). It does not depend on institutional location or position, and it can be exercised from any level in an organisation or institution. It can also be exercised by more than one person. This means that leadership development does not necessarily need to focus on those in formal positions or "at the top" (such as principals and School Management Teams (SMTs)). It should also focus on different levels in the school, and on different tasks.

Management is concerned with the structures and processes by which an institution meets its goals and is therefore different to leadership. However, in the school context, a lot of what is termed "leadership" is often seen as "management".

Principalship is about positional power. Principals need to have skills in leadership or management, and this should be a requirement, not just a desirable progression. It is crucial to have these conceptual clarities if appropriate interventions are to be designed. In order to promote successful operations at different school levels, it is important to build skills of leadership and management.

The influence of the principal on learners' performance is not direct. As the effects of principals are often mediated rather than direct, it is difficult to show that leadership affects the learners' learning outcomes. Leadership effects are to be found in the overall school climate, i.e. its organisation, support for teachers and so forth. Most of these effects if not all, are about management and leadership. For example, in working with the teaching staff or educators, principals employ one of the three approaches of leadership; either instructional, transformational or distributed leadership. These three concepts, by their definitions as described by Saucier (2018), simply show that leadership requires working with others to achieve results. According to Saucier, instructional leadership involves the roles of principals, i.e. setting clear goals,

managing the curriculum, monitoring lesson plans, allocating resources and evaluating teachers regularly to promote learner education; transformational leadership involves working with teams to identify needed change and creating vision to guide the change; while distributed leadership refers to the shared, collective and extended leadership practice. In the next section, the researcher will be focusing on the theory of educator development and the theory of quality education, which are the basis of IQMS.

6.4.1.1 Theory of Educator Development

Many concepts have been used to describe professional development in education. These include terms like in-service training, professional growth, on-the-job training, personnel development, and so on. Steyn and Niekerk (2002) cited by Mahlaela (2012) explain professional development as a formal systematic programme that is designed to promote personal and professional growth. Mahlaela further states that educator development refers to the engagement by teachers on programmes aimed to equip them with skills, so as to withstand the challenges they face in their profession. The development of educators has to be coupled with attributes such as competency and commitment. Educators are the only professionals in the school who assist the learners to learn and therefore they must be continuously developed in order to provide the learners with a quality education. That is to say, if educators are not competent and lack commitment, then the learners will suffer the consequences as they will not receive the quality education that is desired by all for a better life. Development delivers knowledge and skill to educators, which helps them to execute their duties in an expert way.

6.4.1.2 Theory of Quality Education

Quality education is the acceptable level or standard of schooling or teaching. The manner in which educational quality can be achieved cannot be generalised. The drive for “education for all” provides a broad theoretical and realistic indication of issues of educational quality. In some schools, quality education can be achieved through the supply of well-supported and motivated teachers, while in other schools the political, economic and social context plays an important role in influencing what may be achieved in the educational outcomes. Given these circumstances, it is unlikely to

realise a single general theory of successful educational change. This means that despite the effort by individual teachers, the political and socio-economic factors have a significant influence on school performance. Having given the recognition to the political and the socio-economic factors for a successful educational change, it is critical that the focus is also redirected towards other aspects such as school buildings, school structures, reduced class sizes and new examinations and curricula, as well as the major responsibility of parents to help co-educate their children.

It was evident from the research study that the contexts in which the case schools operated had an impact on their school improvement. In other words, the creation of an environment that is conducive for teaching and learning is crucial to the provision of quality education to the learners. School E in the study falls into this category. The disadvantaged case schools located in neighbourhoods where there was extreme poverty and racial segregation (farm areas and squatter camps), or the schools that are classified as quintile 1 in the study were a typical example. Truly disadvantaged schools can be organised for improvement. They face a tough task, but even so, it is still possible to work for change in these disadvantaged schools. This is reflected in the study where Schools A and B, although located in the same vicinity, perform differently. The same applies to Schools C and D.

In order for the disadvantaged schools to improve, they require vigorous efforts to ensure that they are organised for improvement. While the development of teachers alone does not necessarily result in improved learner performance, the effectiveness of a school confirms the importance of teachers. In many instances, teachers highlight learners' problems as if learners are the problem, whereas it is actually the role of schools to reduce these problems. Teacher interventions at a school level are crucial because teachers are the ones who perform the teaching act and, as such, are the ones who put into place the end results of many policies. In addition to this, teachers are the ones who interpret these policies, and who are alone with the learners in the classrooms during their hours of schooling.

The communities of truly disadvantaged schools have the highest percentages of unemployed people, and they are most likely to live in public housing. Schools A, B, C, and D were a typical example of this. Truly disadvantaged schools are more likely

to stagnate in maths and in reading than those schools which are better off or racially-integrated. This is reflected in the survey captured by the researcher, where School E, which is situated in an urban area, excels in Literacy and Mathematics (LITNUM) while the other schools, Schools A and B from a rural farm area and Schools C and D from a township area, find it difficult to cope with the demands of these two learning areas. Clearly, the social context of a school has a real impact on educational outcomes. Even so, and despite tremendous obstacles, it is possible for a handful of truly disadvantaged schools to improve, as was the case for Schools B and D. However, the small group of truly disadvantaged schools that “beat the odds” and improve will still show that community context matters, though only to a certain extent, in that it affects the likelihood of developing certain organisational structures that are vital for improvement. In a nutshell, the study showed that only the very well-organised schools showed improvement with the implementation of IQMS (School E), while the poorly organised schools declined (Schools C and D).

6.4.2 Summary of empirical research

The findings of this research study reflected the following constraints and challenges faced by schools in the process of implementing the IQMS policy:

- **Poor planning and problem-solving skills.** The Department of Education expects schools to take care of the IQMS process during the third term. This is a very short period of time, which causes the process to become problematic for teachers who are sometimes unable to meet the submission deadlines.
- **Poor networking and communication skills.** There is a lack of principles of democracy such as consultation and transparency in the IQMS process. Teachers are not involved in the planning of it, which makes it difficult for them to suggest ways as to how the process could be better structured, such as spreading it out throughout the year, beginning in the first term.
- **Lack of different instructional techniques.** The study has shown that teachers were trained in IQMS without the use of a variety of training methods or practical exercises on how to effectively implement the IQMS policy and, as a result, were left unsure of the process.
- **The inability to clearly articulate the knowledge acquired from trainings.** The study has also shown that even the trained teachers find it difficult to

implement the IQMS policy, which shows that teachers were not given enough practice time to acquaint themselves with the process.

- **An incapacity to help teachers align their classroom goals with the school's vision.** Based on the interviews held during the study, the fact emerged that some teachers are not even aware of their school's vision, which meant that their classrooms goals are not aligned to it.

Some of the participants in the study indicated that the failure in the effective implementation of IQMS at the schools lies with the department officials, who seem to be incompetent and in some instances, understaffed. As the principal of School B said: *“The fact that teachers assess themselves, it brings ineffectiveness on the system, I would advise that the Circuit Manager becomes actively involved in the process and also have a Subject Advisor who is a specialist on the system who will regularly interact with the teachers throughout the process.”* This stems from the fact that school principals are left with the task of organising internal training workshops for capacity building and empowerment, establishing network exercises with other schools and, to some extent, communicating with the school's stakeholders on issues pertaining to the implementation of the IQMS policy.

Regrettably, during the interviews held at the case schools under study, some of the participants went as far as to indicate that they do not have enough knowledge on the implementation of IQMS, even though they had been trained. It was also noted that in one of the schools under study, the educator who facilitates the IQMS, in other words, the IQMS co-ordinator, had never had IQMS training of any kind. Moreover, some educators stated that the problem was compounded by the fact that at their schools, IQMS is only done in the third term when they are supposed to submit the documents to the education department so that they can get their salary increment. This clearly shows that in some schools IQMS is not implemented for its real purpose, which is development, and is therefore viewed as time-wasting and as something to be done for formality reasons only, if not for the salary increment. Surely, the IQMS policy cannot be effectively implemented if educators, SDTs, SMTs and school principals are not properly trained and supported so as to have a sense of ownership of the process. That is to say, all the school's stakeholders involved in the IQMS process must be

empowered so that they can have the power/energy and authority to execute their responsibilities accordingly.

Interesting findings of this study related to the contribution of knowledge are attributed to the opportunity given to the inclusion of the parent component in the SDT. Due to the lack of mutually beneficial working relationships amongst the schools' stakeholders, a proposed change in the structural composition of the SDT had been brought to the fore. In this regard, two critical findings which add to knowledge contribution are noticeable from the current composition of the SDT, i.e. the inclusion of the parent component and Senior Education Specialist (SES) to the SDT. It was discovered that the current teacher-based SDTs entailed sporadic execution of the IQMS policy. This rule of excluding the other stakeholders in the composition of the SDT creates a feeling of ignorance and lack of confidence, especially with relation to including the parent component in the composition of the SDT. In addition, it limits parents' collaboration and interaction with staff (i.e. educators) and the district officials in the pursuit of knowledge.

In order to achieve effective implementation of IQMS, the SDT and district officials will have to find common ground regarding their working relationship. For this reason, the inclusion of SES and the parent component in the composition of the SDT has been suggested. Collaboration permits individuals to work together and share ideas, views and opinions. Thus, an effective implementation of IQMS can be realised as a result of this co-operation. This has seen to be the case in the United Kingdom, particularly in England, as reflected in Chapter 3 of this study, whereby Local Education Authorities (LEAs) have been given the power by the Department of Education and Employment (DEE) to manage and run schools. These LEAs were considered in the UK in order to develop strategies for school improvements, while the Office for Standards in Education (Ofsted) is responsible for inspection and assisting LEAs with relevant strategies for school improvement (Mphahlele, 2018: 40). This means that LEAs were created to liaise between the schools and Ofsted so that the report compiled by Ofsted on the state of the school is acted upon. In this regard, the LEA inspectors are a source of support to the principal and senior management so that the implementation of the action plans can be monitored and support provided where needed.

An analysis of the academic performance of learners in the case schools under study (Table 1.1) confirmed what the study has been deliberating throughout: that *the academic performance of learners in some schools in the Western Cape province is poor*. This suggests that some participants (i.e. teachers) do not have the necessary skills, knowledge and experience to provide quality education for learners at their respective schools in the Western Cape province.

The most critical factor contributing to the academic success of learners is the hard work and commitment of teachers, as well as the manner in which they are managed, monitored and supervised by their leadership. It is against this background that the introduction of the Integrated Quality Management System was grounded, in order to have a positive effect. This is because IQMS encourages teachers to do more and to go the extra mile in terms of their lesson preparation and the delivery of their lessons to the learners in class. On the one hand, IQMS addresses the problems of the previous educator monitoring and appraisal system. On the other hand, it creates new problems and tensions, particularly in respect of the conceptual understanding of educators, their status, work and what needs to be done to improve teaching practices. Therefore, in order to avoid the tensions that might be created at a school due to IQMS implementation, it is important that the school builds the professional capacity of its teachers and principals; as well as develops and implements systemic and systematic processes that positively impact the teaching and learning in every classroom. This includes planning, developing and implementing programmes that prepare learners for the next phase of life, which is their life after their schooling careers have ended, or their lives when entering the world of work once they have completed their schooling.

The study has shown that in order for IQMS to be effective it should not be implemented outside of specific contexts and circumstances, such as expecting educators to act as autonomous professionals and then using the appraisal system based on comparative standardised criteria of performance. This is because asking senior management and colleagues to act as both evaluators and advisors at the same time might lead to a point whereby educators are tempted to use the instrument for the sole purpose of securing rewards. In order to avoid such a dilemma, senior school managers and heads of departments should promote a genuine dialogue with

educators in a collegial climate. This could be done either through frequent classroom visits, so as to hold authentic conversations with educators and to provide regular constructive developmental feedback, or by focusing not only on individual educators but rather on the work of educator teams or curriculum units, to search together for new ideas and practices for educator and school-wide improvement.

The study has also shown that it is absolutely critical for the District to have a logical way of assessing the management and basic functionality of schools. The Districts, through the Senior Education Specialists (SESs), should provide the schools with the information the schools need in order to see if the goal of quality education delivery through the Integrated Quality Management System is reachable. In addition, the national Department of Education should also monitor schools directly in order to check whether improvement does or does not happen. In this respect, the Districts should be carrying a lot of responsibility. For example, the District should monitor whether schools do comply with the IQMS policy in its implementation and, of course, monitor compliance with regards to the other various legislations of the department. The problem may be that the District Offices might not have enough staff or that the existing personnel do not have all the requisite skills. As a result, the District might not be able to provide the quantity and the quality of support that schools need or might fail to do all the monitoring as expected.

Against this background, it is important that all the schools' stakeholders should partake in the process of implementing the IQMS. The parents on the SGB, as stakeholders, should be aware of what the District Office requires of the school and what support the district can give to the school. After all, the schools' stakeholders should be able to see when the school is improving. They should be made aware of the number of annual visits to the schools by the district officials, especially the SESs, and should also be made aware of the ratings that the school principals get during their IQMS evaluations. There is a close relationship between school leadership and school improvement and the scores of the school principals should be an important measure of how well the school is doing. If a school principal is not doing well in his/her IQMS evaluation, then it means that his/her leadership is unsatisfactory and will not produce the expected school improvement.

The findings of this research study also suggest that there is a strong correlation between poor IQMS implementation and poor learner performance. This calls for the Department of Education to monitor the IQMS implementation process very closely, which might also prevent cheating of the process by some schools. Much evidence suggests that proper learning requires functional schools, or schools that provide an enabling environment for teachers. Even the best teachers will find it difficult to do a good job if the school does not have a timetable, their colleagues arrive late, there are no regular meetings between teachers or between their respective departments, and there are no regular meetings with parents. At the heart of a functional school lies a good school principal. The policy on what a functional school is, is captured within the Whole School Evaluation (WSE) programme and the roles of school principals are defined within the agreements concluded in the Education Labour Relations Council (ELRC).

It is widely acknowledged that the policy that defines a functional school and the strategies on how to improve school functionality and the construction of the capacity of school principals, require considerable fine-tuning. In this respect, there is a need to revisit the process of appointing school principals as this seems to impact on the implementation of IQMS. In the appointment process of school principals, the questions to be looked at critically are “who gets appointed?” and “why?” For potential candidates, it is critically important that issues such as longevity in the service; the short-term and long-term vision for the school and knowledge of IQMS are considered. This point provides one local perspective on the complexities of implementing a change agenda in quality education provision.

It should be borne in mind that a school where learners learn and there is a sense of harmony is often a school with an outstanding school principal. Although there are many such principals in the schooling system, there are also many who need support and training in order to do their jobs properly. For good management and leadership, some basic building blocks must first be put in place. The school should have policies, resources (i.e. finance and learner-teacher support material) and infrastructure (school buildings such as classrooms and laboratories) and school grounds (playing grounds and playing fields for sporting activities). These things on their own are not sufficient, but if they are not in place it becomes much more difficult to create a functional school

environment. This study has shown that these basic building blocks do not exist in all schools.

As much as IQMS is not a punitive measure towards the underperforming schools and/or teachers, it is necessary to take some drastic corrective measures for those schools and teachers who tend to negate the efforts made by the SDT and the District Office to improve their performances. After engaging an underperformer into a series of rehabilitation programs, that particular individual should start to demonstrate signs of performance improvement that will lead to the provision of quality education to the learners. In order to meet such an obligation, schools and teachers will have to be capable, efficient and committed when executing their duties. With this in mind, the researcher has suggested the signing of performance contract. In this regard, each teacher will be held to a performance contract and will have to be closely monitored against specific outcomes. This means that the implementation of IQMS should place a considerable responsibility on individual teachers, thereby raising the level of expectations for improved performance. Where the IQMS implementation is unsatisfactory, action will have to be taken. Every teacher at the school should be able to demonstrate that they have the knowledge and willpower to change the lives of their learners for the better. Learners, parents and the District Office cannot afford the unsatisfactory work which results from desperately poor planning skills, incompetence and unreal accountability on the part of the teachers, and the perpetual passing of low-grade earning learners in the education sector. A school is a public institution and educators are public servants; therefore, both the school (as a public institution) and the educators (as workers at the school) are accountable to the public.

The researcher has suggested the involvement of the non-teaching staff or parent component in the SDT. Such a move would enhance transparency in the teacher evaluation process. In the evaluation process, the SDT must measure the performance of educators against the outcomes stipulated in their performance contract. In order to do this, the performance contracts of an educator should be developed with the real and urgent needs of South Africans in mind, and in accordance with the school's vision. The educator performance contract ought to include the following:

- (i) Proper compliance with the IQMS policy manual, i.e.
 - making sure that the deadlines that the department has set are met,
 - setting up the IQMS structures timeously,
 - ensuring that school heads undertake the rigorous planning and capacity-building necessary to comply with the education norms and standards, and
 - planning well in advance to ensure that the school as public institution fulfils its mandate.
- (ii) A measurable and radical improvement in early grades in literacy. This will enable the learners to cope with the educational demands at secondary and tertiary learning institutions.
- (iii) Substantive engagement with civil society at regular intervals. The involvement of the civil society will enable the school to redirect its effort and focus on what is needed by the public, i.e. the type of quality education they require.

The right to education is not realised when learners continue to obtain 30% or less, on the Annual Systemic Tests as reflected in the study. Educators are the custodian of the right to basic education and they have a legal obligation to realise that right in its entirety. A failure to do so means they do not deserve to be kept in the system as educators. However, it must be pointed out that educators do need support, and this could be done through the provision of material resources or through the acquisition of knowledge and skills in the training workshops that are being provided by the education department or by the school. Educators must be assisted in the execution of their duties so that they can give substance to the definition of the right to education, but those who continue to underperform dismally despite numerous attempts to assist them must face the consequences, i.e. only those who show signs of producing a measurable improvement to the standard of education provided to learners must be endured. It is the responsibility of the Department of Education to ensure the measurable improvement to the standard of education provided by educators to the learners.

The major revelation of the study is that currently, most South African educators, if not all, seem to enjoy the 1% salary increment from the IQMS. This 1% salary increment includes even those educators who perform badly, despite the fact that the IQMS salary increment is meant only for those educators whose level of performance is

acceptable and satisfactory. Therefore, the researcher suggests a transparent and honest teacher evaluation process. In this regard, a similar approach tantamount to that of Botswana and Zimbabwe should be envisaged. In Botswana the emphasis is on the need to subject teachers to assessment both annually, and continuously throughout the year, in order to determine whether they are eligible for annual increment and/or promotion from one salary bar to another along the extended scale to the maximum salary point, or to a higher post of responsibility (Monyatsi, Steyn and Kamper, 2006). Similarly, in Zimbabwe the IQMS implementation process runs throughout the year and the fulfilment of the appraisal activities take place as the teacher teaches his/her class. The appraisal plans are conducted during the course of the year at specified times, i.e. March, June, September and October, in accordance with the Zimbabwean school system (Machingambi, (2013). Unlike Botswana and Zimbabwe, in South Africa IQMS begins in the third term, hence there is not enough time to facilitate the appraisal system in a proper manner because, by then, teachers are gearing up for the end-of-year exams.

In South Africa a framework that is relevant for teacher evaluation in the IQMS should be based on the collaboration of all the school's stakeholders. Such a model calls for the inclusion of the parent and learner components in the SDT, and its programs should be continuous, i.e. spread and/or run throughout the year. By so doing, all the schools' stakeholders get the opportunity to have some inputs in the kind of performances displayed by educators, and such a structure can be relevant for all schools, not only in the Western Cape province, but across South Africa.

6.5 RECOMMENDATIONS

Analysis of the data has led to the conclusion that signifies the necessity of addressing several factors in order to streamline IQMS in the case schools. As a matter of fact, and as displayed in the learners' achievements in the systemic test evaluations, the implementation of IQMS is currently entangled with a multitude of challenges, which includes the poor quality of education delivery. One of the means of promoting the effective implementation of IQMS and quality education is collaboration of the SDT, through which parents and department officials are actively involved in the IQMS

processes. The following sub-question 6 is answered by the recommendations stated below it.

Sub-question 6: Which framework or model or strategies can be recommended for improving the processes for IQMS implementation in primary schools in the Western Cape?

The analysis of data regarding the implementation of IQMS in the case schools under study has led to recommendations, which may have practical and theoretical contributions. These recommendations have been abridged by the proposed strategy on the following page in Figure 6.1.

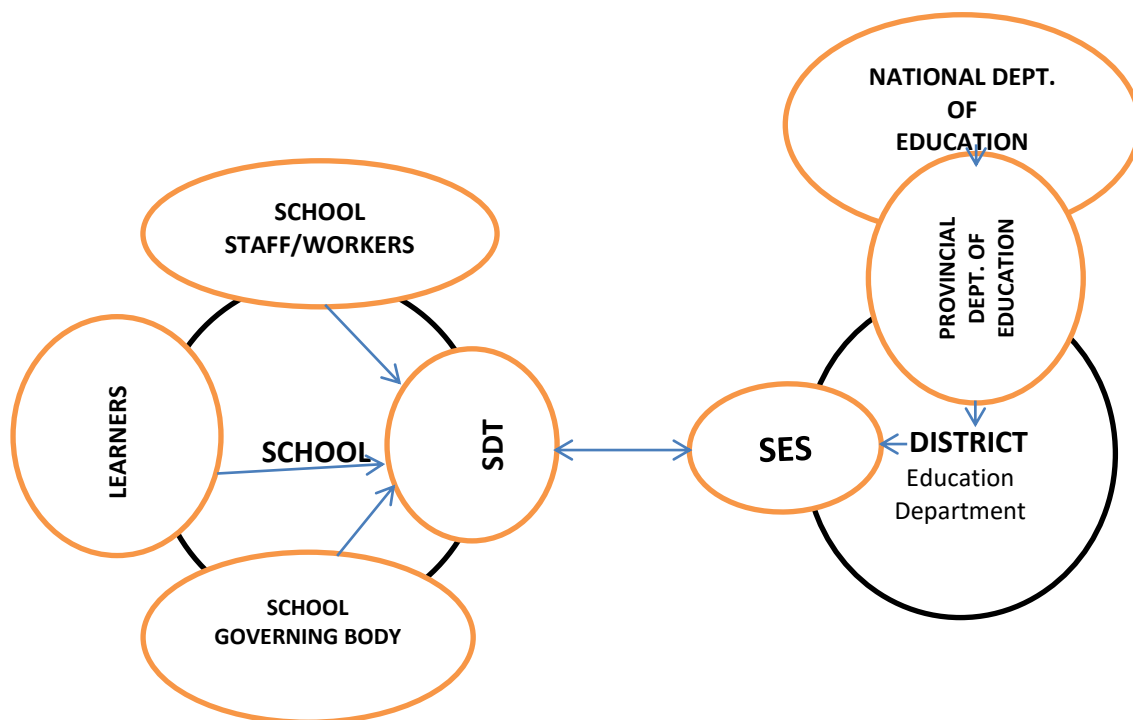


Figure 6.1: Recommended Strategy for effective implementation of IQMS at primary schools.

1. The study revealed that in South Africa there are important differentials with regard to school context and organisation, as schools are categorised into quintiles and sections (either section 20 or 21). These differentials should be taken into account by the Department of Education (i.e. by national, provincial and district offices) when interventions for school improvement are planned, because a single approach to school and classroom improvement is not likely to meet the needs of different contexts. As a typical example, during the investigation, the principal of

School A had said: *“I am really concerned, my school is not performing well, but you cannot compare apples with pears... How can you compare a school with all the resources with such a school with such limited resources?”*

Therefore, it is recommended that:

- The Ministry of Education should employ the above designed model by collaborating it with the current prevailing model of teacher performance measurement, in a way that benefits everyone.
 - The school should create an environment that is conducive to the enhancement of teaching and learning, i.e. a safe and well-organised teaching environment featuring dedication and commitment.
 - The school should also bring a sense of authority and instil a culture of discipline and concern amongst the school’s stakeholders.
2. The study revealed features which were not as predominant, including governance and community relationships; parental involvement and relationships with education departments. Hence, the researcher recommend that IQMS should be designed in a manner that dictates active engagement of all schools’ stakeholders where parents and department officials can be collaborated into the SDT composition. Parents should be given ample time to take part in school development matters and look for solutions to the challenges that the schools are facing.
 3. Fulfilling mandates and the national development role bestowed to schools should be addressed through training workshops organised by the education department. Despite its importance, as identified by this study, the schools’ efforts to organise internal workshops were weak. As a result, a reluctance on the part of teachers to implement IQMS was reported and was common in the underperforming schools. This is partly due to an inability to implement the IQMS policy, set common goals and develop appropriate plans.

The researcher recommends that:

- (a) Schools should seek to mobilise external organisations with an interest in IQMS implementation to present training workshops at the school.

- (b) Schools should capacitate every individual at the school so that they can actively participate in the IQMS processes.
- (c) Schools should disseminate IQMS information and distribute the IQMS manual to all teachers so that they can have all the necessary information at their disposal.
4. The findings of the study revealed that a lack of knowledge was a hindrance to active participation in the IQMS process, as it resulted in teachers often feeling dissatisfied with their scores and disputing the evaluation process.
5. The study revealed that the continuity and effectiveness of an IQMS programme is highly dependent upon monitoring and comprehensive evaluation. The commitment of SDTs and DSGs at the school is instrumental to the effective implementation of IQMS. In this regard, both SDTs and DSGs should have adequate knowledge and a good understanding of IQMS implementation.
6. Effective implementation of IQMS would be enhanced by a reciprocal working relationship between schools, parents or the community and the District Office or Department of Education. Hence, the researcher has suggested the above model (see Fig. 6.1) for a mutually beneficial working relationship among the schools' various stakeholders. Since the research study was not meant to be exhaustive, but rather had the aim of bringing the major issues pertinent to the research as a whole to light, the researcher also identified the following features for success during the general school observation:
- There is a strong belief among the participants that disadvantages can be overcome.
 - Some schools are in a depressed and deprived environment.
 - Adequate subject knowledge of teachers is the key to teaching and learning.
 - Commitment, hard work and discipline are important.
 - A positive attitude on the part of the principal, head/s of department, teachers and learners plays a significant role in the process.
7. The educators' reactions to the 1% salary increment, in relation to the IQMS, shows that there is a need to reconceptualise performance management in education. Its

link to salary progression has adverse effects on quality education. For example, the emphasis on salary progression when the IQMS was introduced has compromised its key objective of improving the quality of education. The study has shown that the schools' data on performance bears no relation to learner performance. Schools tend to rate themselves highly in order for them to get the salary increment. As a typical example, not one of the teachers from the five schools under study were denied the 1% salary increment because of poor performance, despite the fact that some of these schools are performing extremely poorly. This shows that something is wrong within the appraisal system at the school level as there could be no justification for such rewards to teachers in those schools.

8. The study also indicated the existence of a dilemma where district personnel are unable to monitor schools and verify data. In this regard, the department officials are unable to identify those schools which need "immediate" intervention. The reason for this could be that there is a lack of human resources in the District Offices with the necessary expertise. Policies are established and then dropped into schools, but nobody is monitoring their implementation. Surely, this equates to putting people into positions where nobody is watching them, which leads to a lack of accountability. In such instances, the levels of commitment and preparedness by teachers in executing their duties will never be guaranteed. In a nutshell, educators are being not nurtured by the District. Therefore, close supervision of schools by the department is recommended and it is envisaged that SES can be a possible solution in this score.
9. The study showed the need to restructure the role functions and responsibilities of the SDT for the effective implementation of IQMS at the schools. The structure and composition of the SDT in all the five case schools included the principal, SMT members and post level 1 educators. Every school appointed one educator to be the co-ordinator of the IQMS. The co-ordinator is the IQMS facilitator, whose main responsibility is to make sure that the IQMS policy is implemented at his/her own school (Republic of South Africa - ELRC, 2003). In principle, the co-ordinator is supposed to ensure the following: meetings for the school development are taking place; SDT minutes are available; there is a class-visit programme for lesson

observations; and teachers are assisted on issues of planning and assessment whenever there is a need or a request of that nature. Unfortunately, this does not always happen.

The following are therefore recommended:

- The process of ensuring that the above has taken place can be done by checking minutes of the School Development Team, as well as the tools used for teacher visits. However, this might not be enough as cheating can still occur in some schools. Therefore, in this instance, the role of the SES will be to guard against such movements through regular visits to the schools.
- There should be early identification of the challenges encountered by the schools when implementing the IQMS. It is also important to note that in some of the schools under study, particularly Schools B, C and D, it was unclear as to which processes and techniques are used in the performance measurement and appraisals. It was also unclear which measures are used for monitoring and evaluating the processes for the IQMS implementation, as well as who the facilitators of the processes are (see Appendix C question numbers 12 & 13). In such a scenario it will always be difficult to detect the kinds of challenges the schools are encountering for the effective implementation of IQMS. It will also always be difficult to identify the capacity of the support required for improving the IQMS implementation in those schools. These, according to the researcher, are some of the challenges in addition to the real challenges that the schools are encountering in effectively implementing the IQMS policy.

10. The study brought to light the disparities that exist between internal and external evaluations, i.e. the internal evaluation which is facilitated by the school staff and the external evaluation which is facilitated by outsiders like the District Office or people who are not from within the school.

In this regard, the researcher recommends the employment of both evaluations as follows:

- In order to achieve an effective implementation of IQMS, the SDT and the district officials will have to strike a balance in terms of their working relationship. For

example, the District Office will have to deploy a Senior Education Specialist (SES) at the school who will visit the schools on a regular basis.

- More importantly, the SES, in conjunction with the IQMS co-ordinator, will have to make sure that the SDT holds regular meetings at the school. These meetings must have been planned the previous year for the current year and must also be included in the year plan of the school.
- During every visit, the SES will have to check the minutes of the SDT as well as the tools used during class visit observations. It will be imperative for the SES to draft a visitation programme to the school so that teachers are made aware of the dates of his/her visit. After every visit, the SES must give feedback to the school explaining what transpired during the visitation and make future suggestion if needs be.

11. The study discovered that the handling of educator disputes in the evaluation process is another means of facilitating the process of IQMS. The evaluation of teachers often creates problems and tensions amongst them, especially when it comes to the scoring of the appraisee. In the study it became apparent that these problems often result from disagreements on the scores between the appraiser and the appraisee. Therefore, disputes that arise in the IQMS process are normally referred to the grievance committee to deal with. The school grievance committee should consist of the following members (Republic of South Africa - ELRC, 2003):

- The school principal, as the chairperson.
- Two other members of the SMT.
- One representative of a union, who is admitted at ELRC and has members at the school.
- Where necessary, a principal from a nearby school can be requested

Any dispute that remains unresolved after the attempts of the school grievance committee should be referred to the District grievance committee which has the obligation to resolve any kind of a dispute. In resolving a dispute, the District grievance committee must consult the IQMS manual and request evidence of what the complainant is disputing in attempting to prove his or her case, and the end result of this process is a win or lose situation. The researcher therefore recommends that in every evaluation process, the IQMS manuals should be consulted, especially the

performance indicators as they indicate what score should be allocated to a particular performance. The researcher believes that if the IQMS manual is used in the process, the possibility of any disagreements would be avoided.

6.5.1 Application of the theoretical framework

In Chapter 1, the researcher discussed three theories, i.e. information theory, critical theory and system theory (refer 1.10). The study was guided by system theory, which was found to be the most relevant of the three theories to the study. As indicated under “Recommendations” (Section 6.3), system theory is an administrative theory in management that treats an organisation either as an open system influenced by outside forces, or as a closed system with no influence from outside forces. In the study, the researcher discussed schools as open systems directed by the economic drive in their respective countries. The challenges a country faces call for a reaction from social organisations, such as learning institutions, in an attempt to address these challenges. Schools are implementing the IQMS as a result of the social demands that necessitated changes in previous management systems and which resulted in the current system (IQMS) as a system that can adapt, respond to events and seek goals for an improved economy. System theory acknowledges that information holds systems together and plays an important role in determining how they operate. As suggested in the proposed model (Figure 6.1), the collaboration of all the school’s stakeholders, as a series of sub-systems into the SDT (as one of the structures within a system, i.e. the school), can be a possible strategy which would allow for the effective implementation of IQMS.

6.5.2 Suggestion and concluding remarks

In South Africa, schools conduct self-evaluation, which is often interpreted to mean school management. The self-evaluation process is typically a top-down process within a school. In order to achieve an effective implementation of the IQMS, on the one hand, some educators suggest that a radical model of bottom-up would best suit any school as it will be carried out by teachers who are not in positions of school management. On the other hand, other educators suggest that a less risky and more realistic approach could be that the self-evaluation process be undertaken by a team, perhaps a self-evaluation group (SEG), consisting of personnel drawn from a range of

volunteers within the school. Ideally, this would comprise of teachers, support staff and parents.

Of course, the IQMS should place high levels of accountability on educators to comply with performance agreements and targets. The researcher maintains that instead of forming a new committee such as the SEG, as suggested by some educators, it would be better to strengthen the SDT by including all stakeholders, i.e. the parent component and the non-teaching staff. As it was established in the investigation that both the top-down and the bottom-up models might encounter some obstacles in the process of IQMS implementation, it is suggested that the process rest on a horizontal flow of information models which incorporate mutual working relationships between the school's stakeholders, as opposed to a lateral model. In the horizontal approach, all parties will be at liberty to execute their duties freely and operate on an equal level, without fear of superiority. This is because the education system is structured in a hierarchical fashion that is composed of super-ordinates (the District, Provincial and National officials) and subordinates (the school constituencies/community). Given their status core, it is generally accepted that the super-ordinates might have an upper hand, armed with more information than anybody else at the school level.

It is important to note that the hierarchical model or approach to IQMS compromises the mutually beneficial working relationship between the various sections or parties of the education department, i.e. the school, the District and the National office. This is because, to be on a lower positional level does not mean having little information or inferior knowledge. Against this ethos, and through the horizontal flow of information, the Department of Education (particularly the District Office), through the Senior Education Specialist (SES), automatically becomes a critical friend of the school by meeting with the School Development Team (SDT) on a regular basis.

The researcher would therefore suggest that such meetings or school visits by the SES take place once a week so as to attend the SDT meetings and take part in the planning of IQMS. The researcher also suggests that an IQMS programme or plan should be created and spread out throughout the year, so as to ease the burden or pressure that is carried by teachers during the process of IQMS.

The researcher suggests that in the first planning meeting of the SDT, the meeting be structured as follows:

- **Planning the Evaluation**

Planning the evaluation provides a roadmap for every step of the process that follows. With full consideration of the IQMS conditions and resources, the planning of the evaluation process enables the school to pre-empt the direction it wishes to take, and ensures that there is adequate capacity for the school to embark on the process, with particular attention being paid to the appropriate ethical standards for success.

- **Determining What Matters**

Determining what matters consists of establishing the focus and content of self-evaluation, bearing in mind its purpose and context. By the end of this step, the SDT would have selected performance themes grounded in the school's context. It would also have reflected on the importance given to these themes by different stakeholders. For each of these themes or subjects, appropriate outcomes and conditions of schooling would have been identified at this stage, which means that the focus immediately shifts towards the next step.

- **Measuring What Matters**

In this step, attention is drawn to appropriate indicators and the means to produce them. By the end of this step, the SDT would have selected appropriate criteria or indicators for each of the outcomes and the conditions chosen, as well as realistic and practical means for collecting and analysing the data.

- **Data collection**

This step entails putting together the information required to produce the indicators chosen in the previous step. By the end of this step, the SDT would have identified and accessed appropriate sources of data using appropriate quantitative and qualitative methods of data collection.

- **Data analysis**

In this step, it is necessary for the SDT to set appropriate ground rules for analysing and interpreting the data. The data assessment and analysis involve assembling and understanding all the information gathered in the previous step.

- **Reporting the Results**

Reporting the results means organising and communicating the analysis completed in the previous step. By this stage, the SDT would have reviewed the process and assembled all the necessary elements for reporting to various sections or departments, for various purposes.

- **Results usage**

The final step includes using the results by acting on the findings which have been prepared for communication in the previous step. By the end of this step, the SDT would have developed action plans based on the results of the assessment.

The collaboration of teachers and the parent component or non-teaching staff in the SDT is only one model, and it is not suggested that all aspects of the work be undertaken by the SDT on its own. Rather, the team should work as facilitators and as a catalyst in the evaluation process. Once the framework, the baseline and the planning are in place, the team may change its function. A valuable lesson learnt from the international experience (i.e. England) is that self-evaluation requires ownership of the process, and its driving force and continued momentum should come from its purpose as formative rather than summative, its framework as supportive rather than oppressive, as an ongoing rather than a one-off audit, and as centred on what really matters to all the school's stakeholders (i.e. teachers, pupils and parents).

Having said the above, there is a provision of stakeholder involvement in England's education whereby parents and learners are asked questions related to their satisfaction with the overall quality of the school, its educational provision and school facilities (European Commission/EACEA/Eurydice, 2015). The parents may also be asked to express their opinion on the learners' workload, their safety, their study environment, the school climate and bullying. This exercise gives the school's stakeholders a perfect opportunity to make their own contributions and give input, so as to enable the school to be developed holistically. The system that is carried out in England after the collection and analysis of the data in the internal and external evaluation processes, i.e. the risk-assessment process, could also be relevant in South Africa. The risk-assessment process is a screening process whereby

underperforming schools are identified. This practice is done so as to focus the work of evaluators on those schools that are not performing as expected.

It is also important to note that the procedures for external evaluation in England put an obligation on schools to develop an action plan that specifically addresses the weaknesses identified (European Commission/EACEA/Eurydice, 2015). In this regard, resources are made available to schools in need. This support is also accompanied by a recommendation that low-performing schools twin-up with stronger ones. Besides the twinning of schools, the government also encourages schools to form clusters, so as to drive their own improvement.

6.6 LIMITATIONS OF THE STUDY

This research study was conducted in five case schools which showed varied academic performance and financial positions. These case schools are situated in different locations, i.e. one is located in an urban area, two in a semi-urban area or township, and the other two in a rural or farm area. In relation to the economic scenarios, three schools were located in disadvantaged communities or informal settlements (Schools A, C and D) and subsidised by the Department of Education. The other two schools (School B and E) are subsidised by the parents, although School B is in a rural area whilst School E is in an urban area. Although School B is located in the disadvantaged community, its learners are not from within that same community but are from the nearby areas. Hence, their parents can afford to pay the school fees. These variants were considered in the selection of cases with a view to elaborating on whether such factors have an effect on IQMS implementation, so that important lessons could be drawn.

Of course, schools located in urban areas have more of an opportunity to produce excellent academic results than those from rural or township areas. This is because urban schools have more manpower and better resources and facilities, which makes the jobs of their teachers easier. The study would have been more informant had more urban schools been included as cases to be examined, as important experiences could have been shared by these different-generation schools. Although data from the cases was collected from teachers at their respective schools, the involvement of department officials such as Subject Advisors and Circuit Managers would have

resulted in more inclusive data. This would also have given the researcher an idea of their level of engagement in terms of IQMS implementation at the schools.

6.7 FUTURE RESEARCH

The researcher has suggested that a reciprocal working relationship between all the school's stakeholders might be relevant in the South African education system when it comes to the effective implementation of IQMS. The researcher would therefore like to recommend that all future research be focused on the effect of the involvement of the parent component and district officials in the IQMS process as active members of the SDT. In this regard, the school principal would either be the reviewer for other teachers, or delegate this role in its entirety, while a department official would become a critical friend of the school by meeting with the School Development Team (SDT) on a regular basis. It might suffice for the principal to not retain elements of the process while delegating others, as s/he would assess and determine whether the standards for post threshold are met. This would mean that the teacher's line manager or HOD has to be given the first priority of being considered as a reviewer, because they are in a better position to do the job as they direct, manage and have a post responsibility for the area in which the review takes place.

It is recommended that future researchers identify what the role of the school principal would be if s/he decides not to be the reviewer of the IQMS process. Since the management of human resources takes place at the school level under the responsibility of the SGBs, future researchers should also look into the incompetence of individual teachers in accordance with the school's regulations. This is because the schools' governing bodies need to ensure that all reviewers, including the principal, receive appropriate training for their roles. The main principle in the IQMS should be that all reviewers should receive proper training for their roles, having availed themselves for both the evaluation and review processes.

In South Africa, the 1% salary increment that is being offered as a reward for good performance through the IQMS process drives teachers towards their own improvement. However, it is not enough. Hence, the researcher has suggested that the signing of contracts or performance agreements by teachers in the process of IQMS could be a possible remedy to enhance teachers' own improvement. It is the

researcher's belief that through the signing of contracts educators will commit themselves to their work which will enable them to put extra effort into what they do in order to achieve positive results of their learners.

6.8 SUMMARY OF THE CHAPTER

The summary is presented in direct relationship to the study's aims, its research questions and importance, and represents the study's contribution to knowledge.

It is hereby concluded that those schools using School Development Teams (SDTs) and Development Support Groups (DSGs) to effectively implement the IQMS policy will have the potential to improve quality education in their schools. This is more so considering that class visits and the approaches to IQMS implementation have been found to be directly linked to SDTs and DSGs through academic performance (quality education). The SDT that understands what IQMS is, is therefore able to influence quality education improvement, since it is conscious of its responsibilities.

The DSG that uses training workshops to capacitate the staff members and encourage them to use the IQMS manuals in their schools during teacher evaluations has the potential to effectively implement IQMS to improve quality education. Supervision, adequate resources, reasonable workloads and positive relations with stakeholders are thus a prerequisite in this process.

An SDT that is knowledgeable influences the improvement of quality education in schools in a positive way. Class visits and the relevant approaches for IQMS implementation are therefore a prerequisite if the SDTs in schools are to implement IQMS effectively. However, time constraints, work overload, inadequate resources and negative attitudes towards change are some of the factors that may inhibit the effective implementation of IQMS in an effort to improve quality education in schools.

Although the composition of SDTs in certain schools who participated in the study was found to be adequate, some participants felt the need for changes to be made to the SDT structure, such as the inclusion of department officials, e.g. Circuit Managers, Subject Advisors or Senior Education Specialists, so as to effectively implement the IQMS and, as a result, improve the quality of education in schools.

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APPENDICES:

APPENDIX A = WHOLE SCHOOL EVALUATION TEMPLATE FORM: WCED
(Western Cape Education Department - Metro North Education District)

Table 1

STAFF DEVELOPMENT TEAM LIST & CONTACT DETAILS			
School/ Learning Site			
School Principal			
School's phone number		School's fax number	
School's e-mail address			

REMEMBER: Every school has to elect an SDT. The **size*** of the SDT is determined by the size of the school. The **ROLE** and **DUTIES** are clearly outline in the collective Agreement 8 of 2003 (pages 11 & 12), but they are also included in this document.

Table 2

POST LEVEL	POSITION	NAME & SURNAME	CELL NUMBER	e-mail address
4	Principal			
3	SDT/WSE Co-ordinator			
2	CPTD CO-ordinator			
2	SMT member*			
2	SMT member*			
1	Post Level 1 educator*			
1	Post Level 1 educator*			
1	Post Level 1 educator*			

Table 3

The Staff Development Team was democratically elected:									
Date of election (yy/mm/dd)							Venue:		

Table 4

ROLES AND RESPONSIBILITIES OF SDT MEMBERS		SDT MEMBERS								
<p>NOTE: The tasks are the ones as listed in ELRC Collective Agreement 8 of 2003. At no. 11, a slight modification has been made to cover the Educator Development Needs as per the current practice. *The number of SMT and PL1 educators will vary depending on the number of educators at the school. Indicate the responsibility with a √.</p>		Principal	WSE Coordinator	SMT Member	SMT Member*	SMT Member*	PL 1 Educator	PL 1 Educator*	PL 1 Educator*	PL 1 Educator*
No	TASKS									
1	Ensures training of all educators on procedures and processes of IQMS: Performance Measurement)									
2	Co-ordinates staff development activities									
3	Prepares and monitors Management Plan for IQMS									
4	Facilitates and gives guidance on how DSGs have to be established									
5	Prepares a financial schedule of DSG members									
6	Links Developmental Appraisal (DA) & Continuous Professional Teacher Development (CPTD) to School Improvement Plan (SIP)									
7	Administers Continuing Professional Teacher Development									

8	Liases with department via SMT, in respect to high priority needs such as In-service Training, short courses, skills programmes of learnerships																		
9	Monitors effectiveness of IQMS and reports to the relevant persons																		
10	Ensures that all records and documentation of IQMS are maintained																		
11	Oversees mentoring and support by DSGs																		
12	Together with the SMT, complies the Educator Improvement Plan, Staff Development Programme & School Improvement Plan																		
13	Co-ordinates ongoing support provided during the two developmental cycles each year																		
14	Completes the necessary documentation for Performance Measurement (for pay or grade progression), signs off on these to assure fairness and accuracy and submits the necessary documentation in good time to the Principals																		
15	Deals with differences between appraises and their DSG in order to resolve differences																		
16	Provides all necessary documentation (e.g. SIPs) to the Principal for submission to the Regional/ District? Area Manager in good time																		
17	Co-ordinates the School Self-evaluation processes																		
18	Liases with the external WSE Team and SMT to co-ordinate and manage the cyclical external WSE process																		

19	Ensures that the IQMS is applied consistently									
20	Nominates Educator for National Teaching Awards (NTA)									

APPENDIX B: QUESTIONNAIRE FORMS (Questions and Responses)

SCHOOL = A

NB: Put a cross/es (x) where applicable in the small boxes provided.

1. In what area or location is your school situated, and in which Education District?
 Rural or farm area
 Township or semi-urban area
 Urban area
 Metropole East Education District
 Metropole North Education District
2. Are the parents of the learners working?
 Yes, most of them working
 No, the majority of them not working
3. Does the school have a feeding scheme?
 Yes
 No
4. Who is subsidizing the school?
 Parents
 Education Department
 Parent and Education Department
5. How big is your school?
 - The number of learners are:
 Between 1 and 500
 Between 500 and 1000
 1000 and above
 - The teacher - learner ratio in class?
 Between 1:20 and 1:25
 Between 1:26 and 1:37
 1:38 and above
6. How would you rate your colleagues' level of experience in their teaching profession?
 Between 1 year and 5 years
 Between 6 years and 15 years
 16 years and above
7. Has the School already started with the process of Integrated Quality Management System?
 Yes
 No
8. Are all the teachers at your school trained on IQMS?
 Yes
 No
9. Are the IQMS training continuing, or was a once-off thing?

- Yes, continuing.
 No, once off thing.
10. Who offered, or offering, the IQMS training at your school?
 The school
 The District Education Department
11. Does the school have an SDT committee?
 Yes
 No
12. Does the composition of the SDT at your school include all Phases?
 Yes
 No
13. Are there any problems regarding the implementation of IQMS at the school, if Yes - what kinds of challenges are encountered for effective implementation of IQMS at your school?
 Yes
 No
 If Yes specify
14. What kind of capacity and support is required to effectively mitigate the challenges encountered by the school in the implementation of IQMS?
 - *Training workshops.*
15. Is the School able to solve the challenges experienced in the process of implementing the IQMS?
 Yes
 No
16. How appropriate are the measures in place for improving the IQMS implementation processes in your school?
 Effective
 Ineffective
17. Looking at the impact that IQMS is imposing to your school which framework (or model or strategies) can be recommended for improving the processes for IQMS implementation?
 – *IQMS has to be started at least by February every year to ease the pressure of wanting to meet the submission due dates.*

SCHOOL = B

NB: Put a cross/es (x) where applicable in the small boxes provided.

1. In what area or location is your school situated, and in which Education District?
 - Rural or farm area
 - Township or semi-urban area
 - Urban area
 - Metropole East Education District
 - Metropole North Education District
2. Are the parents of the learners working?
 - Yes, most of them working
 - No, the majority of them not working
3. Does the school have a feeding scheme?
 - Yes
 - No
4. Who is subsidizing the school?
 - Parents
 - Education Department
 - Parent and Education Department
5. How big is your school?
 - The number of learners are:
 - Between 1 and 500
 - Between 500 and 1000
 - 1000 and above
 - The teacher - learner ratio in class?
 - Between 1:20 and 1:25
 - Between 1:26 and 1:37
 - 1:38 and above
6. How would you rate your colleagues' level of experience in their teaching profession?
 - Between 1 year and 5 years
 - Between 6 years and 15 years
 - 16 years and above
7. Has the School already started with the process of Integrated Quality Management System?
 - Yes
 - No
8. Are all the teachers at your school trained on IQMS?
 - Yes
 - No
9. Are the IQMS training continuing, or was a once-off thing?
 - Yes, continuing.
 - No, once off thing.

10. Who offered, or offering, the IQMS training at your school?
 The school
 The District Education Department
11. Does the school have an SDT committee?
 Yes
 No
12. Does the composition of the SDT at your school include all Phases?
 Yes
 No
13. Are there any problems regarding the implementation of IQMS at the school, if Yes - what kinds of challenges are encountered for effective implementation of IQMS at your school?
 Yes
 No
 If Yes specify
14. What kind of capacity and support is required to effectively mitigate the challenges encountered by the school in the implementation of IQMS?
 - *We need training workshops*
15. Is the School able to solve the challenges experienced in the process of implementing the IQMS?
 Yes
 No
16. How appropriate are the measures in place for improving the IQMS implementation processes in your school?
 Effective
 Ineffective
17. Looking at the impact that IQMS is imposing to your school which framework (or model or strategies) can be recommended for improving the processes for IQMS implementation?
 - *My recommendation is that IQMS must be started in the first term and be closely supervised by the District office official to avoid cheating of the process.*

SCHOOL = C

NB: Put a cross/es (x) where applicable in the small boxes provided.

1. In what area or location is your school situated, and in which Education District?
 Rural or farm area
 Township or semi-urban area
 Urban area
 Metropole East Education District
 Metropole North Education District
2. Are the parents of the learners working?
 Yes, most of them working
 No, the majority of them not working
3. Does the school have a feeding scheme?
 Yes
 No
4. Who is subsidizing the school?
 Parents
 Education Department
 Parent and Education Department
5. How big is your school?
 - The number of learners are:
 Between 1 and 500
 Between 500 and 1000
 1000 and above
 - The teacher - learner ratio in class?
 Between 1:20 and 1:25
 Between 1:26 and 1:37
 1:38 and above
6. How would you rate your colleagues' level of experience in their teaching profession?
 Between 1 year and 5 years
 Between 6 years and 15 years
 16 years and above
7. Has the School already started with the process of Integrated Quality Management System?
 Yes
 No
8. Are all the teachers at your school trained on IQMS?
 Yes
 No
9. Are the IQMS training continuing, or was a once-off thing?
 Yes, continuing.
 No, once off thing.

10. Who offered, or offering, the IQMS training at your school?
- The school
- The District Education Department
11. Does the school have an SDT committee?
- Yes
- No
12. Does the composition of the SDT at your school include all Phases?
- Yes
- No
13. Are there any problems regarding the implementation of IQMS at the school, if Yes - what kinds of challenges are encountered for effective implementation of IQMS at your school?
- Yes
- No
- If Yes specify
14. What kind of capacity and support is required to effectively mitigate the challenges encountered by the school in the implementation of IQMS?
- *An on-going training workshops for all teachers is required.*
15. Is the School able to solve the challenges experienced in the process of implementing the IQMS?
- Yes
- No
16. How appropriate are the measures in place for improving the IQMS implementation processes in your school?
- Effective
- Ineffective
17. Looking at the impact that IQMS is imposing to your school which framework (or model or strategies) can be recommended for improving the processes for IQMS implementation?
- *More training workshops on IQMS are necessary for schools*

SCHOOL = D

NB: Put a cross/es (x) where applicable in the small boxes provided.

1. In what area or location is your school situated, and in which Education District?
 Rural or farm area
 Township or semi-urban area
 Urban area
 Metropole East Education District
 Metropole North Education District
2. Are the parents of the learners working?
 Yes, most of them working
 No, the majority of them not working
3. Does the school have a feeding scheme?
 Yes
 No
4. Who is subsidizing the school?
 Parents
 Education Department
 Parent and Education Department
5. How big is your school?
 - The number of learners are:
 Between 1 and 500
 Between 500 and 1000
 1000 and above
 - The teacher - learner ratio in class?
 Between 1:20 and 1:25
 Between 1:26 and 1:37
 1:38 and above
6. How would you rate your colleagues' level of experience in their teaching profession?
 Between 1 year and 5 years
 Between 6 years and 15 years
 16 years and above
7. Has the School already started with the process of Integrated Quality Management System?
 Yes
 No
8. Are all the teachers at your school trained on IQMS?
 Yes
 No
9. Are the IQMS training continuing, or was a once-off thing?
 Yes, continuing.
 No, once off thing.

10. Who offered, or offering, the IQMS training at your school?
- The school
- The District Education Department
11. Does the school have an SDT committee?
- Yes
- No
12. Does the composition of the SDT at your school include all Phases?
- Yes
- No
13. Are there any problems regarding the implementation of IQMS at the school, if Yes - what kinds of challenges are encountered for effective implementation of IQMS at your school?
- Yes
- No
- If Yes specify
14. What kind of capacity and support is required to effectively mitigate the challenges encountered by the school in the implementation of IQMS?
- *We need more training workshops.*
15. Is the School able to solve the challenges experienced in the process of implementing the IQMS?
- Yes
- No
16. How appropriate are the measures in place for improving the IQMS implementation processes in your school?
- Effective
- Ineffective
17. Looking at the impact that IQMS is imposing to your school which framework (or model or strategies) can be recommended for improving the processes for IQMS implementation?
- *I would recommend schools to start the process of IQMS in the first terms because it has a lot of paperwork in order to meet the due dates for submissions.*

SCHOOL = E

NB: Put a cross/es (x) where applicable in the small boxes provided.

1. In what area or location is your school situated, and in which Education District?
 - Rural or farm area
 - Township or semi-urban area
 - Urban area
 - Metropole East Education District
 - Metropole North Education District
2. Are the parents of the learners working?
 - Yes, most of them working
 - No, the majority of them not working
3. Does the school have a feeding scheme?
 - Yes
 - No
4. Who is subsidizing the school?
 - Parents
 - Education Department
 - Parent and Education Department
5. How big is your school?
 - The number of learners are:
 - Between 1 and 500
 - Between 500 and 1000
 - 1000 and above
 - The teacher - learner ratio in class?
 - Between 1:20 and 1:25
 - Between 1:26 and 1:37
 - 1:38 and above
6. How would you rate your colleagues' level of experience in their teaching profession?
 - Between 1 year and 5 years
 - Between 6 years and 15 years
 - 16 years and above
7. Has the School already started with the process of Integrated Quality Management System?
 - Yes
 - No
8. Are all the teachers at your school trained on IQMS?
 - Yes
 - No
9. Are the IQMS training continuing, or was a once-off thing?
 - Yes, continuing.
 - No, once off thing.

10. Who offered, or offering, the IQMS training at your school?
- The school
- The District Education Department
11. Does the school have an SDT committee?
- Yes
- No
12. Does the composition of the SDT at your school include all Phases?
- Yes
- No
13. Are there any problems regarding the implementation of IQMS at the school, if Yes - what kinds of challenges are encountered for effective implementation of IQMS at your school?
- Yes
- No
- If Yes specify
14. What kind of capacity and support is required to effectively mitigate the challenges encountered by the school in the implementation of IQMS?
- *More training workshops are necessary.*
15. Is the School able to solve the challenges experienced in the process of implementing the IQMS?
- Yes
- No
16. How appropriate are the measures in place for improving the IQMS implementation processes in your school?
- Effective
- Ineffective
17. Looking at the impact that IQMS is imposing to your school which framework (or model or strategies) can be recommended for improving the processes for IQMS implementation?
- *First, the IQMS coordinator should be a person who is well informed of the IQMS process. Second, the IQMS should be planned properly and in the beginning of each year.*

APPENDIX C = INTERVIEW SCHEDULE (Questions and Responses)

SCHOOL = A

1. Good Day Sir, can you introduce yourself?

(Interviewee has to state his/her title, gender and race, name and surname, subject and the Grade s/he offers, teaching experience, post level she/his occupying at the school, his/her SDT membership or portfolio).

- I am Mr, Principal of the school with 19 years as Principal and 24 years teaching experience teaching Life Skills Grade 6 and 7 qualified from UWC.

2. In which District Office does your school fall under?

- Metropole North Education District, Circuit 7.

3. When was the school established?

- The school started somewhere at a farm in 1972 and moved to settle in this location in 1973.

4. What is the short term and long term vision of the School?

- Is to make the school a safe haven for the learners and make them proper citizens of South Africa.

5. What time does the school start in the morning, and knocks off in the afternoon?

- Learners start 08h00 in the morning and go home 14h10 and educators start 07h50 and leave at 15h00.

6. How big is your school, the Grades you have and the number of learners in a class)?

- We have 754 learners this year from Grade R to 7, they are more or less 40 in a class.

7. How are your learners performing academically?

- Our Foundation Phase is on the right track; the problem is in the Intermediate. We have received Districts and Provincial Awards many years ago and this year again we received an Award in Mathematics as the most improved school getting 56%. In Language we were doing 40% but this year we got about 28% and I am not happy about it. In Grade 6 we are not doing ok, its 20 or 10 percent I am not sure. Honestly, when this systemic test started we took it as a joke, we were getting zero percent and we did not care. But after we realized they are using it to label your school saying your learners cannot read and write, we then started taking it serious. I spoke to my teachers telling them that I do not want to be a Principal of a zero percent school. As a result, we started with our intervention programs. However, you cannot compare apples with peers, i.e. comparing such an under-resourced school with those resourced schools it's not right. Again my learners home language is Xhosa but they write the tests in English, so how do you explain that to me, I really have a problem with that. But after we started our intervention programs, i.e. Saturday classes, long days and continuous tests, we can see that our results are improving.

8. In what kind of extra-mural activities are your learners engaged?

- We belong to the Atlantis schools sport union that's where we play our soccer, rugby, netball, music and spelling olympiads.

9. Has the School already started with the process of Integrated Quality Management System, if Yes what is it that you have already done and if not when are you planning to start?

- Yes we have started already and hope to finish in this third term. We have set up the visitation program and we are done with the baseline assessments of the new comers.

10. When was the SDT committee established, and how was it established?

- It is composed of the departmental heads, 1 post level one teacher, deputy principal and myself.
11. How often do you hold meetings of the SDT, and with the whole staff?
- We meet once a year
12. Which processes and techniques used in the performance measurement and appraisals at your school, explain the internal moderation process, grievance procedures and the finalization of PM scores?
- We first have a pre-visit meeting with the teachers. The meeting is facilitated by the DSG, and from there the class visit will follow following the class visit time-table that is drafted by the DSG. After the class visits we discuss the scores to reach an agreement on it.
13. What are the measures used for monitoring and evaluating the processes for the IQMS implementation at your school?
- We have the class visits pre-talks, during talks and after talks, and those meetings are facilitated by the DSG and SDT. All these talks are aimed at helping the teachers.
14. How appropriate are the measures in place for improving the IQMS implementation processes at your school, and what improvements have been realized regarding the implementation of IQMS?
- Not so effective as we would have loved, but we are trying. The improvement realized is the progress in the Systemic test evaluation results.
15. During the summative evaluation process are all teachers satisfied with the PM scores, if the answer is No then how do you deal with such cases?
- No some teachers used to disagree with their scores because they wanted to be scored high but in such instances I would call all parties and ask for evidence that's all, if there is no evidence the score will remain.
16. What challenges are faced by your educators in implementing IQMS and what strategies have been suggested to help overcome those challenges?
- The major challenge has been time; we do not have enough time for the IQMS because it takes a lot of time and teachers are also expected to take care of their classes.
17. Were you all trained on IQMS as a staff, if the answer is Yes then who offered the training?
- Yes almost all of us are trained because even the new comers we are sending them to the training workshops at the District office.
18. How does the implementation of IQMS influence your educators regarding their career developments?
- It has lifted up the teachers' performance
19. What is the role played by Development Support Group (DSG) and School Development Team (SDT) in the implementation of IQMS at your school?
- Is to identify the areas of development in teachers and try to help them
20. In which area do you think you are still lacking, you still need some assistance in order to enable you to facilitate the IQMS process much better?
- We need the resources which obviously require finance, if we can have funds we can be able to get all the resources required for the effective implementation of this IQMS program.
21. What advice would you give to schools that find it difficult to effectively implement the IQMS policy?
- There is a lack of proper planning in most schools, to successfully implement IQMS schools must plan properly and follow the set up program. And I just wish that this CPTD can start which I think can have much influence on the effective implementation of IQMS.

SCHOOL = B

1. Good Day Sir, can you introduce yourself?

(Interviewee has to state his/her title, gender and race, name and surname, subject and the Grade s/he offers, teaching experience, post level she/his occupying at the school, his/her SDT membership or portfolio).

- I am Mr 5 years as a Principal at this school and 29 years teaching experience.

2. In which District Office does your school fall under?

- Metropole North Education District.

3. When was the school established?

- The school was established in 1864, we are now 104 years.

4. What is the short term and long term vision of the School?

- Our short term vision is to comply with all the WCED policies and the long term is to fulfil the various educational goals.

5. What time does the school start in the morning, and knocks off in the afternoon?

- We start 07h40 and end 14h20.

6. How big is your school, the Grades you have and the number of learners in a class?

-We have 232 learners this year from Grade R – 7, but we can take learners up to 242 because of the size of the classes as they are very small 35 learners will be too much. There are about 30 learners in a class.

7. How are your learners performing academically?

- We are doing very well; we have an honors certificate as the most improved school.

8. In what kind of extra-mural activities are your learners engaged?

- We have netball, rugby, wrestling, etc

9. Has the School already started with the process of Integrated Quality Management System, if Yes what is it that you have already done and if not when are you planning to start?

- Yes we have started and will be done by the 15th of September.

10. When was the SDT committee established, and how was it established?

- It was established last year and it included all the phase levels, i.e. the Principal and the 3 post level one teachers.

11. How often do you hold meetings of the SDT, and with the whole staff?

- We meet once a term.

12. Which processes and techniques used in the performance measurement and appraisals at your school, explain the internal moderation process, grievance procedures and the finalization of PM scores?

- We set up the class visitation program and then follow it, we are only 8 teachers at the school so we do not have problems.

13. What are the measures used for monitoring and evaluating the processes for the IQMS implementation at your school?

- We meet before and after the class visits to discuss the process.

14. How appropriate are the measures in place for improving the IQMS implementation processes at your school, and what improvements have been realized regarding the implementation of IQMS?

- They are effective as they motivate teachers and sets a benchmark to see where they are, as well as setting their own personal growth plan. The improvement realized is in the learners' academic performance.
15. During the summative evaluation process are all teachers satisfied with the PM scores, if the answer is No then how do you deal with such cases?
- Yes, all teachers were satisfied with their scores.
16. What challenges are faced by your educators in implementing IQMS and what strategies have been suggested to help overcome those challenges?
- There are no challenges.
17. Were you all trained on IQMS as a staff, if the answer is Yes then who offered the training?
- Yes, the training was offered by the department.
18. How does the implementation of IQMS influence your educators regarding their career developments?
- It motivates teachers and sets a benchmark to see where you are, as well as setting your own personal growth plan.
19. What is the role played by Development Support Group (DSG) and School Development Team (SDT) in the implementation of IQMS at your school?
- Is to motivate and advise the teachers, as well as making sure that the process is without problems.
20. In which area do you think you are still lacking, you still need some assistance in order to enable you to facilitate the IQMS process much better?
- I do not think there are areas where we are lacking, only few teachers at the school.
21. What advice would you give to schools that find it difficult to effectively implement the IQMS policy?
- IQMS is a very good system but the only negative about it is that teachers assess themselves and you only have to sign off with no input. The fact that teachers assess themselves it brings ineffectiveness on the system, I would advise that the Circuit Manager becomes actively involved in the process and also have a Subject Advisor who is a specialist on the system who will regularly interact with the teachers throughout the process.

SCHOOL = C

1. Good Day Madam, can you introduce yourself?

(Interviewee has to state his/her title, gender and race, name and surname, subject and the Grade s/he offers, teaching experience, post level she/his occupying at the school, his/her SDT membership or portfolio).

- I am teaching in the Foundation Phase Grade 1 all Learning Areas, Deputy Principal and also the Coordinator of IQMS.

2. In which District Office does your school fall under?

- Metropole North Education District, Circuit 4.

3. When was the school established?

- The school was established in 1997

4. What is the short term and long term vision of the School?

- Our vision is to strive for excellence, develop the talent and abilities of our learners.

5. What time does the school start in the morning, and knocks off in the afternoon?

- The school starts 07h50 and knocks off at 14h30, and educators knocks off at 15h00.

6. How big is your school, the Grades you have and the number of learners in a class)?

- The enrolment this year is 1506 from Grade R to 7, and we have 50 learners in a class.

7. How are your learners performing academically?

- We have those learners that are weak, we have average ones and we also have high performers. There is drastic improvement in Maths in both phases, i.e. Foundation and Intersen.

8. In what kind of extra-mural activities are your learners engaged?

- Athletics, Majorettes, Soccer, Rugby and Netball.

9. Has the School already started with the process of Integrated Quality Management System, if Yes what is it that you have already done and if not when are you planning to start?

- Yes we have already started. We are busy with the evaluation process, doing the class visits.

10. When was the SDT committee established, and how was it established?

- It was established when IQMS was started but I started around 2009. It is composed of the SMT members and one post level 1 educator and it represents all the Grades and phases.

11. How often do you hold meetings of the SDT, and with the whole staff?

- Once a term.

12. Which processes and techniques used in the performance measurement and appraisals at your school, explain the internal moderation process, grievance procedures and the finalization of PM scores?

- We normally do not have grievances as we do the process according to the book. After the performance measurement programme we seat in various meetings where an educator seats with his or her group (i.e. the peer and the supervisor) to discuss the scores and reach consensus on the scores. After the scoring the coordinator will check all the scores and thereafter the Principal will do the final check-up.

13. What are the measures used for monitoring and evaluating the processes for the IQMS implementation at your school?

- We meet as a staff and in the various departments or phases to discuss the process.

14. How appropriate are the measures in place for improving the IQMS implementation processes at your school, and what improvements have been realized regarding the implementation of IQMS?

- *The underperforming educators have improved their level of performance as they have been attending workshops.*
15. During the summative evaluation process are all teachers satisfied with the PM scores, if the answer is No then how do you deal with such cases?
- Yes, they were satisfied because we score according to the performance indicator book.
16. What challenges are faced by your educators in implementing IQMS and what strategies have been suggested to help overcome those challenges?
- *We do not have challenges because everybody is now aware of what is expected during this performance measurement period.*
17. Were you all trained on IQMS as a staff, if the answer is Yes then who offered the training?
- *Yes we did get training on the IQMS, it was offered by the department of education.*
18. How does the implementation of IQMS influence your educators regarding their career developments?
- *The implementation of IQMS has improved the teachers' level of performance.*
19. What is the role played by Development Support Group (DSG) and School Development Team (SDT) in the implementation of IQMS at your school?
- *The role of the DSG is to assist the individual educator to select development because it consisted of the peer and the supervisor, the SDT helps in the development of whole school.*
20. In which area do you think you are still lacking, you still need some assistance in order to enable you to facilitate the IQMS process much better?
- *The only problem we have is on the eLearning and that is where we need some help, maybe more workshops.*
21. What advice would you give to schools that find it difficult to effectively implement the IQMS policy?
- *We do not have problems at our school, if other school are having problems they can come to our school to see how we do it. We start the process by calling a meeting to look at the individual needs of educators and thereafter start developing one another until the month of June. In July everybody is aware that we start the performance measurement. If the process is transparent I there will be problems of grievances. My advice is that schools should talk to educators in the beginning of the process and let them understand that IQMS is for development nothing else.*

SCHOOL = D

1. Good Day Madam, can you introduce yourself?

(Interviewee has to state his/her title, gender and race, name and surname, subject and the Grade s/he offers, teaching experience, post level she/his occupying at the school, his/her SDT membership or portfolio).

- I am teaching Grade 5 Acting Principal and newly elected this year to conduct the IQMS

2. In which District Office does your school fall under?

- Metropole East Education District, Circuit 1.

3. When was *North* the school established?

- The school was established in January 2002

4. What is the short term and long term vision of the School?

- The short term is to totally eradicate the disparities and limitations in the education of our learners and the long term is to develop the learners to be responsible citizens.

5. What time does the school start in the morning, and knocks off in the afternoon?

- Management of the school starts 7h30, staff 7h40 and tuition starts at 08h00, learners go home 14h10 and teachers at 15h00, Non-teaching staff is expected to be at the school 06h30 and go home 16h30

6. How big is your school, the Grades you have and the number of learners in a class)?

- We have 1635 learners at the school this year from Grade R - 7, Grade R = 4 classes, Grade 1, 2 and 3 = 6 classes, 4, Grade 4, 5, 6 and 7 = 4 classes per Grade. We have plus minus 50 learners in a class, since we have six classes from Grade 1 to 3 and 4 classes from Grade 4 - 7. As you know that according to the department we are supposed to have 39 or 40 learners in a class, we are far beyond that as we have more than 50 learners in a class. We have to squeeze the learners together to fit the four classes from Grade 5 to 7, and it is a problem because those classes are so overcrowded.

7. How are your learners performing academically?

- The performance of our learners is average and that is because of the overcrowded classes, absenteeism and family backgrounds. The learners' performance has something to do with their backgrounds so we go an extra mile by visiting their homes to see their family backgrounds and help where we can like advising the learners to come to school as they can miss a lot by absenting themselves, sometime they will tell us (teachers) that they did not have money to buy soap so that they can wash their school uniform, hence we even buy them school uniforms as well as providing them with the left over foods from the school feeding scheme. As much as we need to work hand in hand with the department, so too with the parent and learners as the learners should do their homeworks assisted by their parents.

8. In what kind of extra-mural activities are your learners engaged?

- Our learners take part in soccer, rugby, volleyball, cricket and netball, we even have soccer classes every day after school.

9. Has the School already started with the process of Integrated Quality Management System, if Yes what is it that you have already done and if not when are you planning to start?

- Yes we have started already with the IQMS process. We are almost done with everything now, only left with the moderations.

10. When was the SDT committee established, and how was it established?

- I am not sure about the establishment of the SDT, I only realized it this year. We hold our meetings once a year because is something that is new to us. Our SDT consists most of our SMT members and a post level 1 educator.

11. How often do you hold meetings of the SDT, and with the whole staff?
 - *Our meetings of SMT and staff are held once a month, and also have morning briefings Mondays to Fridays. Every day the SMT meets first and then go to address the teachers.*
12. Which processes and techniques used in the performance measurement and appraisals at your school, explain the internal moderation process, grievance procedures and the finalization of PM scores?
 - *We do internal moderation checking the work load in the learners' books and also checking if teachers do moderate the learners' books including the learners' volume of work which also helps us to identify those learners with problems.*
13. What are the measures used for monitoring and evaluating the processes for the IQMS implementation at your school?
 - *We call or convene meetings as a monitoring tool for our IQMS, and also to assess the implementation process.*
14. How appropriate are the measures in place for improving the IQMS implementation processes at your school, and what improvements have been realized regarding the implementation of IQMS?
 - *The measures in place for implementing IQMS at the school are applicable, and the improvement realized is time management as it enabled us to control the absenteeism of the teachers and learners.*
15. During the summative evaluation process are all teachers satisfied with the PM scores, if the answer is No then how do you deal with such cases?
 - *Yes they are satisfied because we are not giving scores that are coming from us, everything is written down, we scored a teacher according to what s/he knows, according to what they see and do, we even have discussion on the scores we give them.*
16. What challenges are faced by your educators in implementing IQMS and what strategies have been suggested to help overcome those challenges?
 - *We do not really have a problem, other than to say that for most of the teachers it comes from extra mural activities and other staff, as you know not all of us are taking part the same way in sport but teachers would claim to be scored the same scores and take it as an issue but is not. In IQMS teachers are scored according to what has been done, and not only what has been done now, it starts from day one when we re-opens the schools in January. It's a whole year thing. We use the IQMS performance indicator books to score them as it tells us how teachers should be scored. As a school, I can say we are able to address our challenges.*
17. Were you all trained on IQMS as a staff, if the answer is Yes then who offered the training?
 - *Yes the other teachers were trained but I was not.*
18. How does the implementation of IQMS influence your educators regarding their career developments?
 - *IQMS gave us an understanding of our duties and responsibilities.*
19. What is the role played by Development Support Group (DSG) and School Development Team (SDT) in the implementation of IQMS at your school?
 - *Is to give support to teachers.*
20. In which area do you think you are still lacking, you still need some assistance in order to enable you to facilitate the IQMS process much better?
 - *Personally, I think we still need some training on the IQMS as some of us like myself we were never trained. I really need training because it is my first time to do IQMS, so I am still learning.*
21. What advice would you give to schools that find it difficult to effectively implement the IQMS policy?

- I would advise teachers to read those IQMS books, especially the performance indicators, because it helps by giving guidance on everything.

SCHOOL = E

1. Good Day Madam, can you introduce yourself?

(Interviewee has to state his/her title, gender and race, name and surname, subject and the Grade s/he offers, teaching experience, post level she/his occupying at the school, his/her SDT membership or portfolio).

- My name is, teaching Grade 5, post level 1, but our school has a system where they bring a board - leadership team with post level 1 teachers. I am not a Head of Department with the WCED but I am Head of Department for the school. I do post level 2 work but I am actually a post level 1 teacher, my portfolio in the leadership team is whole school and IQMS, and I teach all the subjects in Grade 5.

2. In which District Office does your school fall under?

- Circuit 7, Metropole North Education District.

3. When was the school established?

- Not sure, but two years ago we had the 60th birthday celebration for the school and will therefore assume that we are now 62 years old.

4. What is the short term and long term vision of the School?

- The main vision of the school is teaching with excellence and we are very much set on the vision which is also reflected on our four pillars, academic, sport, culture and values, and all the classrooms have the posters of all these values.

5. What time does the school start in the morning, and knocks off in the afternoon?

- We start 07h45 and finish 14h15, teachers come 07h30 and normally leave at 18h30, the non-teaching staff start earlier at 07h00 in the morning.

6. How big is your school, the Grades you have and the number of learners in a class)?

- Not sure about the exact number but we have more or less 1200 learners at the school from Grade 4 to 7, have more or less 30 learners in a class and I know for next year we are working towards 1300.

7. How are your learners performing academically?

- They are performing very well, and we have systems in place such as didactical programs after school for those learners struggling in Maths and Language, some of the teachers doing Maths for extra murals.

8. In what kind of extra-mural activities are your learners engaged?

- Ohm, our school is so busy that most of the staff get home at about 6h30 in the evening we are very into extra mural I am in charge of school's hockey as well we have 32 teams which I need to manage on two fields – and coaches, outside and staff coaches.

9. Has the School already started with the process of Integrated Quality Management System, if Yes what is it that you have already done and if not when are you planning to start?

- We finished it, with us is done slightly differently – we do it differently as our staff is too big, we cannot manage to do it in the month of August and the department (Mr) knows that we do it like that. We supposed to do it now in August. Some of the staff members I do in the second term and others now in the third term. We see it as a continuous development process, here is the time-table some in the second term and some in the third term, we planned the previous year for the current year.

10. When was the SDT committee established, and how was it established?

- It was established last year and it represents all the Grades and Phases, it includes the Principal, SMT members and post level 1 teachers.

11. How often do you hold meetings of the SDT, and with the whole staff?

- We hold our staff meetings for the whole staff which includes everybody on the first Tuesday of every term, and Monday, Wednesdays and Fridays mornings in the staffroom, Tuesdays we have leadership teams and Grade meetings, all Grades meet on Tuesdays to plan for the following week, we do not have sport on Tuesdays because the Grades meetings are in the afternoons.

12. Which processes and techniques used in the performance measurement and appraisals at your school, explain the internal moderation process, grievance procedures and the finalization of PM scores?

- As the IQMS coordinator I have a junior teacher, a Grade 4 teacher, who is helping me collecting the files from teachers and who also has representatives in each Grade who brings the files to her and after checking forward all the files to me for final check-up. The Headmaster has Deputies who take care of the departmental heads (HODs) while all post level 1 are looked after by either a senior teacher or Deputy head. All these activities are done in accordance with the time-table or IQMS program which has the time frames. In February we do the baseline for the new educators, all other staff members are divided into two groups as we are a very big school, the first group do the IQMS in the second term and the other group in the third term. Every Tuesday afternoon we have staff meetings, so before the process gets started we would give a brief overview of what the IQMS is all about, but each Grade has a representative in the SDT and that Grade representative is responsible for providing development to the other staff members in the Grade, normally Grades hold their meetings on a weekly basis.

13. What are the measures used for monitoring and evaluating the processes for the IQMS implementation at your school?

- We use the policy document as the measurement tool and we also look at the quality of your teaching as a benchmark. Educators are evaluated on grounds of the policy document and what is expected of the educator to do.

14. How appropriate are the measures in place for improving the IQMS implementation processes at your school, and what improvements have been realized regarding the implementation of IQMS?

- We have been doing the IQMS, it has been running for years, it is not that now all of a sudden we are doing IQMS, it is a continuous thing. We have seen only small improvement in the way we mentor people. We also have a very good mentorship programme, all the beginner teachers have a mentor. For example, we have interns at the school and one of them is in my class, he has not finished his studies yet, once a term I have a meeting with him and we talk, what worries him and where he feels need to change. In the beginning he used to challenge all systems every time, he is still young 22 years old, I had to mentor him not to fight the system but to work with the system, and I have seen tremendous growth.

15. During the summative evaluation process are all teachers satisfied with the PM scores, if the answer is No then how do you deal with such cases?

- Yes.

16. What challenges are faced by your educators in implementing IQMS and what strategies have been suggested to help overcome those challenges?

- No real challenges, it is only the time and the paper work as teachers become reluctant to do IQMS because of time and these lots of paperwork but other than that there is nothing. There should be post-evaluation meetings but is always difficult to get the peers or all three people together at the same time because they are always busy therefore you need to arrange for break times or even after school for such meetings.

17. Were you all trained on IQMS as a staff, if the answer is Yes then who offered the training?

- Yes teachers are trained on IQMS, we normally take the new teachers to the department for baseline training, and the other staff members are taken care of by the SDT.

18. How does the implementation of IQMS influence your educators regarding their career developments?

- There is merit in the IQMS because the way we do it you can actually mentor the junior teacher and make sure is on par. For the senior teacher I do not think it has the type of value it should have, except when you are in a groove of teaching maybe just to get you out of that groove in terms of changing posters that have been in your classroom for some years (three or four years). It is a very nice tool to mentor a junior teacher in terms of leadership or things like that.

19. What is the role played by Development Support Group (DSG) and School Development Team (SDT) in the implementation of IQMS at your school?

- It is to mentor and give advice and support to teachers.

20. In which area do you think you are still lacking, you still need some assistance in order to enable you to facilitate the IQMS process much better?

- Not sure if there are areas where we are lacking.

21. What advice would you give to schools that find it difficult to effectively implement the IQMS policy?

- You need a very strong person who runs it, who is not fazed peoples' mourning and you also need the people who do the check work, and I must also say you need to spread it out not to have it in one term because that will also make it easier for the supervisor to do his or her job.

APPENDIX D = SCHOOL OBSERVATIONS (Items and Responses)

SCHOOL = A

a) Class Observation

During the class observation the researcher used the following tool or instrument:

CLASS OBSERVATION		and/or EVALUATION MEASURING TOOL		
GRADE:		SUBJECT:		DATE:
Are the following visible and correct?				
DESCRIPTION	LEARNERS' WRITTEN WORK	Yes	No	N/A
1.	1.1. Are the books of learners neat?	√		
	1.2. Is the quantity of academic work completed?	√		
	1.3. Is there evidence that skills and knowledge are tested in homework activities?	√		
	1.4. Does the written work reflect what must be taught, according to the lesson and assessment plan of the subject?	√		
	1.5. Is the handwriting of learners in their work books neat?	√		
	1.6. Are the learners' books marked by the teacher?	√		
	1.7. Does the teacher give corrections to learners' work and mark them?	√		
	1.8. Is the work of learners signed and dated by the teacher?	√		
	1.9. Was the written work on the books of learners scrutinized and signed by parents?	√		
	1.10. Is there any indication that internal moderation has taken place?	√		
	1.11. Is there any indication that external moderation has taken place?	√		
	Do the recommendations of the moderators reflect any positive sign of improvement?	√		
DESCRIPTION	CLASSROOM ORGANIZATION	Yes	No	N/A

2.	2.1. Was the classroom clean and well organized?	√		
	2.2. Was the class atmosphere conducive for learning, print-rich with relevant posters, reading materials, word wall, etc.?	√		
	2.3. Did the learners have dictionaries to support active learning?	√		
	2.4. Were the desks and chairs arranged for group work?	√		
DESCRIPTION	LESSON PRESENTATION	Yes	No	N/A
3.	3.1. Did the teacher have a lesson plan?	√		
	3.2. Was there any warm-ups at the start of the lesson?	√		
	3.3. Did the lesson have an introduction?	√		
	3.4. Was the lesson presentation learner centred?	√		
	3.4. Did the teacher summarize the whole lesson at the end?	√		
	3.5. Did the teacher give a task/homework to the learners?	√		
DESCRIPTION	ASSESSMENT	Yes	No	N/A
4.	4.1. Are the instructions clear to the learners?	√		
	4.2. Is the language correctness on Grade level?	√		
	4.3. Did the teacher use different kinds of questioning?	√		
	4.5. Were all questions allocated marks, and total mark stated?	√		
	4.6. Was the time to be spent task/assessment indicated?	√		
<p>(Some comments to be considered: - moderation tools employed by evaluators, - varied teaching methods, - teaching and learning environments that lack incentives, - effective pedagogy to influence effective teaching and learning, - use of variety of instructional materials, - scheming and planning of lessons, - effective questioning techniques, - pupils' work according to their level of cognitive development, - provision of individualized instruction and/or learning plans to meet their needs, - supervision of teachers by school heads, - knowledge of special needs education, - time management skills to cover curriculum, - lack of quality LTSM).</p>				

Comments on Classroom Observation: *The educators try hard to create a conducive learning and teaching environment in the classrooms by making sure the learners' desks are arranged in a proper manner and the classes are print-rich. The furniture at the school is enough for both learners and educators.*

Comments on Infrastructure: *The school building is proper. However, the classrooms are not enough to accommodate the learners and they are overcrowded as they are plus minus forty-five learners in a class. Same applies to the school premise; it is too small and without playing fields or grounds.*

General Comments: *There is no library at the school, books and reading materials are kept in classes.*

b) School's overall observation:

ITEM	COMMENT
1. Discipline	- At an acceptable level.
2. Punctuality	- Both staff and learners are time cautious.
3. Absenteeism	- It acceptable only when there is a valid reason.
4. School uniform	- Learners expected to wear school uniform but not all of them were in full school uniform.
5. Extra-mural Activities	- Learners are actively involved in extra mural activities, particularly sport and Maths Olympiads.
6. Safety and security	- The school well secured and safe, both learners and teachers are safe as the school well fenced with a remote controlled gate.
7. Medical First Aids	- The school has an educator who gives assistance in case of emergency.
8. School building	- The school has a proper infrastructure which is taken care of by the general workers, but the accommodation is not enough as classes are in short.
9. School facilities	- The school has a computer laboratory but no library.
10. School premise	- School premise neat and clean.
11. Playing fields	- There are no playing fields for all the sporting codes.
12. Human Resources	- There are 21 teachers, 3 general workers and 1 secretary.

13. Financial Resources	- The learners do not pay school fees; the school is funded by the department of education.
14. Learning and teaching support material	- The school does not have store room, books and reading materials are kept in classes.
15. Tools and equipment	- Tools and equipment are kept in a container.
16. Tuition time	- The tuition time is from 08h00 till 14h10.
17. School outings	- The school is normally going out on educational tours and sporting activities.
18. School location	- The school is situated on a rural farm area in Philadelphia in the Western Cape province.
19. Feeding scheme	- The learners are provided with food by the school through the feeding scheme organized by the department.
20. Programs for learners with special educational needs	- There are programs for struggling learners, especially in Maths; i.e. Maths Olympiads.
21. Working relationship among the school stakeholders	- The SGB is composed of all the school's stakeholders which suggest a good working relationship.

SCHOOL = B

a) Class Observation

During the class observation the researcher used the following tool or instrument:

CLASS OBSERVATION and/or EVALUATION MEASURING TOOL				
GRADE:		SUBJECT:		DATE:
Are the following visible and correct?				
DESCRIPTION	LEARNERS' WRITTEN WORK	Yes	No	N/A
1.	1.1. Are the books of learners neat?	√		
	1.2. Is the quantity of academic work completed?	√		
	1.3. Is there evidence that skills and knowledge are tested in homework activities?	√		
	1.4. Does the written work reflect what must be taught, according to the lesson and assessment plan of the subject?	√		
	1.5. Is the handwriting of learners in their work books neat?	√		
	1.6. Are the learners' books marked by the teacher?	√		
	1.7. Does the teacher give corrections to learners' work and mark them?	√		
	1.8. Is the work of learners signed and dated by the teacher?	√		
	1.9. Was the written work on the books of learners scrutinized and signed by parents?	√		
	1.10. Is there any indication that internal moderation has taken place?	√		
	1.11. Is there any indication that external moderation has taken place?	√		
	Do the recommendations of the moderators reflect any positive sign of improvement?	√		
DESCRIPTION	CLASSROOM ORGANIZATION	Yes	No	N/A

2.	2.1. Was the classroom clean and well organized?	√		
	2.2. Was the class atmosphere conducive for learning, print-rich with relevant posters, reading materials, word wall, etc.?	√		
	2.3. Did the learners have dictionaries to support active learning?	√		
	2.4. Were the desks and chairs arranged for group work?	√		
DESCRIPTION	LESSON PRESENTATION	Yes	No	N/A
3.	3.1. Did the teacher have a lesson plan?	√		
	3.2. Was there any warm-ups at the start of the lesson?	√		
	3.3. Did the lesson have an introduction?	√		
	3.4. Was the lesson presentation learner centred?	√		
	3.4. Did the teacher summarize the whole lesson at the end?	√		
	3.5. Did the teacher give a task/homework to the learners?	√		
DESCRIPTION	ASSESSMENT	Yes	No	N/A
4.	4.1. Are the instructions clear to the learners?	√		
	4.2. Is the language correctness on Grade level?	√		
	4.3. Did the teacher use different kinds of questioning?	√		
	4.5. Were all questions allocated marks, and total mark stated?	√		
	4.6. Was the time to be spent task/assessment indicated?	√		

(Some comments to be considered: - moderation tools employed by evaluators, - varied teaching methods, - teaching and learning environments that lack incentives, - effective pedagogy to influence effective teaching and learning, - use of variety of instructional materials, - scheming and planning of lessons, - effective questioning techniques, - pupils' work according to their level of cognitive development, - provision of individualized instruction and/or learning plans to meet their needs, - supervision of teachers by school heads, - knowledge of special needs education, - time management skills to cover curriculum, - lack of quality LTSM)

Comments on Classroom Observation: *The educators try hard to create a conducive learning and teaching environment in the classrooms by making sure the learners' desks are arranged in a proper manner and the classes are print-rich. The furniture at the school is enough for both learners and educators.*

Comments on Infrastructure: *The school building is proper. The classrooms at the school are enough to accommodate the learners, they are not overcrowded as they are plus minus twenty-five learners in a class. The school premise is too small and without playing fields or grounds.*

General Comments: *There is no proper library at the school. The school uses a mobile container as a library to keep some books and reading materials. The school does not have a storeroom, it uses a mobile container to keep cleaning material and equipment.*

b) School's overall observation:

ITEM	COMMENT
1. Discipline	- There is good discipline at the school, learners well behave and teachers comply with the rules and regulation of the school.
2. Punctuality	- It is at an acceptable level.
3. Absenteeism	- It is at an acceptable level.
4. School uniform	- Learners wear school uniform every day.
5. Extra-mural Activities	- There is rugby, netball and athletics.
6. Safety and security	- There is safety and security at the school, well fenced with a remote controlled gate but no security guard at the gate.
7. Medical First Aids	- The school has an educator who offer assistance in case of emergency.
8. School building	- The school has proper building and mobile classrooms.
9. School facilities	- The school has a computer laboratory and mobile storeroom, but other than that there is nothing in terms of facilities.
10. School premise	- The playing ground is too small.

11. Playing fields	- There is a small dual netball field and rugby field.
12. Human Resources	- The school has 11 educators, 10 females and 1 male; 1 secretary and 2 general workers (1 female and 1 male).
13. Financial Resources	- The school is a quintile 5 school. The school is subsidized by the department of education, and also the learners pay school fees.
14. Learning and teaching support material	- The school has enough learning and teaching support material.
15. Tools and equipment	- The school has enough tools and equipment for cleaning and gardening.
16. Tuition time	- The school starts 07h40 and knocks off 14h20 for the learners, 07h30 till 14h45 for teachers and for the non-teaching staff is from 07h30 till 15h00.
17. School outings	- The school normally goes out when there are matches, i.e. rugby, netball or athletics.
18. School location	- The school is located at a farm rural area.
19. Feeding scheme	- There is no feeding scheme at the school.
20. Programs for learners with special educational needs	- The school has extra classes for the learners with special educational needs.
21. Working relationship among the school stakeholders	- The school has a good working relationship with all the school's stakeholders, i.e. learners, parents, department of education and the business sector of the school such as the sponsors.

SCHOOL = C

a) Class Observation

During the class observation the researcher used the following tool or instrument:

CLASS OBSERVATION and/or EVALUATION MEASURING TOOL				
GRADE:		SUBJECT:		DATE:
Are the following visible and correct?				
DESCRIPTION	LEARNERS' WRITTEN WORK	Yes	No	N/A
1.	1.1. Are the books of learners neat?	√		
	1.2. Is the quantity of academic work completed?	√		
	1.3. Is there evidence that skills and knowledge are tested in homework activities?	√		
	1.4. Does the written work reflect what must be taught, according to the lesson and assessment plan of the subject?	√		
	1.5. Is the handwriting of learners in their work books neat?	√		
	1.6. Are the learners' books marked by the teacher?	√		
	1.7. Does the teacher give corrections to learners' work and mark them?	√		
	1.8. Is the work of learners signed and dated by the teacher?	√		
	1.9. Was the written work on the books of learners scrutinized and signed by parents?	√		
	1.10. Is there any indication that internal moderation has taken place?	√		
	1.11. Is there any indication that external moderation has taken place?	√		
	Do the recommendations of the moderators reflect any positive sign of improvement?	√		
DESCRIPTION	CLASSROOM ORGANIZATION	Yes	No	N/A

2.	2.1. Was the classroom clean and well organized?	√		
	2.2. Was the class atmosphere conducive for learning, print-rich with relevant posters, reading materials, word wall, etc.?	√		
	2.3. Did the learners have dictionaries to support active learning?	√		
	2.4. Were the desks and chairs arranged for group work?	√		
DESCRIPTION	LESSON PRESENTATION	Yes	No	N/A
3.	3.1. Did the teacher have a lesson plan?	√		
	3.2. Was there any warm-ups at the start of the lesson?	√		
	3.3. Did the lesson have an introduction?	√		
	3.4. Was the lesson presentation learner centred)	√		
	3.4. Did the teacher summarized the whole lesson at the end?	√		
	3.5. Did the teacher give a task/homework to the learners?	√		
DESCRIPTION	ASSESSMENT	Yes	No	N/A
4.	4.1. Are the instructions clear to the learners?	√		
	4.2. Is the language correctness on Grade level?	√		
	4.3. Did the teacher use different kinds of questioning?	√		
	4.5. Were all questions allocated marks, and total mark stated?	√		
	4.6. Was the time to be spent task/assessment indicated?	√		

(Some comments to be considered: - moderation tools employed by evaluators, - varied teaching methods, - teaching and learning environments that lack incentives, - effective pedagogy to influence effective teaching and learning, - use of variety of instructional materials, - scheming and planning of lessons, - effective questioning techniques, - pupils' work according to their level of cognitive development, - provision of individualized instruction and/or learning plans to meet their needs, - supervision of teachers by school heads, - knowledge of special needs education, - time management skills to cover curriculum, - lack of quality LTSM)

Comments on Classroom: *The educators try hard to create a conducive learning and teaching environment in the classrooms by making sure the learners' desks are arranged in a proper manner and the classes are print-rich. The furniture at the school is enough for both learners and educators.*

Comments on Infrastructure: *The school building is proper. The classrooms at the school are not enough to accommodate the learners, in some classes they are overcrowded as they are plus minus forty learners. The school premise is too small and without playing fields or grounds.*

General Comments: *The school has library but seemed not to be effectively used as books were disorderly packed. The school does have a storeroom to keep cleaning material and equipment.*

b) School's overall observation:

ITEM	COMMENT
1. Discipline	- It is at an acceptable level.
2. Punctuality	- It is at an acceptable level.
3. Absenteeism	- It is at an acceptable level.
4. School uniform	- All the learners wear school uniform.
5. Extra-mural Activities	- There is soccer, netball, rugby, volleyball, athletics and cricket.
6. Safety and security	- There is safety and security at the school, well fenced with a remote controlled gate and there is a security guard at the gate.
7. Medical First Aids	- The school has a medical first aid facility, i.e. sick bay room and an educator who gives assistance in case of emergency.
8. School building	- The school has proper building and mobile classrooms.
9. School facilities	- The school has a computer laboratory, storeroom, hall and ineffective library.
10. School premise	- The school has sufficient grounds for learners to play.
11. Playing fields	- The school has soccer, netball, rugby, cricket athletics and volleyball fields.

12. Human Resources	- The school has 43 educators, 34 females and 9 males; 2 secretaries and 4 general workers (1 female and 3 males).
13. Financial Resources	- The school is quintile 3, the learners do not pay school fees; the school is funded by the department of education.
14. Learning and teaching support material	- The school has enough learning and teaching support material.
15. Tools and equipment	- The school has enough tools and equipment for cleaning and gardening.
16. Tuition time	- The school starts 07h50 and knocks off 14h10 for the learners, 07h30 till 15h00 for teachers and for the non-teaching staff is from 07h00 till 14h00.
17. School outings	- The school is normally going out on educational tours and sporting activities.
18. School location	- The school is located at a township.
19. Feeding scheme	- The learners are provided with food by the school through the feeding scheme organized by the department.
20. Programs for learners with special educational needs	- There are extra classes for those learners with special educational needs.
21. Working relationship among the school stakeholders	- The SGB is composed of all the school's stakeholders which suggest a good working relationship.

SCHOOL = D

a) Class Observation

During the class observation the researcher used the following tool or instrument:

CLASS OBSERVATION and/or EVALUATION MEASURING TOOL				
GRADE:		SUBJECT:		DATE:
Are the following visible and correct?				
DESCRIPTION	LEARNERS' WRITTEN WORK	Yes	No	N/A
1.	1.1. Are the books of learners neat?	√		
	1.2. Is the quantity of academic work completed?	√		
	1.3. Is there evidence that skills and knowledge are tested in homework activities?	√		
	1.4. Does the written work reflect what must be taught, according to the lesson and assessment plan of the subject?	√		
	1.5. Is the handwriting of learners in their work books neat?	√		
	1.6. Are the learners' books marked by the teacher?	√		
	1.7. Does the teacher give corrections to learners' work and mark them?	√		
	1.8. Is the work of learners signed and dated by the teacher?	√		
	1.9. Was the written work on the books of learners scrutinized and signed by parents?	√		
	1.10. Is there any indication that internal moderation has taken place?	√		
	1.11. Is there any indication that external moderation has taken place?	√		
	Do the recommendations of the moderators reflect any positive sign of improvement?	√		
DESCRIPTION	CLASSROOM ORGANIZATION	Yes	No	N/A

2.	2.1. Was the classroom clean and well organized?	√		
	2.2. Was the class atmosphere conducive for learning, print-rich with relevant posters, reading materials, word wall, etc.?	√		
	2.3. Did the learners have dictionaries to support active learning?	√		
	2.4. Were the desks and chairs arranged for group work?	√		
DESCRIPTION	LESSON PRESENTATION	Yes	No	N/A
3.	3.1. Did the teacher have a lesson plan?	√		
	3.2. Was there any warm-ups at the start of the lesson?	√		
	3.3. Did the lesson have an introduction?	√		
	3.4. Was the lesson presentation learner centred)	√		
	3.4. Did the teacher summarized the whole lesson at the end?	√		
	3.5. Did the teacher give a task/homework to the learners?	√		
DESCRIPTION	ASSESSMENT	Yes	No	N/A
4.	4.1. Are the instructions clear to the learners?	√		
	4.2. Is the language correctness on Grade level?	√		
	4.3. Did the teacher use different kinds of questioning?	√		
	4.5. Were all questions allocated marks, and total mark stated?	√		
	4.6. Was the time to be spent task/assessment indicated?	√		

(Some comments to be considered: - moderation tools employed by evaluators, - varied teaching methods, - teaching and learning environments that lack incentives, - effective pedagogy to influence effective teaching and learning, - use of variety of instructional materials, - scheming and planning of lessons, - effective questioning techniques, - pupils' work according to their level of cognitive development, - provision of individualized instruction and/or learning plans to meet their needs, - supervision of teachers by school heads, - knowledge of special needs education, - time management skills to cover curriculum, - lack of quality LTSM)

Comments on Classroom Observation: *The educators try hard to create a conducive learning and teaching environment in the classrooms by making sure the learners' desks are arranged in a proper manner and the classes are print-rich. The furniture at the school is enough for both learners and educators.*

Comments on Infrastructure: *The school building is proper. The classrooms at the school are not enough to accommodate the learners, they are overcrowded. The school does have playing fields or grounds.*

General Comments: *There is a proper library at the school, and a library to keep some books and reading materials. The school also has a storeroom to keep cleaning material and equipment.*

b) School's overall observation:

ITEM	COMMENT
1. Discipline	- It is at an acceptable level.
2. Punctuality	- It is at an acceptable level.
3. Absenteeism	- It is at an acceptable level.
4. School uniform	- The learners wear school uniform but not all of them were in full school uniform.
5. Extra-mural Activities	- There is soccer, netball, rugby, and athletics.
6. Safety and security	- There is safety and security at the school, well fenced with a remote controlled gate but there is no security guard at the gate.
7. Medical First Aids	- The school has an educator who gives assistance in case of emergency.
8. School building	- The school has proper building and mobile classrooms.
9. School facilities	- The school has a computer laboratory, storeroom, hall and a library.
10. School premise	- The school has sufficient grounds for learners to play.
11. Playing fields	- The school has only a netball field, for rugby and soccer it uses the community fields.

12. Human Resources	- The school has 44 educators, 38 females and 6 males; 2 secretaries and 4 general workers (2 females and 2 males).
13. Financial Resources	- The school is quintile 1, the learners do not pay school fees; the school is funded by the department of education.
14. Learning and teaching support material	- The school has enough learning and teaching support material.
15. Tools and equipment	- The school has enough tools and equipment for cleaning and gardening.
16. Tuition time	- The school starts 07h55 and knocks off 14h30 for the learners, 07h45 till 15h00 for teachers and for the non-teaching staff is from 07h00 till 14h00.
17. School outings	- The school is normally going out on educational tours and sporting activities.
18. School location	- The school is located at a township.
19. Feeding scheme	- The learners are provided with food by the school through the feeding scheme organized by the department.
20. Programs for learners with special educational needs	- There are extra classes for those learners with special educational needs.
21. Working relationship among the school stakeholders	- The SGB is composed of all the school's stakeholders which suggest a good working relationship.

SCHOOL = E

a) Class Observation

During the class observation the researcher used the following tool or instrument:

CLASS OBSERVATION and/or EVALUATION MEASURING TOOL				
GRADE:		SUBJECT:		DATE:
Are the following visible and correct?				
DESCRIPTION	LEARNERS' WRITTEN WORK	Yes	No	N/A
1.	1.1. Are the books of learners neat?	√		
	1.2. Is the quantity of academic work completed?	√		
	1.3. Is there evidence that skills and knowledge are tested in homework activities?	√		
	1.4. Does the written work reflect what must be taught, according to the lesson and assessment plan of the subject?	√		
	1.5. Is the handwriting of learners in their work books neat?	√		
	1.6. Are the learners' books marked by the teacher?	√		
	1.7. Does the teacher give corrections to learners' work and mark them?	√		
	1.8. Is the work of learners signed and dated by the teacher?	√		
	1.9. Was the written work on the books of learners scrutinized and signed by parents?	√		
	1.10. Is there any indication that internal moderation has taken place?	√		
	1.11. Is there any indication that external moderation has taken place?	√		
	Do the recommendations of the moderators reflect any positive sign of improvement?	√		
DESCRIPTION	CLASSROOM ORGANIZATION	Yes	No	N/A

2.	2.1. Was the classroom clean and well organized?	√		
	2.2. Was the class atmosphere conducive for learning, print-rich with relevant posters, reading materials, word wall, etc.?	√		
	2.3. Did the learners have dictionaries to support active learning?	√		
	2.4. Were the desks and chairs arranged for group work?	√		
DESCRIPTION	LESSON PRESENTATION	Yes	No	N/A
3.	3.1. Did the teacher have a lesson plan?	√		
	3.2. Was there any warm-ups at the start of the lesson?	√		
	3.3. Did the lesson have an introduction?	√		
	3.4. Was the lesson presentation learner centred?	√		
	3.4. Did the teacher summarize the whole lesson at the end?	√		
	3.5. Did the teacher give a task/homework to the learners?	√		
DESCRIPTION	ASSESSMENT	Yes	No	N/A
4.	4.1. Are the instructions clear to the learners?	√		
	4.2. Is the language correctness on Grade level?	√		
	4.3. Did the teacher use different kinds of questioning?	√		
	4.5. Were all questions allocated marks, and total mark stated?	√		
	4.6. Was the time to be spent task/assessment indicated?	√		

(Some comments to be considered: - moderation tools employed by evaluators, - varied teaching methods, - teaching and learning environments that lack incentives, - effective pedagogy to influence effective teaching and learning, - use of variety of instructional materials, - scheming and planning of lessons, - effective questioning techniques, - pupils' work according to their level of cognitive development, - provision of individualized instruction and/or learning plans to meet their needs, - supervision of teachers by school heads, - knowledge of special needs education, - time management skills to cover curriculum, - lack of quality LTSM)

Comments on Classroom Observation: *The educators try hard to create a conducive learning and teaching environment in the classrooms by making sure the learners' desks are arranged in a proper manner and the classes are print-rich. The furniture at the school is enough for both learners and educators.*

Comments on Infrastructure: *The school building is proper. The classrooms at the school are enough to accommodate the learners, and they are not overcrowded as they are plus minus thirty learners in a class. The school premise is big enough with playing fields or grounds.*

General Comments: *There is proper library to keep some books and reading materials. The school does have a storeroom to keep cleaning material and equipment.*

b) School's overall observation:

ITEM	COMMENT
1. Discipline	- The school has good discipline.
2. Punctuality	- Punctuality at the school is very good.
3. Absenteeism	- The school has an acceptable level of absenteeism.
4. School uniform	- All learners wear school uniform.
5. Extra-mural Activities	- Every sporting code is present at the school'
6. Safety and security	- The school is in a safe place near the police station, well secured by fence with a controlled remote gate but no security at the gate.
7. Medical First Aids	- Plans for medical first aids in place and any emergencies are dealt with the first aid team within the school.
8. School building	- The school has proper building.
9. School facilities	- The school has a computer laboratory, storeroom, hall, library, as well as technology, art and culture, and music rooms.
10. School premise	- The school has enough playing ground for learners.
11. Playing fields	- The school has so many playing fields, actually for all the sporting codes, soccer, rugby, netball, volleyball, bikes, cricket, etc.

12. Human Resources	- - The school has 50 educators, 36 females and 14 males; 6 secretaries and 11 general workers (5 females and 6 males).
13. Financial Resources	- The school is quintile 5, the learners pay school fees; and also funded by the department of education.
14. Learning and teaching support material	- The school has more than enough learning and teaching support material.
15. Tools and equipment	- The school has more than enough tools and equipment for all the services at the school.
16. Tuition time	- The school starts 07h50 and knocks off 14h10 for the learners, 07h30 till 15h00 for teachers and for the non-teaching staff is from 07h00 till 14h30.
17. School outings	- The school is going out on a regular basis
18. School location	- The school is in an urban area.
19. Feeding scheme	- There is no feeding scheme at the school.
20. Programs for learners with special educational needs	- There are extra classes for those learners with special educational needs, as well as special programs from external assistants.
21. Working relationship among the school stakeholders	- The SGB is composed of all the school's stakeholders which suggest a good working relationship.

APPENDIX E = DOCUMENTS PERUSAL (checklist and answers)

SCHOOL = A

DOCUMENT DESCRIPTION		AVAILABILITY		
		Yes	No	N/A
1. Policies:		Yes	No	N/A
	1.1. School vision	√		
	1.2. School mission statement	√		
	1.3. School policy	√		
	1.4. School Governing Body (SGB) Constitution	√		
	1.5. Code of conduct for learners	√		
	1.6. Code of conduct for teachers	√		
	1.7. Admission policy	√		
	1.8. Language policy	√		
	1.9. Safety and security policy	√		
	1.10. HIV and Aids policy	√		
	1.11. Finance policy	√		
	1.12. Procurement procedure	√		
2. Integrated Quality Management (IQMS) file:		Yes	No	N/A
	2.1. School Organogram	√		
	2.2. School structures or committees	√		
	2.3. School management plan	√		
	2.4. Year plan	√		
	2.5. Development plan	√		
	2.6. List of evaluation dates	√		
	2.7. List of grievance committee members	√		
	2.8. Personal Growth Plan	√		
	2.9. Self-evaluation forms	√		
3. Correspondence File:		Yes	No	N/A
	3.1. Circulars, Newsletters, General letters and Notices	√		
	3.2. Minutes of meetings	√		
4. Academic Performance (Systemic test results):		Results:		

Learning Area:	Year:	Grade 3	Grade 6
Literacy / Language	2016	10.0%	25.0%
	2017	27.0%	23.4%
	2018	48.6%	35.9%
Numeracy / Mathematics	2016	36.4%	8.3%
	2017	59.5%	16.8%
	2018	69.4%	70.9%

SCHOOL = B

DOCUMENT DESCRIPTION		AVAILABILITY		
1. Policies:		Yes	No	N/A
	1.1. School vision	√		
	1.2. School mission statement	√		
	1.3. School policy	√		
	1.4. School Governing Body (SGB) Constitution	√		
	1.5. Code of conduct for learners	√		
	1.6. Code of conduct for teachers	√		
	1.7. Admission policy	√		
	1.8. Language policy	√		
	1.9. Safety and security policy	√		
	1.10. HIV and Aids policy	√		
	1.11. Finance policy	√		
	1.12. Procurement procedure	√		
2. Integrated Quality Management (IQMS) file:		Yes	No	N/A
	2.1. School Organogram	√		
	2.2. School structures or committees	√		
	2.3. School management plan	√		
	2.4. Year plan	√		
	2.5. Development plan	√		
	2.6. List of evaluation dates	√		
	2.7. List of grievance committee members	√		
	2.8. Personal Growth Plan	√		
	2.9. Self-evaluation forms	√		
3. Correspondence File:		Yes	No	N/A
	3.1. Circulars, Newsletters, General letters and Notices	√		
	3.2. Minutes of meetings	√		
4. Academic Performance (Systemic test results):		Results:		
Learning Area:	Year:	Grade 3	Grade 6	
Literacy / Language	2016	35.5%	76.9%	

	2017	69%	67.9%
	2018	62.1%	75.0%
Numeracy / Mathematics	2016	48.4%	50%
	2017	58.6%	46.4%
	2018	69.0%	64.3%

SCHOOL = C

DOCUMENT DESCRIPTION		AVAILABILITY		
		Yes	No	N/A
1. Policies:		Yes	No	N/A
	1.1. School vision	√		
	1.2. School mission statement	√		
	1.3. School policy	√		
	1.4. School Governing Body (SGB) Constitution	√		
	1.5. Code of conduct for learners	√		
	1.6. Code of conduct for teachers	√		
	1.7. Admission policy	√		
	1.8. Language policy	√		
	1.9. Safety and security policy	√		
	1.10. HIV and Aids policy	√		
	1.11. Finance policy	√		
	1.12. Procurement procedure	√		
2. Integrated Quality Management (IQMS) file:		Yes	No	N/A
	2.1. School Organogram	√		
	2.2. School structures or committees	√		
	2.3. School management plan	√		
	2.4. Year plan	√		
	2.5. Development plan	√		
	2.6. List of evaluation dates	√		
	2.7. List of grievance committee members	√		
	2.8. Personal Growth Plan	√		
	2.9. Self-evaluation forms	√		
3. Correspondence File:		Yes	No	N/A
	3.1. Circulars, Newsletters, General letters and Notices	√		
	3.2. Minutes of meetings	√		
4. Academic Performance (Systemic test results):		Results:		
Learning Area:	Year:	Grade 3	Grade 6	

Literacy / Language	2016	18.8%	3.2%
	2017	33.1%	9.1%
	2018	34.6%	10.0%
Numeracy / Mathematics	2016	38.0%	6.3%
	2017	56.6%	5.7%
	2018	73.9%	5.0%

SCHOOL = D

DOCUMENT DESCRIPTION		AVAILABILITY		
		Yes	No	N/A
1. Policies:		Yes	No	N/A
	1.1. School vision	√		
	1.2. School mission statement	√		
	1.3. School policy	√		
	1.4. School Governing Body (SGB) Constitution	√		
	1.5. Code of conduct for learners	√		
	1.6. Code of conduct for teachers	√		
	1.7. Admission policy	√		
	1.8. Language policy	√		
	1.9. Safety and security policy	√		
	1.10. HIV and Aids policy	√		
	1.11. Finance policy	√		
	1.12. Procurement procedure	√		
2. Integrated Quality Management (IQMS) file:		Yes	No	N/A
	2.1. School Organogram	√		
	2.2. School structures or committees	√		
	2.3. School management plan	√		
	2.4. Year plan	√		
	2.5. Development plan	√		
	2.6. List of evaluation dates	√		
	2.7. List of grievance committee members	√		
	2.8. Personal Growth Plan	√		
	2.9. Self-evaluation forms	√		
3. Correspondence File:		Yes	No	N/A
	3.1. Circulars, Newsletters, General letters and Notices	√		
	3.2. Minutes of meetings	√		
4. Academic Performance (Systemic test results):				
Results:				

Learning Area:	Year:	Grade 3	Grade 6
Literacy / Language	2016	13.2%	4.4%
	2017	51.3%	11.6%
	2018	54.3%	36.2%
Numeracy / Mathematics	2016	30.0%	8.2%
	2017	62.3%	3.4%
	2018	72.0%	78.4%

SCHOOL = E

DOCUMENT DESCRIPTION		AVAILABILITY		
		Yes	No	N/A
1. Policies:		Yes	No	N/A
	1.1. School vision	√		
	1.2. School mission statement	√		
	1.3. School policy	√		
	1.4. School Governing Body (SGB) Constitution	√		
	1.5. Code of conduct for learners	√		
	1.6. Code of conduct for teachers	√		
	1.7. Admission policy	√		
	1.8. Language policy	√		
	1.9. Safety and security policy	√		
	1.10. HIV and Aids policy	√		
	1.11. Finance policy	√		
	1.12. Procurement procedure	√		
2. Integrated Quality Management (IQMS) file:		Yes	No	N/A
	2.1. School Organogram	√		
	2.2. School structures or committees	√		
	2.3. School management plan	√		
	2.4. Year plan	√		
	2.5. Development plan	√		
	2.6. List of evaluation dates	√		
	2.7. List of grievance committee members	√		
	2.8. Personal Growth Plan	√		
	2.9. Self-evaluation forms	√		
3. Correspondence File:		Yes	No	N/A
	3.1. Circulars, Newsletters, General letters and Notices	√		
	3.2. Minutes of meetings	√		
4. Academic Performance (Systemic test results):		Results:		
Learning Area:	Year:	Grade 3	Grade 6	

Literacy / Language	2016	N/A	87.8%
	2017	N/A	88.7%
	2018	N/A	89.8%
Numeracy / Mathematics	2016	N/A	97.4%
	2017	N/A	94.4%
	2018	N/A	96.1%

NB. This school starts from Grade 4 to 7

APPENDIX F = Letters

- Letter to DoE seeking permission to conduct research



13 August 2018

The Department of Basic Education
Western Cape Provincial Government

TO WHOM IT MAY CONCERN

Re: Application for permission to conduct research in primary schools in the Western Cape Province

Dear Sir/Madam

Kindly be informed that Mr JP Sigudla (St. no. 57303126) is a registered Doctoral Degree student at UNISA. He is currently pursuing a research on the topic “**A framework for effective implementation of Integrated Quality Management System (IQMS) in Primary Schools in the Western Cape Province**”. The student chose to use Participatory Action Research Approach to collect data. Participants might include a few number of school stakeholders, such as teachers, school management teams of the selected primary schools in the Western Cape, i.e. Metropole North Education District (MNED) and Metropole East Education District (MEED). Once the project is completed, I trust that the researcher will share the findings with the relevant stakeholders.



A handwritten signature in black ink, appearing to read "SP Mokoena", written over a horizontal line.

Prof SP Mokoena

Education Leadership & Management

| Cell: +27 (82) 675 6155 |

E-mail: mokoesp@unisa.ac.za

- Letter from DoE Research Directorate granting permission



Directorate: Research
Audrey.wyngaard@westerncape.gov.za
tel: +27 021 467 9272
Fax: 0865902282
Private Bag x9114, Cape Town, 8000
wced.wcape.gov.za

REFERENCE: 20180820–5448

ENQUIRIES: Dr A T Wyngaard

Mr Jeffrey Sigudla
114 Third Avenue
Belmont Park
Kraaifontein
7570

Dear Mr Jeffrey Sigudla

RESEARCH PROPOSAL: A FRAMEWORK FOR EFFECTIVE IMPLEMENTATION OF INTEGRATED QUALITY MANAGEMENT SYSTEM (IQMS) IN PRIMARY SCHOOLS IN THE WESTERN CAPE PROVINCE

Your application to conduct the above-mentioned research in schools in the Western Cape has been approved subject to the following conditions:

1. Principals, educators and learners are under no obligation to assist you in your investigation.
2. Principals, educators, learners and schools should not be identifiable in any way from the results of the investigation.
3. You make all the arrangements concerning your investigation.
4. Educators' programmes are not to be interrupted.
5. The Study is to be conducted from **20 May 2019 till 27 September 2019**
6. No research can be conducted during the fourth term as schools are preparing and finalizing syllabi for examinations (October to December).
7. Should you wish to extend the period of your survey, please contact Dr A.T Wyngaard at the contact numbers above quoting the reference number?
8. A photocopy of this letter is submitted to the principal where the intended research is to be conducted.
9. Your research will be limited to the list of schools as forwarded to the Western Cape Education Department.
10. A brief summary of the content, findings and recommendations is provided to the Director: Research Services.
11. The Department receives a copy of the completed report/dissertation/thesis addressed to:

**The Director: Research Services
Western Cape Education Department
Private Bag X9114
CAPE TOWN
8000**

We wish you success in your research.

Kind regards.

Signed: Dr Audrey T Wyngaard

Directorate: Research

DATE: 20 May 2019

Lower Parliament Street, Cape Town, 8001
tel: +27 21 467 9272 fax: 0865902282
Safe Schools: 0800 45 46 47

Private Bag X9114, Cape Town, 8000
Employment and salary enquiries: 0861 92 33 22
www.westerncape.gov.za

- **UNISA Research Ethics Clearance Certificate**



UNISA COLLEGE OF EDUCATION ETHICS REVIEW COMMITTEE

Date: 2019/06/12

Ref: **2019/06/12/57303126/23/MC**

Name: Mr JP Sigudla

Student: 57303126

Dear Mr Sigudla

Decision: Ethics Approval from
2019/06/12 to 2024/06/12

Researcher(s): Name: Mr JP Sigudla
E-mail address: sigudlajp@gmail.com
Telephone: +27 72 791 6950

Supervisor(s): Name: Prof SP Mokoena
E-mail address: mokoenasp@unisa.ac.za
Telephone: +27 82 675 6155

Title of research:

A framework for effective implementation of Integrated Quality Management System in primary schools in the Western Cape Province.

Qualification: PhD in Educational Leadership and Management

Thank you for the application for research ethics clearance by the UNISA College of Education Ethics Review Committee for the above mentioned research. Ethics approval is granted for the period 2019/06/12 to 2024/06/12.

The **medium risk** application was reviewed by the Ethics Review Committee on 2019/06/12 in compliance with the UNISA Policy on Research Ethics and the Standard Operating Procedure on Research Ethics Risk Assessment.

The proposed research may now commence with the provisions that:

1. The researcher(s) will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.



Unjverstty of South Africa
Preller Street. Muckleneuk Ridge, City of Tshwane
PO Box 392 UNISA 0003 South Africa
Telephone: +27 1 2 429 3 1 1 1 Facsimile: +27 1 2 429 4 1 50
www.unisa.ac.za

2. Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study should be communicated in writing to the UNISA College of Education Ethics Review Committee.
3. The researcher(s) will conduct the study according to the methods and procedures set out in the approved application.
4. Any changes that can affect the study-related risks for the research participants, particularly in terms of assurances made with regards to the protection of participants' privacy and the confidentiality of the data, should be reported to the Committee in writing.
5. The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study. Adherence to the following South African legislation is important, if applicable: Protection of Personal Information Act, no 4 of 2013; Children's act no 38 of 2005 and the National Health Act, no 61 of 2003.
6. Only de-identified research data may be used for secondary research purposes in future on condition that the research objectives are similar to those of the original research. Secondary use of identifiable human research data requires additional ethics clearance.
7. No field work activities may continue after the expiry date **2024/06/12**. Submission of a completed research ethics progress report will constitute an application for renewal of Ethics Research Committee approval.

Note:

*The reference number **2019/06/12/57303126/ 23/ MC** should be clearly indicated on all forms of communication with the intended research participants, as well as with the Committee.*

Kind regards,



Prof AT Motlhabane
CHAIRPERSON: CEDU RERC
motlhat@unisa.ac.za



Prof PM Sebate
ACTING EXECUTIVE DEAN
Sebatpm@unisa.ac.za

Approved - decision template — updated 16 Feb 2017

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- **Letter to Principals seeking permission to conduct research**

114 Third Avenue
Belmont Park
Kraaifontein, 7570
12 June 2019

The School Manager

Sir/Madam

RE: APPLICATION TO CONDUCT ACADEMIC RESEARCH

I am a Doctorate student at the University of South Africa in the faculty of education management and leadership, and a deputy principal at Ekuthuleni Primary School in the Metropole East Education Department (MEED). I am undertaking a study titled: **“A framework for effective implementation of Integrated Quality Management System (IQMS) in Primary Schools in the Western Cape Province”**.

The study aims to make recommendations for a holistic, integrated quality assurance system, which can be implemented at a national level. The study will be conducted in five schools, i.e. three from Metropole North Education District (MNED) and two from Metropole East Education District (MEED).

I assure you that the information furnished and the views expressed will be duly acknowledged in the dissertation and treated with strict confidence. The normal teaching and learning programme will not be disturbed. A copy of the report will be made available to the Department of Education on completion of the study.

Thanking you in anticipation of a favourable response.

Yours truly



SIGUDLA JP (Mr)

UNISA Ref. 2019/06/12/57303126/ 23/ MC

- **Letter to participants inviting them to take part in the research**

114 Third Avenue
Belmont Park
Kraaifontein, 7570
12 June 2019

Dear Colleague

Sir/Madam

RE: APPLICATION TO CONDUCT ACADEMIC RESEARCH

I am a Doctorate student at the University of South Africa in the faculty of education management and leadership, and a deputy principal at Ekuthuleni Primary School in the Metropole East Education Department (MEED). I am undertaking a study titled: **“A framework for effective implementation of Integrated Quality Management System (IQMS) in Primary Schools in the Western Cape Province”**.

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Thanking you in anticipation of a favourable response.

Yours truly



SIGUDLA JP (Mr)

UNISA Ref. 2019/06/12/57303126/ 23/ MC

- **Letter / certificate from the language editor**

Write Up Your Alley
Proofreading and Editing Services
Phone: 083 565 9363
email: writer@writeupyouralley.co.za

11 River Street
Rosebank
Cape Town
7700

LANGUAGE EDITING

15 November 2019

To whom it may concern

This letter serves to confirm that I have edited the Thesis by Jeffrey Pikky Sigudla entitled '**A FRAMEWORK FOR EFFECTIVE IMPLEMENTATION OF INTEGRATED QUALITY MANAGEMENT SYSTEM IN PRIMARY SCHOOLS IN THE WESTERN CAPE PROVINCE**'.

The special instructions or comments were:

- Proofread and edit thesis, paying special attention to any spelling, punctuation, grammatical and typographical errors.
- Send one copy of edited document to client, showing all track changes.
- Send one clean copy of edited document to client, with all track changes accepted.

The onus rests upon the client to make sure that all sources/references have been adequately cited/acknowledged.

Yours sincerely
Mrs K Macdonald
Write Up Your Alley Proofreading and Editing Services

Writer | Copywriter | Editor | Proofreader | Transcriber

Bachelor of Arts, English - University of KwaZulu-Natal
Member of SAFREA
Member of Professional Editors' Guild
<https://writeupyouralley999.wordpress.com>

APPENDIX G TSM 3/4 FORM (BOTSWANA)

CONFIDENTIAL
REPUBLIC OF BOTSWANA

FORM TSM 3/4 (Revised 1994)

TSMNo.
Job Code No.

TEACHING SERVICE MANAGEMENT TEACHER PERFORMANCE APPRAISAL (COR 110 & 111)

Reporting period from----- to _____ GENERAL GUIDELINES TO THE SUPERVISOR: The purpose of this appraisal is to assess objectively the performance of the Teacher in his/her post. This should indicate whether the performance level justifies:

- a) Some reward or not.
- b) Specific training that the teacher should receive to improve performance and productivity.
- c) The appointment of the Teacher to a higher position, or the advancement to a higher notch/grade.

It is assumed that the Reporting Supervisor;

- a) Thoroughly knows the Teacher being appraised.
- b) Has full understanding of the job content of the appraisee.
- c) Should have known and supervised the Appraisee for a period of at least three months.

The merit assessment (Section B) should be shown to the Teacher and discussed with him/her. The discussion should relate closely to the previous interview, in which the job description was given and expectations sketched. It should, too, focus on practical ways of improving the Teacher's performance and the productivity of the institution.

This appraisal should be used for all Teachers under the Teaching Service Management and should objectively reflect the strengths and weaknesses observed during the period (one year).

Section A: General Information. (To be completed by the Teacher).

PARTICULARS OF TEACHER

Ministry:	Department:	School/Institution:	Salary Scale:	Notch: p
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Job Title: _____ Name: _____

MARITAL STATUS: Married: Single: Widowed: Divorced:

DATE OF BIRTH: Day Month Year

QUALIFICATIONS: a) Academic: -----
 b) Professional: -----

TOTAL YEARS TEACHING EXPERIENCE:
 a) In Botswana: -----
 b) Elsewhere: -----

TERMS OF SERVICE: Probation Permanent: Temporary: Contract:

QUALIFICATIONS: a) Academic: -----
 b) Professional: -----

TOTAL YEARS TEACHING EXPERIENCE: a) In Botswana: -----
 b) Elsewhere: -----

TERMS OF SERVICE: Probation Permanent: Temporary: Contract:

Standards/Forms: _____

Subject(s) Taught: _____

Comments on the Job (Teacher's views on the job situation, covering specific aspects, such as: Any noteworthy contribution made, special training, situational constraints, hopes, expectations, ambitions):

B. 1 MERIT ASSESSMENT

Section B in classroom (To be completed by the immediate supervisor, who should have observed the Appraisee on at least three occasions when he/she was teaching. This is a summary of a number of observations.)

Lesson Preparation	10 9	8 7	6 5	4 3	2 1	Comment:
Is this adequate and clear?	Very thorough	Good	Fair	Sketchy	Inadequate	

Voice Projection	10 9	8 7	6 5	4 3	2 1	Comment:
Is the Teacher clearly heard? Diction	Strong and clear	Highly Audible	Audible	Scarcely audible	Inaudible	

Presentation of Material	10 9	8 7	6 5	4 3	2 1	Comment:
Subject Matter	Easily Understood	Logical	Fair	Too Fast	Difficult to follow	

Use of Teaching Aids	10 9	8 7	6 5	4 3	2 1	Comment:
	Excellent	Good	Occasional	Not Successful	Not Used	

Classroom Management	10 9	8 7	6 5	4 3	2 1	Comments:
Is the Teacher able to control pupils/students?	Easy Control	Good	Relaxed	Too harsh	No Control	

Mannerisms	10 9	8 7	6 5	4 3	2 1	Comments:
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Does the Teacher display any distracting behaviour?	None	Some, but not important	Some	Too much to be accepted	Extremely distracting	
---	------	-------------------------	------	-------------------------	-----------------------	--

Marking and Correction	10 9	8 7	6 5	4 3	2 1	Comments:
Does the Teacher mark pupil's work regular and indicate mistakes?	Neat, very regular and constructive	Very regularly	Fair	Occasional, untidy	Unsatisfactory	

Knowledge of Subject Taught	10 9	8 7	6 5	4 3	2 1	
How well does the Teacher know the subject?	Very thorough	Good	Fair	Weak	Unsatisfactory	

Methods	10 9	8 7	6 5	4 3	2 1	
Does the Teacher appropriate, effective methods?	Very enterprising	Well planned	Satisfactory	Poor	Ineffective	

Reaction of class	10 9	8 7	6 5	4 3	2 1	Comment
Are pupils showing interest in the lesson?	Eager Participation	Interested	Accepting	Inattentive	Bored	

Signature of Appraiser: _____

B.2 General School Life. (The completed by the Head of the School/Institution, who should have supervised the Appraisee for at least three months)

Extra-curricular Activities	10	9	8	7	6	5	4	3	2	1	Comment:
How often and how enthusiastically is the Teacher engaged in these activities?	Actively involved; successful		Useful		Fair		Helps when asked to		Unwilling		

Attitude to Supervisors	10	9	8	7	6	5	4	3	2	1	Comment:
Is the Teacher positive and understanding	Supportive		Good		Accepts		Resentful		Causes discontent		

Discretion in Confidential matters	10	9	8	7	6	5	4	3	2	1	Comment:
Does the Teacher exercise reasonable care in what information to disclose?	Absolute		Usually Good		Fair		Tends to talk		Not to be trusted		

Examples to pupils	10	9	8	7	6	5	4	3	2	1	Comment
Does the Teacher set the desired	Outstanding		Good		Fair		Poor		Very bad		

example to pupils?							
--------------------	--	--	--	--	--	--	--

Dress and Appearance	10	9	8	7	6	5	4	3	2	1	Comment
Does he/she dress as required? Is she neat and tidy?	Neat and tidy		Good		Sometimes good		Casual		Untidy		

Relationship with all staff members	10	9	8	7	6	5	4	3	2	1	Comment
Does he/she get well with all co-workers?	Excellent		Good		Fair		Poor		Unpleasant		

Punctuality	10	9	8	7	6	5	4	3	2	1	Comment:
How often does he/she observe time?	Always on time		Usually on time		Fairly good		Seldom on time		Never on time		

Relationship with pupils	10	9	8	7	6	5	4	3	2	1	Comment:
How does the Teacher relate professionally with pupils?	Excellent		Very good		Good		Fair		Too familiar/not approachable		Comment

Response to Request/Meeting of Deadlines	10	9	8	7	6	5	4	3	2	1	Comment:

Readiness to volunteer help. Does the Teacher hand in assignment on time?	Excellent	Very good	Satisfactory	Reacts slowly	No reaction	Comment
---	-----------	-----------	--------------	---------------	-------------	---------

Attitude to work	10	9	8	7	6	5	4	3	2	1	Comment:
Is it positive? Is he/she motivated?	Seeks additional work	Prepares assigned work regularly	Needs occasional prodding	Needs constant pressure	Seldom works, even under pressure						

Influence leadership	10	9	8	7	6	5	4	3	2	1	Comment:
Does he/she take initiative and encourage others to work?	Judgement respected	Leads in important affairs	Sometimes in minor affairs	Passive	Negative						

Guidance and Counselling	10	9	8	7	6	5	4	3	2	1	Comment:
How active is the Teacher in pursuing Student's problems outside the classroom?	Shows much involvement	Fruitful effort made	Usually involved	Sees the need but does little	Shows no concern						

Section B.3 Outside the School. (To be completed by the Head of the School/Institution, who should have supervised the Appraisee for at least three months).

Community Involvement	10	9	8	7	6	5	4	3	2	1	Comment:
How much does the Teacher participate in the life of the community?	Very involved		Active		Helps when asked		Little involvement		Does nothing/does too much		

Does the Teacher's Way of Life Bring Credit to the School and the Profession?	10	9	8	7	6	5	4	3	2	1	Comment:
	Highly respected		Respected		Neutral		Not highly regarded		Brings discredit		

General Observation by the Teacher Being Appraised. Overall Observation and Recommendations by the Head.

.....

.....

.....

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.....

Date: _____ Signature of Appraisee: _____ Date: _____ Signature of Head: _____

C. Training and Development Assessment. (To be completed by the Head of the School/Institution.)

Performance Improvement Training

In order to improve the Teacher's performance or overcome a known performance gap in the present job, the following training is recommended:

Signature of Head

D. Assessment of Pensionable Service. (Please place a tick in the appropriate box.)

In view of the merit assessment in Section B:	
1. a) The Teacher is recommended for the appointment to the Permanent and Pensionable Service	<input type="checkbox"/>
b) The Teacher is not recommended for appointment to the Permanent and Pensionable Service	<input type="checkbox"/>
The probation period should be extended for a further period of months	<input type="checkbox"/>
C) It is recommended that the appointment should be terminated	<input type="checkbox"/>
2. a) The Teacher is recommended for receipt of the annual increment	<input type="checkbox"/>
b) The Teacher is not recommended for the receipt of the annual increment	<input type="checkbox"/>
3. a) The Teacher is recommended for promotion beyond the Proficiency Bar	<input type="checkbox"/>
b) The Teacher is not promoted beyond the Proficiency Bar	<input type="checkbox"/>
4. Other	
5. Additional Comment: _____	
Date: _____	Signature of Head: _____

E: Comments by the Chief Education Officer.

1. I agree/disagree with the merit assessment and the recommendation for increment. (Comments, if any): _____
2. I agree/disagree with the recommendation on appointment to Pensionable Service. (Comments, if any): _____
3. I agree/disagree with the recommendation on Training and Development Needs. (Comments, if any): _____
4. I agree/disagree with the recommendation on promotion beyond the Proficiency Bar of the Teacher. (Comments, if any): _____
5. General Comments by the Chief Education Officer: _____
Date: _____ Signature: _____ Name (in Block Letters): _____

F: Action by the Directorate of Teaching Management Service.

1. Action on Increment:	
a) Increment granted/not granted _____	
b) Accounted General informed through letter ref. _____	
c) The Teacher informed (if applicable) through letter ref. _____	
Date: _____	
Action Officer's Initial _____	Date: _____
2. Action on Probationary/Pensionable Services:	
a) Appointment to Pensionable Service effected through letter ref. _____ Date: _____	
b) Probationary Period/Appointment effect through letter ref. _____ Date: _____	

c) Probationary Period/Appointment discontinued. Teacher informed by letter ref. _____ Date: _____

3. Action on Training and Development:
a) Information on training and development needs to be communicated to/extracted Training Division follow-up action.
Action Officer's Initials: _____ Date: _____

4. Action on Progression:
a) Recommendation on advancement from _____ to _____
b) Recommendation on promotion accepted/not accepted. Ministry informed through letter ref. _____
Date: _____
c) Promotion exercise carried out and result communicated through letter ref. _____
Date: _____

Action Officer's Initial: _____ Date: _____

APPENDIX H TSM 5 FORM (BOTSWANA)

CONFIDENTIAL REPUBLIC OF BOTSWANA FORM TSM 5

TEACHING SERVICE MANAGEMENT IMPLEMENTATION OF PARALLEL PROGRESSION FOR TEACHERS. RECOMMENDATION FOR PROMOTION/PROGRESSION

1. TO BE COMPLETED BY THE HEADS OF INSTITUTIONS

- a) Name of Teacher:
- b) TSM Number:
- c) Academic & Professional Qualification (please give accurate information)
- d) Terms of Employment:
- e) Years of Teaching Experience:
 - i) In Botswana: ii) Elsewhere:
- f) Current post held:
- g) Date Appointed to Current Post:
- h) Standard of Performance in Present Grade/Post:
- i) Ability to Support and Counsel Colleagues (where applicable). Please Specify.
- j) Willingness to assist in Extra-Curricula activities or special duties:
- k) Any noteworthy professional conduct in the present grade/post:
- l) Assessment for promotion:
- i) The officer is now suitable for promotion to the post of at grade
but in the normal tum.
- m) The teacher is suitable for accelerated promotion to the post of at
grade (for job content and specifications of this post refer to schemes of service.)
The Term "Accelerated Promotion" means the teacher is exceptionally capable in all respects and should be
considered for promotion to a higher grade before he/she completes three years in the current grade.

Date: Signature: Print Name:

2. TO BE COMPLETED BY THE REGIONAL EDUCATION OFFICER

- a) I agree/disagree with the merit assessment and recommendation for promotion/progression
- COMMENTS:

Date: Signature: Print Name:

3. COMMENTS BY DIRECTOR OF SECONDARY EDUCATION/PRIMARY EDUCATION/ TEACHER TRAINING AND DEVELOPMENT

.....
.....

Date: Signature: Print Name:

4. ACTION BY THE DIRECTORATE OF TEACHING SERVICE MANAGEMENT

a) Recommendation on advancement from to accepted/not
accepted. State reasons for non-acceptance:

.....

Action Officer's Initials Position Date:

..... b) Promotion exercise carried out and result communicated through letter reference
..... dated

Action Officer's Initials Position Date: