

# **TEACHER APPRAISAL IN THE NORTHERN PROVINCE: A MANAGEMENT PERSPECTIVE**

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## **DECLARATION**

I, the undersigned hereby declare that the work contained in this theses is my own original work and has not previously in its entirety or in part has been submitted at any University for a degree.

**HUMBULANI. B. MUDAU**

**DATE**

## DECLARATION BY THE LANGUAGE EDITOR

I, Nephawe Thomas, declare that the language in this thesis was edited by me.

  
NEPHAWE THOMAS

20/11/2000  
DATE

## SUMMARY

**Chapter 1** provides the motivation for the study and a description of the problems. It outlines the aims of the research, the methodology used and clarifies certain concepts that will be used in this study.

Teaching, like in any other sectors, need to be appraised and supervised. This helps teachers to know whether their teaching is successful or whether they need help. On the other hand, the employer must also know whether teachers are doing what is expected of them. Both the employer and the employees must understand the need for appraisal and its necessity in schools.

In **Chapter 2**, different appraisal approaches (judgemental and developmental) are identified. For a long time in South Africa, the judgemental approach was used to victimise and intimidate teachers. Consequently, teachers are no longer interested in this kind of approach. They regard this approach as a fault-finding one that has caused the general breakdown of educational activities in the early 1990s. What teachers need is simple and clear. They need an appraisal that definitely facilitates their personal and professional development so that the quality of teaching and education management can be improve.

The discussion in **Chapter 3** centres around different appraisal methods designed to empower secondary school principals with necessary management and communication skills, knowledge and competencies that would help them to conduct an effective and acceptable appraisal. On the other hand, teachers need to have a sense of ownership in the process that affects their work. For this reason, teachers' involvement in the appraisal process is of a paramount importance. This involvement can be in the form of the SDTs or appraisal panels. Therefore, teachers support the new developmental appraisal approach that emphasises openness, transparency, a climate of democratic decision making, respect of individual rights, an effective support structures for all staff and commitment to the professional development of all staff.



**Chapter 4**, therefore centres around the developmental aspects of teacher appraisal. From the management point of view, the principal is the most important key player in this process. They are responsible for the professional management of the school, i.e. day-to-day organisation and control of the teaching and learning activities. This means that he or she must constantly monitor the teaching and learning processes and not learners outcomes only. As long as teachers are appraised, feedback on performance must be provided as soon as possible. Unlike in the judgemental approach, teachers deserve to be praised for the good work they do. Even if the performance is less satisfactory, feedback should be given in positive terms.

It should be borne in mind that the appraisal process depends on the appropriate structures and procedures that need to be reinforced by effective personal relationships. If principals can develop a trusting relationship with teachers in regard to teacher appraisal and supervision, teachers will tend to be more receptive. Unless school principals are committed to undergo some training, or to attend appraisal workshops or seminars, it will be difficult for many principals to acquaint themselves with this new developmental appraisal approach.

**Chapter 5** contains an overview and the findings about teacher appraisal. It is a conclusive chapter with certain recommendations i.e. recommendations for the enhancement of teacher appraisal process and suggestions for further research.

**Hoofstuk 1** bevat die motivering vir die studie, asook 'n beskrywing van die probleme wat as agtergrond gedien het vir die studie. Die doelstellings van die navorsing en die metodologie wat gevolg gaan word, word hier uiteengesit. Ook word konsepte/begrippe wat in die studie gebruik word in hierdie hoofstuk verduidelik.

In die onderwys, soos in enige ander ekonomiese of maatskaplike instansie, behoort prestasie beoordeel te word. Dit help onderwysers om te bepaal of hul onderrig suksesvol is en of hulle hulp nodig het. Aan die ander kant moet die werkgever ook weet of die onderwysers doen wat van hulle verwag word. Beide werkgever en werknemer moet die noodsaaklikheid van en die behoefte aan prestasiebeoordeling in die skole begryp.

In **Hoofstuk 2** word verskillende prestasiebeoordelingbenaderings (beoordelend en ontwikkelend) geïdentifiseer. Vir 'n geruime tyd is die beoordelende benadering in Suid-Afrika gebruik om die werkprestasies van onderwysers te evalueer. Onderwysers is om verstaanbare redes nie voorstanders van hierdie benadering nie. Volgens hulle is hierdie benadering net ingestel op die vind van foute. Dit het dan ook in 'n hoë mate aanleiding gegee tot die algemene aftakeling van veral onderrigaktiwiteite in die vroeë negentigerjare. Onderwysers benodig 'n prestasiebeoordelingstelsel wat hul persoonlike en professionele ontwikkeling sodanig fasiliteer dat die kwaliteit van onderwys en onderrig sal verbeter.

**Hoofstuk 3** fokus op verskillende prestasiebeoordelingmetodes wat ontwerp is om die skoolhoofde van sekondêre skole te bemagtig met die nodige bestuur- en kommunikasievaardighede en kennis en bevoeghede om prestasiebeoordeling op 'n effektiewe en aanvaarbare wyse uit te voer. Aan die ander kant behoort die onderwysers eienaarskap te hê in die beoordelingsproses, met ander woorde, behoort hulle betrokke daarby te wees. Hierdie betrokkenheid kan gestalte kry in personeelontwikkelingspanne. Onderwysers ondersteun juis daarom die ontwikkelende beoordelingsbenadering wat klem lê op openheid, deursigtigheid, demokratiese besluitneming, respek vir individuele regte, effektiewe ondersteuningstrukture vir alle personeel en die betrokkenheid van personeel by hulle professionele ontwikkeling.



In **Hoofstuk 4** word die ontwikkelingsaspekte by die beoordeling van onderwysers uiteengesit. Binne die bestuursproses is die skoolhoof die belangrikste rolspeler in hierdie verband. Hy is verantwoordelik vir die professionele bestuur van die skool, wat onder andere insluit die dag-tot-dag organisasie en kontrole van die onderrig- en leeraktiwiteite. Hy of sy moet die onderrig- en leerprosesse kontant monitor, en nie slegs die leeruitkomstes nie. Wanneer onderwysers beoordeel word, moet terugvoer so gou as moontlik plaasvind. Anders as by die beoordelende benadering word onderwysers by die ontwikkelingsbenadering geprys vir die goeie werk wat hulle verrig. Al is die gehalte van 'n onderwyser se werk ook onbevredigend, behoort terugvoer op 'n positiewe wyse hanteer te word.

Omdat die sukses van die beoordelingsproses in 'n groot mate afhang van die gepaste strukture en prosedures, moet dit ook deur effektiewe persoonlike verhoudings versterk word. 'n Vertrouensverhouding tussen die skoolhoof en sy onderwysers met betrekking tot die proses van supervisie en hulle prestasiebeoordeling, sal onderwysers meer ontvanklik maak. Om 'n sukses te maak van hierdie nuwe ontwikkelende prestasiebeoordelingbenadering, behoort skoolhoofde bereid te wees om opleiding te ondergaan, of om prestasiebeoordelings-werkswinkels/seminare by te woon.

**Hoofstuk 5** bevat 'n samevattende oorsig van die skripsie en verwys ook na die bevindinge van die studie. Hierin word ook sekere aanbevelings gemaak ten opsigte van die hele proses van prestasiebeoordeling, asook voorstelle vir verdere navorsing.

## **DEDICATION**

*The work is dedicated to my wife Cecilia who have a special place in my heart.*

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# CHAPTER 1

## INTRODUCTORY PERSPECTIVE

### 1.1 INTRODUCTION

It has long been an accepted proposition that appraisal of human performance is an activity essential to the well being of society. Performance appraisal is commonplace in everyday living. Generally, teacher appraisal is a means of promoting, through the use of certain techniques and procedures, the organisation's ability to accomplish its mission of providing a better service or product, while at the same time enhancing the staff satisfaction and development. If teachers are to perform effectively, they must be well motivated, understand what is expected of them and have the ability and skills to fulfil their responsibilities (Poster and Poster, 1991 : 1).

It should be remembered that schools are complex organisations that should have an effective appraisal system to improve and maintain high standards of teaching. This means that the quality of education depends on the quality of teaching and effectiveness of teachers' action to motivate learners towards energetic learning. For this reason, appraising the quality of teaching is an attempt, broadly speaking, to ensure the realisation of educational objectives. This is supported by Duke (1990 : 108) when he stresses the fact that evaluation is the conscience, if instruction is the heart of teaching. As a matter of fact, teacher appraisal forms a very important part of teachers' work and should be done regularly.

From the management point of view, evaluation is an unavoidable process and it is essential to monitor and manage the work of those teachers who make schools more or less successful. In any education system, appraisal should be seen as something that provides a wonderful opportunity for building collegiality, developing personally and professionally, and ensuring that teachers provide quality education to the learners whose

lives are being shaped so proudly. Therefore, the basic needs in an appraisal system are for fair and effective evaluation based on a performance and designed to encourage improvement in both the teacher being evaluated and the school. In addition, the use of an effective and meaningful appraisal system must be the accepted practice. Unless teacher appraisal is seized as an opportunity by which schools and individual teachers, can both benefit, there is a danger that the result will be the imposition of a bureaucratic assessment system which will be inimical to a profession dedicated to development and improvement.

In the South African context, South Africa has a long history of unfair discrimination. As a matter of fact, the appraisal system had not been as good as it should be. But in 1994 the South African government underwent a radical political change. This has also affected education system in general and appraisal system in particular. That is why the new developmental appraisal system, unlike the previous one during the pre-democratic era, is based on democratic principles such as democracy, openness and transparency.

## **1.2 HISTORICAL PERSPECTIVE ABOUT TEACHER APPRAISAL**

The previous system of inspection and supervision in South Africa was rooted in the wider apartheid - based system of governance, management and administration. This system of evaluation and appraisal has been largely inspectorial and bureaucratic. It shared with all other aspects of the education bureaucracy, a top-down, closed, hierarchical and authoritarian character. In the case of black teachers, it has been concerned with bureaucratic efficiency and social control rather than professional development (South African Democratic Teachers' Union, 1994 : 1). Besides, there were nineteen Departments of Education, each with its own peculiarities. Worse still, there were very little uniformity across these departments and the system of assessment was highly fragmented.



To many of teachers in South Africa, assessment has been uneven, unreliable, unacceptable and the methods and resources that have been employed have been regionally and systematically idiosyncratic and inefficient. As a matter of fact, teachers viewed evaluation and appraisal as threatening and judgemental in character and a system that geared towards faultfinding, product-orientation and punishing weaknesses. Particularly in Black education, supervision was orientated towards improving exam results as a narrow objective rather than improving educational processes. Generally, it was focused on assessing with a view to monetary rewards, and it was also overwhelmingly about compliance with departmental regulations rather than engaging educators about their work (Chetty *et al*, 1993 : 13).

Loyalty to officials and their departments overweighed the interests and needs of teachers. Consequently, teachers' perceptions of the previous evaluation system reflected a strong sense of distrust, anxiety and apprehension. According to Chetty *et al* (1993 : 13) the progressive educators have campaigned against the system. As a result, the activities of inspectors and subject advisors were suspended in large part of the country. For example, in 1990 teachers in the former Venda, Gazankulu and Lebowa, in the Northern Province, petitioned the Department of Education demanding that daily preparations and scheme of work be done away with, and instead work programme be supplied. Obviously, principals and inspectors were regarded as faultfinders who enforced a system, which was illegitimate and unacceptable. As a results they attracted the anger of many teachers.

Within the organised teaching profession the need was felt to develop a new appraisal system which could be acceptable to all stakeholders and would enhance the development of competency of educators and the quality of public education in South Africa. Through negotiations, research and piloting of the various proposals in which teachers unions participated, a document which represents the good faith which exists between various stakeholders, and embraces the democratisation that is prevalent in education in South Africa today, was finalised (Department of Education, 1999 : 51 - 52).



Therefore, the need to restore an appraisal system for educators was thus a concern shared by all teacher formations and ex-departments of education. For instance, in October 1994, a conference on School Management, Teacher Development and Support, was held at the Escom Centre in Midrand, Johannesburg. It was at this conference whereby Swartz (1994 : 88) stresses the fact that all the actors affected by the system, teachers and managers alike, will have to contribute towards the development of a new appraisal system. Therefore, the new teacher appraisal instrument initiated by South African Democratic Teachers' Union (SADTU) and negotiated with organisations like National Professional Teachers of South Africa (NAPTOSA) and the Department of Education and Training (DET), was a good start towards the development of a new democratic and transparent system.

At this conference, the following were among the key issues in regard to the new appraisal system to be resolved:

- \* General agreement of the guiding principles.
- \* Overall consensus on the nature of the instrument.
- \* General agreement on the need to pilot the new appraisal system with post level 1 educators before it may be implemented.

Therefore, the Education Policy Unit of the University of Witwatersrand conducted a study of the new appraisal system between 1995 and 1996. According to the **Developmental appraisal for educators** (DE, 1999 : 51-52) the report documenting its findings was released in July 1997. The findings of the study released that the new teacher appraisal should be applied in all schools in South Africa and that all teachers, school managers and department officials should be trained in order to be equipped with the necessary knowledge to actually implement the new appraisal system.

Simultaneously, while the study was being conducted, further discussions and negotiations around the new appraisal system were taking place in the Education Labour Relations Council (ELRC) in which teacher unions, provincial departments and the National Department of Education were involved. On the 28th July 1998 a final

agreement was reached within the ELRC on the implementation of the new developmental appraisal system and it was expected to be implemented in April 1999 and reviewed in April 2000 (Department of Education, 1999 : 51 -52).

This new teacher developmental appraisal system has been introduced countrywide at the beginning of the 1999 school year. Unfortunate, few provinces, particularly the Northern Province, has got off to a difficult start, due to inadequate training, shortage of training manuals in schools, lack of support by district officials and the education ministry in the province.

### **1.3 MOTIVATION AND BACKGROUND TO THE PROBLEM**

In many secondary schools in the Northern Province there seems to be a declining culture of teaching and learning. The general breakdown of educational activities and structures since 1970's and the absence of any structured kind of assessment system in the Black schools in South Africa, particularly in the Northern Province, had contributed largely to the poor results and a steady decline in the quality of educational standards and performance. Since the first South Africa democratic election in 1994, the Northern Province had the poorest results in grade 12 compared to other provinces. Quinlan and Davidoff (1997 : 1) explain that some of the reasons for this high failure rate are that the morale of many teachers is low and that evaluation up to now had a negative connotation.

Many school managers are concerned about teachers who do not give learners written work to do after teaching them and those who do not attend their classes. When teachers are supposed to attend their classes, they just sit down in the staff room and chat with their colleagues. When school principals try to make follow-up why teachers are not attending their classes, they respond negatively by saying that they gave learners a piece of work to do. Others claim that they are busy marking learners' work or preparing lessons. In case where principals insist that teachers should go to their classes, they feel



threatened and being victimised, while others threatened to report school managers to their respective teacher unions. Many unproductive teachers feel that appraisal is not necessary because they are professional ones who know their job well.

If this situation is to continue, it could have devastating consequences for the education of learners and school as an organisation (The Teacher, 1997 : 6). Moreover, the basic aim of the South African School Act of 1996 is that the quality of education of all learners must be improved. What is clear from the understanding of the stakeholders in education (state, business, teacher unions, parents and learners) is that effective teaching and learning cannot take place without a system of teacher appraisal. This makes sense considering that teacher effectiveness is closely linked to a systematic, well-articulated process of teacher appraisal (DE 1996 : 6). It is for this reason that the government is to crack down on schools which are performing badly and could take tough action against headmasters and teachers who fail to turn their institutions around.

Research by the Wits Education Policy Unit in 1997 found that in the previous dispensation there was a general trend of resistance against inspectors, advisers and school principals, who were seen as policing and harassing teachers, and no feedback was given to teachers or school after appraisals. Therefore a new developmental appraisal system should give school principals an opportunity to sit down with teachers and discuss how to help them develop, rather than just condemn them. It is up to inspectors, school principals and teachers to jointly improve levels of productivity at schools (Sunday Times, 1999 :11). It is important that the new appraisal system should develop teachers personally and professionally. On the other hand, it should also improve working relations between teachers and school managers. Obviously, this new appraisal system should not be a return to simplistic inspection, as it was aimed only at uplifting and developing whole schools. It is essential that all negative aspects about teacher appraisal should be dealt with accordingly.

These aspects are as follow:

- \* fault finding evaluation - instead professional and personal developmental appraisal should be introduced.
- \* the absence of constructive communication and active participation of teachers.
- \* lack of training for both the appraiser and appraisee.
- \* lack of feedback.
- \* lack of openness, transparency and democratisation.
- \* mistrust between teachers and principals.

Unless the above facts could be seriously taken into account, teacher appraisal would not be accepted by teachers at all. This does not mean that teachers do not want evaluation completely. According to Jantjes (1996 : 50) teachers need an appraisal system that is enabling them allow self-reflection and form an integral part of teaching. Furthermore, teachers believe that the hierarchical tendencies inherent in the prescribed top-down approaches, constrain self-development, collaborative discourse and self-awareness.

The literature on teacher appraisal for school improvement clearly shows that when teachers, school managers and department officials are jointly involved in integrating appraisal processes for professional growth with school improvement efforts, both individual teachers and schools improve.

#### **1.4 PROBLEM STATEMENT**

The main problem that the researcher would like to address is that teachers should be appraised. In the light of the preceding information it appears as if the problem of this research project can be summarised by means of the following questions:

- \* What are the obstacles that can hinder good appraisal system?
- \* How can school principals create a positive climate towards teacher appraisal?
- \* Which management skills should school principals have to manage appraisal accurately?



- \* Which appraisal methods should principals consider?
- \* To what extent can appraisal instruments be used to appraise teachers?

Obviously, one cannot deny the fact that research statement is the starting point of a research project. That is why Leedy (1989 : 45) states that if there is no problem there can be no research.

## 1.5 AIMS OF THE STUDY

The aims of the study may be referred as the purpose of the study. According to Grinnell (1981 : 40) the statement of the purpose of the study specifies its focus and scope. In view of the problem stated above, the **general aim** of this research project is to:

- \* develop a good appraisal system for the professional growth of the individual teachers and to effect school improvement.

In order to achieve the general aim the specific aims of this research is to :

- \* identify problems that can hinder the smooth running of teacher appraisal process in schools.
- \* identify appraisal methods, types of supervision as well as supervisory techniques that can be used in the appraisal process.
- \* determine what management skills should school principals have and how they are related to teacher appraisal.
- \* gather information about appraisal procedure, principles and criteria.
- \* provide suitable appraisal instruments that can be used to appraise teachers.

## 1.6 RESEARCH METHODOLOGY

According to Bailey (1994 : 34) research methodology is the philosophy of the research process which includes the assumptions and values that serves as a rationale for research. It is also the standard or criteria the researcher uses for interpreting data and reaching conclusions. In this research project the following methods will be used.

### **1.6.1 Literature study**

A literature study will be undertaken in order to determine what has already been written about teacher appraisal. Besides, several concepts will be clearly defined. The researcher will in particular rely on books, journals, newspapers and dissertations.

### **1.6.2 Historical research method**

In order to understand the present teacher appraisal system, the past evaluation system had to be critically analysed so that a vivid picture of the past should be obtained.

In explaining the current situation about teacher appraisal within the South African context, the researcher will rely, a great deal on documents, books, journals, and newspapers that deal with a variety of research topic on the history of education in South Africa.

## **1.7 CONCEPT CLARIFICATION**

The researcher will clearly define and explains all the concepts and indicate the particular meaning of each concept he is going to apply in the research.

### **1.7.1 Appraisal**

Mortimore and Mortimore (1991 : 126) define appraisal as a continuous and systematic process to help individual teachers with their professional development and career planning and to help ensure that the in-service training and deployment of teachers matches the complementary needs of individual teachers and schools. This is completely different with evaluation that focuses only on weaknesses or mistakes.



Castetter (1986 : 318) also defines appraisal as a process of arriving at judgements about individual's past or present performances against the background of his or her environment and about his or her future potential for an organisation. The appraisal process therefore is an activity designed to assist personnel to achieve individual as well as organisational benefits.

Van Kradenburg (1993 : 146-147) adds that appraisal is a process designed to improve the rationality of decisions made about the value or worth of an individual performance. It can be understood as an information process, a decision-making process. It is obvious that appraisal must facilitate the professional growth of a teacher, primary by giving the teacher feedback about classroom interactions and helping the teacher to make use of that feedback in order to make teaching more effective.

### **1.7.2 Appraiser**

According to the Developmental appraisal for Educators (DE, 1999 : 9) appraiser is an educator who is responsible for conducting the appraisal of an appraisee. This means that he or she may be the principal, deputy principal, head of department or any staff member who will be appraising an appraisee.

### **1.7.3 Appraisee**

Appraisee is an educator who will be appraised for professional development. In this research the appraisee is referred to as a teacher or educator at school, particularly in post-level one and two (Department of Education, 1999: 9).



#### **1.7.4 Educator**

At school level an educator is referred to as any person who teaches, educates or trains learners or provides professional therapy or assist in rendering professional services or performs education management services in the department of education.

#### **1.7.5 Principal**

According to Gordon (1986 : 65) a principal is a controller and organiser of resources also human resources. He or she is the executive officer of the school and shares the responsibility for the overall running of the school. This is supported by Saxe (1989 : 195) when he says a principal is a person who is responsible for all activities that occur in and around the school. He or she is the headmaster.

#### **1.7.6 Management**

Koontz and O'Donnell (1964 : 1) define management as the accomplishment of desired objectives by establishing an environment favourable to performance by people operating in organised groups.

Trewatha and Newport (1976 : 22) define management as the process of planning, organising, activating, and controlling an organisation's operations in order to achieve co-ordination of human and material resources essential in the effective and efficient attainment of objectives.

This is supported by Van der Westhuizen (1991 : 55) when he explains that management is a specific type of working in education which comprises those regulative tasks or actions executed by a person or body in a position of authority in a specific field or area of regulation, so as to allow formative education to take place. As it is stated above, this

is a way of utilising human resources in order to perform a specific task for the purpose of achieving stated goals.

It is essential that principals should work closely with teachers to check whether regular duties are performed accurately. It is vital that weaknesses and strengths of teachers must be identified. As a matter of fact, strengths should be acknowledged, but weaknesses must not be left undirected. The appraisees, therefore have to be involved so that the decision that are taken can be binding on all parties involved in the appraisal process. For this reason, management involves consideration of how groups work together in a define environment such as school.

#### **1.7.7 Secondary schools**

The term secondary schools had to be defined because this research took place in secondary schools in the Northern Province, particularly in Vuwani area of inspection. Secondary schools are schools with learners ranging in age from approximately 13-18 years. The focus of this research will be schools for pupils or learners from grade 8-12 i.e. a combination of junior and secondary learners.

#### **1.7.8 Evaluation**

According to Sergiovanni and Starrat (1983 : 238) evaluation is a process whereby strengths and limitations of teachers are identified and defined.

De Roche (1981 : 4) defines evaluation as a process designed intentionally to improve the rationality of decisions made about the value or worth or an individual's performance. It can be understood that factors measured should be the characteristics, qualifications, traits, capabilities, proficiencies and abilities of individuals themselves and not the job being performed.



In this study the concepts appraisal and evaluation will be used. The aims of appraisal and evaluation are the same i.e. development and improvement. The difference lies on their focus. Evaluation focuses on measuring factors and it is judgmental in nature, whereas appraisal focuses more on the developmental aspects of teachers through support programmes, expertise and in-service training courses. In short, appraisal is more advanced than evaluation in that it takes the role of both evaluation and supervision together. Although the concept appraisal is of paramount importance in this study, evaluation will also be used as it shows how it is transformed into appraisal.

## **1.8 LIMITATIONS OF STUDY**

Teacher appraisal is a broad topic to research. In order to make this research manageable only matters that concern the developmental aspects of teacher appraisal and its management will be taken into account. The problem of teachers not being evaluated and its consequences is countrywide. For this reason, limits of the problem area will be established within which the researcher will carry out his investigation. As a matter of fact, only secondary schools in the Northern Province were elected. The reason being that the researcher's experience is only in the Northern Province, although the problems and solutions may be similar with and suit other provinces in South Africa. These schools are in region 3, particularly in Vuwani area of inspection. In this area there are two circuits i.e. Dzondo and Dzindi.

## **1.9 PROBLEMS ENCOUNTERED WITH THE STUDY**

The problem encountered with this study is the scarcity or lack of literary materials and the existing research on the subject in the Northern Province. Despite the fact that much has been said and written about teacher appraisal, very little research or source documentation on appraisal in the Northern Province if any, has been published. The researcher therefore relied on some measure on newspaper articles, such as community and national newspapers, for additional information dealing with teacher appraisal in

South Africa and not the Northern Province in particular. Moreover, literature and research from other countries, such as England, Australia and U.S.A., were heavily relied upon.

The education system in South Africa however is currently in transition. Many initiatives have been taken, such as the drawing up of the new developmental appraisal system which has sought to address new principles and aims in evaluation and appraisal procedures. The problem is that it is for the Northern Province Education department to start with the implementation of the appraisal process the way it was scheduled. This makes sense when it is focused on the development aspect of an appraisal system that could be accepted and recognised by all stakeholders.

Educators are still waiting the Northern Province Education department to start with the implementation of the new developmental appraisal system.

## **1.10 OUTLINE OF THE STUDY**

This thesis is divided into the following chapters:

### **Chapter 1**

This chapter provides motivation and background of the study, the historical perspective on the development of teacher appraisal in South Africa, the statement of the problem, aims of the research, research methodology, concept clarification, limitation of study, problems encountered with the study and the outline of the study.

### **Chapter 2**

This chapter focuses on the literature review about teacher appraisal in the past. Therefore, types of supervision and supervisory techniques that could be employed in teacher appraisal are examined. Besides, problems related to teacher appraisal are closely scrutinised.



### **Chapter 3**

This chapter provides the different appraisal methods that could be applied in appraising teachers. Three stages of appraisal that should be followed are provided i.e. pre-appraisal conference, appraisal itself and post appraisal conference. Moreover, strategies designed to empower secondary schools principals with necessary management and communication skills, knowledge and competencies that will enable them to conduct an effective and accepted teacher appraisal system, are strongly emphasised. Therefore the role of the school principal, as a leader, manager and facilitator, has been strongly emphasised.

### **Chapter 4**

This chapter focuses on the developmental aspects of teacher appraisal in secondary schools. These aspects include the following: openness, transparency, involvement of teachers in the process, provision of feedback, a climate of democratic collaborative decision making, respect of individual rights, an effective support structures for all staff and commitment to the professional development of all staff. Furthermore, the new appraisal instruments that could be used in the appraisal process are provided. The role of the SDT, as a control body, and appraisal panels, as bodies that appraise is provided.

### **Chapter 5**

It contains an overview and the findings about teacher appraisal. It is a conclusive chapter with certain recommendations i.e. recommendations for the enhancement of teacher appraisal process and suggestions for further research.

## **CHAPTER 2**

### **TEACHER APPRAISAL AND SUPERVISION**

#### **2.1 INTRODUCTION**

It is acknowledged that teaching in South Africa has been dehumanising and undermining experience for the most teachers. Teacher appraisal has been seen as uneven, unreliable, threatening and unacceptable. The methods and resources used have been regionally and systematically idiosyncratic and inefficient. However, widespread rejection of the appraisal system had not been intended as a rejection per se. The fact is that many teachers want appraisal to be an essential part of their development (Chetty *et al*, 1993 : 1).

The reconstruction of education is currently gaining considerable attention in an attempt to redress the injustice and inequalities which characterised the previous education system. What is clear from the understanding of the stakeholders in education (state, business, teachers unions, parents and learners) is that effective teaching and learning cannot take place without a system of teacher appraisal. This makes sense, considering that effectiveness is closely linked to a systematic, well-articulated process of teacher appraisal (Medley, 1978 : 16).

In this chapter the focus of the discussion will be on the concepts “appraisal and supervision”, different types of appraisal, supervision techniques and problems related to teacher appraisal.

#### **2.2 THE CONCEPTS APPRAISAL AND SUPERVISION**

Order is maintained at schools through methods which include supervision and control, of which teacher appraisal is an important component. Teacher appraisal is widely used



as a management aid at schools. Mortimore and Mortimore (1991 : 126) define appraisal as:

*“A continuous and systematic process to help individual teachers with their professional development and career training and to help ensure that the in-service training and deployment of teachers matches the complementary needs of individual teachers and schools.”*

The particular components of this definition which warrant emphasis are “continuous”, “systematic” and “intended to help individual teachers with their professional development.”

The word **continuous** implies that teacher appraisal should not merely a one-off exercise that involves filling in a few forms. It must be done repeatedly. Besides, repeated visits give the principal a better perspective on the teacher’ performance. **Systematic** implies that the process should not be haphazard, or subjective, but should instead be based on evidence accumulated from a variety of sources.

**Intended to help individual teachers with their profession development** suggests that the appraisal process should be about reviewing current practice and performance, structuring ways to improve them, setting specific achievable targets, identifying training and support needs and considering career progression.

According to Poster and Poster (1991 : 1) teacher appraisal is a means of promoting, through the use of certain techniques and procedures, the organisation’s ability to accomplish its mission of providing a better service while at the same time enhancing teacher satisfaction and development. If teachers are to perform effectively, they must be well motivated, understand what is expected of them and have the ability and skills to fulfil their responsibilities. If teacher appraisal is to be successful, those conducting it (principals) need to acquire the necessary skills and those experiencing it (teachers) need to know the details of what is involved. Therefore, a good deal of emphasis should be



placed on the need to involve teachers in developing the appraisal pattern in the school. This in itself constitutes a form of training, since it enables everyone to know what will be taking place (Jantjes, 1996 : 54).

It is obvious that teachers who have been involved in this kind of activity will gradually cease to see appraisal as threatening because it will become known and familiar. This would seem to be one of the best ways of preparing teachers for appraisal.

In recent years, the educational reform movement has focused considerable attention on teacher appraisal i.e. evaluation and supervision. Although the concepts “evaluation” and “supervision” complement each other, they are not the same. Glatthorn (1984 : 2) defines supervision as:

*“A process of facilitating the professional growth of a teacher, primarily by giving the teacher feedback about classroom interactions and helping the teacher to make use of that feedback in order to make teaching more effective.”*

This supervision is devoted principally to increasing the effectiveness of those who are engaged in the direct performance of the task of the educational enterprise. According to Van Kradenburg (1993: 147) supervision deals with improvement of on-the-job performance of teachers. Therefore, supervision centres about what teachers do in the performance of their designed roles and has a continual search for improvement in their performance.

Sergiovanni and Starrat (1983 :238) support this statement by defining these concepts as follows: *“Evaluation is a process whereby the strengths and limitations of teachers are identified and defined, whereas supervision is a process designed to capitalise on the strengths and correct the weakness of an individual or group”*.

This means that evaluation and supervision are interdependent, in that one cannot usually achieve maximum effectiveness without the other. Therefore, teacher evaluation without supervision can lead to anxiety, frustration, and resistance on the part of the recipient of the appraisal. Teachers may have been informed through appraisal about certain areas which need to be improved but, in the absence of appropriate follow-up supervision may not be able to remedy the deficiencies. On the other hand, staff supervision without adequate prior evaluation tends to lack focus and is often misdirected.

Because of the continuing concern on the part of the public about teacher competency, principals will be expected to give a high priority to teacher evaluation and supervision. It should be remembered that the individual growth of a teacher is a joint responsibility of the principal and the teacher. According to Hughes and Ubben (1994 : 261) the principal's responsibility is, therefore to arrange the work environment to capitalise on the skills and interests of the staff so that the important tasks get accomplished in the most efficient and effective ways. Therefore the combination of evaluation and supervision is called appraisal.

## **2.3 SUPERVISION APPROACHES**

There are mainly two types of supervision in schools. These are the judgemental and developmental approaches.

### **2.3.1 Judgemental approach**

The judgemental approach or summative evaluation is an evaluation that is conducted at the end of an activity or period of time and is designed to assess terminal behaviour or overall performance. According to Webb (1994 : 187) a judgement is made about the quality of one's teaching, and is used to make personnel decisions regarding such matters as merit pay, promotion, termination, dismissal, etc. Besides that, it is formal, somewhat infrequent and focuses only on the persons being appraised.



In the South African context, the term “evaluation”, “assessment”, “inspection” or “appraisal”, conjures up many negative thoughts and feelings based on teachers’ past experiences. It has been seen as a top-down, close and judgemental exercise, to point out the wrongdoings of teachers and punish them accordingly. In addition, it has generally been concerned with bureaucratic efficiency and social control rather than professional development (Quinlan and Davidoff, 1997 : 2).

In this approach, there is an overall tendency to find fault, to be negative in reports that are written and not to acknowledge the positive things that teachers do. It is obvious that teachers often receive no feedback from inspectors observing their work. Also of significance in the judgemental approach is the tendency not to involve the person who is being appraised in the process within which decisions about the “judgement” are made. This rests on the belief that teachers on their own are not likely to give a critical assessment of their own performances. In its look, it seems as it is meant to victimise and intimidate teachers. As a result, it brings fear to teachers.

This approach tends to be quantitative in nature and concerned about outputs or products. This means that supervision is oriented towards improving educational processes in general. Often teachers’ resistance to judgemental approach is due to the lack of transparency about the purposes for which information gathered through teacher appraisal processes, are used. For example, one such purpose of dissatisfaction of the previous appraisal procedure in South Africa is the way appraisal data was used for merit appointments. In many cases, the motivation for merit appointments was known by the appraisers only. Besides, teachers have not been aware of the criteria according to which their teaching was being judged (Chetty et al, 1993 : 3).

Furthermore, there is a lack of unified vision or philosophy within the specific context of the school and the teachers’ work. Without an understanding of teacher’s values for education, as well as their feelings and beliefs, it is impossible to develop a unified vision for a school. Without a unified vision for professional improvement, teacher appraisal



procedures may, according to Jantjies (1996 : 53), continue to be regarded with mistrust and create a lack of collegiality, as in the past in South Africa.

### **2.3.2 Formative approach**

In recent years, the educational reform movement has focused considerable attention to teacher performance. As a matter of fact, evaluation and supervision processes are undergoing some important changes. The British education authorities, for instance, became interested in teacher appraisal in the seventies and early eighties as method of encouraging greater accountability, but in the late eighties and nineties that emphasis shifted towards using appraisal sessions for encouraging professional development (Jones, 1993: 5).

Like in the U.K. and other democratic states, South Africa has introduced the developmental appraisal system as opposed to the judgemental or summative approach. Thus, the notion of appraisal is tied to a more developmental approach.

According to Webb (1994: 187) the developmental or formative approach is an approach that emphasises ongoing growth and professional development. It is qualitative framed and emphasises process rather than products. The purpose of developmental appraisal is directly linked to the performance expectations jointly formulated by teachers and appraisers, while at the same time providing transparency about how teachers will be appraised. This is meant to support teachers.

The developmental approach rests on the belief that nobody is just full of faults, and nobody is only and totally negative. This means that it acknowledges the positive aspects that may exist in teachers' performance. Rather, it notes such negative aspects, if they exist. Instead of blaming the teacher in a faultfinding way, the developmental approach tries to find ways in which negative aspects may be responded to within developmental programmes that enables the teacher to improve his or her performance in that area. With respect to teaching, formative appraisal is concerned less with judging and rating

the teacher than with providing information which helps improve teacher performance (Sergiovanni and Starrat, 1988 : 305).

It should be remembered that this type of appraisal is concerned not only with the evaluation of the past performance, but also with the enhancement of future performance. Instead, it is concerned with the improvement of teacher practice by identifying strengths, weaknesses, needs and interests, and fundamentally, the professional development and growth of the teacher. Furthermore, it is a systematic approach to improve communication between staff, and between staff and management, improvement of morale and job satisfaction and recognition of career needs. When teachers are motivated to participate in the appraisal procedures: helping to establish the purposes for appraisal, being part of developing a vision for growth by having their feelings, attitudes and aspirations, acknowledged, and when planning and implementation process are governed by the context of the school as well as teachers' job descriptions, they regard the process as a teacher friendly appraisal system.

Goddard and Emerson (1993 : 11) list five features of an appraisal system which focuses upon growth and improvement:

- \* it provides areas where the teacher may be improve;
- \* it assists career development;
- \* it identifies the support and in-service training which a teacher requires in order to progress;
- \* it celebrates what the teacher is doing well, it integrates the teacher and school and identifies areas of mutual interest;
- \* it provides the basis for school audit and review which form the basis of strategic planning;

It should be borne in mind that teachers' negative feelings about performance appraisals are related more to the manner in which they are conducted than to the function of performance appraisal in general. Teachers react more positively to procedures that are



responsive to their needs and professional aspirations (Wiedmer, 1995 : 8). Therefore judgemental and developmental appraisal is not separate and independent entities. They need to complement each other, in order to enhance the culture of teaching and learning in our schools. Although the emphasis should be on formative, professional development of teachers, it cannot entirely be divorced from summative evaluation. After all, the most fundamental purpose of an appraisal (judgemental and developmental) is to improve both the individual and institution's performance (Stronge, 1997 : 17).

Wiedmer (1995 : 10) stated that both approaches of appraisal are necessary and desirable if the unique purposes and outcomes of each are kept separate. Many traditional judgemental evaluation procedures can be adopted for developmental purposes. Technically, a system that uses the same information to improve teaching performance and then enters that information into personal file to make decisions about retention, promotion, and tenure is a hybrid of judgemental and developmental appraisal or supervision.

Quinlan and Davidoff (1997 : 20) support this opinion by saying that promotion and developmental are not two separate things. Appraisal should be for developmental initially, and, as the teacher develops, he or she should be considered for promotion. Therefore, people who are to be promoted should be both qualified and competent.

In the strictest sense, judgemental and developmental supervision cannot be separated, for each contains aspects of the other. It is useful nevertheless to speak of a developmental focus of 95% and judgmental focus of 5% only, which is based on the planned, implemented and recorded development procedures of teachers' performance during the developmental phase.



2.4 SUPERVISORY TECHNIQUES

It is necessary for school principals to require some mechanism that guarantee the quality of teaching content and delivery to ensure that teachers are adequately meeting learners’ needs. However, school principals are also responsible for assisting the personal and professional growth of teachers and for maintaining staff morale. Effective supervision of teachers is therefore a major responsibility for school principals. In an effort to meet the diverse needs of each individual teacher and the school, principals can consider introducing a system of “differentiated supervision”.

To meet both evaluative and developmental needs of teachers and the school, principals can, according to Walker (1990 : 13), utilise a system of available options to maximise the individual developmental aspects of supervision and also provide more structured “non- options” to ensure the quality of teaching delivery to the learners.

These options, according to Walker (1990 : 13) generally agreed to be sufficient to meet the diverse developmental needs of staff, include clinical supervision, cooperative professional development and self-directed or individualised professional development. All teachers should, on the other hand be involved in at least one of the standardised non-options: informal or administrative, paper monitoring and formal observation. These options and non-options are shown in Figure 2.1

| OPTIONS<br>(Individual/Developmental) | NON-OPTIONS/EVALUATIVE METHODS<br>(Group/Evaluation) |
|---------------------------------------|--|
| Clinical supervision                  | Administrative monitoring                            |
| Cooperative professional development  | Paper monitoring                                     |
| Individual professional development   | Formal observation                                   |

**FIGURE 2.1: OPTIONS AND NON-OPTIONS INVOLVED IN DIFFERENTIATED SUPERVISION**

### **2.4.1 Clinical supervision**

Most teachers do not like to be evaluated, and they do not find it helpful to them professionally. In fact, many teachers react defensively to supervision and view it as a threat to them. Acheson and Gall (1997 : 9) define clinical supervision as focused upon the improvement of teaching by means of systematic circles of planning, observation and intensive intellectual analysis of actual teaching performance in the interest of rational modification. This means to suggest a face-to-face relationship between teacher and supervisor and a focus on the teacher's actual behaviour in the classroom.

The goals of clinical supervision are to help teachers develop the skills necessary to assess their own teaching effectively, to make improvements as needed, and to improve the quality of teaching offered to learners by helping teachers assess their teaching. For clinical supervision to be effective, teachers must feel comfortable enough in the school environment to act naturally, because in order for improvement to occur teachers must be willing to admit to their own imperfections. Without a climate of trust, clinical practices employed in supervision will lack substance (Wiedmer, 1995 : 12-13). It should be borne in mind that clinical supervision acknowledges the need for teacher appraisal, under the condition that both the teacher and supervisor participate in this process.

The supervisory technique most frequently used by supervisors is clinical supervision, although there was some discrepancy in terms of how it was conducted. According to Gorton and Thierbach-Schneider (1991 : 300-304) there are three basic stages to be followed in clinical supervision i.e. pre-observation, observation and post-observation:

#### **Pre-observation conference**

The supervisor begins the process of supervision by holding a pre-observation conference. Teacher and principal meet at an attempt to arrive at some shared understanding of what will occur during the lesson to be observed. According to Gorton and Thierbach-Schneider (1991 : 300) the objectives and activities of the pre-observational conference are as follows:



- \* to develop rapport between the principal and the teacher;
- \* to agree on which aspects of the teaching programme must be observed;
- \* to develop procedures to be used during the observation;
- \* to identify the roles that the principal and the teacher have to perform during the observation; and
- \* to indicate the purpose and nature of the follow-up conference to be held after the classroom observation.

School principal should see to it that, at the end of the pre-observational conference, teachers are meaningfully involved in the appraisal process. The interpersonal relationship that develops in the pre-observational conferences should significantly influence the effectiveness of the supervision.

### **Classroom observation**

Pre-observation is followed by observation where the principal observes the agreed upon lesson. This provides teachers with the opportunity to reflect their teaching. The principal must use classroom observation to identify a teacher's strengths and weaknesses. Gorton and Thierbach-Schneider 1991 : 301) state that principals must identify teacher and classroom improve needs and must observe conditions impairing the education of learners. Besides, classroom observation can also be used to identify effective teaching and to gain a more complete and accurate picture of the instructional programmes in the school.

It should be borne in mind that many teachers do not view classroom observations as positive and constructive contributions to their effectiveness. The cause for this attitude is a poor planning by principals for the classroom observation. Sometimes there is little or no follow up on the observation and a lack of constructive suggestions on how to improve. Principals must correct most of these negative factors associated with the classroom observation. It is essential that principals must not reject the classroom

observation, despite possible teacher opposition. In case where teachers and principals view classroom events differently, videotape machine can be used to solve this problem.

### **Follow-up conference**

After a classroom observation has been completed a follow-up conference with the teacher is needed to improve the situation. A follow-up conference is useful for discussing a teacher's strengths or weaknesses. Gorton and Thierbach-Schneider (1991 : 303) state that evaluation without immediate and constructive follow-up supervisory assistance can lead to anxiety, frustration, and resistance on the part of its recipients. However, informing a teacher of his weaknesses without providing adequate help to correct those weaknesses is useless and may harm the person's self-concept. This could, therefore lead to a negative attitude towards teacher appraisal.

It should be remembered that clinical supervision is a powerful way to offer formative evaluations to classroom teachers, and its success is always contingent upon the extent that a climate of openness and trust between supervisors and teachers exists in the school. While desirable, the effective application of clinical supervision is limited by ongoing conditions in schools (Walker, 1990 : 13).

### **2.4.2 Cooperative professional development**

Cooperative professional development (CPD) is another form of non-evaluative supervision that is designed for teachers to help each other as professional colleagues and equals (Sergiovanni and Starrat, 1988 : 407). In this option small team of teachers work together to observe each other, provide feedback and discuss common professional issues. There are no fixed rules as to how the teams are formed or how they operate. For instance, teachers may choose to work together, or the principal may form teams. Cooperation can be formalised by the team through establishing time frames or by agreeing to put each other through clinical supervision.



This approach may be more appropriate for experienced, competent teachers who value the input of their peers. Therefore, teachers should have some choice about whom they will work with, although the principal may retain a veto of final team formations. It is a good idea for this approach to extend beyond classroom observation. It should also provide a setting where teachers could informally discuss problems they are facing, share ideas, help one another in preparing lessons, exchange tips, and provide other support to one another.

Walker (1990 : 13) recommends that teachers should keep some type of professional growth log and meet with the principal at least once a year for sharing information and identifying benefits involved in the process. Most importantly, the principal should not seek any evaluative information from team members as this can defeat the purpose of shared professional development and undermine the collegial foundation of the option.

This approach is commonly practised in South Africa. Most teachers enjoy working together with their colleagues because they cannot intimidate and victimise each other. In most cases, teachers are open to their colleagues in such a way that they could even tell one another about their strengths and weaknesses.

### **2.4.3 Individual professional development**

Individual professional development (IPD) is an approach or technique that allows individual teachers to assume responsibility for their own professional growth. According to Sergiovanni and Starrat (1988 : 407) the process follows an MBO (Management by Objectives) or target - based approach such as:

- \* teacher set realistic targets with accompanying time frames for how they can improve their teaching and submit the plan to the principal.
- \* the principal reviews the targets and provides a written response.
- \* the teacher and the principal meet to discuss targets and revise if appropriate. The principal and the teacher, therefore develop a written summary of the conference.

- \* the teacher is responsible for collecting appraisal information related to the agreed targets and compiling it for presentation to the principal or appraiser.
- \* both participants meet to review appraisal information and determine success in teaching targets.

According to Sergiovanni & Starrat (1988 : 408) this approach is well suited to competent teachers who prefer to work alone. However, principals must be careful not to impose targets too rigidly as this can reduce the development focus of the process. School principals should also ensure that plan and selected targets are both realistic and attainable.

Whatever options the teacher takes, it should be clearly understood that the purpose is non-evaluative and aimed towards the individual professional development of the teacher and the improvement of classroom competence. Besides, the options may be adjusted to suit individual school situations, but the developmental emphasis must dominate.

#### **2.4.4 Standardised non-options**

The three “non-options” which follow are designed to provide the quality control or evaluative aspect of supervision which is necessary to ensure learners receive the quality of education to which they are entitled. Non-options are referred to evaluative methods that could be used by school principals or appraisers in any options. They are called non-options because they fit in all options given i.e. clinical supervision, cooperative professional development and individual professional development. All teachers should be involved in at least one of these non-options. It should be remembered that they are nevertheless vital if the principal is to maintain an overall picture of how the school is functioning. This is perhaps increasingly important as principals become accountable.



#### 2.4.4.1 Administrative monitoring

The administrative monitoring or informal observation process requires the principal to take brief unnoticed visits to the classroom to ensure that teachers are meeting their responsibilities in a professional manner (Walker, 1990 : 14). For such a system to be effective it must be accepted by the staff as an integral part of the school life with the understanding that the principal has the right to be part of all teaching in the school.

As a result of administrative monitoring, teachers should feel that they are important and that the principal is interested in what they are doing in the classroom. Although administrative monitoring is relatively informal, the principal should plan it, and teachers must be aware of its purpose. After the principal's short visits to the classroom he or she should provide a short written record of what he or she observed. A conference should therefore follow if some specific action arising from the visit is requested.

Walker (1990 : 14) adds that many principals of effective schools conduct a type of administrative monitoring almost without realising it. By making it a little more systematic and purposeful they can demonstrate their interest in teaching, provide useful information to teachers, and continually ensure the quality of teaching provided to learners.

The problem with the administrative monitoring in South Africa is that it was used as a faultfinding approach by many school principals. That is why the new **developmental appraisal document** discourages administrative monitoring or informal observation. The success and the effectiveness of this approach depend on the manner in which it is conducted. School principals should therefore ensure that teachers are aware of this kind of approach. Of more importance is that, it should be accepted by teachers. From the management point of view, informal observation or administrative monitoring is regarded as management by walking around. For this reason, administrative monitoring should be carefully planned.

#### **2.4.4.2 Paper monitoring**

It simply involves the principal in regularly and systematically collecting workbooks, folders or any other written material produced in the classrooms (Walker, 1990 : 14). The process once again shows the principal's interest and allows check on quality. In most situations it is impossible to collect all paperwork. Therefore, principals can systematically sample from various teachers, levels, or subject areas. Furthermore, school principals should provide a short written statement of their impressions to the teacher and may also take the opportunity to comment to individual learners.

It should be remembered that when using this non-options, principals need to take care not to overemphasise the weight stage of written work in comparison with other modes of learning. Paper monitoring is simply one, though an integral component in the overall supervisory system.

#### **2.4.4.3 Formal observation**

This non-option involves the formal observation of each teacher by a principal or appraiser. Formal observation should only be conducted once a year and concentrate on a standardised list of professional teaching skills. By contrast, in clinical supervision the observation concentrates on a narrow area of teaching jointly agreed upon by teacher and principal. According to Walker (1990 : 14) formal observation is judgemental and usually takes the form of a checklist or rating instrument. Items should be standardised for all teachers regardless of race, gender or experience. School principals should therefore inform teachers about the date of evaluation and explain the purpose and structure of the instrument to be used. As a matter of fact, school principals should be open and transparent about the appraisal of the teacher by sharing their perceptions with the individual after the observation.

It is important that formal observations provide information with a common base across all staff members and this may be useful for promotion or allocation purposes. It should



be remembered that a differentiated system of supervision is not a panacea for solving all supervisory problems but attempts to provide a framework to cater for both school and individual needs. It acknowledges growth professionally through different mediums. For this reason, school principals need some mechanism for quality control and a whole-school view of teaching.

## **2.5 PROBLEMS RELATED TO TEACHER APPRAISAL**

It is important to note that teacher appraisal is a serious responsibility of school principals. In order to accomplish this, rating must be accurate. Many teachers perceive appraisal as a mixed blessing, because most teachers probably accept appraisal as inevitable and potentially valuable, whereas others question its usefulness and value in practice. It should be remembered that appraisal problems and issues do not exist in all schools, but wherever they are prevalent, they impair the effectiveness of the programme. Some problems related to teacher appraisal include the following:

### **2.5.1 Multiple goals**

The divergent nature of multiple goals influences execution and appraisal. Teachers normally view the primary aim of appraisal as improvement of their own teaching performance on an improvement in the amount which learners learn. According to Van der Westhuizen (1994 : 256) management however normally places greater emphasis on the realisation of the school goals or on the academic achievement of learners. These different aims usually create problems on the part of appraisal. For instance, if the goal is improvement of the working situation, it is expected of the one being appraised to be open and honest so that the necessary support measures such as advice, training, additional support and so forth, can be taken. On the other hand, a teacher, being appraised for merit purposes or promotion will try by all means to hide his weaknesses and emphasise his or her capabilities.

### **2.5.2 Objectivity**

Teacher appraisal has often been criticised because it lacks objectivity. Van der Westhuizen (1994 : 257) says:

*“The measurability of the actual influence of teaching and education is often in balance with the result that measuring instruments, and particularly those that implement them are accused of being subjective.”*

### **2.5.3 Lack of staff involvement**

A major complaint of many teachers in South Africa, is that they have not been involved to any significance in the development of the staff evaluation programme; particularly as it relates to criteria and process of evaluation (Gorton and Thierbach-Schneider, 1991 : 290). If the staff has not participated in the development of the appraisal criteria and process, the likelihood is increased that they would not accept or be receptive to either one. For this reason, most teachers view teacher appraisal as threatening, punitive, of little help and not in their best interest because it is often unpopular with them.

### **2.5.4 Problem of inadequate expertise**

The credibility of principals as an instructional leader is sometimes questioned on the basis that they are not trained in all specific academic disciplines. For this reason, many teachers question whether the principal, who has, typically been out of classroom for several years, and who may have specialised in only one aspect of the curriculum as an undergraduate, has the expertise to appraise them. As a result, school principals have sometimes experienced difficulty in appraising teachers and, in particular, in getting them to accept their results about their strengths and weaknesses.

For the principal to do a competent job of appraising teachers and obtaining their acceptance of his or her findings, he or she will need to be knowledgeable and expert in



the various areas of curriculum, teaching methods, learning theory and other facets of the educational programme. On the other hand, school principals should utilise as much as possible the expertise possessed by department heads and other sources of assistance within and outside their school (Gorton and Thierbach-Schneider, 1991 : 298). In the South African context, particularly in the Northern Province, all school principals have been attending workshops on how the appraisal should be conducted.

#### **2.5.5 Low priority given to self-evaluation**

The primary emphasis in most school programmes appears to be on external evaluation. Little attention is given in evaluation plan to the need for teachers to engage in self-evaluation for professional growth. On the other hand, it seems as teachers are either unwilling or unable to participate in a programme of self-appraisal. It is also possible that principals feel that the perceptions of teachers about their strengths and limitations are not important. A programme of self-appraisal for professional growth would appear to depend on their degree of trust and confidence in management and the extent to which the management has provided assistance for the teacher to help them become more competent and objective in analysing their own behaviour. For this reason, self-appraisal by teachers should be a valuable activity for teachers and principals (Gorton and Thierbach-Schneider, 1991:292-293).

#### **2.5.6 Poor communication**

In many schools the purposes, criteria, and process of staff appraisal have not been adequately communicated to the staff. (Gorton and Thierbach-Schneider, 1991 : 297). In cases where the staff member have been aware of the appraisal process, and the follow-up conference after observations have often not been resolved. Poor communication can, therefore lead to uncertainty and anxiety on the part of staff members as they do not know exactly what is expected of them. As a result, teacher may not participate cooperatively in the appraisal process.

### 2.5.7 Unwarranted strictness

Hartzel (1995 : 41) defines unwarranted strictness as: *“The tendency to rate virtually everyone lower than they deserve.”* It narrows the range of performance quality the appraisal system is supposed to measure. Some school principals or appraisers give teachers lower ratings than they deserve as a way of motivating them to do better. They justify their actions by saying that they have high standards, and they want to challenge teachers to do their best. As a result, teachers end up with ratings lower than they would receive from a different supervisor or principal. This can distort reality, draw attention away from areas that do need help or improvement, and put teachers at an unfair disadvantage in competition for opportunities that emerge between appraisal periods.

### 2.5.8 Unwarranted leniency

Inexperienced or poor supervisors may decide that the easiest way to appraise performance is simply to give everyone a high rating than other appraisers at the same level would give them. Many supervisors believe that teachers will feel that they have been accurately appraised even if they know that they have been inaccurately appraised. Hartzel (1995 : 42) gives a number of reasons why unwarranted leniency occurs:

- \* some school principals have a strong need to be liked by their subordinates.
- \* some principals are insecure in their positions, which is common among new principals.
- \* some school principals tend to inflate rating of teachers' performance to convey an image of successful management.
- \* for the same reasons, some principals inflate the performance ratings of teachers they were responsible for hiring.
- \* many school principals have a general reluctance to deliver bad news, and they dislike doing it if they are visible to the recipient at the time of delivery.



According to Hartzel (1995 : 42) it should be remembered that leniency rating errors could cause several problems to teachers. For example, teachers may be promoted to the positions beyond their capabilities. On the other hand, undeserved high ratings may cause teachers to resent future supervisor who may provide ratings accurately, but lower than what teachers are used to. Therefore, it is important that every school principal should rate teachers accurately and fairly

#### **2.5.9 Central tendency**

When supervisors or principals evaluate teachers as average, the result is central tendency. Hartzel (1995 : 43) supports this by saying that central tendency is: *"The disposition of some evaluators to rate nearly everyone in the middle range, hovering around average or acceptable"*.

This means that school principals find it difficult and unpleasant to evaluate higher or lower, even though performance may reflect a real difference. The problem with school principals is that they feel that extremely low ratings are too harsh, and, since no one is perfect, no one should be at the highest level. Furthermore, many school principals do not really know what teachers are doing. That makes an average or satisfactory rating appear to be safe one to advance. If an appraisal instrument employs unclear criteria or require essay-type information and documentation to support any rating above or below average, average ratings may be given to avoid challenge.

This seems especially so if there is pressure to get appraisal done quickly. Therefore, rating good teachers as average and satisfactory teachers as in need of improvement is definitely unfair. This can affect morale and invites grievances on the side of teachers. Central tendency can make the appraisal system useless for identifying very effective and ineffective teachers. Besides, it hides both those who would be considered for promotion and those who need further training, counselling, or termination.

#### **2.5.10 Contrast**

This error occurs when the appraiser's perceptions of a given person's performance are influenced by the appraisals of those who came before. For instance, if someone very poor closely follows someone very good, the differences between the two are exaggerated in their minds because principals tend to compare teachers to each other than against an objective standard. Similarly, if someone very poor is followed by someone very good, the differences are again exaggerated in their perceptions. For this reason, the contrast can cause the appraiser to praise or criticise an appraisee because of what someone else has done. Therefore, school principals should try to avoid appraising all members of the same department together. Of more importance, they should try to spread appraisal schedule over the available time (Hartzel, 1995 : 48).

#### **2.5.11 The halo effect**

This occurs when school principals use a favourable general impression as the basis for judgements about more specific traits. This means that teachers are rated at similar levels across the whole appraisal instrument. For instance, a teacher who is found to be good at organising sports events is assumed on the strength of this that he or she is also good in other areas of teaching (Vecchio, 1991 : 74).

According to Hartzel (1995 : 47) the halo effect works in reverse too, and is known as the "horn effect". If a teacher is once labelled as a poor performer or troublemaker, it is difficult to overcome that unfavourable image. Therefore, prevention of the halo and horn effects depends on awareness. School managers must try to fill in one section of the appraisal instrument at a time and concentrate only on the behaviour being considered.

#### **2.5.12 Stereotyping**

According to Vecchio (1991 : 74) stereotyping are judgements of others that are based on group membership. Such attributes as sex, race, ethnic group and age are the basis of



commonly held stereotypes. If people find an exception to their stereotype, they will accept the deviation but continue to entertain the general stereotype. For example, some people believe that older people are not capable of being trained for new task and that younger people cannot handle responsibility.

This is not to say that stereotypes are totally worthless and inaccurate. Vecchio (1991 : 74) stated that stereotypes are based on an element of truth, in that the beliefs are derived from observations that hold for an entire group but that do not apply with much accuracy to given individuals in the group. In some instances, stereotypes can provide a useful shortcut for quick evaluation. But the potential cost of erroneous evaluations must be considered. For example, while the stereotypes of staff members may have some accuracy, the variability of the traits of individual teachers is so great that it is extremely difficult to classify individual teacher accurately from the stereotypical information alone.

## **2.6 SUMMARY**

It is important that teachers' work, like any other job, should be evaluated and supervised. This helps teachers to know whether their teaching is successful or whether they need help. School principals should, therefore be able to use the form of evaluation which is acceptable to all teachers so that the purposes of evaluation and supervision could be achieved. In this case, formative evaluation is the most acceptable one in that it involves teachers throughout the whole process and aims at their personal and professional development rather than looking at their mistakes.

If evaluation is well conducted and suitable forms of supervision are used, there is a high possibility that teachers could take evaluation as their own. It should be borne in mind that teachers would like evaluation that gives them a voice and does not violate their democratic rights to participate in the whole process of evaluation.

In short, school principals should be aware of the different problems related to teacher appraisal so that they could take the sting out of teacher appraisal. If appraisal could be seen as something positive that provides a means of expressing appreciation for teachers' work, as well as offering support and improving the quality of teaching, it would be more likely to be well received. With careful planning and the correct attitude, teacher appraisal can be implemented in a positive and professional way. Teachers must be actively involved in the development, operation and revision of appraisal procedures. A participatory evaluation plan would provide an opportunity for every valuable input from those who have the knowledge, and create ownership and responsible action within the profession.



## **CHAPTER 3**

### **APPRAISAL OF TEACHERS AND TEACHING**

#### **3.1 INTRODUCTION**

In any organisation, staff appraisal exists to provide a better service or product. It is, therefore essential to monitor and manage the work of those who make an organisation more successful. In a school setting, teachers' work needs to be evaluated and monitored. The work done by professional teachers is a difficult and a challenging assignment. Therefore, it needs to be conducted in a sensitive manner, otherwise it may achieve the opposite of what is intended. For instance, resistance rather than cooperation, or poorer rather than better performance.

Teacher appraisal provides an opportunity for the principal to meet individual members of staff to discuss work, work performance, progress and achievements (Squelch and Lemmer, 1994: 113-114). On the other hand, it enables teachers to become more effective and to improve the quality of teaching in general. As a result, school principals should be trained so that they could acquire communication skills and knowledge about the appraisal process.

For better results of the appraisal process, both the appraisers and appraisees should be trained. Of more significance, is the fact that teachers should be involved in the appraisal process. This process should be characterised by democratic principles, such as democracy, openness and transparency, so that it can tally with the constitution of the new democratic South Africa. In this chapter, there will be a discussion on the contemporary appraisal models, systems and methods of appraisal.

### **3.2 CONTEMPORARY APPRAISAL MODELS**

The shortcomings in connection with the majority of appraisal models during the past decade have been subjected to extensive scrutiny, the results of which have been encouraging. It should be borne in mind that these models may be effective only if they are exercised in a system that promotes concepts such as openness, transparency and democracy. McGreal (Castetter, 1986 : 322-324) identifies five contemporary performance models:

#### **3.2.1 The common law model**

This is the well-known traditional rating system that relies heavily on the use of rating scales to evaluate teacher characteristics and belief structure of the raters. This model emphasises that the same procedures and standardize criteria for all teachers should be used. As a matter of fact, more responsibility has been given to appraisers in conducting an appraisal process effectively. Appraisers should guard against elements that violate most of the knowledge that has been developed relative to sound practises in improving performance.

#### **3.2.2 Goal-setting model**

This has received considerable attention in public education as an alternative to the common law model. Emphasis on performance targets, self-evaluation, continuing feedback on performance outcomes, and close appraiser appraisee relationships are fundamental features of the goal-setting model. The advantages of this model are as follows:

- Appraiser and appraisee could identify areas of improvements;
- Appraiser and appraisee could establish performance targets or goals;
- Appraiser could confer periodically to monitor progress towards goal;
- Performance could be reviewed and



- Progress could be assessed.

This model has rarely been practised in South Africa, because the focus of evaluation in the past had been highly judgemental rather than appraisal which is developmental in nature.

### **3.2.3 Product model**

The product model is based on the assumption that learner achievement is the most logical criteria on which to evaluate teachers. In the South African schools, it has essentially been oriented towards improving examination results, monetary rewards and compliance with department regulations. Advocates of the product model have been accused of assuming that if productivity of factory workers is measured by the number of items produced, scores their learners earn at the end of the school year therefore should evaluate teachers' productivity. Changes in learners' behaviour, growth in skills, knowledge of subject matter and attitudes are examples of product model measures.

In South African context, the Department of Education is still working on the issue that promotion of teachers is given in accordance with learners' achievements rather than teachers' qualifications. Opposition to the product model is based on a host of reasons, including limitations of currently available achievement tests, the regression effect, and learner variability. Despite the controversy inspired by the product model concept, there is a rational basis for including learner achievement data as an input in developmental appraisal purposes of instructional improvement.

### **3.2.4 Clinical supervision model**

This model stresses the importance of a close relationship between the appraiser and appraisee. Although highly appealing in its humanistic approach to improvement of instruction, clinical supervision does not fully qualify as an evaluation model. The reason being that the strength of this model is in its supervisory approach to instruction improvements, and techniques employed in the process are eminently useful as one component of a comprehensive appraisal system.

### **3.2.5 The artistic model**

Like clinical supervision model, it is an approach to supervision rather than to a total evaluation system. This model relies on the sensitivity, perceptivity, and knowledge of the supervisor as a way of appreciating what has transpired in the classroom and by conveying to the teacher in expressive or artistic use of language what has taken place. As a matter of fact, the concept of artistic supervision has considerable strengths and makes a useful contribution to the technology of teaching and supervision. It should be considered, however, as one element in the broader framework of an appraisal system.

In short, all of the models reviewed have both strengths and limitations. Any approach to effective appraisal requires that one understands which techniques or combinations work better than others in a given environment and that one exploit those influence performance effectiveness positively. Rating scales, despite their universal malignment, are the most popular form of appraisal instrumentation. The problem with these models in South Africa is that inspectors and principals have used them as an instrument to victimise teachers rather than improving them. That is why teachers, particularly black teachers, have resented any form of evaluation in schools.



### **3.3 APPRAISAL SYSTEM**

Although there are many approaches, the systematic approach has dominated the appraisal field during the past few years. It is an approach in which measurement and comparison of the same or other kind of personal characteristics, work achievement, or both, are stressed. Furthermore, it is based on appraising teachers in the same way, subjecting them to the same procedures and making use of the same instruments so that results are comparable in the end.

Peach (1981 : 8-13) and Van der Westhuizen (1994 : 271-272) describe some appraisal systems as follows:

#### **3.3.1 Hierarchical approach**

The approach compares a person with another person within a particular group and to rank that person in a relative position. A person's total image is compared with that of another person in the group. Each person needs to be compared with other person in respect of every individual characteristic so that comparison is made in pairs before final positioning is carried out. One disadvantage with this approach is that it is difficult to form a total image of any person and to determine a position for him by means of paired-off comparisons with other people.

#### **3.3.2 Person to person comparisons**

A person's achievement is compared according to predetermined standards. The uniqueness of the system is that standards which are defined in relation to degrees of leadership are not theoretical as real people are used as norms to indicate certain levels on the scale. The scale therefore consists of human standards build around human characteristics. People are compared on the basis of one characteristic at a time with certain key persons who serve as the norm. In the South African context, this approach caused a lot of problems because it promoted favouritism and nepotism. Besides, the

whole process is not transparent and democratic. The new developmental appraisal system opposes this approach in that each individual teacher should be compared with his or her own previous performance rather than with other teachers.

### **3.3.3 Grading**

Here, certain standards are established beforehand and clearly defined. Grading usually consists of three or more levels of grading which range from outstanding to satisfactory. A person's performance is measured against a standard which is known in advance after which the performance is graded. One important aspect of grading is that it can be used for appraising personnel as well as posts. In South Africa, the appraisal system has been threatening, judgemental in character and geared towards faultfinding and punishing weaknesses. However, the importance of grading standards in any appraisal system should be considered.

### **3.3.4 Graphic scales**

It bears a strong resemblance to person-with-person comparison except that factors are represented by descriptions instead of by key persons as norm. This system makes huge demands on the appraiser since personality and character have to be assessed. Problem associated with this system is that it is not a reliable form of appraisal for the uninitiated if there is no clear description of what is understood by specific characteristics.

### **3.3.5 Checklists**

This is a very recent form of evaluation. Work performance is not appraised but is assessed according to certain specific questions contained in the checklist. The questions are set in such a way that only a "Yes or No" response is possible. The problem with checklists is that different checklists are needed for different posts and it becomes extremely difficult to use meaningful questions in the checklist which can assess the total work performance of a person.



According to Chetty *et al.* (1993 : 13) this approach in South African context has normally been used, although assessment has been uneven, unreliable and acceptable.

### **3.3.6 Critical incidents**

In critical incidents, certain forms of behaviour determine the success or failure of a specific working situation. This can be done by taking note of certain critical incidents by observation of staff in the working situation. For instance, maintenance of discipline and order may be regarded as critical incidents in whether or not a teacher is able to teach effectively.

It should be remembered that no appraisal system can be regarded as complete. Therefore, any form of appraisal that is implemented with the purpose of appraising teachers should be handled with care.

## **3.3 DIFFERENT METHODS OF STAFF APPRAISAL**

In school it would be likely for all teaching staff to be involved in the appraisal process. This involvement brings a sense of ownership to the teacher being appraised. The principal as a school leader and manager should have access to detailed information on every member of staff. It is extremely important that the school principal should be able to determine to what extent the teacher succeed in achieving teaching and educational goals. For this reason, the school principal must be trained. Moreover, he or she would be able to provide support for staff by making certain aids available in his or her school which could lead to more effect and more directed classroom practice (Van der Westhuizen, 1994 : 268).

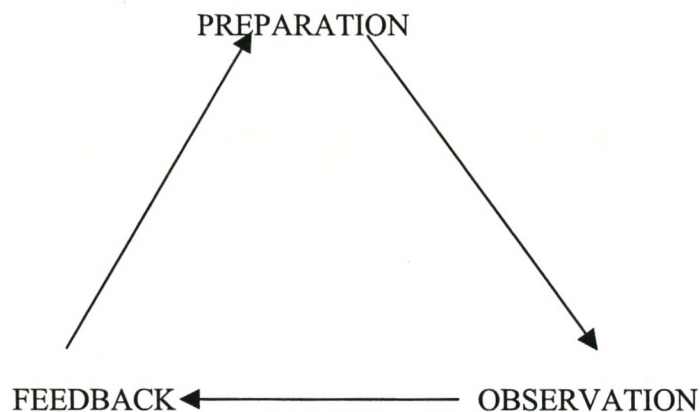
On the other hand, communication as management tool in teacher appraisal is necessary for every school principal so that he or she can run this process smoothly. Teacher appraisal therefore can be approached in a number of ways. According to Squelch and Lemmer (1994 : 120), various strategies for teacher appraisal are as follows:

- \* classroom observation
- \* self-appraisal
- \* appraisal interview
- \* peer appraisal

### 3.4.1 Classroom observation

Turner and Cliff (1988 : 106) believe that teacher appraisal is incomplete without some form of observation and it should be done regularly. Classroom observation therefore appears to work best if set in the following stages:

- \* preparation (pre-conference)
- \* classroom observation
- \* follow-up discussion (feedback) (refer to Figure 3.1)



**FIGURE 3.1: THE CYCLE OF CLASSROOM OBSERVATION**



#### **3.4.1.1 Preparation**

It is important for the teacher to be informed in advance of a class visit. At this stage, the appraiser and appraisee should meet to agree on the nature and purpose of class visit, criteria and methods, the focus of observation and provision of feedback. It is also important to agree on the date, time and place which suit both parties (Horne and Pierce, 1996 : 35).

According to Gordon (1992 : 47) and Jones (1993 : 70) the activity to be observed should be clear, manageable and realistic. Furthermore, the appraiser would make a specific verbal contract regarding what precisely will be observed and what type of data will be collected. This gives the teacher an understanding of what is expected during the classroom observation and what type of data they will have to analyse before the post-conference.

It should be remembered that in the past, inspectors and principals came into the classroom without notice and teacher did not know what was expected of them. Education in South Africa has recently developed a new developmental appraisal system which focuses on the development of teachers rather than on mistakes. This new system also emphasises openness, transparency and democracy which is according to the South African constitution. Finally and crucially, the contents of the lesson and any constraints will need to be considered.

Getting of to a good start is crucial and the initial meeting has an important part to play in establishing a climate which is conducive to appraisal. Preparation for this initial meeting should be done thoroughly if the appraiser and appraisee are going to have an informed professional discussion.

#### **3.4.1.2 Classroom observation**

Classroom observation by the principal or deputy principal is probably the most common component of teacher appraisal. It is also one component that enables the appraiser to witness the appraisee at work.

Jones (1993 : 67) says: *“Classroom observation is only one way of gathering data for appraisal purposes but if appraisal of performance is about improving the teachers’ effectiveness, then looking at what actually happens within the classroom is vital”*.

That is why teacher appraisal remains a crucial part of the management task of the principal and head of department. It should be borne in mind that classroom observation is not intended to police teachers’ work but rather to provide them with help, encouragement and guidance. According to Squelch and Lemmer (1994 : 122), this is particularly of importance for and valuable to beginner teachers.

If the observation is to play a useful role in the appraisal process observers must have a clear understanding of the context, the aims and the purposes of the lessons to be observed. Therefore, observations will include looking at the learner’s portfolios and teachers’ lesson plans and other records and documents of or used by the teacher concerned.

The appraiser therefore must record his or her observations and evaluation so that these can be discussed with the teacher during the follow-up session. As a matter of fact, the appraiser must know different methods for recording classroom observation (Figure 3.2). The most usual methods are probably open recording and prompting questions. Of more significance, is the fact that the appraiser should remain in the classroom for the duration of the lesson because fair and appraisal observation cannot be done by observing only the first ten minutes or so of a lesson.



On the other hand, there are some problems concerning classroom observation. According to Van der Westhuizen (1994 : 268) the school principal is not directly involved in classroom practice and might not know the latest methodology and subject approaches. In this case, an expert in this field may be called to assist. Furthermore, the possibility of a principal being subjective remains a difficult issue. As a matter of fact, the school principal should be trained to evaluate in a professional way and equipped with suitable measuring instruments to reduce the possibility of subjectivity.

| PENCIL AND PAPER METHODS |  |
|--------------------------|--|
| - Open recording         | Observer uses blank sheet of paper and either notes down key points in the lesson, or uses a form of shorthand/longhand and rapidly records events.  |
| - Tally system           | Observer puts down a tally or tick every time particular events occur against predetermined criteria agreed between the appraiser and appraisee, e.g. every time the teacher praises a learner.                                      |
| - Timed systems          | Observer scans the classroom at predetermined intervals, e.g. every two minutes, and either writes down what is happening or puts a mark under one of a series of predetermined categories which describe possible classroom events. |
| - Prompting questions    | Observer is asked to provide answers to a series of questions about classroom work.  |
| - Diagram                | Observer records events on a diagram of the classroom. This can be factual and descriptive.  |

**FIGURE 3.2: METHODS FOR RECORDING CLASSROOM OBSERVATION**

(Jones, 1993: 71).

#### 3.4.1.3 Follow-up discussion (feedback)

After the observation the appraiser should provide some immediate, informal or formal feedback. The initial feedback avoids leaving the teacher in any prolonged state of nervous apprehension and gives an opportunity to comment on the activity while the memory is still fresh. It is important to be supportive but also developmental.

According to Horne and Pierce (1996 : 38), feedback should be constructive and based only on the evidence of the observation, and comments should only be made on behaviour that can be changed. Of more significance, is the fact that space should be allowed for the appraisee to offer their perceptions of the lesson observed. This means that *audi alteram partem principle*, meaning to let the other side be heard, should be applied. Recognition and therefore celebration of the strengths of the appraisements and the achievements of the lesson should be made while offering alternative suggestions, or at least providing an opportunity for alternatives to be explored, if this is appropriate.

According to Jones (1993 : 72) feedback is most effective if it is:

- \* given within 48 hours of the observation;
- \* based on careful and systematic recording;
- \* based on factual data;
- \* constructive;
- \* open;
- \* encouraging; and
- \* collaborative;.

In order to achieve this it is far more productive to be descriptive rather than judgemental. It should be remembered that feedback by the appraiser after observation is of paramount importance and therefore should not be ignored.



### 3.4.2 Self-appraisal

Self-appraisal has been linked to a formative evaluation of one's practice. It is a formative in the sense that the appraisal is aimed at examining and, if necessary, altering or improving practice. According to Stronge (1997 : 239): *"Self-appraisal is a process in which teachers make judgements about their adequacy and effectiveness of their own knowledge, performance, beliefs, and effects for the purpose of self-improvement."*

Van Kradenburg (1993 : 168) adds by saying that improvement occurs when teachers decide to examine their own behaviour.

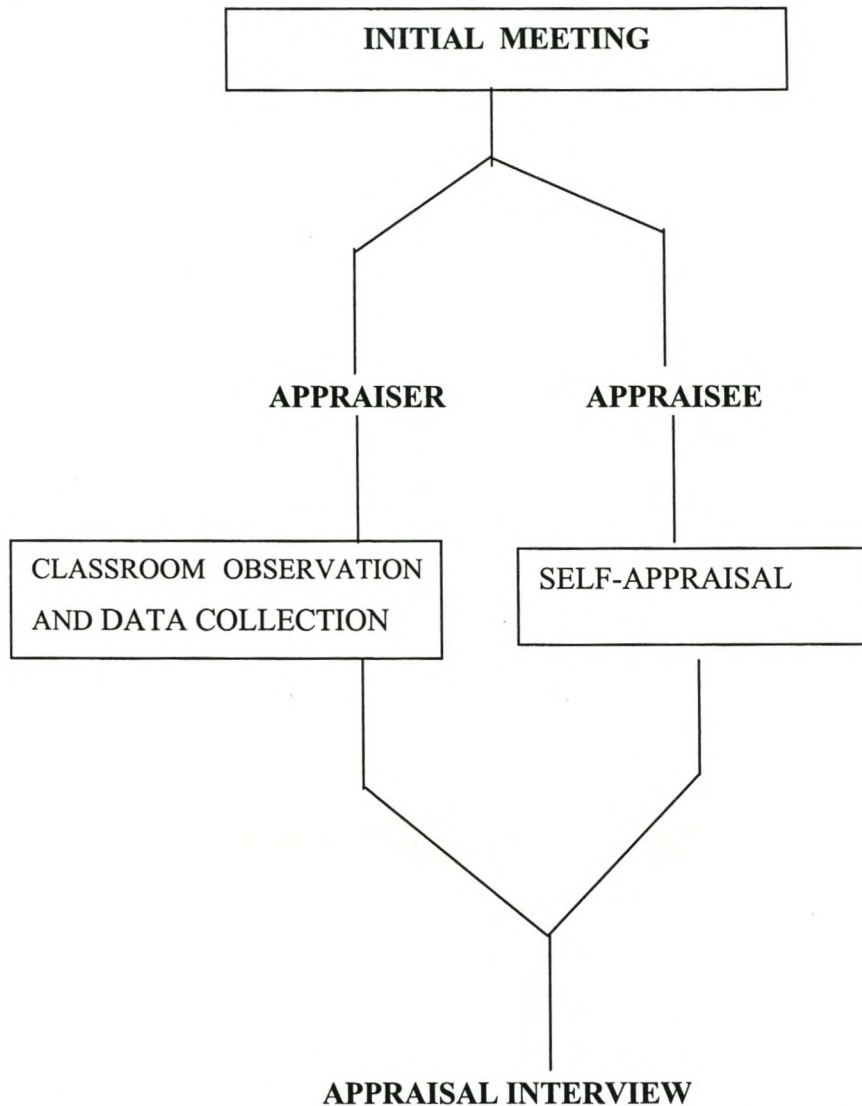
In self-appraisal, successful teachers understand the need to take charge of their own practice and professional development. This means that the initiative and desire for self-appraisal has to come from the teacher himself or herself.

Thus, as a starting point for self-appraisal, the teacher must have a commitment to practice to his or her responsibility to understand, appraise and improve it (Stronge, 1997 : 239).

If self-appraisal is truly to be self-appraisal, the teacher must assume control of the self-appraisal process. Therefore, central to the process of self-appraisal is the concept reflection. West-Burnham (1991 : 44) believes that reflection can help the appraisee to make full contribution because it encourages a sense of ownership of the process. For this reason, the appraiser and appraisee should have a good relationship so that the appraisee must feel confident about revealing possible areas of concern without being regarded as a poor teacher (Horne and Pierce, 1996 : 32).

Although self-appraisal cannot be enforced, teachers should be encouraged to reflect on their performance to evaluate themselves regularly. The principal, however, must help to build a school climate that encourages and supports professional development through teacher self-appraisal.

The place of self-appraisal in the appraisal process may be represented by figure 3.3. At the initial meeting the appraiser and appraisee should agree on the guidelines, methods and the criteria. The choice of the methods for self-appraisal should be made by the appraisee but the appraiser should be able to offer advice.



**FIGURE 3.3: SELF-APPRAISAL IN THE APPRAISAL PROCESS**

**(West-Burnham, 1993:45)**

Like in the observation, information from learners is helpful in self-appraisal. Many teachers are disturbed by the idea that learners might be encouraged to make judgements about their teaching. Yet learners are actually making judgements about teachers all the



time and teachers are also using the reaction of learners to assess their work. This can be done through learner questionnaire.

The greater likelihood where self-appraisal is accurate is that the teacher is excessively critical of his or her performance. In this position the observer is in a position to moderate the self-criticism. One disadvantage about self-appraisal is the fact that it is hard for a person to evaluate himself or herself negatively. Nevertheless, self-appraisal is one of the best methods if it is teacher-centred and conducted appropriately.

In addition, a self-appraisal form can be helpful as a focus for the teacher’s appraisal of his or her performance (see figure 3.4). It is also possible for the appraiser to use an appraisal sheet. Of more significance, the purpose of its use in this way must be clearly understood by both the appraisee and appraiser. It should be remembered that this appraisal form is not a document to be retained by the appraiser as an assessment of the lesson.

| Questions  | Yes | No | Personal comment. (What should I do to improve) |
|--|-----|----|---|
| <div>- Am I aware of the aims of my department?<br/>- Do I have an up-to-date syllabus and scheme of work?<br/>- Do I keep accurate records of my work?<br/>- Is my classroom well organised?<br/>- Are my lessons well planned?<br/>- Do I have clearly stated goals?<br/>- Do I understand the need of my learners?<br/>- Do I use a variety of teaching methods that suit the learning style of my learners?<br/>- Do I present a variety of learning activities that suit the age and abilities of my learners?<br/>- Do I communicate effectively with my learners?<br/>- Do I use a variety of questioning techniques?<br/>- Are learners’ records accurate and up to date?<br/>- Am I sensitive to my learners’ cultural backgrounds?<br/>- Is the discipline I exercise fair and consistent?</div> |     |    |   |

**FIGURE 3.4: SELF-APPRAISAL FORM**  
(Squelch and Lemmer, 1994 : 121)

### **3.4.3. The appraisal interview**

The appraisal interview is conducted between the appraiser and the appraisee. According to Squelch and Lemmer (1994 : 123) it provides an opportunity for the appraiser and the teacher to have face-to-face, private discussions on the teacher's performance and progress. Of more significance, it provides a valuable opportunity for the principal to keep in touch with what teachers are doing, to show personal interest and to be aware of their workload, achievements, needs and concerns. For the success of the appraisal interview preparation beforehand is essential.

#### **3.4.3.1 Preparation for the appraisal interview**

The appraisal interview should be well planned. Both parties should determine a date and time well in advance. Squelch and Lemmer (1994 : 124) are of the opinion that sufficient time should be set aside for a meaningful discussion. Besides, the appraiser should gather all the necessary information about the teacher before the interview. It is also important to draw up an agenda beforehand and to decide on areas for discussion. The appraisee must be given enough time for preparation. It should be remembered that good preparation by both parties and sound organisation are essential for effective teacher appraisal (Cooper and Fidler, 1988 : 147). Of more importance, is the fact that an effective appraisal interview is more likely to take place in an existing climate of mutual trust and respect. As a matter of fact, the appraiser must cultivate this atmosphere throughout the whole year.

#### **3.4.3.2 The interview**

The opening of the interview is very important because it sets the scene and may determine the climate of the interview. It is a prerequisite of a successful appraisal interview that both participants are relaxed enough to concentrate on the matter in hand. Squelch and Lemmer (1994 : 125) support this idea when they say the interview should take place in a comfortable and non-threatening environment. The venue is important



because of the need for privacy. This can be a problem in some schools, particularly rural schools, where there are few rooms in which teachers can engage in private conversation. If the interview takes place in the principal's office, no telephone calls should be received and there should be no interruptions. According to Jones and Mathias (1995 : 87) it is appropriate that a copy of the job description, records, evidence of learners' work and previous agreed targets if any are brought along by the appraisee to the interview.

Cooper and Fidler (1988 : 143) are of the opinion that all management involves working with and through people. The introduction of an appraisal scheme requires the exercise of all the interpersonal skills which are a necessary part of all management and in particular require a consideration of the skills needed for the interview itself. This means that the appraiser should be a competent communicator. He or she should use appropriate verbal and non-verbal communication and questioning techniques, display good listening skills and provide suitable feedback.

It is worthwhile to consider the skills needed by the appraiser to conduct a successful appraisal interview. West-Burnham (1993 : 57) describes these skills as follows :

**\*Questioning.**

Using the full range of questioning styles to establish facts, clarify feelings, develop ideas, test understanding and stimulate analysis.

**\*Listening.**

Displaying appropriate eye contact, body posture and non- verbal to demonstrate involvement.

**\*Negotiating.**

Use of problem-solving strategies to minimise possible conflict and enhance the possibility collaborative decision-making.

**\*Summarising.**

Identifying the main points of the earlier discussion which encourage the appraisee to elaborate further on the points summarized.

**\*Feedback.**

Regular checking to establish accuracy of understanding, demonstrate commitment and seriousness and facilitate progress to shared outcomes.

The appraiser should be well trained so that he or she may be able to apply these skills appropriately. Furthermore, the appraiser should make sure that criticism is constructive and he or she must remember that the main purpose of the appraisal interview is to help the appraisee to improve his or her performance. Therefore, it is important for any interview to be a two-way communication so that both parties would have an opportunity to contribute to the discussion (Squelch and Lemmer, 1994 : 125). It should be remembered that the interview must focus on the person's strengths, weaknesses and achievements. Too, often, the weaknesses are highlighted. It is, therefore, also essential to identify areas of improvement to arrive at practical ways which the improvement can be achieved.

At the end of the appraisal interview, discussion is summarised, the report on the interview is discussed and plan of action is decided on. Therefore, the appraiser and the appraisee should reach agreement on the appraisal statement, which is a written account of the appraisal and decisions reached. It can take a form of a letter, report or form. This report must clearly stipulate what kind of developmental programmes can be used to further improve the teacher's performance. These programmes can range from in-service programmes within the educational departments or in non-governmental organisations to recommend counselling and other types of support that may be felt to be necessary. Again, the appraisee should be given the opportunity to discuss the appraisal report before it is finalised and signed by both the appraiser and appraisee. This will form an important basis for the next interview or observation.



### **Guidelines for a successful appraisal interview**

Squelch and Lemmer (1994 : 126 -127) suggest the following guidelines for a successful appraisal interview:

- \* Face the interviewee. The appraiser and appraisee should not be separated by desk.
- \* Maintain eye contact.
- \* Avoid using close-ended questions that result in “yes or no” responses.
- To try to use as many open-ended questions as possible to allow the person to give a more detailed response.
- \* Be sensitive to non-verbal communication cues.
- \* State questions clearly.
- \* Listen attentively while the other person is talking.
- \* Do not allow any interruptions.
- \* Provide clear and useful feedback.

#### **3.4.4 Peer appraisal**

Webb et al (1994 : 198) define peer appraisal as: “*A process by which a staff member’s performance is appraised by colleagues.*”

Therefore, peer appraisal presents the opportunity for teachers to work more closely together and to share ideas, experiences, knowledge and expertise. If peer appraisal is done in a spirit of cooperation it can help teachers to improve their performance.

Unfortunately peer appraisal is not a common practice in South Africa. Colleagues seldom appraise each other, observe each other’s lessons or even engaged in team teaching. In peer appraisal no one is above the other. The appraisee, thus feels more comfortable when appraised by colleague.

Coming to appraisal itself, it is a good idea to discuss the aspects the appraisee will focus on with his or her colleague beforehand, or to decide on which aspects he or she would like his or her colleague to assess him or her. For instance, the appraisee may wish to focus on communication skills. Teachers need to be excellent communicators and should constantly improve their communication skills. This approach seems most useful for experienced, competent teachers who value collegiality.

Despite its advantages, there is also a problem associated with peer appraisal. For instance, there is no true reflection of appraisal when a colleague appraises one, and besides it is time-consuming and expensive, since teachers are hired to do their work (Webb, 1994 : 198).

### 3.5 SUMMARY

All principals should be well informed about teacher appraisal. It seems as most of principals are lacking management responsibilities, leadership qualities and communication skills to conduct an effective appraisal that can be accepted by all teachers. Therefore, school principal should be trained in order to acquire knowledge about the contemporary appraisal models, systems and different methods of the appraisal system. In short, knowledge about communication skills such as questioning, listening, negotiating, summarising and feedback, are of a more significance. The need of these knowledge and skills is further perceived by teachers to be an essential pre-requisite to a successful appraisal.

It should, therefore be remembered that appraisal is conducted on three stages, i.e. pre-appraisal, appraisal and post-appraisal. In the **pre-appraisal**, there is a setting up of the appraiser and the appraisee, clarifying the roles of both participants, discussing the criteria and guidelines, and agreeing on the date and venue of the appraisal. The initial meeting should be followed by appraisal itself. This **appraisal stage** is about actually doing the appraisal in practice. When doing the observation appraisers need to follow the



criteria that have been decided upon. These criteria, as they will be discussed briefly in chapter 4, clearly outline what should be observed and how they ought to be treated.

Therefore, observations, as it is in the case of other methods of appraisal, should include looking at learner portfolios, teachers' lesson plan and other records and documents of the teacher concerned. The result of the observation or interview must be discussed with the appraisee at the post-conference or post-appraisal meeting.

The last stage of the appraisal process is **post-appraisal**. In this stage, the report of the appraisal is discussed with the appraisee and he or she is given an opportunity to explain his or her own professional practice (*audi alteram partem*). After an overall agreement between the two parties are reached, the appraisal report will therefore be signed by the appraiser and appraisee in order to be valid. Of more significance, is the fact that the appraisal report should clearly state what kind of developmental programmes can be used to improve the teacher's performance.

## CHAPTER FOUR

### DEVELOPING AN APPRAISAL SYSTEM

#### 4.1 INTRODUCTION

Education is crucial in South Africa's future growth and development and to the upliftment of its people. A good education system should produce the skills that an industrialising economy needs, the society people want and the responsible citizens upon which the new democracy will depend. Therefore, teachers should educate learners to learn. In order to enhance the quality of learners' education, it is important that teachers should be personally and professionally developed. Through appraisal, teachers who are failing to meet the required standards should get continuously support through teacher's developmental programmes, inservice-education and training. On the other hand, the appraisers should also congratulate those teachers who perform well. That is why the document called **Developmental appraisal for educators** which was finalised in 1999, focuses on the developmental aspect of teachers (The educator's voice, 1999 : 8).

It should be borne in mind that teachers could not be developed if they do not have a say in the appraisal that concern them. It is therefore important that teacher appraisal should be characterised by a broad involvement of teachers in decision-making, a democratic communications' and transparency strategy so that it must be accepted and owned by teachers.

In this chapter the discussion will focus on developing an appraisal system which includes the following: goals and objectives of teacher appraisal, teacher appraisal procedure, requirements or conditions of teacher appraisal, guiding principles and developmental appraisal instrument for teachers. Moreover, creating a positive climate is also one of the most important aspects that must be taken into account when developing a teacher appraisal system.



## **4.2 GOALS AND OBJECTIVES OF TEACHER APPRAISAL**

Most school principals seem to enjoy appraising their teachers. Unfortunately they have different perceptions about teacher appraisal. Some principals, particularly the older ones, still have that faultfinding evaluation in mind, whereas teachers and most young principals need to have an appraisal that develops teachers.

According to the department of education's recent circular on grade 12 assessment results some schools, for example, Mbilwi and other secondary schools in the Northern Province, produce a 100% pass rate, whereas other schools in the same area produce less than a 30% pass rate every year. Although there are many factors that contribute towards getting good results in schools, teacher appraisal is just one of those. It is obvious that personal and professional development of teachers somehow have to do with learners' good results. That is why there is a call at all corners of South Africa from the President Thabo Mbeki and Education Minister Kader Asmal that they would like to see good results in all schools. In *The Sowetan* (1999 :1), Education MEC in the Northern Province Edgar Mushwana, adds that his department had plans to ensure improved results in future. Amongst them there is teacher appraisal.

Teacher appraisal without enhancement is sterile and that is why the new developmental appraisal system in South Africa has been set up in the way it is, to provide teachers with feedback on their performance which will enable them to grow from their strengths. Thus one of the central reasons for appraisal is simply to keep teachers alive and growing. It is of paramount importance that teachers teach so that learners may learn. If what teachers do does not help learners to learn, to acquire the necessary skills, knowledge, competencies, and attitude that are aims of education, then it is pointless.

According to Jones (1993:12) the primary goal of teacher appraisal is to facilitate the personal and professional growth of the individual teacher and to determine whether the teacher is ready for promotion, whereas the secondary goal is to effect institutional improvement.

Unless there are genuine benefits from appraisal for the staff, there is little point in embarking on the process. Staff must feel that they are deriving benefits from the process rather than seeing it as a paper exercise or one that is superficial. The extent to which staff gains from the appraisal process will depend, in large measure, on quality of planning, the extent of commitment and the vigour within which the process is operated.

According to Bunnell (1987:6); Gorddard and Emerson (1997:23); Jones (1993:8); Squelch and Lemmer (1994:114) and Quinlan and Davidoff (1997:11), the goals and objectives of teacher appraisal are the following:

- \* to serve as a point of departure from which the development of teachers can be undertaken in order to realise their optimum potential;
- \* to review performance, identifying strengths and weaknesses;
- \* to lead to greater clarity regarding teacher's role and job satisfaction of all those who work in schools;
- \* to lead to improvements in the learning experiences of learners;
- \* to provide help to teachers having difficulties with their performance, through appropriate guidance, counselling and training;
- \* to enhance communication and motivation;
- \* to assist in planning the in-service training and professional development of teachers individually or collectively;
- \* to determine the competency of teachers for the purpose of optimum utilisation, merit, promotion and corrective measures;
- \* to improve educative and teaching ability of teachers through support and development programmes;
- \* to give an opportunity to praise teachers for their performance;
- \* to improve feedback on performance;
- \* to give staff an opportunity to make their views known on matters of concern;
- \* to provide profiles of teachers for future record;
- \* to plan future career activities and
- \* to bring about the optimal personal development of teachers and thereby enhance the quality of the education system as a whole.



Although the central concern should be the personal and professional development of teachers, appraisal has a vital role to play in the overall development of the school. Therefore, school can achieve some benefits such as the following:

- \* enrichment of learners;
- \* accomplish common goals;
- \* identify staff development needs;
- \* allocation rewards through salary adjustment and promotions;
- \* create a more supportive environment and
- \* improve staff morale.

It should be noted that the emphasis is on uplifting the quality of education in schools by providing help to teachers with their careers. Therefore, the role of the school principal, as school manager and leader, should not be ignored.

#### **4.3 GENERATING APPRAISAL PRINCIPLES**

It is important to note that principles are general ground rules that are universally accepted. In this case, they serve as the guiding rules for a developmental appraisal system. It is acknowledged that these principles inform the basic nature of teacher appraisal. As such, it plays a very significant role in the developmental appraisal system, without which teacher appraisal cannot operate.

It is important to generate ground rules for the appraisal programme at school. Underlying principles, which would need to be clarified at the start of the process, should be considered in advance. Appraisal should allow teachers to know how well they are doing, offering a fair and objective means of appraising their performance. The same process informs the appraiser how well he or she is supporting the development of teachers.

In order to establish and maintain a positive attitude towards appraisal, it is crucial that all teachers should be fully informed about the policy and procedures. The aims of the

appraisal process must be clear to everybody and steps must be taken to ensure that all staff shares this understanding.

According to Jones (1993 :31), Stronge (1997 : 85) and West-Burnham (1993 : 73), the following principles are essential to any appraisal system :

- \* All full-time staff will be appraised for a whole year.
- \* The procedure must be formulated after consultation between the appraiser and the appraisee. The procedure, including areas for appraisal, criteria outcomes and reports, must be clear at the outset.
- \* The appraisee must be actively involved in the process, each stage of which needs to be an area of active participation and negotiation between those involved.
- \* Appraisal should enjoy the confidence of teachers by respecting agreed upon educational principles, respecting all persons and their professionalism and by commitment to develop teachers' potential.
- \* Appraisal should be conducted in a frank and honest way which encourages constructive dialogue between the appraiser and appraisee.
- \* All aspects of the appraisal process should be conducted without discriminating on the ground of gender, race, or marital status.
- \* Teacher appraisal should be geared towards the motivation of teachers and continuous improvement of teaching practice in line with international, third world and local trends.
- \* Appraisal should involve the providing of appropriate assistance and support, the provision of appropriate assistance and support, the provision of opportunities for self
- \* And group development, the recognition and encouragement of leadership qualities and other such skills and must specifically address the important need to engender confidence in teachers.
- \* Although the appraiser retains the right to observe any lesson, the decision as to which groups or lessons are to be observed will be the result of discussion or negotiation at the initial meeting.



- \* Appraisal is an important activity and all staff, appraisers and appraisees, should undertake appraisal training before involvement in the process to help ensure that they conduct appraisal to the maximum benefit.
- \* Neither appraisers nor appraisees should act in any way that is likely to threaten the trust and confidence on both sides upon which successful appraisal depends.
- \* The final report must remain confidential to the appraiser, appraisee and to the school principal.

In the South African context, the final agreement was reached in July 1998 between teacher unions/organisations, provincial departments and National Department of Education within the Education Labour Relations Council (ELRC) on the implementation of the new developmental appraisal system. This agreement is reflected in Resolution Number 4 of 1998. In this document **Developmental appraisal for educators** (DE, 1999: 60), eight guiding principles are listed:

1. The process of appraisal should be open, transparent and developmental.
2. The appraisal of educators is in essence a developmental process which depends upon continuous support. It is designed and intended to entrench strengths, develop potential and overcome weaknesses.
3. The process of appraisal should always involve relevant academic and management staff.
4. The appraisal should be all inclusive of stakeholders, and its members should be trained to conduct the process of appraisal.
5. Educators should be informed of all aspects of the appraisal process, so that they can take the initiative to conduct the process of appraisal.
6. Prompt feedback by way of discussions and written communication to those who are being appraised should be one of the indispensable elements of appraisal.
7. The appraisee has the right to have access to and respond to the appraisal report. The *audi alteram partem* rule should be applied.
8. The instruments of the appraisal should have appropriate criteria to appraise the nature and level of the work performed.

The above-mentioned principles are divided into three basic philosophical understandings that inform these guiding principles i.e. democracy, transparency and a developmental orientation. It is important to show how these are operationalised in the guiding principles that inform the new developmental appraisal system. It should be remembered that these principles must be in line with the Constitution of South Africa.

#### 4.3.1 Transparency

The guiding principles of the new developmental appraisal system emphasise transparency. In this document **Developmental appraisal for educators** (DE, 1999 : 60) the transparency however, prevents the appraisals being done in secretive and corrupt ways.

It should be remembered that secrecy as opposed to transparency, which surrounded the past appraisal system, created enormous malcontent and the possibility of appraisal acting as an incentive was severely negated. That is why Jones (1993 : 34) maintains that communication in teacher appraisal needs to be free from prejudice. Moreover, transparency should lead to meaningful dialogue during the appraisal process. The conceptualisation of transparency necessarily leads to an exposition of communication as a management tool during appraisal. Of course, all teachers feel safer when they know what is expected of them.

#### 4.3.2 Development orientation

The primary aim of the new appraisal system is to develop teachers personally and professionally. According to the **Developmental appraisal for educators** (DE, 1999:62) teachers need to be assisted in identifying training needs and they also need to be provided with inventory of their talents, skills and qualifications. As a matter of fact, it is meant to be supportive of teacher's professional growth. This is to give teachers more confidence in their practices, to recognise their professional abilities and develop their potential. The appraisee in this situation is, therefore, not merely an object that is



being judged, in whom faults and weaknesses are to be found. Rather, the appraisee is a professional whose performance is appraised in formative and supportive ways in order to facilitate further professional and personal development and growth.

#### 4.3.3 Democracy

It has been already stated that the new appraisal system should be in line with the Constitution of South Africa which is democratic by nature. Therefore, democracy in the new appraisal process should be emphasised. In the **Development appraisal for educators** (DE, 1999:60) the appraisal process should be conducted by a panel which should be inclusive of all stakeholders. This means that the appraisal process should be one that is collaborative. As such, the appraisal process cannot be done by one person. It needs to include a panel of people with the appraisee participating within it.

All of the participants' views need to be taken into account before a decision is made and both should agree upon the final decisions. The democratic workings of the appraisal panel ensures that the appraisal process is not a top-down, authoritarian and undemocratic, which were characteristic of evaluations of teachers in the past. Besides, the audi alteram partem rule should be applied. Democracy and accountability therefore are necessary conditions of the new developmental appraisal system.

As it can be seen from the above discussion on the guiding principles of the developmental appraisal system, democracy, transparency and development are operationalised in the workings of the appraisal process. In fact, they are not mere ideological and theoretic statements, but principles for the ways in which the appraisal process manifests itself in actual practice.

#### 4.4 THE REQUIREMENTS FOR TEACHER APPRAISAL

An effective teacher appraisal programme requires great deal of organisation. A number of requirements need to be met before an appraisal programme can be put into practice.

According to Fidler **et al** (1988 : 85) and Jones and Mathias (1995 : 14) the following requirements or conditions should be taken into account :

- \* Confidence by both parties that the appraisal process has values;
- \* An interview structure that allows the appraisers and the appraisees to cover specific areas and answer specific questions adequately;
- \* The need for training for appraisers and appraisees;
- \* The selection of the appraisers by the appraisees;
- \* Development of an appraisal time-table;
- \* The need for resources to be allocated to the appraisal programmes;
- \* A written policy which informed teachers of the appraisal principles, criteria and the exact procedures to be followed.

The requirements or conditions for the appraisal process are essential because they determine the success or failure of the process even before it begins. It is therefore, the task of the principal to involve teachers in this process so that they could have a sense of ownership. It should be borne in mind that ownership brings responsibility. This means that teachers are responsible for something they own and understand. Moreover, these requirements should tally with the constitution of South Africa which emphasises democracy, fairness, openness, transparency and developmental programmes.

Teachers feel that the above-mentioned requirements are conducive for appraisal of teachers. As long as teachers are part of the process and are not intimidated or victimised by the appraisers, they will accept it. It should be remembered that teacher appraisal is for teachers, and therefore more attention should be given to them. Nevertheless, school principals should initiate, facilitate and to manage this process.

#### **4.5 THE TEACHER APPRAISAL PROCEDURE**

Teachers in many schools are in favour of appraisal that indicate how this appraisal should be conducted. It should be noted that both the appraisers and appraisees should



know about steps to be taken when teachers are appraised. If appraisal procedure could be followed properly, it will minimise the appraisal problems.

According to the **Developmental appraisal for educators** (DE, 1999:92) the following steps should be followed when teacher appraisal is conducted:

- \* The principal as the head of the institution should call a staff meeting to elect the staff developmental team (SDT) members.
- \* The principal should discuss with the staff the aims, principles, criteria and procedures of performance appraisal. At this meeting appraisal documentation should be provided to staff members and a workshop could be considered to ensure that all involved display ownership of the process.
- \* After the SDT members are elected, their roles should be clarified.
- \* The SDT should ensure the training of the entire staff.
- \* The SDT and the staff should identify the appraisees for the first and second phases.
- \* The SDT should compile a list of all appraisal panels and check if their composition is appropriate and workable.
- \* A chairperson and the scribe of the panel should be elected by the appraisal panel and the role of all members on the panel should be clarified. At least two appraisers from the panel should be identified in order to accompany the teacher in practice in the classroom.
- \* Submission of portfolios and dates for teacher's observation should be arranged and the appraisee should fill in the personal details.
- \* The SDT should open files for each teacher.
- \* The appraisal panel should ensure that teachers fill in prioritisation forms. These prioritisation forms should be discussed and agreed upon at the next appraisal panel meeting. Thereafter, the personal growth plan form should be filled in.
- \* The panel and the appraisee should jointly go through the appraisal instruments and should arrive at some shared understandings of the terms that are used within them.

- \* Discussion papers should be agreed upon and completed by the appraisal panel and the appraisee.
- \* The appraisal report should also be completed and signed by all members of the panel in order to be valid.
- \* A clear recommendation of the appraisal report for further professional development should be stipulated and implemented immediately after the post-observation conference.

The way the appraisal procedure has been drawn up, bridges the gap between the principal, the management body and the teachers. Now it is up to the school principal to encourage teamwork spirit in his or her school and to get them involve in any aspect of the process. This could make teachers have a sense of ownership which may lead to job satisfaction. For the smooth running of the appraisal process, it is important that both the appraisers and appraisees should follow the appraisal procedure.

#### 4.6 CRITERIA

Although the goals and objectives which have been already highlighted indicated the importance of teacher appraisal at schools, it is of paramount importance to consider criteria as the backbone of the whole process. Therefore, teacher appraisal without criteria is like building a house without a foundation.

According to the **Development appraisal for educators** (DE, 1999:9) criteria is the basis on which judgements of good or acceptable practice are made or targets are judged to have been met. For appraisal of teacher performance to occur a set of criteria should be established against which performance can be examined (see figure 4.1). Therefore, criteria should be objective and job related. It is essential that different criteria should be needed for the staff.

It is obvious that people who have different job descriptions should have different criteria. For example, the head of department, subject head, deputy principal and



principal, unlike teachers in post level one, have extra-responsibilities for which they are accountable. As a matter of fact, their criteria could include an overall school management, strategic and financial planning and servicing the school governing body.

It should be borne in mind that criteria could only work if teachers accept them and they should, therefore be subject to consultation, modified to suit the ethos of a particular, school and negotiated to fit the circumstances of a particular appraisal. The fact that appraisal is about performance management means that the required standards need to be explicit, understood and agreed. For appraisal to be effective, it should be conducted against the background of a broad common understanding of what is expected of schoolteacher and principal.

| CRITERIA                                | DEFINITION   | EXPECTATION  |
|---|--|--|
| <b>CORE</b>                             |  |  |
| 1.1 Curriculum                          | Interpretation of learning programmes<br>Development of learning materials and assessment methods and selection of appropriate teaching strategies.  | The educator plans and designs teaching and learning activities where learning is a collective enterprise, integrative, active and goal-oriented.  |
| 1.2 Creation of a learning environment  | The tone and spirit in the classroom. The atmosphere in which teaching and learning takes places. General attitude to learners and the expectations which are aroused. The relationship between routines, stimulation, industrious activity and creativity. The establishment of a productive, encouraging, demanding and supportive environment for learners.                                       | Mutual interest and enthusiasm between teacher and learners create the learning environment. Learners expect to work hard at valid and satisfying tasks as a result of the open and critical discussion based upon rich and diverse materials. The classroom atmosphere encourages the exchange of ideas, questions and experiences, and learning is understood as a co-operative and productive activity. Learning opportunities take place at different levels at the same time. |
| 1.3 Lesson presentation and methodology | Educator's knowledge and experience of the learning area that is presented to learners in ways that produce learning interest, involvement, questions and critical thinking. This relies upon the teacher's skills in planning and organising individual lessons as well as programmes of learning based upon insight into the learning area to be taught.   | The teacher has an excellent grasp of the learning area and is highly skilled at using many ways to promote the needs and expectations of learners. Each lesson has strong links with those before and after, and learner involvement is an integral part of their own education and development. Learners emerge with a confident and broad understanding of the learning area at their level.  |
| 1.4 Classroom Management                | There is evidence of discipline, guidance with support, leading to sound rapport with learners, positive reinforcement, encouragement and appropriate admonition and effective, fair, regular and varied assessment of learner's efforts. The ability to inspire and encourage learners to produce their best performance and maintain high standards of behaviour and ethics.                       | Demonstrates effective ability to encourage, guide and support learners. Self motivated to the extent that it influences other people positively. Noticeable drive, enthusiasm and tenacity. Encourages staff to achieve excellence in the classroom.  |
| 1.5 Learner assessment                  | The ability to assess the progress as well as the potential and actual learning through using a variety of assessment procedures. The extent to which the evaluation of learner development is managed continuously in ways of the learners and the learning area. The ability to use the result of learner performance for diagnostic purposes, remedial work and for adapting teaching programmes. | Uses the assessment of learners creatively so that it serves many constructive purposes. Sets high but achievable standards consistent with the levels and abilities of the learners. Has a lively interest in assessment and its possibilities and is aware of new methods. Learners receive constructive and frequent feedback as a consequence of continuous and varied assessment. Keeps complete and comprehensive records of learners' progress.                             |

**FIGURE 4.1: CRITERIA (DEPARTMENT OF EDUCATION, 1999 : 15)**



According to Quinlan and Davidoff (1997:51) the following criteria, as suggested by SADTU, DET and other teacher organisations working committee, focus on the following performances:

- \* classroom performance;
- \* planning and preparation;
- \* lesson presentation and methodology;
- \* classroom management;
- \* learning environment.

In addition to these criteria, MacColl (1994 : 13) lists certain criteria under classroom performance and lesson presentation that are essential to any appraisal system :

- \* Personal resources
- \* Bearing, manner, voice and appearance
- \* Subject knowledge
- \* Lesson planning and preparation
- \* Clarity and relevance of stated aims
- \* Lesson structure and proportions
- \* Recap of previous lesson
- \* Introduction to lesson
- \* Presentation of material
- \* Reinforcement (lesson summary and testing)
- \* Setting and adequacy of private study or homework
- \* Preview of next lesson
- \* Use of aids or equipment
- \* Use of type of questions
- \* Teacher movement
- \* Discipline and class control
- \* Pupil participation
- \* Pupil reaction and response
- \* Classroom atmosphere
- \* Achievement of lesson aims.

As it can be seen by the examples given above there are many ways in which criteria could be listed. According to the **Measuring instrumental for CS-1 educators** (SADTU & NAPTOSA, 1996 : 15-17) the following criteria, as they appear on the new appraisal documents, are currently in use in South Africa.

These criteria focus on the following aspects:

**A. Curriculum assessment**

**\* Classroom performance**

- \* planning and preparation
- \* lesson presentation and methodology
- \* classroom management
- \* creation of appropriate learning environment.

**\* Professional involvement**

- \* development of subject competency
- \* participation in professional bodies
- \* support of colleagues

**B Services assessment**

**\* Personal factors**

- \* personal approach and style
- \* human relations
- \* leadership
- \* responsibility

**\* Approach and commitment**

- \* community
- \* extra - curricula activities
- \* communication



**C. Administrative assessment**

- \* administration and organisation
- \* planning
- \* management
- \* recording and analysis of data
- \* a group control and discipline

It is essential to note that criteria and grading systems work hand in gloves. Grading is a controversial issue since it involves appraisers attaching particular weighted values to teachers' performances.

According to Quinlan and Davidoff (1997 : 51) there are enormous difficulties in attaching a fair and accurate grade to certain behaviour within the period of observation, since the decision is the result of a subjective assessment of the appraisee. The issue of grading raises numerous questions to which there are no set answers. For this reason, teachers should reach consensus on what an appropriate grading system is. For example, the SADTU document uses a scale of E-A.

The necessary performance criteria and standards must be established prior to implementing a teacher appraisal and supervision programme. Principals should make certain that they speak the same language of teachers. A sharing of performance standards by teachers and principals should lead to more rational and relaxed discussions with respect to observed behaviour.

#### **4.7 CREATING A POSITIVE APPRAISAL CLIMATE**

Broadly speaking, teacher appraisal is unpopular because teachers perceive it as threatening and negative. If appraisal is implemented in an autocratic way, without the co-operation of staff members, it should hardly be surprising that teachers view it in such a negative light.

Because of historical connotations, teachers need to become familiar with appraisal as a non-threatening and self-developmental process. That is why appraisal workshops are conducted countrywide in South Africa in order to familiarise it to the principals and staff in general and to take the sting out of the appraisal. According to Quinlan and Davidoff (1997 : 9) the system first need to be agreed upon, implemented and reviewed to a point where teachers trust it.

If appraisal could be seen as something positive that provides a means of expressing appreciating for teacher's work and efforts as well as a way of offering support and improving the quality of teachers' work, it is more likely to be well received. Any management technique or programme that teachers do not understand and accept is likely to be ineffective. If forced to, people will give lip service and fill out forms. However, if they understand and believe in a programme and see it as a means of helping to group goals, they will use it and feel a sense of commitment to it. With careful planning and the correct attitude, teacher appraisal can be implemented in a positive and professional way for the benefit of both the teacher and the school.

Jones (1993 : 22) adds by emphasising the fact that the duty of the school principal is to create a favourable climate in which there should be trust and openness between those involved. Therefore, appraisal could only be successful if it is firmly integrated with the management structures of the school.

Of more significance, is the fact that appraisal does not only concern with the teacher's work in the classroom and in the school, but also with the role of management in facilitating the work, adequate resourcing, provision of support and opportunities for professional development.

Although many teachers did not accept the appraisal in the past, it is of a paramount importance for school managers to create a favourable climate in which teachers could accept appraisal as part of their job. Some of the important aspects to be considered when promoting teacher appraisal in schools are as follow: Staff involvement,



communication, job description, feedback, management of teacher appraisal, management by objectives, staff development teams and the appraisal panel.

#### **4.7.1 Staff involvement**

A major complaint of many teachers is that they had not been involved to any significant degree in the development of teacher appraisal programmes, particularly as it relates to criteria and appraisal process in general. For this reason, the evaluative criteria and procedures designed do not reflect teachers' ideas. As a matter of fact, teachers need to take part in the setting of goals, development of observation instruments, checklists and summary sheets that make up the appraisal so that they will know the criteria and procedures by which they are being appraised. For example, since the early 1990s, teachers in South Africa have been involved in the restructuring and development of the appraisal system through their respective organisations.

Gorton and Thierbach-Schneider (1991 : 290) support the idea that teachers should be integrally involved in the development and subsequent implementation of the appraisal programme so that teachers could accept it. This is obvious because people could not reject things in which they form part. Looking at appraisal workshops held in 1999 throughout the Northern Province, the idea is teachers accept that appraisal. The fact is that, as long as teachers are involved in the appraisal process, the possibility of accepting it is very high and vice-versa.

Now it is up to the education department and school principals to take into consideration that appraisal should draw out thoughts, feelings and experiences from the teachers. The issue is that everybody should be respected because he or she has skills and knowledge to contribute. Presently, teachers are used to say that "There is no us without us" meaning that they could not be part of the process in which they are not involved.

According to Hughes and Ubben (1978 : 167) professional interaction in a participatory appraisal process has the potential to decrease isolation and increase motivation and to

contribute towards professional development. It should always be remembered that a highly directive authoritarian manager might find it difficult if not impossible to lead teachers in a participative and supportive style.

In short, school principals should involve teachers into a process which lead to ongoing professional development and ownership of their appraisal process.

#### **4.7.2 COMMUNICATION**

In many schools in South Africa the purposes, criteria and process of teacher appraisal are not adequately communicated to the staff. It is usual for the staff, particularly new members or the novice teachers, to be uninformed about the criteria and process of appraisal programme until they actually encounter them.

It is important that appraisal that involves the appraisers and appraisees needs to be well communicated. It is clear that appraisal should not be something that is imposed to teachers without clear understanding of what is going to take place. This means that appraisal should be conducted when teachers are fully informed. Unless it was agreed by the staff, principals should not just come into classes without informing teachers about their visits. Therefore principals should guard against this awkward situation which is very difficult to deal with.

In reality, good communication allows the practice of democratic principles such as openness, transparency and democracy. Gorton and Thierbach-Schneider (1991:297) add that poor communication in the appraisal process can lead in uncertainty and anxiety on the part of the staff members. If teachers do not know exactly what is expected of them, obviously they may not take the process seriously. Even in the case of the novice teachers, they should be informed before they could embark on the appraisal process.

School principals or managers should know that their behaviour go a long way towards keeping their teachers happy, to inspire them and encourage them to greater heights of



productivity. For this to happen, principals as leaders must always be people with well-developed communication skills. These include appraisal-interviewing skills which were discussed in detail in chapter 3. In a democratic environment this is usually emphasised. Again, good communication between the school management and staff is essential in establishing sound relations, in removing suspicion and consequent distrust, and in establishing a satisfied and successful teacher appraisal processes.

It is important that there should be a two-way exchange of views between the appraisers and appraisees. From a management point of view, appraisal process should have to be founded upon ethical communication which respected the rights, beliefs and dignity of teachers.

#### **4.7.3 Job descriptions**

It is necessary that teachers should be appraised in terms of their job descriptions. Basically, a job description describes an individual teacher's professional duties, responsibilities and status within the school. It also provides appropriate information to other colleagues within the school about whom and for whom the teacher is responsible. According to Jones (1993 : 35) and West-Burnham (1993 : 32) job description should be clear, concise and informative. It should include particulars such as:

- personal detail,
- job title,
- a statement of job purpose,
- a statement of the main responsibilities and duties.

It should be remembered that job description is not a long list of things to be done but rather a summary of the essential elements which are expressed in a few key task statements (see example below).

1. **Position :** **Head of department**
2. **Staff member:** **Mr Mudau J.**
3. **Purpose of job:** A head of department is part of the management team and is responsible to the principal. The head of department is academic and personal leader of his or her department and is responsible for managing and administering all its activities.
4. **Key responsibilities:**
  - (i) To co-ordinate and plan the activities of the department.
  - (ii) To give expert guidance on syllabuses, schemes of work, teaching methods and appraisal.
  - (iii) To arrange regular departmental meetings and to carry out general administrative functions.
  - (iv) To control teachers' and learners' work.
  - (v) To liaise with parents.

Now it is obvious that job description is important in the appraisal process and teachers should be clear about what they should be doing. One cannot appraise teacher's work if he or she does not know what he or she is meant to do. Realistically, fair appraisal should be linked to accurate job description.

#### **4.7.4 Feedback**

One of the features of performance appraisal is regular feedback. According to Goddard and Emerson (1997:100) regular feedback gives the opportunity to identify falling performance well before it results in a school catastrophe. In fact, positive feedback makes it easier for the teacher to accept negative feedback.



It is obvious that teachers need feedback and encouragement and a sense that their work is appreciated and valued. That is why feedback should be provided immediately after appraisal so that teachers should get broad impressions of what took place. It should always be remembered that teachers are usually keen to have immediate feedback, and delay may cause anxiety about what the appraisers' impressions might be.

It is vital that school principals should clarify when and how they will provide feedback after observation so that teachers should feel at ease. It is important not to let too many days elapse between the lesson and the feedback or the post-observation conference, because feedback needs to be provided while the observation is still fresh from the minds of teachers or appraisees.

It should be remembered that teachers need to be praised for good performance. If they perform badly, constructive criticism should be given in order to motivate and develop them. It should be noted that the more prompt and specific feedback to teachers, the greater the opportunity for improvement.

#### **4.7.5 Management of teacher appraisal**

Teacher appraisal is an important part of the management process. Therefore, it needs to be managed. According to Beach (1985:06) management is the process of utilising material and human resources to accomplished designated objectives. The essence of management is the activity of working with teachers to accomplish results. It involves organising, directing, leading, co-ordinating, motivating, training and communication.

For appraisal to be effective, it should depend both on training in the relevant skills for those who participated and on training in the implementation and running of the process. Skills required should therefore include those related to observation and interviewing as well as the development of appropriate staff development skills.

Appraisal activities that need management include classroom and extramural activities. Although classroom appraisal does not have to be formal only, it can be informal and be done by colleagues or even by teachers themselves. If a teacher, for example, has 150 learners for extramural activities and he or she has to put in extra work, this should be recognised. West-Burnham (1993:5) emphasises the fact that all aspects of a teacher's professional duties should be appraised.

It is clear that appraisal is not just about personal and career development only. It is also about the accountability of individuals through control procedures. It is important that appraisal should help individual teacher to be effective member of the school as an organisation and to recognise that organisational effectiveness as a direct function of individual effectiveness. If appraisal is to be successful then it must be firmly integrated into the management structures and processes of the school.

It should be noted that the world today is not static. Most principals who led their schools for many decades need to adjust themselves with educational changes brought by transformation in South Africa. In order to cope with all these changes, principals should upgrade themselves through organised departmental courses for workshops on educational management and human resource management. If these skills are acquired, it will be easier for school managers to conduct appraisal in a more positive way.

#### **4.7.6 Management by objectives**

Management by objectives should be designed to overcome certain of the inherent problems of traditional appraisal systems. It really constitutes a new way of managing. A major goal is to enhance the principal-teacher relationship, strengthen the motivational climate and improve performance.

According to Idiorne **et al** (1980:85) management by objectives (MBO) emphasises results rather than activities. It is actually possible to be extremely busy doing



unnecessary tasks without achieving results. In MBO, activities are directed towards define ends. The school principals should see to it that appraisal is not done to pass time. They should make sure that its objectives have to be achieved. For example, one of the fundamental objectives of teacher appraisal is to bring about the optimal personal and professional development of teachers and thereby enhance the quality of education as a whole. These objectives may be achieved through the learners' good results during and at the end of the year.

It is obvious that teachers have a need to know how well they are doing. This means that teachers should be provided with feedback. In essence, feedback can lead to self-improvement. It is important that school principals should recognise their teachers needs for improvement in weak areas. Moreover, they can improve and grow by building on their strengths. For this reason, appraisal programmes should be objective.

Most importantly, the principal should actually play a supportive role. He or she must try on a day-to-day basis to help teachers reach the agreed-upon goals. In the appraisal process the principal plays less the role of a judge and more the role of one who helps the teacher to attain the goals or targets. Beach (1985:221) adds that targets and responsibilities should be set and appraised in terms of the particular situation and abilities.

It should be noted that an effective appraisal programme should not only focus on individual strengths, but should also point to teacher's weaknesses or failures. By giving teachers an understanding why these occurred, teach them or open their eyes to training or learning needs. As a matter of fact, MBO is an essential part of an appraisal process.

#### **4.7.7 The establishment of staff development teams**

The principal as the head of the school should take the initiative to convene a staff meeting to elect a staff development team. According to the **Developmental appraisal**

**for educators** (DE, 1999 : 72) this SDT should ensure that the process is being implemented according to the criteria provided. It should consist of the principal, elected members of the staff and others. Of more significance, is the fact that the principal is automatically a chairperson of the SDT. It should be remembered that the SDT should help to do the work previously done by principals only. For this reason, the SDT should enjoy the confidence and support of the staff.

It is vital that school principals should empower their STDs so that teachers could have a sense of ownership. According to the **Developmental appraisal for educators** (DE, 1999 : 72) the roles of the SDT in the appraisal process are as follow :

- \* to initiate the appraisal process by organising workshops on the developmental appraisal system;
- \* to prepare and monitor management plan developmental appraisal;
- \* to facilitate the establishment of the appraisal panels and to prepare the schedules of panel members;
- \* to link appraisal to the whole school development;
- \* to monitor the effectiveness of the appraisal system and report to the relevant persons;  
and
- \* to ensure that appraisal records are filed.

In most of the appraisal workshops held in 1999 at different centres in the Northern Province, few principals were not pleased about the establishment of the SDTs at schools. Their problem is that they do not want to share responsibility of managing the appraisal process with their teachers. This shows that these principals are not yet acquainted with the educational and political changes in South Africa. That is why they wanted to maintain status quo which is another form of resistance to change. It is noteworthy that the sooner they start to adjust themselves with these change the better. Educators should commit themselves to the transformation of education and dedicated themselves to the



development of education system which is accessible, equal and qualitative and free of apartheid legacy.

It is clear that the establishment of the SDT will make school principals to work jointly with their staff members rather than making decisions alone. Most importantly, this SDT makes appraisal less threatening to teachers. As a matter of fact developmental appraisal will be accepted by teachers and it will become part of their job. For this reason, the aim of teacher appraisal could be achieved.

Although the SDT has a major role to play in the appraisal process, it should be noted that school principal's position of leading, initiating and managing should not be underestimated. Besides, the SDT is there to make principal's work more simple and easier.

#### **4.7.8 The establishment of appraisal panel**

One of the problems which most school principals have in the new developmental appraisal system is the establishment of the appraisal panel. The problem is that the old evaluation did not take teachers into consideration. This means that teachers were not part of decision making and above all they did not have a say in the evaluation process.

Therefore, the greatest breakthrough when teachers rejected the old evaluation system is the involvement of teachers in the appraisal process through the establishment of the SDT and the appraisal panel. Because the old way of evaluation favoured school principals the most, it is difficult for them to accept the roles of the appraisal panel in the appraisal process. Furthermore, some school principals feel that the new appraisal system brings dishonour upon them by empowering teachers. For example, teachers are given an opportunity to nominate the panel of their own choice, and where possibly, they could decide not to choose school principals to be part of their panels.

Therefore, school principals feel that it is their tasks to appraise teachers. That is why many principals seem to have negative attitude towards the establishment of the appraisal panel, whereas they support appraisal process in general. It should be noted that this process could not be developmental until such time that school principals understand how and why appraisal panels work.

The new developmental appraisal system is, therefore designed to ensure that there is democratic participation, transparency and collaboration. It is obvious that this could be achieved by the establishment of the appraisal panel. It should be constituted of at least four people i.e. the appraisee, a nominated peer, and a senior management person such as head of department, deputy or principal, a union representative and a person from outside the school. According to the **Developmental appraisal for educators** (DE, 1999 : 79) it is important that teachers' individual rights to participate in making decision about themselves are secured in that they form part of the panel. This means that teachers should have a say in the appraisal report about their performances. Moreover, the appraisee should be in a position, to explain everything that is unclear and questionable as far as his or her work is concern.

After the appraisal panel members are nominated by the appraisee, they should elect a chairperson amongst themselves who could liaise with the SDT. Before the appraisal panel members begin to perform their roles as the appraisers, it is important that they must be trained first. This panel should also ensure that the appraisee fills in the relevant forms, for example personal details form and prioritisation form. These forms, as they are indicated in the appraisal instruments, should be discussed jointly in the appraisal panels meetings. Again, the panel should ensure that there is accuracy and fairness in these forms. Besides, the objectives outlined by the appraisees in these forms should be realistic and achievable.

According to the **Developmental appraisal for educators** (DE, 1999:66) it is the task of the appraisal panel to arrange for classroom visit of the teacher in practice and elect at



least two panel members to conduct such classroom visit. Therefore, the panel should ensure that teachers' and learners' portfolios must be collected. In addition to this, date and time for classroom visits have to be arranged. The reports of the classroom visit should be discussed critically and openly in the appraisal panel meeting. Finally, all the panel members' signatures should appear on the appraisal report before it is given to the SDT for filing. Taking into consideration the discussion above, there is no way that teachers could reject or resent the appraisal.

#### **4.8 THE DEVELOPMENTAL APPRAISAL INSTRUMENT**

A new teacher appraisal system, replacing controversial external inspections, has been introduced countrywide at the beginning of the 1999 school year. It is based on self-appraisal and peer appraisal. Therefore, the instruments which have been developed and mutually agreed to is owned by all teachers.

Without these instruments, the appraisal process could be ineffective. Therefore, it is important that these instruments should be designed in such a way that they promote transparency, democratic participation and openness at all schools. If these instruments could be effectively and accurately used, the professional development of teachers will be promoted in a more positive ways. As a results, teachers appraisal could be accepted by all teachers.

According to the **Developmental appraisal for educators** (DE, 1999:86-88) there are six different types of forms for the developmental appraisal of teachers i.e. personal details, learner questionnaire (optional), needs identification and prioritisation form, professional growth plan, discussion paper and the appraisal report.

##### **4.8.1 Personal details**

The form for personal details should be filled in by the appraisee himself or herself. It should be remembered that under no circumstances should the appraiser or principal fill

in personal details form for the appraisee. In this document **Development appraisal for educators** (DE, 1999 : 86) this form should consist of all personal details of every individual teacher such as his or her qualifications and experiences. Besides, this form should provide a way to have a comprehensive picture of the teacher's career history and experiences (see figure 4.2).

|                             |  |
|-----------------------------|--|
| Surname                     |  |
| First Name                  |  |
| Employing department        |  |
| Personal Number             |  |
| Name of Institution         |  |
| Rank/Post level             |  |
| Nominal Date of Appointment |  |
| Type of Appraisal:          |  |
| Probation                   |  |
| In-service Development      |  |

| <b>QUALIFICATIONS</b>           |                                 |                       |  |  |
|---------------------------------|---------------------------------|-----------------------|--|--|
| Qualification(s)<br>Certificate | Where obtained<br>(Institution) | When obtain<br>(Year) | Major learning<br>area(s) Direction(s) | Secondary<br>learning area(s)<br>(at least second<br>year courses) |
|                                 |                                 |                       |  |  |
|                                 |                                 |                       |  |  |
|                                 |                                 |                       |  |  |
|                                 |                                 |                       |  |  |
|                                 |                                 |                       |  |  |
|                                 |                                 |                       |  |  |

**Learning area and Grade currently being taught (school based only)**

| Learning area | Grade |
|---------------|-------|
|               |       |
|               |       |
|               |       |
|               |       |
|               |       |



| Other relevant certificate/diplomas/credits |                |               |                                     |
|---|----------------|---------------|-------------------------------------|
| Certificate/Credits                         | Where obtained | When obtained | Content and nature of qualification |
|   |                |               |                                     |
|   |                |               |                                     |
|   |                |               |                                     |
|   |                |               |                                     |
|   |                |               |                                     |

| Teaching experience |  |   |   |
|---------------------|--|---|---|
| Period (Dates)      |  | Department/Institution/<br>School/Other | Nature of experience<br>(Primary/Secondary/<br>Other) |
|                     |  |   |   |
|                     |  |   |   |
|                     |  |   |   |
|                     |  |   |   |
|                     |  |   |   |

| Teaching experience |  |   |   |
|---------------------|--|---|---|
| Period (Dates)      |  | Department/Institution/<br>School/Other | Nature of experience<br>(Primary/Secondary/<br>Other) |
|                     |  |   |   |
|                     |  |   |   |
|                     |  |   |   |
|                     |  |   |   |
|                     |  |   |   |

| Teaching experience |  |   |   |
|---------------------|--|---|---|
| Period (Dates)      |  | Department/Institution/<br>School/Other | Nature of experience<br>(Primary/Secondary/<br>Other) |
|                     |  |   |   |
|                     |  |   |   |
|                     |  |   |   |
|                     |  |   |   |
|                     |  |   |   |

**FIGURE 4.2: PERSONAL DETAILS**  
**(DEPARTMENT OF EDUCATION; 1999 : 36-37)**

It is important that the principal and the SDT should encourage teachers to provide the correct information. This information could help the principal and the SDT to provide relevant assistance for the appraisee.

#### **4.8.2 Learner questionnaire**

The role of learners in the appraisal of teachers has been debated several times. It should be understood that it is a worldwide problem and South Africa is not exceptional. It seems it is a sensitive issue in that it has been agreed generally that learners should not form part of the appraisal panel. However, learners are at the heart of any educational situation. Their views, therefore are significant. As a matter of fact, teachers should hand out learners questionnaires asking learners for comments about their teaching (see Figure 4.3).

Learner questionnaire is important in that they are in the best position to appraise the teacher's ability to manage time in the lesson or comment on the teacher's use of language, since they interact daily. Therefore, learners should not be underestimated or undermined. Furthermore, teachers could also request feedback from their learners as a means of building up trust between them.

It is imperative that learners have to be workshopped as they are not used with the new appraisal system which suggests the use of learner questionnaire to appraise teachers. This workshop could help learners not to become bias. It is important that it should be done in a carefully considered way, so that the learners' responses can provide relevant and meaningful information for teachers, and in such a way that it builds openness and trust than break it down.

In short learners have perceptions about their teachers and about learning being offered. Therefore, learners' opinions should be used as a source of information for teacher appraisal in one way or the other.



## TO BE COMPLETED BY LEARNERS

The following are some statements about our teaching/learning practices. Indicate your personal opinion about each statement by writing one of following responses.

Agree [A], Uncertain [U], Disagree [D]

1. Learners have a clear understanding of what the lesson is all about. ☐
2. Our teacher finds out what we know and understand about the topic. ☐
3. My teacher helps me to make sense of new ideas through his/her explanations. ☐
4. Our teacher encourages learners to work in co-operation to share ideas and solutions ☐
5. Our teacher gives praise for achievements, however small. ☐
6. We are free to contradict the views of others including that of our teacher, provided we give good reasons for doing so. ☐
7. Our teacher encourages us to ask questions in class. ☐

Teaching/learning in our class could be improved if :

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**FIGURE 4.3 : LEARNER QUESTIONNAIRE  
(DEPARTMENT OF EDUCATION, 1999 : 43).**

### 4.8.3 The needs identification and prioritisation form

This form provides the actual criteria that could be used in the appraisal of a particular teacher. It should be borne in mind that there are different criteria for different levels of educators. For example, there are criteria for principals, heads of departments, PL1 educators. It should be remembered that the emphasis in this project focuses on PL1 educators only. Therefore, the appraiser must use relevant form for the type of education being appraised.

According to the **Developmental appraisal for educators** (DE, 1999:86) the need's identification form should provide core criteria only. However, core criteria should allow for optional and additional criteria to be added on if they are found to be necessary. In this case, they need to motivate why they think so, and this would be noted in the needs identification and prioritisation form.

Therefore, these criteria need to be referred to when the appraisal actually happens and decisions about the appraisal are made. It should be noted that the core criteria must be covered for the appraisal reports to be valid.

| CRITERIA  | SYMBOLS A or B  |                    |       |
|---|---|--------------------|-------|
|   | <ul style="list-style-type: none"> <li>- rating by appraisee, 2 identified appraisers and members of the panel</li> <li>- needs identification</li> <li>- Prioritise the identified needs in the order of importance for the PGP</li> </ul> |                    |       |
| 1. CORE   | APPRAISEE   | PEER/HOD/DP /PRIN. | PANEL |
| 1.1 Curriculum development  |   |                    |       |
| 1.2 Creation of a learning environment  |   |                    |       |
| 1.3 Lesson presentation and methodology   |   |                    |       |
| 1.4 Classroom management  |   |                    |       |
| 1.5 Learner assessment  |   |                    |       |
| 1.6 Recording and analysing data  |   |                    |       |
| 1.7 Development of field competency   |   |                    |       |
| 1.8 Professional development in field of work/career and participation in professional bodies |   |                    |       |
| 1.9 Human Relations   |   |                    |       |
| 1.10 Leadership   |   |                    |       |
| 1.11 Community  |   |                    |       |
| 1.12 Extra-curricular work  |   |                    |       |
| 1.13 Contribution to school development   |   |                    |       |
|   |   |                    |       |
| 2. OPTIONAL   |   |                    |       |
|   |   |                    |       |
|   |   |                    |       |
|   |   |                    |       |
|   |   |                    |       |



|                      |  |  |  |
|----------------------|--|--|--|
|                      |  |  |  |
| <b>3. ADDITIONAL</b> |  |  |  |
|                      |  |  |  |
|                      |  |  |  |
|                      |  |  |  |
|                      |  |  |  |
|                      |  |  |  |
|                      |  |  |  |
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| MOTIVATION FOR CHANGING CORE CRITERIA TO OPTIONAL CRITERIA |
|--|
|  |
|  |
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|  |
|  |

**FIGURE 4.4 : NEEDS IDENTIFICATION AND PRIORITISATION FORM FOR PL 1**

**EDUCATOR (DEPARTMENT OF EDUCATION, 1999 : 13)**

#### **4.8.4 The professional growth plan (PGP)**

It is essential that the professional growth plan should be a way of ensuring that the appraisal process is developmental from the beginning with active participation of the appraisee. For this reason, the PGP form should be completed by the appraisee. Its purpose is to allow teachers to formulate their own objectives or targets according to the criteria that have been prioritised. These objectives, therefore need to be specific in that they are under the control of the appraisee and are his or her direct responsibility. As a matter of fact, there should be no ambiguity in a target as to who does what. Additionally, the appraisee are expected to indicate how they would practically achieve these objectives and within which time period. This means that the objectives should be set within an appropriate timescale. For example, three to twelve months is probably about right time for a target ( see figure 4.5.)

This section is to be completed by the appraisee and finalised in consultation with appraisal panel. A new form will be used for each cycle.

- Formulate objectives.
- Identify specific activities that will be necessary to achieve these objectives.
- State resources needed to achieve these objectives.
- State your key performance indicators.

|                                     | PERIOD |
|-------------------------------------|--------|
| OBJECTIVES                          |        |
|                                     |        |
|                                     |        |
|                                     |        |
|                                     |        |
|                                     |        |
| PROFESSIONAL DEVELOPMENT ACTIVITIES |        |
|                                     |        |
|                                     |        |
|                                     |        |
|                                     |        |
|                                     |        |
| RESOURCES NEEDED                    |        |
|                                     |        |
|                                     |        |
|                                     |        |
|                                     |        |
|                                     |        |
| KEY PERFORMANCE INDICATORS          |        |
|                                     |        |
|                                     |        |
|                                     |        |
|                                     |        |

**FIGURE 4.5 : PROFESSIONAL GROWTH PLAN  
(DEPARTMENT OF EDUCATION; 1999:38)**

It should be remembered that teachers are reflective practitioners. If reflection and self-appraisal become internalised, teachers will be actively engage in and initiate their own ongoing professional development. Of more significance, is the fact that they will be more confident about being appraised. According to the **Development appraisal for educators** (DE, 1999 : 87) one of the key responsibilities of the appraisee is the outline the resources needed in order to achieve the formulated objectives, state the indicators



that demonstrate that the objectives have been reached and to stipulate such objectives that would require optional criteria. Most importantly, it is the principal's responsibility to ensure that the appraisee gets the appropriate resources.

#### **4.8.5 The discussion paper**

The discussion paper should be completed by the teacher being appraised and thereafter with the appraisal panel. What is good about the discussion paper is that it gives teachers an opportunity to air their views on how the lesson went, and how successful it was in achieving what was intended. It is important that the discussion paper should focus on the positive areas of the lesson, and any areas which were less impressive. Furthermore, it should report and note on whether the appraisees' objectives were reached or not. If they have not been reached this discussion paper will outline the reason why.

According to the **Developmental appraisal for educators** (DE, 1999 : 88) the discussion paper should also stipulate whether sufficient support was received and what may be done to further improve the educator's professional development (see figure 4.6). As long as teachers are actively involved in the whole appraisal process, there is hope that teachers will in the end improve.

#### **4.8.6 The appraisal report**

The appraisal report should record the main points in the discussion, the conclusion reached and the objectives agreed. It should be factual non-judgemental and open so that teachers could not suspect that the appraisal has hidden motives or purposes.

According to the **Developmental appraisal for educators** (DE, 1999:88) an appraisal report should contain prioritised need/criteria, identified needs, strengths of the educator, suggested development programmes, and dates for developmental programme (see figure 4.7). Finally, the appraisal report should be signed by all panel members to show that

they agree that it is a fair record of the appraisal. The appraiser and the appraisee should each have a copy of the appraisal report and the principal or the SDT should also be supplied with a copy. Of course, the principal or the SDT should keep all the documents about teacher's performance in his or her file. The file should be kept in that particular school. Of more significance is the fact that the appraisers should have an access to their files. In the case of promotion and other future references, teachers can use their files as part of their CVs.

Form to be completed by appraisee before the post appraisal meeting.

1. Were your objectives for the period under review realistic?

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2. Given your programme, what has not been completed?

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3. What are the reasons for the backlog or shortfall if any?

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---

4. What have been the most difficult problems you have had to cope with during this period?

---

---

5. To what extent have you managed to improve your skills?

---

---

6. Is there anything you need that could help you develop your job and become more effective?

---

---



7. Do you receive sufficient support from your colleagues/senior staff/principal/? governing body/departmental officials?

---

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8. Are there any other general matters you would like to discuss? e.g. factors affecting your work? Refer to Contextual Factors

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**FIGURE 4.6 : DISCUSSION PAPER**  
**(SADTU AND NAPTOSA, 1996 : 28)**

- All forms that have been filled during appraisal form part of the Appraisal Report
- The following information must also be filled
- This Report must be signed by all parties to the Appraisal panel.

**1. Prioritised Criteria**

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**2. Identified Needs**

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**3. Strengths of the Educator**

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**4. Suggested Development Programme**

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**5. Suggested Provider of Developmental Programme**

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**6. Dates for developmental programme delivery**

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**Signatures:**

**Appraisee:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Appraisal Panel Members:**

1. \_\_\_\_\_ **Date:** \_\_\_\_\_

2. \_\_\_\_\_ **Date:** \_\_\_\_\_

3. \_\_\_\_\_ **Date:** \_\_\_\_\_

**FIGURE 4.7: THE APPRAISAL REPORT:**

**(DEPARTMENT OF EDUCATION, 1999 : 40-41)**

**4.9 SUMMARY**

In order to restore culture of teaching and learning teacher appraisal should be conducted. The main purpose of teacher appraisal is to facilitate the personal and professional development of teachers so that the quality of teaching practice and education management should be improved . Most importantly, teachers should know what is expected of them. For example, they should know about the goals and objectives of teacher appraisal, requirements or conditions, principles, criteria and procedure's to be followed when appraisal is conducted.

If teachers are involved from the beginning of this process, there is hope that teachers will obviously accept appraisal as part of their job. When designing teacher appraisal, the following aspects should be taken into account i.e. openness, transparency, a climate of democratic collaborative decision making, respect of individual rights, an effective support structures for all staff and commitment to the professional development of all



staff. Before implementing teacher appraisal in schools, it is important that staff should elect staff development teams to co-ordinate appraisal of teachers by panels drawn from teacher's union representative, senior staff member and an outsider such as educator from other institutions. Therefore the teacher being appraised would sit on the panel, and, as apart of the panel, draws up a personal growth plan. Of more significance is the fact that the instrument that should be developed and mutually agreed to must be own by all teachers. This represents a positive step in the professional development of teachers. Therefore, this accountability is central to developing a culture of teaching and learning.

## CHAPTER 5

### SUMMARY, FINDINGS, RECOMMENDATIONS AND CONCLUSION

#### 5.1 INTRODUCTION

This study forms part of greater ongoing research concerning teacher appraisal in schools. The purpose of this chapter is to provide a broad overview of the thesis and of some of the findings conducted in Vuwani secondary schools.

This being the final chapter, it is necessary to recapitulate the salient points of the research project under the following :

- \* Summary
- \* Findings
- \* Recommendations
- \* Conclusion

#### 5.2 SUMMARY

**Chapter 1** provides the motivation for the study and a description of the problems. It outlines the aims of the research, the methodology used and clarifies certain concepts that will be used in this study.

Teaching, like in any other sectors, need to be appraised and supervised. This helps teachers to know whether their teaching is successful or whether they need help. On the other hand, the employer must also know whether teachers are doing what is expected of them. Both the employer and the employees must understand the need for appraisal and its necessity in schools.



In **Chapter 2**, different appraisal approaches (judgemental and developmental) are identified. For a long time in South Africa, the judgemental approach was used to victimise and intimidate teachers. Consequently, teachers are no longer interested in this kind of approach. They regard this approach as a fault-finding one that has caused the general breakdown of educational activities in the early 1990s. What teachers need is simple and clear. They need an appraisal that definitely facilitates their personal and professional development so that the quality of teaching and education management can be improve.

The discussion in **Chapter 3** centres around different appraisal methods designed to empower secondary school principals with necessary management and communication skills, knowledge and competencies that would help them to conduct an effective and acceptable appraisal. On the other hand, teachers need to have a sense of ownership in the process that affects their work. For this reason, teachers' involvement in the appraisal process is of a paramount importance. This involvement can be in the form of the SDTs or appraisal panels. Therefore, teachers support the new developmental appraisal approach that emphasises openness, transparency, a climate of democratic decision making, respect of individual rights, an effective support structures for all staff and commitment to the professional development of all staff.

**Chapter 4**, therefore centres around the developmental aspects of teacher appraisal. From the management point of view, the principal is the most important key player in this process. They are responsible for the professional management of the school, i.e. day-to-day organisation and control of the teaching and learning activities. This means that he or she must constantly monitor the teaching and learning processes and not learners outcomes only. As long as teachers are appraised, feedback on performance must be provided as soon as possible. Unlike in the judgemental approach, teachers deserve to be praised for the good work they do. Even if the performance is less satisfactory, feedback should be given in positive terms.

It should be borne in mind that the appraisal process depends on the appropriate structures and procedures that need to be reinforced by effective personal relationships. If principals can develop a trusting relationship with teachers in regard to teacher appraisal and supervision, teachers will tend to be more receptive. Unless school principals are committed to undergo some training, or to attend appraisal workshops or seminars, it will be difficult for many principals to acquaint themselves with this new developmental appraisal approach.

**Chapter 5** contains an overview and the findings about teacher appraisal. It is a conclusive chapter with certain recommendations i.e. recommendations for the enhancement of teacher appraisal process and suggestions for further research.

In short, school principals should take the lead to make appraisal and supervision an ongoing professional growth opportunity.

### **5.3 FINDINGS**

- \* Teacher appraisal must depend on democratic principles and have to be an ongoing process. For appraisal to enjoy the support of the staff it needs to be conducted in an atmosphere of trust and openness.
- \* Teachers must be integrally involved in the development and subsequent implementation of the appraisal programme so that they could have a sense of ownership. Teachers react more positively to procedures that are responsible for their needs and professional aspirations.
- \* At all stages in the appraisal process, a positive approach must take place formally and informally, and need to provide opportunities for individual professional development.
- \* Appraisal system must emphasise formative or developmental approach and that any \*criteria for successful performance must reflect the most important aspects of teachers work.



- \* School principals must take the lead to make teacher appraisal and supervision an ongoing professional growth opportunity. Therefore school principals must give support and assistance to teachers in an effort to help ensure success and growth in their teaching assignment.
- \* Classroom observation must be carried out regularly to keep in touch with what is going on in the classroom and what work is being done. It must be borne in mind that classroom observation is not intended at policing the work of teachers, but rather provide them with help, encouragement and guidance.
- \* When conducting appraisal interview, principals must have a high level of interpersonal skills such as listening, questioning, problem solving and verbal skills. In an interview an opportunity for a two-way exchange of views must be created so that teachers should contribute something in the discussion.
- \* School principals must be willing to listen and be skilful in communicating negative information to the staff. The focus of discussion in handling specific problems should be with a view to future performance improvement.
- \* Through self-appraisal teachers learn to monitor their own behaviours, make changes when necessary, make decisions about their practice, and to be more aware of institutional as well as their own personal standard. Teachers are encouraged to be honest, and where appropriate, self-critical. Self-appraisal gives teachers a chance to appraise themselves.
- \* Peer appraisal must be encouraged in schools as it represents the opportunity for teachers to work more closely together and to share experiences, ideas, knowledge and expertise.
- \* The appraisal feedback should be discussed democratically before it is finalised. This report must stipulate the developmental programmes that can be conducted to further improve the teacher's performance.
- \* Information gained from the appraisal must be filed and can be used for future references. The confidentiality of information gained from the appraisal should be scrupulously kept.

## **6.4 RECOMMENDATIONS**

In South Africa teacher appraisal is a countrywide phenomenon but each province controls its own educational matters. Some provinces have already started with the implementation appraisal in schools. At this point in time, appraisal is not yet implemented in the Northern Province Schools. Therefore, the researcher generally recommends the following :

- \* Teacher appraisal should be conducted in all schools, and both teachers and principals should attend appraisal workshops or seminars before appraisal is implemented.
- \* The implementation of the appraisal process should start as soon as possible because of its necessity to learners and teachers in schools.
- \* The appraisal process should be developmental and lead to clearly programmes of professional guidance and growth.
- \* The process should be principle - centred and should avoid all forms of political gender, union, racial or religious bias.
- \* Appraisal should be used as in the previous system for decisions regarding pay raises or promotion.
- \* The appraisal process should adhered to the South African constitution and the South African School Act of 1996.

## **5.5 CONCLUSION**

Teacher appraisal is essential to restructure school for the twenty-first century. For the past 26 years appraisal has not been conducted in most of South Africa schools due to evaluation obstacles that had to be eradicated.

This study has revealed that teachers are negative towards appraisal that does not satisfy their personal and professional needs. For this reason, the new developmental approach has been introduced. This approach is meant to develop teachers because it does not look



at the mistakes that teachers do. Without teacher appraisal many unproductive teachers could continue to ruin education of learners in schools. Like in any job, stock should always be taken to see whether teachers are doing what is expected of them. Therefore, school principals must be empowered with the relevant knowledge, skills and procedures that can develop the capacity to deal with appraisal that benefits teachers in particular and education in general.

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