A SCORECARD FOR MONITORING AND EVALUATION OF GOVERNANCE OF SPECIAL SCHOOLS IN THE WESTERN CAPE

by

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DECLARATION

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ABSTRACT

Conflicts and dysfunctionality in public schools is often the cause of poor school performance and learner outcomes. This often is a direct result of poor school governance. Studies have previously identified a number of factors affecting the standard of school governance. One of these is absence of an effective monitoring and evaluation system for school governance. The current approach of Whole School Evaluation, which incorporates the Integrated Quality Management System (IQMS), unfortunately does not possess adequate tools for the measurement of school governance with view to identifying specific areas of failure.

School governance failures are widespread and costly, but effective governance can provide significant benefits not just for the schools but also for the department, the community and the learners themselves. However, there are two challenges: moving beyond suggestive anecdotes to a systematic approach for measuring the governance of schools, and using the data and rigorous analysis to support schools and improve governance.

The researcher has designed a measurement instrument to address this particular gap in the management of public schools. This takes the form of a balanced scorecard based on the Kaplan and Norton Model, but has been specifically developed for measuring the public, education and non-profit sector. A number of school governance performance areas based on regulatory frameworks such as the South African Schools Act (Act 84 of 1996) have been linked to specific indicators and measures. These performance areas related to key targets in order to ascertain the achievement of good school governance outcomes. A learning and developmental approach in the form of a peer review format using a clear and simple process has been developed to apply this measurement system.

Through an evaluation study the normative model was applied and tested at selected special schools throughout the Education Management and Development Centres (EMDC) in the Western Cape to test the hypothesis that such a balanced scorecard effectively measures school governance while identifying actual areas of failure. It

therefore enables School Governing Bodies (SGBs) to focus on these failures in order to improve school governance and therefore promote the schools' overall performance. The outcomes of the study have been so impressive that the system can be further developed with stakeholder organisations utilising an online approach that can improve management and save time in view of the schools' "time-on-task" focus. This is the national government term for time management in teaching and learning in schools. Participants at selected schools further indicated that, with effective orientation and training of SGBs and application teams, this instrument can produce good school and learner outcomes.

OPSOMMING

Konflik en wanfunksionering in openbare skole is dikwels die oorsaak van swak skoolprestasie en leerder-uitkomste. Dit is dikwels 'n direkte gevolg van swak skoolbestuur. Vorige studies het 'n aantal faktore geïdentifiseer wat die standaard van skoolbestuur raak. Een van hulle is die afwesigheid van 'n stelsel vir "doeltreffende monitering en evaluering" van skoolbestuur Die huidige benadering van Totale Skoolevaluering wat die Geïntegreerde Gehaltebeheerstelsel (IQMS) insluit, beskik ongelukkig nie oor voldoende meting van skoolbestuur met die oog op die uitkenning van spesifieke tekortkominge nie.

Waar tekortkominge ten opsigte van skoolbestuur wydverspreid en duur is, is dit ook so dat doeltreffende bestuur beduidende voordele kan hê, nie alleenlik vir skole nie, maar ook vir die departement, die gemeenskap en die leerder as sulks. Daar is egter twee uitdagings wat gestel word: om verby voorgestelde wenke te beweeg na 'n sistematiese benadering vir die meet van die bestuursaard van skole, en om van die data en nougesette analise gebruik te maak om skole te ondersteun en hulle bestuur 'n helpende hand te bied.

Die navorser het 'n meetinstrument ontwerp om hierdie spesifieke gaping in die bestuur van openbare skole aan te spreek. Dit is in die vorm van 'n gebalanseede telkaart, gebaseer op Kaplan en Norton (1996), maar wat spesifiek vir die meet van die openbare, onderwys- en nie-winsgewende sektor ontwikkel is. 'n Aantal prestasies wat spesifiek met skoolbestuur te make het en op regulerende raamwerke soos die Suid-Afrikaanse Skolewet gerig is, is gekoppel aan spesifieke indikatore en maatreëls en met sleutel-teikens belyn met die oog op die bereiking van skooluitkomste. 'n Leer- en ontwikkelingsbenadering in die vorm van 'n portierhersieningsformaat, waar 'n duidelike en eenvoudige proses gebruik is, is ontwikkel om hierdie metingstelsel toe te pas.

'n Normatiewe model is deur middel van 'n evalueringstudie toegepas en aan geselekteerde, spesiale skole regdeur die Onderwysbestuur en Ontwikkelingsentrums in Wes-Kaapland getoets met die doel om die hipotese te

toets dat so 'n gebalanseerde telkaart skoolbestuur doeltreffend meet en tegelykertyd ook tekortkominge identifiseer. Vervolgens stel dit Skoolbeheerliggame in staat om op hierdie tekortkominge te fokus ten einde skoolbestuur te verbeter en daarmee saam die skool se oorhoofse prestasie te bevorder. Die resultaat van die studie was so indrukwekkend dat die stelsel verder in samewerking met belanghebbende instansies ontwikkel kan word deur die gebruikmaking van 'n aanlyn-benadering wat bestuur kan bevorder en tyd spaar, veral in die lig van skole se fokus op "tyd op 'n taak." Deelnemers by geselekteerde skole het aangedui dat dié instrument puik skool- en leerder-uitkomste sou kon lewer indien daar doelmatige oriëntasie en opleiding van Skoolbeheerliggame en toepassingspanne is.

DEDICATION

This success study is dedicated to my late grandmother, Hester Jonas (u Zi), who brought me up under difficult circumstances. While she struggled to pay my first school entrance fee, she taught me to believe in myself. This dedication is also to my late dear mother Nyameka Nyamazana Nyamza Nyami Jonas, who passed away recently before I could finish this project and to my late uncle Alf "Gaga" Jonas, who had so much influence in my academic life.

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LIST OF ACRONYMS AND ABBREVIATIONS

ADB	Asian Development Bank
AEA	African Evaluation Association
AEG	African Evaluation Guidelines
AIDS	Acquired Immune Deficiency Syndrome
APRM	African Peer Review Mechanism
AU	African Union
BSC	Balanced Scorecard
CEM	Council of Education Ministers
CIDA	Canadian International Development Agency
DBSA	Development Bank of South Africa
DFID	Department for International Development
DoE	Department of Education
DPSA	Department for Public Service and Administration
EFA	Education for All
EMDC	Education Management and Development Centre
EMIS	Education Management Information System
ELRC	Education Labour Relations Council
EU	European Union
GAO	General Accounting Office
GET	General Education and Training
HIV	Human Immunodeficiency Virus
HOD	Head of Department
HRDS	Human Resource Development Strategy
ICT	Information and Communication Technology
IAP	Independent Advocacy Project
IoG	Institute of Governance
IMF	International Monetary Fund
IMG	Institution-based Management and Governance
IPDET	International Programme for Development Evaluation and Training
IQMS	Integrated Quality Management System
ISO	International Organisation for Standardisation

ISCED	International Standard Classification of Education
LSEN	Learners with special education needs
LTSM	Learning and teaching support materials
MDG	Millennium Development Goals
M & E	Monitoring and Evaluation
MEC	Member of Executive Committee
MST	Maths, Science and Technology
NEPAD	New Partnerships for Africa's Development
NCESS	National Committee for Education Support Services
NCS	National Curriculum Statements
NCSNET	National Commission on Special Needs in Education and Training
NGO	Non-Governmental Organisation
OFSTED	Office for Standards in Education
OECD	Organisation for Economic Co-operation and Development
PA	Performance Areas
PFMA	Public Finance Management Act
PLC	Professional Learning Community
PSC	Public Service Commission
PSS	Public Sector Scorecard
PRC	Presidential Review Commission
RBM&E	Results-based Monitoring and Evaluation
RCL	Representative Council of Learners
RNCS	Revised National Curriculum Statements
RTT	Resource Targeting Table
SACE	South African Council of Educators
SAQA	South African Qualifications Authority
SASA	South African Schools Act
SDP	School Development Plan
SDT	School Development Team
SGB	School Governing Body
SGOPEG	School Governance Peer Evaluation Group
SIGA	Special Initiative on Governance in Africa
SMT	School Management Team
SPMS	Staff Performance Management and Development System

SSE   School Self-Evaluation

TQM   Total Quality Management

UN   United Nations

UNDP   United Nations Development Programme

UNESCO   United Nations Educational and Scientific and Cultural Organisation

UNICEF   United Nations Children's Fund

USAID   United States Agency for International Development

WSE   Whole School Evaluation

WCED   Western Cape Education Department

WCPSEA   Western Cape Provincial Schools Education Act

CHAPTER 1

INTRODUCTION, BACKGROUND AND METHODOLOGY

1.1   INTRODUCTION

This study in education management and development in South Africa focuses on designing an instrument for monitoring and evaluating special schools and is particularly targeted at issues of school governance and development. These are the two most important factors affecting the quality of school results and educational outcomes.

According to the White Paper on the Transformation of the Public Service (1995b) and the Presidential Review Commission (PRC) (1998), one of the key principles of 'Batho Pele' is that government must ensure that the respective departments provide quality and sustainable services to the people. This then calls for a system for measuring and evaluating the standard of public services and the quality of public administration. This study explores the use of a balanced scorecard, as successfully applied in the private sector, as an effective instrument for measuring and evaluating the governance and development of special schools.

This study explores whether a specifically designed balanced scorecard (BSC) adapted to the public sector setting, most particularly in special education, can improve the quality of outputs of these schools through monitoring and evaluation.
The researcher (Jonas, 2005) developed a theoretical concept of this study from prior research project on "*The Governance of Public Special Schools in the Western Cape: A comparative analysis*". After the subsequent publication of the findings of this research, there was a need for further study to develop a mechanism to improve outcomes in these schools through monitoring and evaluation by means of a balanced scorecard. The essence of current project therefore entails an explorative study on the design and efficacy of a scorecard in the special education set-up.

This chapter outlines the pattern followed in the research. It defines the background and the rationale behind the topic. It then discusses the process and a methodology applied in the research, and presents the layout of structure of the study and report.

1

Terminology relevant to the study and that has an important bearing on the discussions and ultimate results are defined below.

- **Inclusive Education**

Inclusive education is defined as an education system and learning environment that promote the full personal, academic and professional development of all learners irrespective of race, class, gender, disability, religion, culture, sexual preference, learning styles and language (National Commission on Special Needs in Education and Training and National Committee for Education Support Services, NCSNET& NCESS, 1997:2).

- **Section 21 schools**

The South African Schools Act, Act 84 of 1996, Section 21 (RSA, 1996b) gives some schools a measure of autonomy in financial and resource allocation, if such schools have shown the capacity to perform such functions effectively. These schools do their own financial planning and budgeting. Section 21 schools are regarded as virtually synonymous with self-reliant and self-management schools.

- **Special Needs Education**

According to the Education White Paper 6 on Inclusive Education and Training System (RSA, 2001b), educational inclusion means provision of an enabling environment, which can accommodate all learners with special educational needs (NCSNET & NCESS, 1997:16). Special Needs Education is therefore the education for learners who experience learning difficulties in learning in the mainstream schools. These needs differ from all the challenges inhibiting learners from accessing mainstream education.

- **School Governing Body**

A School Governing Body (SGB) is the group of people who are elected to assist with the running of a school. The main objective of the SGB is to ensure that the school is successful in providing the learners with the best possible education.

This is done by assisting the principal in making the school efficient and effective (Centre for Applied Legal Studies, 2009:14).

- **School Management Team**

The school management culture requires active leadership to promote a positive predisposition towards, and belief in, the system. It therefore involves firm, co-ordinated and planned actions in the implementation of the general code of conduct for learners and the school ethic (Western Cape Education Department, WCED, 2007a:3). The School Management Team (SMT) consists of senior members of staff, and often the deputy principal(s) and heads of departments, who work with the principal in managing the school.

- **School Development Team**

This is a small committee of capable individuals elected or appointed from the management, educators, staff and parents of the school to plan, co-ordinate and manage the projects and programmes of development, capacitating and improvement. This can involve the buildings, environment, people and learning. The School Development Team (SDT) works in collaboration with the principal, and always seeks his or her permission and approval.

- **Education Management and Development Centres**

Education Management and Development Centres (EMDCs) are regional centres of educational administration and management support provided to schools and learners in the Western Cape Education Department (WCED). The EMDCs provide specialised support for schools by way of multifunctional teams in areas such as curriculum implementation and support for schools, specialised education, educator development, institutional management and governance, and administrative services. The EMDCs also promote parental involvement in schools, as well as a culture of teaching and learning in schools and local communities (WCED, 2003b:10).

- **Whole School Evaluation**

The Whole School Evaluation (WSE) process is essentially a detailed audit of the school's operational procedures in order to measure their effectiveness. It is done under the Directorate: Quality Assurance of the WCED.

- **School Development Plan**

School Development Plan (SDP) is a broad plan or programme developed by the school in order to budget for and prioritise the development activities of the school. The SDP may incorporate the critical needs of the school's development such as renovation of buildings, tree planting, etc., taking into account the school's limited resources. The SDP is often managed on a projected long-term, medium-term and short-term basis.

- **Integrated Quality Management System**

The Integrated Quality Management System (IQMS) is a developmental and learning approach to the management of quality and standards in education and is linked to performance appraisal and Whole School Evaluation. The national IQMS system of performance appraisal, whereby the teacher's appraisal of himself or herself is followed by a similar appraisal by the school principal, is relatively well established (Dlamini, 2009: 38).

- '**No Fee' Schools**

In terms of the quintile system 'No Fee' schools are the designated schools within communities that do not have any form of income and where the parents of learners cannot afford to pay the school fees. These schools are also classified within the Resource Targeting Table of the Department of Education (DoE) (RSA, 1996b) as schools that do not pay any fees for learning.

1.2   BACKGROUND AND MOTIVATION

In recent years the South African government, the Department of Education and the public in general have been grappling with the provision of sustainable and quality education as well as the governance and development of public schools. This is

because there has since been an increasing recognition that quality management and development of schools in particular and of education in general makes a significant difference to schools and students outcomes.

Since the dawn of the new democratic education dispensation in1994, the topic of school governance and development has been subject to intense research and debate. There have been a number of studies and findings, and new educational policies have been developed in order to improve the quality of management of public schools. However, many of these findings and policies have only been applied in the development of educational policies of the so-called "mainstream education" sphere, while almost nothing has been investigated and to improve the administration of Education for Learners with Special Educational Needs (ELSEN) also known as special needs education or special schools.

With the growing demand for improved service delivery, the South African government has, in line with its commitment to improving the lives of the people, as outlined in the White Paper on the Transformation of the Public Service (RSA, 1995b), adopted a policy framework for transforming the public service to make it representative, coherent, transparent, efficient, effective, accountable and responsive to the needs of the people (Presidential Review Commission, 1998). Therefore in pursuit of an improved public and civil service administration, specifically education management in South Africa, there has been a call for increased accountability in the governance and development of education in general and, more specifically special needs education, which is the special focus of our study.

According to Steward (in Hondeghem, 1998:132) public service accountability rests both on giving an account and being held to account for. For this purpose and to ensure the improvement of standards of service delivery and administration, there is a need to introduce a system or tool for monitoring and evaluation.

In a paper entitled "South Africa's Public Service: Evolution and Future Perspectives", Fraser-Moleketi and Salojee (2008:4) have elaborated on the report and recommendations of the Presidential Review Commission (1998). She points

out that the Commission recommended the development of a professional management corps; consideration of alternative service delivery models; and policy work on monitoring and evaluation (M&E), among other things. According to Fraser-Moleketi and Salojee (2008:2), all the Commission's recommendations have been implemented by government, except the implementation of a policy on monitoring and evaluation, which is still underway.

With regard to delivering quality public service, measuring ongoing successes, achievements, failures, and limitations through monitoring and evaluation are of critical importance. According to the Organisation for Economic Cooperation and Development (OECD, 1998), the development process has to be measured in terms of concrete targets and milestones as well as its impact on primary customers. To achieve this in education, methods and tools need to be designed and implemented so as to evaluate the extent to which education broadly and special schools in particular are meeting the development and governance targets set.

In terms of legislation, special schools in South Africa are regulated under the South African Schools Act, Act 84 of 1996 (SASA), Section 21 (RSA, 1996b). This means that special schools are granted a Section 21 organisation status, which means that they are automatically granted some measure of autonomy as far as their financial and resource allocation is concerned.

These schools have to do their own financial planning and budgeting through their SGBs. Section 21 schools are therefore self-reliant and self-managing schools. Granting Section 21 status is thus the recognition of the ability of the school's stakeholders to take complete control of the operation of the school, including school governance, financial management and development. The additional functions specified under the SASA, Section 21 (RSA, 1996b:10) are that these schools have to:

> *maintain and improve the school's property, and the buildings and grounds that are occupied by the school, including hostels, if applicable.*

Currently with so much of the education budget in the Western Cape Education Department (WCED) allocated to the management and development of public

schools, including special schools, the lack of an effective and reliable monitoring and evaluation tool is a huge cause for concern. Although the Department of Education and even schools themselves are not open enough about specific amounts that are allocated to special schools yearly, in terms of the WCED's provincial budget statement 2007/2008 (WCED, 2007a:3), the greatest portion of the budget goes to the primary and secondary schools systems, including schools for special needs. With over 36,7% of the total provincial government budget (or R7.115 billion in 2007/2008) spent on education – which includes maintaining 1 452 public ordinary schools and about 70 schools for learners with special needs or special schools which are by legislation Section 21 schools – there is concern about whether the budgets do meet the strategic targets and objectives set out by the Department for these schools. This raises the whole issue of monitoring and evaluation systems. The Department currently does not have any system for integrated and comprehensive monitoring and evaluation; there is not even legislation which adequately regulates monitoring and evaluation of schools even within in the entire school system.

Currently what the department is concerned about in the performance audits in education is learner performance, based mostly on matric results in the case of the secondary schools. However, in terms of the current Integrated Quality Management System (IQMS) (WCED, 2001b), the Whole School Evaluation policy does not adequately provide effective instruments for monitoring total performance and accountability with respect to governance and development in schools, particularly special schools. The IQMS focuses mostly on teacher and learner performance and does not have the potential to measure and evaluate governance and development, and in any event both the IQMS and Whole School Evaluation System are internal assessment methods.

Public education administration and school finance management fall within the ambit of the National Treasury (2002) regulations for departments, constitutional institutions and public entities. Of major significance is the Public Finance Management Act, Act 1 of 1999 (PFMA) (RSA, 1999b), whose key principles are, among others, total accountability and transparency. That is why there is a need for

a more robust and responsive approach to education and school monitoring and evaluation.

This study hence seeks, through exploring the current concerns about the relative strengths and limitations of the present methods of monitoring and evaluation of governance and development for the Special Needs Education and special schools, to develop a much more effective, adequate, fully comprehensive and informative system for improving performance and accountability in these schools. This instrument should be able to allow schools to evaluate themselves by means of a more standard form based on objectives, strategies and targets which are also tied to deadlines. This instrument will also automatically set new target ranges and thereby ensure the gradual development of outcomes and standards in schools.

1.3   MONITORING AND EVALUATION OF SCHOOLS

The advent of the democratic order and the dawn of the new educational dispensation saw the establishment of equal and democratic education and representative school governance with accountable management. Since then the project of improving education and schools has been one of the most important development tasks confronting school managers and school governing bodies. The department of education has since then even refocused its attention from '*equal education for all*' to '*quality education for all*'. These ideas immediately led to remarkable advances in policies around access, funding and equity so as to allocate sufficient funding for schools to implement all the developmental priorities set out in the school development plans. However, in order to ensure maximum capacity in the school authorities and administration to deliver on the challenges of school governance and school development, which are the cornerstone for quality outcomes in education, a system of monitoring and evaluation is necessary.

In the past government has always categorised school performance on the basis of only one measure, the matric results or general pass rates. A school with a high pass rate represented a well performing school. However, the pass rate alone is not a realistic and scientific measure to evaluate schools, as there are many different challenges that schools are faced with in totally different circumstances. These could

include excessively high numbers of learners, inadequately qualified staff, poor resources, weak community support, crime and many other factors which could have an impact on the pass rates. It is therefore important to begin by focusing on key issues, e.g. school governance and the whole school development, as a starting point that could lead to better outcomes.

As suggested in the 2007/2008 budget report by Dugmore (WCED, 2007d), the education department in the Western Cape spends about 37,2% or R2,853 billion of the entire provincial budget on education. A huge amount of this also goes towards special needs education, which is a Section 21 entity. According to the SASA (RSA,1996b), these schools have to manage their own budgets and finances. The previous study co-published by the researcher highlighted some of the governance and management failures of the governing bodies of special schools, especially the disadvantaged schools, as the causes of poor development in these institutions (Jonas & Cloete, 2006). Such failures included lack of accountability, lack of skills, lack of planning and lack of policy awareness – including key policies which have an impact on school financial administration, like the Public Finance Management Act (Act 1 of 1999) (RSA, 1999) . Most special schools do not know how to draw up budgets and how to allocate resources, and most special schools do not have audited budget statements.

The researcher once attended a parents meeting where a yearly budget statement was to be approved. There were no printed copies of the budget statement – it was simply written on the board, and if the board was full on one side, the other side would be wiped even before a discussion on approval had started. This is a clear case of substandard budgeting and accountability that is characteristic of most schools. Some schools have experienced no development and for the past 20 years they have deteriorated steadily. There has been minimum development in other schools; this could have been addressed if there had been an adequate monitoring and evaluation system in place.

The White Paper on the Transformation of the Public Service (1995b), which includes education and consequently school governance and development, identifies eight pillars of public service transformation: restructuring and rationalising the public

service; institution building and management; representative and affirmative action; transforming service delivery; enhancing accountability; human resource development and training; employment conditions and labour relations; and the promotion of a professional ethos. These are the very issues that the monitoring and evaluation of schools will seek to enhance as a contribution to the fulfilment of improving service delivery and school development.

1.4   RESEARCH PROBLEM AND HYPOTHESIS

The purpose of the SGB is to help the school provide the best possible education to its learners and thereby improve standards. Since the governing body members have very limited time and resources, they need to focus on where they can make the biggest impact. Hence using a Balanced Scorecard (BSC) as a form of monitoring and evaluation enables the governors to agree on how to access and handle the information they need to set new goals, objectives, targets and plans, and how to review progress through the Schools Development Plans. The preliminary literature review revealed that in the United States of America (USA) schools are encouraged to use the balanced scorecards in order to monitor and evaluate school governance and development, and importantly to reveal more scientific school management performance metrics based on a scorecard rather than estimations.

All those who work in the private sector know that quality assurance through monitoring and evaluation as well as performance measurement is widely implemented and is a dominant factor in their lives. It is now becoming increasingly popular and widely adopted in the public sector. One of the most recent additions to performance measurement is the balanced scorecard and many organisations have discovered that it can help to achieve the kind of improvement that seemed elusive in the past. As shown earlier in the WCED annual budget report by Dugmore (2007d), the public education sector in South Africa spends a great deal of state money and resources, and there is far too little measure of the attainment of goals and objectives. The hypothesis is then that the application of a monitoring and evaluation system such as a balanced scorecard will allow the authorities to ascertain whether the public resources that are ploughed into education sector are really achieving their targeted outcomes.

The BSC would give a balanced score to special schools and will be able to indicate areas for future improvement that need attention. It would be easy to grade schools on their total performance rather than on unrealistic 'pass rates' measure. Schools using the BSC and are willing to be screened publicly can be allocated extra funding. This could encourage more schools to use monitoring and evaluation systems and thus could lead to their enhanced performance.

The schools performance metrics based on the scorecard results from each division can regularly be put on the notice board as well as incorporated into the yearly school reports; this could enhance the validity of the annual reports and it would improve performance and promote competition among divisions. At a later stage the introduction of incentives for achieving certain targets will further encourage improved performance. In short, this hypothesis states that:

> *. . . . . the governance and school development functions of the SGBs, which lead to better school outcomes, will be further enhanced through monitoring and evaluation by means of an adaptable balanced scorecard.*

1.5 RESEARCH OBJECTIVES AND OUTCOMES

Against the background of the previously stated problems, the primary objective of this study is designing a measurement instrument that can adequately monitor and evaluate school governance and school development plans in special schools. The overall objective is to work toward developing a more comprehensive instrument in the form of a balanced scorecard for monitoring and evaluating special schools' governance, leading to much better performance and results. Hence the research sub-goals are as follows:

- To undertake a comprehensive literature and framework review on the field and to study some successful models using a BSC in the public sector and education and in some developed and developing countries;

- To further break down the categories of special schools and to undertake a broader study so as to reveal the diverse factors affecting school governance and development in these entities;
- To develop, evaluate and test a proposed design of a balanced scorecard suitable for special schools at selected test centres;
- To collect and study other models of monitoring and evaluation for special schools from other countries that have been successful.

Based on the above objectives and sub-goals, the research outcomes will therefore include:

- Developing a monitoring and evaluation toolkit in the form of a balanced scorecard, which will include an implementation plan;
- Developing and implementing data-collection strategies;
- Methods for preparing reports based on available data;
- Providing recommendations for the planning and implementation of the next phases of schools evaluation project;
- Publishing a report (or series of reports) sharing more widely the lessons learned from the school governance monitoring and evaluation project.

1.6   METHODOLOGY AND DESIGN

Developing a comprehensive monitoring and evaluation tool for assessing the governing and development of public schools is a ground breaking endeavour indeed in the entire sphere of public service delivery in South Africa. It is therefore important to use designs and methodologies that meet the requirements of reliability and validity in order to enhance the credibility of the scientific research and standards.

Because the research at hand entails studying a phenomenon that could be applied in a real-world situation, i.e. education and management of special schools and a balanced scorecard for monitoring and evaluation, as confirmed by Mouton (2001), the research had to follow an empirical approach in order to test a given hypothesis, where the general sequence used was (see Figure 1.1):
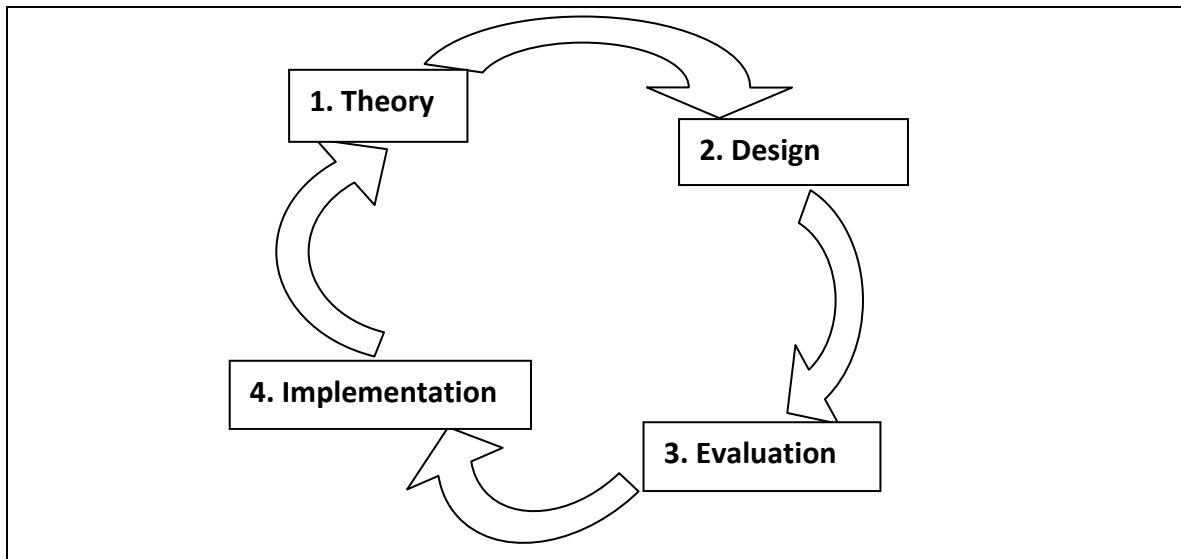
Figure 1.1:   The Empirical Process of the Study

Source: Compiled by the Author

Theory:	The research begins by studying the theory relating to the topic.
Design:	The second step is to create a balanced scorecard suitable for schools.
Evaluation:	It is important to evaluate whether the scorecard has all the important elements necessary for monitoring and evaluating school governance and development.
Implementation:	The scorecard will then be implemented in the selected test centres and the results and outcomes studied.

The unit of analysis or the subject of the study that is being investigated is school management using a balanced scorecard, and therefore the focus of the research was on special schools, which are a real-life phenomenon, once more indicating the empirical nature of the research. It was then also important to identify the variables that were tested for proving the correctness of the hypothesis. In this case the dependent variable is effective school governance and development, while the independent variables are the balanced scorecard, monitoring and evaluation, and others to be determined during the research process.

In order to develop an in-depth and holistic understanding of the concept being studied, i.e. monitoring and evaluation of governance and development of special schools, the researcher used both primary and secondary data, as recommended by Welman and Kruger (2001). Once again, since this was an experimental outcomes study, it has been important that both forms of data be utilised equally. However, as Welman and Kruger (2001) also suggest, since an empirical study utilises mostly the information obtained by the researcher himself, the excessive use of the secondary data has been avoided.

The primary data or 'first-hand data' were collected by means of formal, structured and unstructured interview, open-ended questionnaires, focus groups and observations. For discourse and content analysis and reviews, the secondary data were collected from the existing literature through analysis of relevant technical reports and publications, books, legislation and policy documents.

The study was designed as an exploratory, outcomes-based experimental research using a mixed method approach. It aims to prove the hypothesis that an intervention in the form of a monitoring and evaluation system through a BSC could improve school governance and development. The particular advantage of this design was that it had the ability to assess the outcomes and impact of the independent variable throughout the process of the study. However, the limitations include the possibility of high degree of measurement error, selectivity effects and poor generalisability (Mouton, 1996).

1.6.1 Methodology

The participants, special schools and the institutions as identified by the WCED current Inclusive Education Implementation and Field-testing project were the basis of the sampling. Once the participants and the researcher met, the aims, nature and the process of the study were thoroughly explained and discussed in order to ensure that the participants were fully informed.

The participants were also assured that their participation in the study is voluntary; that they were free to withdraw at any time; and that they would remain anonymous if they so wished. Some arrangements were made with the WCED in case extra work

and time would be required from the participants at the schools concerned. The following groups participated in the study:

- School principals/ managers   - 1 per school
- School governing bodies   - 1 per school
- School management teams   - 2 per school
- Educators   - 2 per school
- Non-teaching staff   - 2 per school
- Parents   - 2 per school
- Pertinent stakeholders and community organisations

The latter included departmental officials, district-based education management teams, and the parents of learners with disabilities. This broad total of 124 participants as indicated above consisted of 10 participants per school from all 12 schools involved in the study and four departmental and EMDC officials.

1.6.2 Sampling

Purposive sampling was used to identify participants in the major qualitative dimensions of the study. Purposive sampling selects participants for their relevance to the issues being studied rather than to be representative of a particular population. According to Maxwell (in Sandelowski & Barosso, 2002:32), this is a strategy in which particular settings, persons or events are selected deliberately in order to provide important information that cannot be accessed from other sources. Its main advantage is the assurance that the researcher was certain to get crucial information from respondents who are relevant to the study. Where appropriate, random and snowball sampling methods were also applied.

1.6.3 Data Analysis

As suggested in the research design and also recommended by Mouton (2001), data, mainly in the form of textual data, were gathered and assembled through multiple data-collection methods such as interviews, questionnaires, observations and workshops.

In analysing the collected data, the electronic software MoonStats and the Microsoft Excel spread sheet were utilised; the responses were copied into these systems. The data were then analysed using correspondence analysis, factor analysis, and paired- and two sample t-tests of MoonStats programme. MoonStats can allow data entry of numeric values into a data sheet of more than 100 variables and 1 000 case units of analysis (Welman & Kruger, 2001).

Other software programmes available for the researcher to use in capturing and storing data were Nud*ist and Atlas/ti software programmes.

1.7   THE STRUCTURE OF THE REPORT

The conception of the research entails a lengthy process of analysis, accompanied by the writing up of drafts covering, first, the theoretical background and literature on fundamental perspectives on public governance and development, monitoring and evaluation, and the balanced scorecards, and secondly, the empirical investigation and the fieldwork. There is therefore a phase-by-phase approach towards the completion of the study, which entails three phases i.e. first, the literature and framework analysis and writing up of findings; second, the empirical research and fieldwork process; and third, the data analysis and writing up of the final report. These three phases of the research entail a five-step process represented as follows:

- Step 1: Analysis and discussion of literature and frameworks;
- Step 2: Design and implementation of balanced scorecard;
- Step 3: Measuring school governance and assessing the results;
- Step 4: Data collection and analysis and interpretation;
- Step 5: Findings, recommendations and conclusion;

Since each and every step consists of a chapter or chapters to be written at that particular stage, it is therefore important to give details about each step of the process in the study.

Step 1 provides the material for Chapters 1, 2, and 3, which are the Introduction, the review of the theoretical and regulatory frameworks, and the study and analysis of the literature. Chapter 1 sets the scene for the research issue: 'a balanced scorecard on the governance and development of special schools'. It also explains the importance of the research to the public for policy and development.

Chapter 1 also briefly outlines the background to the problem. It defines the methodology and design of the research. Chapter 2 discusses broadly the philosophical and the relevant legislative frameworks relating to the governance and development of special schools. It touches on the historical background of the use of balanced scorecards and on monitoring and evaluation in the public sector, as well as in education and schools. Here all the key legal frameworks and policies that have a bearing on this subject are reviewed.

Chapter 3 provides an extensive overview and review of the literature on the research issue as well as related topical subjects. Chapters 2 and 3 are both important to the research process, as they can confirm the validity and relevance of the discussions and findings on the initial problem issue. Chapter 3 discusses the related literature on governance, scorecards in the public and private sectors, and the attitudes of stakeholders on these matters.

Step 2 provides the material for Chapters 4 and 5, which are about the scope and the purpose of the balanced scorecard in special schools, and the construction and implementation of a balanced scorecard. Chapter 4 discusses the purpose and need as well as the scope of a BSC in public and special schools. It looks to the scorecard as a possible tool for scientific and evidence-based performance appraisals for schools within the education department. This chapter, like the entire study, will make use of case studies locally and internationally. Chapter 5 focuses directly on the construction of a BSC, the requirements, processes and the steps involved. The scorecard construction process is a gradual one that begins with a small and simple model and develops into an advanced and complex system capable of enhancing standard assessment and quality review systems. All these facets, including the distribution and implementation of the scorecard for piloting and evaluation, will be examined in this chapter.

Step 3 provides the material for Chapter 6, it is essentially the process of assessing the actual monitoring and evaluation process in special schools using the scorecard. It also illustrates how the scorecard improves the achievement of enhanced core objectives of school governance and development. Chapter 6 is essentially about the piloting, study and reviewing of the process. Here all the stakeholders will participate in studying and reviewing the scorecards. The process begins with the training and orientation of the stakeholders. The use of the scorecard will be studied in monitoring and evaluating the governance process and school development through analysing the responses towards targets, strategies and outcomes over a period of time.

Step 4 provides the material for Chapter 7, dealing with data collection and analysis. This is the chapter that leads to the results and conclusions of the research. Chapter 7 discusses mainly the process of the empirical research done through collection, presentation and analysing the data from the participants from the various unit centres sampled in the study. Chapter 7 also discusses other methodologies used in the research for collecting data. These include questionnaires, interviews, focus group sessions and systematic observation. It concludes with a focus on how the results were discussed and interpreted.

Step 5 provides the material mainly for Chapters 8 and 9, which are essentially about the data analysis and interpretation of results as well as the findings, recommendations and the conclusion of the study. Chapter 8 deals specifically with the analysis and interpretation of the data. Finally, Chapter 9 provides the findings, the final recommendations and the conclusions of the whole study, and sums up all the processes, stages and chapters in the report.

CHAPTER 2

A THEORETICAL REVIEW OF GOVERNANCE

2.1   INTRODUCTION

Since the 1960s issues related to governance have always been at the core of the most pressing challenges confronting countries throughout the world. Recently, the declaration on the African Union also acknowledged that governance was at the heart of many difficulties that face almost all African countries (AU Commission Declaration on the Forum on Governance in Africa, 2005:1). Even throughout the 1990s most international organisations and governments the world over have been worried about their own state of governance and public administration. In the main these concerns were about the strengthening of democracy and expansion of accountability as the most important aspects of governance. The other important areas of concern have been around transparency, the legal framework, public management reform, predictability, direct access to information and participation, which are key characteristics of good governance.

Governance as a concept has recently become very popular in the field of management both in the public and private sectors throughout the world. Mayntz (1998:1-12), in his contribution to theories of governance, indicates that for a long time, the word 'governance' simply meant 'governing', government seen merely as a process thereof. Today, however, the term governance is mostly used to indicate a new mode of governing, different from the old hierarchical model in which state authorities exert sovereign control over the people and groups making up civil society. Governance therefore refers to a basically non-hierarchical mode of governing, where organisations, institutions and private corporate actors participate in the formulation and implementation of public policy.

Jonas and Cloete (2006:105-122) indicate that governance can be applied in various contexts, such as corporate governance, institutional governance, and international, national and local governance. For some time now governance has simply been used in political and academic discourse to refer to the act or the process of governing or exercising control or authority over the actions of subjects.

This chapter however focuses on a much broader theoretical review of governance. In order to apply the concept of governance in analysing and constructing the model which is a deliverable of this study, it is crucial that a full understanding of all perspectives and versions of governance in its various forms be gained. This study therefore attempts a detailed analysis of the theories of governance preferred by various researchers, organisations and institutions globally.

This review also studies the global perspectives in terms of international organisations and institutions such as the World Bank, the United Nations Development Programme (UNDP), the International Monetary Fund (IMF) and Canada's Institute on Governance. This global review of governance perspectives also focuses on the European Union Commission's declarations as well as Asian and African approaches to governance.

Corporate governance, institutional governance and public governance are also studied in detail. Public governance as the focus of the study is analysed in greater detail with the aim of establishing some of the core features for constructing a normative model for monitoring and evaluating governance within the special schools in the Western Cape.

2.2   GOVERNANCE AS DEFINED IN THE LITERATURE

While 'governance' generally refers to the whole system that provides an organisation with effective decision-making that is important for excellent performance and outcomes, it also is a monitoring tool that provides accountability to beneficiaries, funders, regulators and other stakeholders associated with organisations and private corporations. It also monitors and evaluates performance, sets out policies and procedures as well as plans for the longer-term development of an organisation.

The governance system is generally focused mainly on the boards of directors who meet regularly and take final decisions on policy matters affecting the organisation. Hence in its most generic form governance relates to the way that decisions and

policies are formulated and how their interpretation, understanding and perspectives are developed both internally within these organisations and externally. Governance is really about the organisation's planning for the future, keeping tabs on progress, ensuring it is legally and properly run, that they are open to a range of people and views and responding well to their environment.

The board members, governors (or trustees, in the case of a charity) hold the final responsibility for making sure that these are being executed in a proper way. Governance therefore is essentially about how the board members, governors and trustees are chosen, informed, developed and supported. These board members, governors and trustees are also responsible for ensuring that the organisation is using its resources efficiently and that includes the individual activities of these members themselves.

2.2.1 Redefining Governance

According to Kjaer (2004: 3), the notion of governance can be traced back to the Greek verb *'kubernan'* (to pilot or steer) and was used by Plato with regard to how to design a system of rule. Kjaer (2004) further contends in her eloquent argument on 'governance' that governance is an act of, the office of, or the function of governing. Over the last decade governance has become a widespread concept internationally, yet there has hardly been consensus on how it could be effectively applied to achieve greater accountability. In agreement with this view, Fukuda-Parr and Ponzio (2002:2) indicate that the term governance has not been consistently articulated by the international community, yet it can be generalised as meaning:

> *the process by which power and authority is exercised in a society in which different actors – government, the private sector and the civil society to try to communicate their interests; reconcile their differences and exercise their legal rights and obligations (Fukuda-Parr & Ponzio; 2002:2).*

More than a decade ago the World Bank offered a generic and clearer understanding of governance as the promotion of a more efficient public administration, the promotion of accountability, establishment of the rule law and a capable judiciary, and transparency (World Bank, 1994:4).

There are, however, other definitions given by different global organisations, economic and developmental institutions, and authors on governance. Despite some convergence on the overall meaning, these definitions are applied in different global contexts, sub-fields and debates. The definitions state governance is:

… the stewardship of formal and informal political rules of the game. It also refers to the measures that involve setting the rules for the exercise of power and settling conflicts (Hyden, 1999:185).

…the way in which public power and public resources are managed and expended (USAID in World Bank's Governance and Accountability, 2002a:2).

…the manner in which power is exercised in the management of the country's economic social resources for development (World Bank in Orr, 2002:140).

…the act of affecting government and monitoring (through policy) the long-term strategy and direction of the organisation. It comprises the traditions, institution and processes that define how citizens are given a voice and how decisions are made on issues of public concerns (PHAC-ASPC in Institute on Governance, 2004:9).

The broadest definition came from the Commission on Global Governance (1995:2) as 'the sum of many ways individuals and institutions, public and private, manage their common affairs'.

Governance hence refers not just to the decision-making processes in the management of public and private organisations, but also focuses broadly on all the processes and systems by which these organisations operate. Furthermore, it describes the mechanisms these organisation use to ensure that their constituents follow the established processes and policies of the organisations. Governance therefore becomes an instrument for maintaining oversight and accountability in a democratic manner within an organisational structure.

Therefore in reviewing the broad conceptual understanding of governance for the purposes of developing a common theoretical interpretation and understanding, it is important that the focus be redirected to some of the important international organisations in order to capture their understanding of governance. In this case the researcher looks to organisations such as the United Nations (UN), World Bank and International Monitory Fund (IMF), the European Union Commission, Canada's Institute of Governance (IoG), the African Union, as well as Asian experiences of governance.

2.3   PERSPECTIVES ON GLOBAL GOVERNANCE

According to Rosennau (2000:171), global governance is mainly about the maintenance of collective order, the achievement of collective goals, and the collective process of rules through which order and goals are sought. The question of democratic implementation of the said order and goals for sustainable development constitutes a crucial touchtone for the effectiveness of global governance in general, or in other words for the international system's capacity to govern itself.

In the same article Rosennau (2000) also suggests that global governance refers to more than the formal institutions and organisations through which the management of international affairs is or is not sustained. It is conceived to include systems rule at all levels of human activity, in which the pursuit of goals through the exercise of control has transnational repercussions.

There are currently a lot of factors that affect society as a result of international globalisation. For instance, financial markets have become increasingly integrated, the information revolution and the World Wide Web have reduced distances in information space, and the explosive growth of the number of transnational and non-governmental organisations have all led to talk of an emerging global civil society. Kjaer (2004:7) believes that global governance is about setting up institutions that have the capacity to address these changes resulting from globalisation. Hence the Commission on Global Governance (1995:5) believed, correctly, that there was no

alternative to working and living together and using collective power to create a better world.

According to Fukuda-Parr and Ponzio (2002:4), the 1990s saw another powerful set of ideas emerge from human development advocates, when authors such as Richard Falk and Mahbub ul Huq developed concepts of 'human governance'. In contrast to good governance, human governance is more about governance that is more people-orientated, focused on human rights and global security. Human governance is hence intended to redress 'inhuman governance' as reflected in five persistent global problems such as:

- the failure to meet basic needs;
- discrimination against and denial of human rights to women, indigenous people and others;
- failure to protect the environment and to safeguard the interests of future generations;
- lack of progress in abolishing war; and
- failure to achieve the spread of 'transnational democracy' (Falk and Mahbub in Fukuda-Parr and Ponzio, 2002:4).

Some of the key challenges to good human governance at the global level relate to the people having a say in decisions that affect their lives and holding decision-makers accountable to their rules and actions as they affect people's lives profoundly. Achieving the Millennium Development Goals (MDG) depends not only on governance within national borders alone, but global co-operation must be improved to successfully prevent and manage a host of transnational issues such as violent conflict, expanding opportunities of trade for poor countries, environmental collapse the and spread of disease.

Some of the most pertinent international and regional perspectives on global governance come from international development and financial organisations such as the World Bank and IMF, the European Bank for Reconstruction and Development, Asian Development Bank (ADB), and the Inter-American Development Bank.

According to the Asian Development Bank (1999:3), governance in general has to do with the institutional environment within which citizens interact among themselves and with different government agencies and officials. The capacity of this institutional environment is important for development, because it helps to determine the impact achieved by the economic policies adopted by a government. The Asian Bank believes that this environmental capacity and governance quality are a vital concern for good governance in all governments. The European Bank for Reconstruction and Development (2000), meanwhile, suggests that governance should be based on support for markets and private enterprise rather than on plans and commands.

The Inter-American Development Bank indicated (in Girishankar *et al.,* 2001:272) that it has sought to reinforce the connection between good governance and political stability, which is in turn dependent on domestic institutions and citizens' input into the public decision-making process. Stability also requires an effective, reliable legal system, efficient management of public funds, public accountability and social equity. A key to explaining different assessments for the stability of governance across the world lies in the extent to which the states are subject to 'capture' or undue influence by vested interests.

The World Bank and the IMF as the development and financial organisations particularly for the developing countries have always been the main institutions concerned with the assessment and maintenance of governance and stability internationally.

2.3.1 The World Bank and the International Monetary Fund

At the heart of global governance there are two major international institutions, the World Bank and the International Monetary Fund (IMF), through whose influence international governance has been considerably enhanced. On its own home page the World Bank Group (2001) states that global governance involves the traditions and institutions by which authority is exercised internationally for the common good of all the citizens. This includes the process by which those in authority are selected, monitored and replaced; the capacity of the government to effectively manage its resources and implement sound policies; and the respect of citizens and the state for the institutions that govern the economic and social interactions among them.

Jonas and Cloete (2006:109) also suggest that governance could be defined as 'the manner in which power is exercised in the management of the country's economic and social resources for sustainable development'. The World Bank Group further describes four areas falling within its own definition of governance as:

- public sector management reform;
- economic and financial accountability;
- the legal framework; and
- transparency

Attention to governance issues in the World Bank's analytical work has grown considerably since early in the 1900s. This resulted in analytical work on public expenditure management, civil service incentives and intergovernmental finances all being further expanded. As a consequence the World Bank has made steady progress in promoting as well as implementing the four areas of governance indicated above. Nevertheless, the World Bank still recognises the need to focus on good governance and development as central to institutional development.

Despite some considerable progress and optimism for the future, the Bank still has a long way to go in order to address obstacles to effective governance, particularly in developing countries. They have hence conceded the need to deepen their efforts to:

- understand and measure governance realities on the ground (including political and institutional roots) through upstream diagnostic work conducted in a participatory manner to enhance capacity building;
- monitor the impact of the Bank's projects and programmes in improving governance, and ultimately, in reducing poverty;
- mainstream governance concerns across the sector;
- balance a stronger focus on governance and anti-corruption with the need for country ownership and the imperative of poverty reduction, particularly in weaker government environments; and
- practice selectivity by focusing their efforts on where the likelihood of success is stronger (World Bank, 2002b:36).

Meanwhile, at the heart of the institutional structure of global governance, particularly global financial governance is the IMF with virtually a universal mandate to create rules that govern governments and institutions. The IMF's (2005: 2) aim has always been to ensure that governments and institutions adopt policies that foster political and economic stability as well as the financial stability essential for sustainable growth and development.

According to the IMF (2005:2), the term 'governance' encompasses all aspects of the way in which countries and organisations are governed. This includes the formulation and implementation of economic policies and regulatory frameworks for financial management. It also sees corruption as a narrow concept, which is often defined as 'the abuse of public authority, position or trust for private benefit', IMF (2005:2). In the IMF theories the two concepts, governance and corruption, are closely linked. An environment characterised by poor governance offers great incentives and more scope for corruption. The IMF (2005) therefore promotes good governance by fostering public sector transparency and accountability. It also encourages countries to correct economic imbalances, reduce inflation and enter into market trades.

2.3.2 European Union and Canada's Institute on Governance

According to the International Institute of Administrative Sciences (IIAS)(1996), 'governance' describes the processes whereby elements in society, institutional and civil, wield the power and authority entrusted to them as well as influence and enact policies and decisions concerning public life and socio-economic development (IIAS, 1996:4). Therefore at the heart of governance is the construction of effective, accountable and legitimate governing arrangements within the diverse institutional settings of the public and private sector organisations.

Over the past decades the European Union (EU) has been preoccupied with its own internal and institutional governance issues. The EU Commission has subsequently also produced a white paper on governance, which broadly proposed five principles that underpin good governance, i.e. openness, participation, accountability, effectiveness and coherence. This was later developed to commit the EU to apply these principles of good governance to its global responsibilities:

- Openness – Governments, institutions and organisations should work in a more open manner. They should actively communicate what they do and the decisions they take. The language they use should be accessible and understandable to all sections of their constituency.

- Participation – The quality, relevance and effectiveness of policies depend on ensuring wide participation throughout the policy chain, from conception to implementation and evaluation. Participation requires governments to follow an inclusive approach when developing and implementing policies.

- Accountability – Governments, institutions and organisations must explain and take full responsibility for what they do. There is, for instance, a need for greater clarity and responsibility from member states of the EU and all those involved in developing and implementing EU policies.

- Effectiveness – Policies must be effective and timely, delivering what is needed on the basis of clear objectives, an evaluation of future impact and, where available, of past experience. Effectiveness also depends on implementing policies in an appropriate manner.

- Coherence – Policies and actions must be coherent and easily understood. Coherence requires political leadership and strong responsibility from governments, institutions and organisations to ensure a consistent approach within very complex systems (Commission of European Communities, 2001:10).

The EU believes that in the context of a political and institutional environment which upholds human rights, democratic principles and the rule of law, governance must promote the transparent and accountable management of resources for equitable and sustainable development. Hence according to the EU, good governance is about clear decision-making procedures at the level of public authorities; transparent and accountable institutions; the primacy of law in managing and distributing resources; and capacity building for elaborating and implementing measures that aim to prevent and combat corruption.

In order to also uphold its principal objective of increasing effectiveness and the enforcement of the powers of international institutions, the EU Commission

specifically proposed to improve dialogue between governmental and non-governmental actors and to conduct a review of its international representation in order to speak with a single voice on issues of governance. Governance on global issues beyond the EU's borders affects not only the rest of the world, but has an important influence on the EU's own security, its citizens' wellbeing, its environment, its markets, and its access to global and raw materials. Therefore the EU itself as well as its citizens does have an established interest in influencing and improving global governance beyond its borders.

The Canadian Institute on Governance (IoG) (2004:2) has also recognised the view of governance as 'comprising the institutions, processes and traditions which determine how power is exercised, how decisions are taken and how citizens have their say'. This implies that governance is not the sole concern of government, but of all those involved in decision making. The IoG is therefore interested in the following four themes:

- the involvement of citizens and the accountability of government to them;
- capacity-building for good governance;
- reform of the public service; and
- the transformation of the voluntary sector (IoG, 2004:6).

The Canadian International Development Agency (CIDA), in keeping with their interventions and development programmes in some African countries, strongly believes that governance should encompass the values, rules, institutions and processes through which people and organisations attempt to work inclusively towards common objectives, make decisions, generate authority and legitimacy, and exercise power (CIDA, 2007:2). Hence CIDA has also developed principles of good governance that have been adopted by many countries and organisations as a form of benchmarking their quality and standard of governance.

The African Union has also entrenched some of the IoG principles of governance in its peer review mechanism programmes on assessing governance and democracy. But then the question could be posed: why is Africa still experiencing the problems that are a manifestation of bad governance?

2.3.3 African Union and NEPAD

In recent times the issue of governance has gained a great deal of prominence in Africa, as it has all over the world. It also emerged throughout the continent as an important component of democratisation, economic development, peace, and most importantly, the emancipation of African people. However, to date governance, particularly good governance in Africa, still remains under-explored as an instrument to achieve the above objectives. In those particular areas where governance is correctly applied, Africa does show good positive potential for peace, development and democratic governance.

Currently, though, with the establishment of the African Union (AU) and its primary programme, the New Partnership for Africa's Development (NEPAD), most African countries have signed up to a set of progressive values and principles for good governance. Some countries have even committed themselves to being regularly monitored and evaluated within the framework of the African Peer Review Mechanism (APRM), a tool for inter-state peer review and learning that is pursued in the context of the African Renaissance. Good governance in Africa is therefore promoted in a number of African countries, because it provides structural arrangements through which local people and citizens participate in the fight against poverty and diseases such as HIV and Aids (Kauzya, 2002:2)

With poverty and disease still being the major problems facing Africa, responsive and accountable governance is often the missing link between anti-poverty efforts and poverty reduction. There is, however, a commitment by most African leaders through NEPAD to reduce it through sustainable economic growth. This will require high levels of investment and savings, as well as increased productivity and efficiency in resource management. The United Nations Development Programme's Report Overview: Human Development to Eradicate Poverty (UNDP, 1997:3) also concurred that even when a country seeks to implement pro-poor intervention policies, bad governance has always reversed the progress. Decentralisation and civil society empowerment along with reforming judiciaries, parliaments, public administration and electoral processes are among the major priorities of most African governments in their efforts to improve the quality of their political and economic governance.

The UN places a high priority on improving the quality of governance in Africa in recognition of its critical role in creating a climate more conducive to development and economic growth. As far back as 1996 the UN started a special initiative to accelerate African development by boosting access to basic education, health and water (African Recovery, 2006). The framework for the UNDP's Special Initiative on Governance in Africa (SIGA) focuses mainly on leadership for building good governance; transparency and accountability in governance; civil society and empowerment; political transition; peace and stability; and mainstreaming gender in governance. By improving governance, the image of the continent can be enhanced, contributing towards building a positive constituency in Africa for donor countries.

Despite all this, the African Governance Report (2005a: vi) identified ten priority areas for action in building capable and accountable governance in Africa. It is through the following interventions that a critical mass of capacity in Africa will be developed at the level of individual, institutional and societal governance:

- Strengthening the capacity of parliaments to perform their core functions;
- Deepening legal and judicial reforms;
- Improving public sector management;
- Improving the delivery of public service;
- Removing the bottlenecks for private enterprise;
- Tapping the potential of information and communication technology;
- Fostering credible and responsible media;
- Maximising the contribution of traditional modes of governance;
- Confronting the governance dimensions of HIV/Aids; and
- Getting partners to live up to their contribution (African Governance Report, 2005a: vi).

Still, in most post-colonial Southern African countries such as Tanzania and Malawi governments continue to grapple with the challenge of building effective democratic economic institutions and to create the necessary balance between governments, civil society and market institutions. These countries continue to struggle to overcome too much centralisation and bureaucracy. Most of all, corruption still remains the most immediate problem in the public service and governance.

2.3.4 Asian Governance and Development

Among the various articulations of the notion of governance the most common is 'the manner in which power is exercised in the management of the country's economic and social resources for development'. The Asian understanding of governance attests mostly to the quality of the relationship between government and the citizens that it is meant to serve and protect. This once more relates to the way those with power and authority use that power in the interest of their citizens. According to Putman in the Asian Development Bank's Annual Report (1998:17), there were four components of governance that have always been important in 'Asian governance' and not surprisingly they are also relevant to the EU characteristics for good governance:

- Accountability – the capacity to call officials to account for their actions;
- Transparency – entails low-cost access to relevant information;
- Predictability – results from laws and regulations that are clear, known in advance, uniformly and effectively enforced; and
- Participation – needed to obtain reliable information and to serve as a reliability check and watchdog for government action.

Although most development organisations and governments all over Asia share the views embodied in these four pillars, some have different approaches in applying them. Currently Asia governance faces a number of challenges which are sub-regional and specific to the type or stage of economic development. For example, according to the Asian Development Bank Report (1998:18), former centrally planned economies face common challenges of over-extension and over-centralisation of the state, lack of a legal framework for governance, lack of skills, and greater reliance on the markets. Least-developed countries face a common challenge of very weak administrative systems. Meanwhile the Southern Asian countries have common problems of crony capitalism, weak checks and balances in public-private relations, and barriers to competition.

The Asian Development Bank (1999:8) has since defined priority actions that should be undertaken by these countries in order to eliminate these governance problems. Some of the actions intended to address these challenges include the following:

- Encouragement of a carefully timed and tuned process of decentralisation (especially in the case of former centrally-planned economies);

- Extending the scope and accelerating the pace of administrative reform, and encouraging exposure to the good practice of governance (least developed countries);

- The South Asian countries should encourage matching the role of the state to its capacity better, cutting red tape, and encouraging administrative renewal;

- While South Asian countries need to improve openness, reciprocity and checks on administrative direction, they should strengthen corporate governance and encourage competition.

2.4   GOOD GOVERNANCE REVIEWED

The concept of 'good governance' is generally understood to have at least three aspects: first, the need for a rule-based, open, transparent, efficient and accountable government; second, the need for government to undertake its task in a manner that is participatory, consultative and that generally lives up to the precepts of formal democracy; and third, the need for government and the state to ensure that substantive aspects of democracy, which would be compatible with the need to attain sustainable human development in the long run, are achieved (Mhone & Edigheji, 2003:3).

The Independent Advocacy Project (IAP) (2003:6) sees good governance broadly as a political and institutional environment, based on respect for democratic principles, the rule of law, human rights and the participation of civil society. The key goal of good governance is therefore to enable an organisation to do its work and fulfil its mission, which should result in organisational effectiveness.

In the above instances good governance is defined as projecting as well as encapsulating the existence of well-functioning democratic institutions such as the legislature, an independent judiciary, the free flow of information, as well as arenas for citizen participation in policy making. Good governance should thus be democratic in nature, where transparency, pluralism, citizen involvement in decision-

making, representation and accountability are well established. In respect of public governance, USAID (2005:9) suggests that it is important to have an answerable government that focuses on the following areas:

- legislative strengthening;

- decentralisation;

- democratic local governance;

- anti-corruption;

- civil-military relations; and

- improving capacity for policy implementation.

The Canadian Institute on Governance (IoG), which is one of the champions of good governance, has also put forward a list of characteristics or principles of good governance which the UN and most other international development institutes have endorsed and adopted as basic standards for measuring governance in most countries. The same principles are used by funding organisations such as the World Bank and IMF as requirements for accessing funding for economic and social developmental interventions.
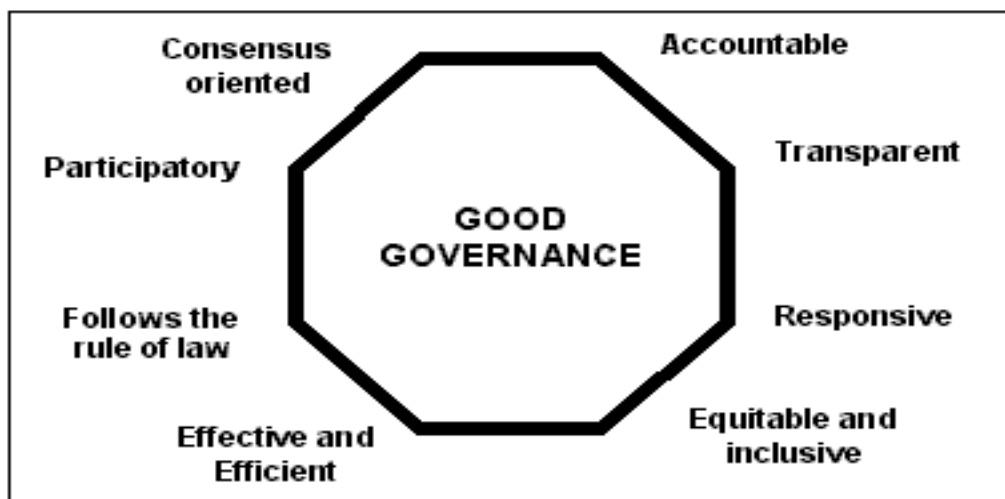
Figure 2.1: Principles of Good Governance
Source: Institute on Governance, 2004

The IoG (2004) has therefore published a list of characteristics of good governance, as shown in Figure 2.1, and which are also similar to the EU Commission's (2001) five key principles of good governance:

- Participation: providing all men and women with a voice in decision-making;

- Transparency: openness, access and free flow of information;

- Responsiveness: of institutions and processes to stakeholders;

- Consensus orientation: differing interests are mediated to reach a broad consensus on what is in the general interest;

- Equity: all men and women have opportunities to become involved;

- Effectiveness and efficiency: processes and institutions produce results that meet needs, while making the best use of resources;

- Accountability: of decision-makers to stakeholders.

These characteristics are described also in the EU Commission's White Paper on Good Governance (EU Commission, 2001:10) to illustrate its principles of good governance with respect to both global as well as European responsibilities. In attempting to boost its own effectiveness and enforce its powers, the EU Commission broadened its definition of these principles as follows:

- Openness. The governments, institutions and organisations should work inclusively in a more open manner. They should actively communicate what they do and the decisions they take. The language that they use should be accessible and understandable to the general public;

- Participation. The quality, relevance and effectiveness of policies depend on ensuring wide participation throughout the policy chain, from formulation to implementation. Participation requires the governments to follow an inclusive approach when developing and implementing policies;

- Accountability. Governments, institutions and organisations must explain and take full responsibility for what they do. The EU commission, for instance, proposes that there must also be greater clarity and responsibility from member states in developing and implementing EU policy;

- Effectiveness. Policies must be effective and timely, delivering on the basis of clear objectives and evaluation of future impact, especially on the past experience. Effectiveness also depends on implementing policies in an appropriate manner;

- Coherence. Policies and actions must be coherent and easily understandable. Strong and responsible political leadership is important for the institutions, governments and organisations to ensure a consistent approach within a complex system.

Almost all the global and multinational institutions, in defining good governance, tend to focus on these principles as the key variables for good governance. However, the IMF has a straightforward and clear-cut definition, i.e. 'ensuring the rule of law; improving the efficiency and accountability of the public sector; and tackling corruption' (IMF, 2005:2). The key issues that are critical in this definition suggest that the targets in developing countries are the rule of law and tackling corruption.

Good governance itself calls for the use of effective participation with clear procedures for the public in the decision-making process; the establishment of transparent and accountable institutions; and the primacy of the law in the management and distribution of public resources. With this there should be effective measures to prevent and combat corruption, support leadership development, and the empowerment of men and women. Therefore the task of promoting and implementing good governance includes a wide range of activity areas. According to the IAP (2003:7), public sector development should result in increased bureaucratic effectiveness through:

- organisational, administrative and public policy reform;
- decentralisation of government, both internally and externally (to a range of supranational institutions), which extends effectiveness and accountability by bringing government to all appropriate constituency levels;
- working against existing and potential corruption, which enables attributes of good governance with an independent, accessible and even-handed legal and judicial system to underpin honest and equitable governance;
- the creation of effective urban government satisfies many of the needs of large populations, easing the task of more distant levels of government (IAP, 2003:7).

It is important to assess how good governance is achieved in certain specific contexts as corporate governance and institutional governance, and how the core values such as broad participation and inclusivity can be ensured.

2.5   CORPORATE GOVERNANCE

Corporate governance, generally referred to as the system by which public and private organisations as well as business corporations are managed, directed and controlled in order to accomplish their stated mission and objectives, is currently of greater international interest and concern. Mervin King (2006:12) shares the view that corporate governance is essentially the way in which organisations and companies are directed and controlled. However, a more informative definition of corporate governance is that it is a 'process to help directors discharge and be seen to be discharging their responsibilities as defined by their duties'.

Corporate governance specifies more particularly the distribution of rights and responsibilities among different stakeholders within these organisations and corporations such as the board, managers, shareholders and others stakeholders. It also spells out the rules and procedures for making decisions on corporate affairs. By doing so, corporate governance provides the structure through which the company objectives are set and the means of attaining these objectives and monitoring performance (OECD, 1998:41).

In spite of these views on corporate governance, Mathiesen (2002:25) suggests that besides the fact that it covers quite a large number of distinct economic phenomena; the concept of corporate governance itself is still inadequately defined. According to Mathiesen (2002:25), corporate governance is simply a field in economics and management that investigates how to improve efficient management corporations by the use of incentive mechanisms such as contracts and organisational designs within the legislative framework. The most conventional understandings of corporate governance by Shleifer and Vishny (1997:730) are 'the means through which suppliers of finance to corporations assure themselves of getting a return on their investments'.

Good corporate governance structures encourage companies to create value (through entrepreneurship, innovation, development and exploration) and provide accountability and control systems commensurate with risks involved. According to Millstein (1998:4), good corporate governance is a key element in achieving corporate competitiveness and access to capital. This is also confirmed by Wolfensohn (1999:7), the former president of World Bank, who believes that corporate governance is about promoting corporate fairness, transparency and accountability. Recently Fox and Heller (2006:416) also explored some of the key institutional elements that make up good corporate governance as well as the intersecting role of legislation, constraining owners and managers, and the role of markets-supporting institutions.

Corporate governance in the public sector is important for running companies and organisations as it takes the level of management beyond good governance. It also instils a notion of excellence and efficiency within these organisations. The focal point of corporate governance is the board of directors as the mechanism to represent shareholders' interests, prevent conflicts, monitor managerial performance and balance competing demands of the corporation. Millstein (1998) once more put forward a long-held view that for the board to play its role in a more meaningful way, it must to be capable of acting independently from management.

One of the most important inputs to corporate governance in South Africa is the King Report on Corporate Governance I, II, and III. These reports provide a significant contribution to this debate and draws attention to the importance of properly functioning boards of directors as a key component of good corporate governance. According to King Report I (1994: 26-27) some of the most crucial recommendations for good corporate governance are accountability, principles, board structure, and meetings. It also suggests that a code of corporate principles and conduct that guides the board of directors, chairman, and the non-executive directors be developed. It further elaborates on the practices of good governance as defined by law. King Report III (2009: 15) meanwhile puts emphasis on dispute resolution, risk-based internal audit, shareholders and remuneration, and the evaluation of board and director performance.

This King Report II (2002: 95) also suggests that the internal audit functions of the governing boards should assist the directors and management to achieve the goals of the company by recommending improvements to the process through which:

- goals and values are established and communicated;

- accomplishment of goals is monitored;

- accountability is ensured; and

- corporate values are represented.

Within the broader African context there is a school of thought, though, which suggests that it is premature to discuss issues of good corporate governance where the private sector is small in some areas, and the capital market conditions are poorly developed or not fully established. However, the common consensus is that for purposes of business and corporate development, foreign investment and access to global donor funds, a set of minimum conditions that assures prospective investors about the standard of corporate and public governance will need to be entrenched.

2.6   INSTITUTIONAL GOVERNANCE IN SOUTH AFRICA

Since the establishment of democratic government in 1994, South Africa has been confronted with major challenges of attempting to promote public service reforms and transformation, democratisation, sustainable human development and institutional governance. In reviewing institutional governance in South Africa, Mhone and Edigheji (2003:3) understand the concept to refer to the way in which the apparatus of state is constituted, how it executes its mandate and its relationship to society in general (and to particular constituencies such the private sector, civil society, non-governmental organisations (NGOs), community organisations), and how it fulfils the substantive aspects of democracy. Mhone and Edighedji (2003:5) view institutional governance as derived from the principles of good governance based on three aspects:

- The need for rule-based, open, transparent, efficient and accountable administration;

- The need to undertake governance tasks in a manner that is participatory and consultative, and that generally lives up to the democratic requirements of formal democracy; and

- The need to ensure that substantive aspects of democracy are achieved, which would be compatible with the need to attain sustainable human development in the long term.

However, if these aspects are to be fostered in order to realise the achievement of transformation, democratisation, sustainable human development and good governance as stated, it is important to review institutional governance and the civil service.

The review of institutional governance in South Africa should be undertaken from the perspective of good corporate governance as proposed in the King Report on Corporate Governance in South Africa (2002), since it is only through the principles of corporate governance that good institutional governance, where the aspects elaborated by Mhone and Edighedji (2003) above, can be realised.

Effective management in the case of sustainable nature conservation in Southern Africa, as applied by Mhone and Edighedji (2003:1-15), is seen as important at all levels of government, but it should necessarily involve agents outside of government, i.e. communities, non-governmental organisations and the private sector. Yet in Southern Africa this area of governance is rendered inherently complex by some key features of the current regimes such as the following:

- ownership and control by different interest groups is highly skewed;

- most resources are in short supply relative to the populations which depend on them;

- most are held under regimes of property rights urgently in need of democratic reform;

- some resource regimes are cross-frontier in character; and

- in some cases access and control are increasingly contested, leading to conflicts and tensions between competing interest groups or even national states (Benjaminsen *et al.*, 2002:1).

Some of the good examples used in discussing the nature of institutional governance in South Africa with crucial experience are security governance, the sports industry and higher education institutions. These provide the most important and direct pointers to the state of governance of public institutions in South Africa.

2.6.1 Security governance

Cawthra (2006: 95) provides a broad overview of the nature and diverse roles played by different actors, i.e. the executive, parliament and civil society in an inclusive approach. In this case Cawthra (2006) suggests that the security sector in South Africa is currently categorised into four spheres namely, national security, defence, safety and security, and intelligence. In all these categories the most important aspects of focus are the policy initiatives, institutional transformation, planning, budgeting and procurement, as well as control, oversight and accountability. Security governance, like any other type of institutional governance, is always a process and the evolution of structures and practices always reflects political cultures and takes idiosyncratic and context-specific turns.

2.6.2 Sports industry

Internationally the sport industry has been moving steadily into the corporate category, where the primary concern is profit and economic prosperity, while the future and survival of the organisation become a matter of secondary interest. However, based on global reviews, Katwala (2000:1) indicates that responsible governance faces huge challenges with sport continually experiencing scandals and crises. The issue of governance of sports in South Africa has therefore received special attention at the national level. It has become imperative that sports organisations in South Africa are aware of, and can comply with, the principles of corporate governance as these are applied to measure their levels of governance and performance.

2.6.3 Governance of higher education

With regard to higher education, there is a growing trend for it to apply principles of corporate governance so as become to be more efficient and more responsive to

external pressures. Higher education institutions are continually becoming more diversified, for example:

- the changing composition of the student body (e.g. more international students);
- more mature students who are working and studying at the same time;
- new financial structures as a result of the introduction of new funding modes;
- the accelerating diversification of needs and values and the uneven nature of global processes;
- new ways of delivering higher education, such as e-learning and cross-border education; and
- competition between public and private institutions.

These and other factors are contributing to the changing institutional context, highlighting the importance of governance and the role of higher education governing bodies. It is therefore important to note that governance is a process not only restricted to the governing bodies of higher education institutions, but that it is also a process related to a whole set of institutional processes surrounding higher education institutions within a wider social setting. It is therefore important that the governing bodies of higher education institutions should apply principles of corporate governance and adopt a more inclusive, shared and participatory approach if they are to achieve the institution's objectives. As the focus will be on monitoring and evaluation of governance in schools within the South African public service setting, it is important to investigate specifically the understanding of monitoring and evaluating governance, now that the broader concept of governance has been explained.

2.7   CONCLUSION

The notion of governance has become most popular in the international and development community, where it has now been incorporated into the strategic language of virtually all organisations. As noted earlier, Hyden (2007:4) suggests that the World Bank makes a distinction between governance as an analytical framework and governance as an operational concept, leading the Bank to identify three aspects of governance:

- the form of the political regime;

- the process by which authority is exercised in the management of a country's economic and social resources for development;

- the capacity of government to design, formulate and implement policies and discharge its functions.

This theoretical review on governance focused mainly on the definitions of theoretical governance and an understanding of the concept within global democratic organisations as well as corporate environments. From this overview it becomes clear that the recognised and established principles of governance and good governance are applicable to modern-day organisations. Key pillars of good governance have emerged from the review and organisations should evaluate themselves against the identified key performance indicators of each of these pillars to determine their level of compliance with the principles of good governance necessary for effective organisations in the changing global environment. It has become clear now that issues of governance are deeply entrenched at the centre of the challenges facing most governments and organisations all over the world. Over recent decades international institutions such as the World Bank and the IMF have deepened their thinking on issues of governance, including legal and judicial reform, combating corruption and strengthening the financial sector. This thinking and the underlying policies based on it have the capacity to help public organisations and governments to respond quickly and deal with governance challenges.

The review analysed the definitions of governance from the perspective of global organisations. It also looked into the concept of good governance and versions of it, mostly from the perspective of the Canadian Institute on Governance. It also discussed corporate and institutional governance. It went further to discuss inclusive and participatory governance as the form of governance which will inform this study. The next chapter will deal in detail with monitoring and evaluation of the governance of organisations, with a particular focus on the public sector and education in South Africa. It will analyse how these frameworks provide a management and developmental instrument to achieve effective governance outcomes.

CHAPTER 3

MONITORING AND EVALUATION AND A BALANCED SCORECARD: A CONCEPTUAL UNDERSTANDING

3.1   INTRODUCTION TO MONITORING AND EVALUATION

3.1.1 Defining monitoring and evaluation

The performance of public sector organisations is coming under more scrutiny from the global citizenry. Taxpayers are demanding that governments demonstrate value for money in the utilisation of limited resources, and for the provision and management of public services and goods.

Within this context the need to achieve results from public sector organisations and development interventions has become extremely important. Therefore, the need for planned and systematic monitoring and evaluation of public organisations and programmes takes on new meaning. And so we need to begin by asking a question: "What does monitoring and evaluation entail?"

Generally defined, monitoring and evaluation (M&E) entails the systematic collection, analysis and use of information from projects and programmes for three basic purposes: for *learning* the experiences acquired; for *accounting* internally and externally for the resources used and the results obtained; and for improving *decision-making*.

Currently, in most counties worldwide governments and organisations are on a mission to enhance their standards of service delivery through improved accountability and quality evaluation. Most governments and organisations care a lot about how well they are performing as well as about the impact they are having on their stakeholders, customers, clients, and funders. This is because when these factors are viewed against the predetermined targets and indicators, they have a huge impact on the institutions' continued existence. One important safeguard against the inadequate monitoring and evaluation culture that prevails in some organisations is to establish as clearly as possible the connection and differences between the terms 'monitoring' and 'evaluation' as they apply separately in order to

fully understand how they can contribute to the deepening of good governance and accountability.

According to the Public Service Commission (2008:3), which is one of the key proponents of monitoring and evaluation in South Africa, the concepts can be defined separately as follows:

> Monitoring is *"a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of organisation an on-going developmental intervention with indications of the extent of progress and achievements of objectives and progress in the use of allocated funds".*

> Evaluation is *"a systematic and objective assessment of an on-going or completed project, programme, or policy, design, implementation, and results. The aim is to determine the relevance and fulfilment of objectives, development, efficiency, effectiveness, impact and sustainability. Evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipient and donors".*

Similarly, the Department for International Development (DFID, 2005:33) defines M&E as a continuous internal and external process conducted by managers or the agencies assigned that responsibility to check the progress of development intervention against pre-defined objectives and plans, or simply put, 'keeping ship on course'. They also see evaluation as basically asking 'what happened and why?', and as answering specific questions related to relevance, effectiveness, efficiency, impact and sustainability of the programme's output.

Monitoring is the routine tracking of the key elements of programme performance through recordkeeping, regular reporting, surveillance systems and periodic surveys. Monitoring assists programme managers to determine which areas require greater effort and it will identify areas that contribute to improved programme performance. In a good monitoring and evaluation system, monitoring contributes greatly towards

evaluation. Indicators selected for monitoring will vary, depending on the reporting level within the management system.

At the global and regional levels the monitoring efforts focus on understanding and standardising population-based coverage indicators for recommended interventions. At the national and sub-national levels, where efforts to implement interventions are functional, monitoring of programme inputs (human resources, financing), processes (procurements and supplies, training) and outputs (services delivered by programmes) is also needed for understanding the complete picture of the programme of activities for improved performance.

Evaluation is the periodic assessment of the change in targeted results that can be attributed to programme consistency. It attempts to link a particular outcome or impact directly to a particular intervention after a period of time. It helps determine the value or worth of a particular programme. Evaluations can be used to link any two parts of the monitoring and evaluation framework (inputs, processes, outputs, outcomes, or impact). For example, one could evaluate whether financial inputs are effectively generating the desired training or service deliveries.

It is important to note that monitoring is predominantly an internal process managed by the head or an assigned team within the organisation, whereas evaluation could be done both internally within the organisation as well as externally. The general practise in many credible organisations is to have both internal and external evaluation. This practice is highly recommended by Mervin King (2002) in the King Commission on Corporate Governance as an important element of good governance.

El Moutawakel (2008:56) believes monitoring and evaluation are complementary. In supporting this contention he states in a publication *Creating Support for Change* that during an evaluation, information from previous monitoring is used. In contrast to monitoring, where the emphasis lies on the process and output, evaluation is used to provide insight into the relationships between elements:

- output - the strengthened capacity of an organisation;

- outcome - improved services or products; and

- impact - improved living conditions for the ultimate
  target group

Good monitoring and evaluation also contribute to ensuring that all the objectives of the operational plan are achieved. The specific scope and purpose of planning and good financial management are well emphasised in the Public Finance Management Act (PFMA) (Act 1 of 1999). However, monitoring and evaluation are generally not simple processes and many public organisations find it difficult to set them up and implement them.

In the context of monitoring and evaluating a project, Hosein (2003:12) suggests that monitoring and evaluation can be conducted in two major ways, the Compliance Test and the Performance Test. According to him, the Compliance Test determines whether and to what extent the project management complied with the pre-defined policies, procedures, standards and controls in executing activities in each phase of the project life cycle. He defines the Performance Test as comparing the schedule for activity completion and its associated costs with the planned activity schedule and associated budget parameters defined in the baseline plan.

3.1.2   The role and benefits of monitoring and evaluation

The Development Bank of Southern Africa (DBSA) (2000:148) is in the process of introducing monitoring and evaluation among its client states in Southern Africa as an instrument towards achieving good governance. They believe that the importance of the monitoring and evaluation function within public administration has been further magnified by the growing voice of civil society, which has brought issues of good governance and effective administration to the fore. The global trend towards more accountable, responsive and efficient government has bolstered the appeal for monitoring and evaluation as well as capacity development, which has been the central focus of efforts to improve governance within a comprehensive development framework.

Furthermore, in line with the above DBSA contentions, the point here is that evaluation has become increasingly important in Africa because of stagnant and negative economic growth rates, concerns related to governance and doubts about the efficacy of development assistance (DBSA, 2000:148). Kusek and Rist (2004) quote the following from the World Bank Report "Results-based Monitoring and Evaluation":

> *If you do not measure results, you cannot tell success from failure*
>
> *If you cannot see success, you cannot reward it*
>
> *If you cannot reward success, you are probably rewarding failure*
>
> *If you cannot see success, you cannot learn from it*
>
> *If you cannot recognise failure, you cannot correct it* (Kusek & Rist, 2004:39).

It is important to learn from experience as this expands the existing knowledge base and helps to make programmes even more effective. Monitoring and evaluation of organisations, projects and programmes plays an essential role in this process. M&E has a number of advantages and benefits, because it gives an organisation insight into the effectiveness and efficiency of its activities, projects and programmes. An organisation can use these results to adjust its activities.

Essentially the benefits of M&E need to be viewed in terms of four key objectives and indicators in this regard i.e., decision-making, accountability, learning and capacity development. The focus of an organisation's performance and success is therefore linked to these objectives in order to achieve sustainable results that benefit the target groups, including the stakeholders and community of which they are part.

Decision making

M&E can contribute significantly to decision making in terms of the data and information collected, which constitutes a critical foundation for action by managers and stakeholders. Furthermore, it can serve to identify evolving problems and allow projections on crucial strategies, corrective measures, and revisions to the plans and resource allocation pertaining to the activities in question.

Accountability

Providing critical assessments that demonstrate whether or not programmes or projects satisfy all interest groups' needs and priorities establishes substantive accountability. If the organisation, project or programme targets as set before are consistently not met, then there is a need for management to account for this or explain and set up new strategies and targets to achieve better outcomes.

Learning

Mistakes are made and insights gained in the course of programme or project implementation. Managers must act on these findings, applying the lessons learned to modify strategies. The learning derived from M&E can improve the overall quality of governance of an organisation as well as ongoing and future programmes and projects.

Capacity development

Improving the decision-making process and maximising the benefits offered by learning from experience can all contribute towards strengthening capacities at various levels of the organisation and at different stages of the projects and programmes.

In the final analysis the major advantage of M&E is that it provides an organisation with a necessary platform for making informed decisions on operations, policies and strategies based on on-going and future interventions. It also demonstrates accountability and enhances transparency to partners, donors and stakeholders.

3.1.3 Good governance and monitoring and evaluation

Throughout the 1990s there was a growing emphasis on the general area of governance, and it became widely appreciated within the development community that a country's governance arrangements are a powerful determinant of development success (World Bank, 1997:17). Hence the link between good governance and monitoring and evaluation is profound and inevitable, if public projects or programmes are to be successful.

In the past decade there has been widespread recognition that good governance is vital for achieving sustainable development. One of the greatest challenges, however, is to build into the governance process a mechanism that allows for learning, correction and adjustment by all parties concerned. This also requires a clear set of objectives and indicators of success that promote effectiveness and efficiency, accountability, transparency and participation, and that can be monitored and evaluated constantly by decision makers and stakeholders at all levels. The World Bank (2007:10) suggests that good governance can bring significant improvements in the standards of living in developing countries. The report states that while some countries have improved in recent years, too often there has been inaction. However, according to the World Bank, there are six components of good governance that should be measured:

- voice and accountability;
- political stability and non-violence;
- government effectiveness;
- rule of law;
- control of corruption (World Bank, 2007:4).

Meanwhile Cloete (2005:3) also notes that the Public Service Commission (PSC) has identified a range of mainly good governance process-orientated indicators to measure the degree to which the main values or principles that the PSC has identified in the Constitution (Act 108 of 1996) have been achieved by government departments and agencies at national and provincial levels. As outlined by the PSC, (Table 3.1), these process indicators are constituted as follows:

Table 3.1: Public Service Commission: Constitutional Principles

Principle number	Constitutional Principle
1	Professional ethics
2	Efficiency and effectiveness
3	Participatory Development orientation
4	Impartiality and fairness
5.	Transparency & accountability
6	Human resource management and development
7	Representativeness

Source: Cloete, 2005:3

Within the scope of these principles or indices Mackay (in DBSA, 2000:148) effectively outlines a number of trends and recent developments in governance and discusses their implications, which must also be taken into account, for strengthening the organisation's M&E function. The key themes that he raises are: first, the importance of understanding emerging opportunities and trends in the broad area of governance; second, the need to analyse the environment of each country as it provides the context and objective realities in which the particular organisation operates; and third, the need to tailor efforts to strengthen broad-based monitoring and evaluation functions according to the country's particular and context-specific circumstances.

3.2 MEASURING AFRICAN GOVERNANCE: CHALLENGES AND CONSTRAINTS

3.2.1 The concepts

African developmental problems are to a certain extent unique; from the cause to the solutions they are unlike anywhere else in the world, and hence often some have stated, rightly or wrongly: '*African solutions to African problems'*.

Monitoring and evaluation are new in Africa and not even known in most countries on the continent. The African Evaluation Association (AfrEA, 2005:12) was founded in response to a growing demand for monitoring and evaluation, information sharing and advocacy, and advanced capacity building. Previously M&E in Africa was only viewed as part of donor-driven programmes focused on highly financed aid and grants, and was concerned mostly with emphasising accountability. Today this narrow view may be responsible for the low priority given to the development of M&E capacity by many development agencies and governments in Africa.

In countering this mind set the World Bank (1999:58) believes the modern view of M&E should stress a focus on the overall performance of countries, sectors, programmes and projects in Africa. It should also be seen as an aid to 'equitable' resource allocation and prioritisation, and to sound management. Monitoring and evaluation can offer past experiences as a guide and can be used to encourage broader participation of civil society.

Since its establishment in 2002 the AU has seen the introduction of an ambitious programme, namely the New Partnership for Africa's Development (NEPAD), with a key project being the African Peer Review Mechanism (APRM).To this day one of the clearest examples and leading light of M&E in Africa is the APRM. It is the most innovative instrument of the AU. The APRM process was designed to assist participating countries to develop and promote the adoption of laws, policies and practices that lead to African growth through:

- Political stability;
- High rates of economic growth;
- Sustainable development; and
- Continental economic integration.

APRM South Africa (2005:6) believes this can be done by sharing experiences and by identifying and promoting good and best practices as well as undertaking interventions to build capacity. The involvement of all government and civil society role players is paramount in making this work. In pioneering the process the APRM encourages African countries to analyse and assess their own progress and performance and to develop their own indigenous responses.

3.2.2 The challenges and constraints

Monitoring and evaluation in developing countries, especially in Africa, are heavily subjected to constraints and challenges that inhibit the effective measuring of the quality of development programmes and governance. The DBSA (2000:146) outlines the importance of setting up conditions and criteria and noting trends for data collection that enable meaningful and accurate interpretations of the phenomenon under evaluation. The DBSA suggests that some of the most common constraints and challenges to effective M&E in Africa are:

- Instability and conflicts;
- Inadequate resources - financial, skills and personnel, and logistical;
- Inadequate security and accessibility;
- Limitation of existing data and data-collection systems.

Instability and conflicts

According to the African Development Indicator (2008: 28), 76% of firms exporting to the US that participated, as well as others that export to the OECD countries, regarded instability as a serious problem (ADI, 2008:51). Instability in Africa is exacerbated by on-going civil wars, political conflicts and coups. These also create a highly complex environment, which results in rapid changes in the political environment and context. Hence Kusek and Rist's (2004:26) contention that any monitoring and evaluation programme should begin with a 'Readiness Assessment'.

Inadequate resources

With extreme poverty prevalent in most countries in Africa, there is a shortage of financial, personal and logistical resources that are so crucial for the implementation of an effective M&E programme. Funding M&E is crucial and can even be more so in times of crisis and instability, but many countries view this as unnecessary, costly and irrelevant. Hence some countries in Africa have not signed up to the current NEPAD M&E programme. About twenty-three countries in Africa are not participants in inter-state APRM programmes (APRM South Africa, 2005:6).

While acknowledging that data gathering should take into consideration the quality of skills and personnel workloads, it must also be noted that there is already a lack of skilled personnel to carry out M&E programmes. Available staff also lack advanced skills for conducting assessments and evaluations. In this regard, the UN suggested the importance of developing skills even among non-expert staff (UNICEF, 2002:17). Collecting information means using vehicles, computers and other logistical resources that are already in great demand to implement the programmes.

Inadequate accessibility and security

Access constraints can make the effective use of formal sampling methods required for M&E impossible. Full access to certain areas and groups of people is restricted by physical factors such as destruction of roads and seasonal factors such as roadblocks and threats from armed factions.

Africa's transport infrastructure also proves to be a serious problem in accessing various areas of countries such as the DRC and Angola to help ascertain emergency situations and the impact of post-conflict and multi-sector reconstruction programmes designed by the World Bank. There is a need to establish a comprehensive transport infrastructure to progress towards effective M&E. Until a point is reached where a computerised tracking system has been developed and tested in African countries, quality M&E will not be realised. This is mainly because effective data collection from some countries and remote areas will be impossible and accessibility will remain a major challenge (African Partnership Forum, 2006:12).

In many African countries easy access to information can be a problem because of the perceived political sensitivity, and even obtaining basic data and information could be considered as a security risk, while asking the "wrong" questions could be misconstrued as being engaged in spying.

Limitation of existing data and data-collection systems
Some of the key concerns in developing countries are data availability, quality of data, and use of available data and information. Often African countries and organisations can hardly collect useful data and information without a slight possibility of data manipulation. Again, the absence of baseline data on the condition of the affected population prior to an intervention or changes in context can make the original baseline obsolete. It can be impossible to put in place quality assurance mechanisms, especially when the M&E programme budget is small.

Another big challenge in developing countries is data transmission, mainly from remote areas and villages. Not only may lack of an internet connection be a problem, but it may also be very difficult to get a driver, private or public, who can take a diskette from one area to the head office. Mobile phones may also be used to transmit data from remote areas in some countries, but the implementation of this approach has some serious limitations. It is therefore important to quantify data; hence the need for data validation between a remote community, the area office and the head office.

As alluded to in the UNESCO Report (2000:25), civil society and governmental structures can often be disrupted as a result of the very volatile, highly unpredictable African environment and political instability, implying that an important partner for information exchange might not be available. Weak monitoring systems can also result from sporadic disruptions, while the physical destruction of facilities often leads to gaps in regular programme monitoring, information systems and archiving.

However, there are various initiatives to deal with all these challenges and to improve evaluation standards and quality, including the African Evaluation Association's (AEA) set of about thirty evaluation guidelines as adapted from the USA's Evaluation Guidelines developed more than twenty years ago and widely endorsed by a range of professional associations of evaluators (Patel, 2002:230). These guidelines, generally known as African Evaluation Guidelines (AEGs), are clustered into four types: utility, feasibility, propriety and accuracy.

- *Utility*. The utility guidelines are intended to help ensure that an evaluation will serve the information needs of intended users and be owned by stakeholders.
- *Feasibility*. The feasibility guidelines are intended to help ensure that an evaluation will be realistic, prudent, diplomatic and frugal.
- *Propriety*. The propriety guidelines are intended to help ensure that an evaluation will be conducted legally, ethically and with due regard for the welfare of those involved in the evaluation, as well as those affected by its results.
- *Accuracy*. The accuracy guidelines are intended to help ensure that an evaluation will reveal and convey technically adequate information about the features that determine the worth or merit of the programme being evaluated (Patel, 2002:230).

The main aim of these guidelines is to lay a foundation for a more effective, results-focused M&E among public organisations and settings. It is important to review how the M&E inspired by the quality control guidelines can improve public education.

3.3   RESULTS-BASED MONITORING AND EVALUATION FOR PUBLIC EDUCATION

3.3.1 What is results-based monitoring and evaluation (RBM&E)?

According to Kusek and Rist (2004:27), a credible answer to the "what" question is that results-based monitoring and evaluation (RBM&E) seeks to address the accountability concerns of stakeholders, to give public sector managers information on progress toward achieving the stated targets and goals, and to provide substantial evidence as the basis for any necessary mid-course corrections in policies, programmes or projects.

With the major emphasis on evidence and visible change, the RBM&E is a powerful instrument that can be used to improve the way organisations and governments achieve results. Just as governments need financial, human resource and accountability systems, governments also need good performance feedback systems.

Essentially, as described by Adil Khan, who is a prominent commentator in the field of RBM&E particularly on the Asian continent, results-based monitoring and evaluation is an exercise to assess the performance of an institution or a programme or a project, on the basis of impacts and benefits that it is expected to produce. Unlike the traditional monitoring and evaluation, which simply measure and report on the status of results, the RBM&E measures and reports results to produce better results. In other words, it is a proactive tool to improve decision making and drive interventions and actions towards clearly defined goals (Kahn, 2001:57).

The International Programme for Development Evaluation Training (IPDET, 2007:3) suggests that there are growing pressures in developing countries, particularly in Africa, to improve the performance of their public sectors. One strategy to address this need is to design and construct results-based monitoring and evaluation (RBM&E) systems.

These strategies track the results produced, or not produced, by governments and other entities. The Kusek and Rist (2004) model, represented by the simple sketch below (Figure 3.1), illustrates a ten-step approach to the design and construction of a

RBM&E system that is currently being implemented in a number of developing countries and organisations (IPDET, 2007:9).
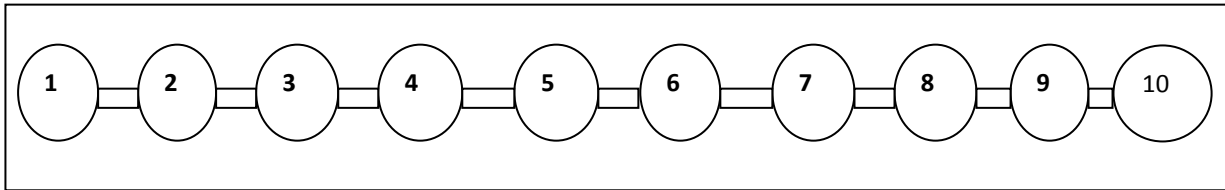
Figure 3.1: Ten steps to designing, building and sustaining a Results-based Monitoring and Evaluation System
Source: Kusek and Rist, 2004

1. Conducting a Readiness Assessment

2. Agreeing on Outcomes to Monitor and Evaluate

3. Selecting Key Indicators to Monitor Outcomes

4. Baseline Data on Indicators - Where Are We Today?

5. Planning for Improvement - Selecting Realistic Targets

6. Monitoring for Results

7. The Role of Evaluations

8. Reporting Findings

9. Using Findings

10. Sustaining the M&E System within the Organisation

Although these are important steps in designing a highly competitive and well-tested RBM&E system, there are other components which are to be taken into account, i.e. accountability, decentralisation, client focus, participation, reform policy and procedures, support mechanism and cultural change. Articulating it very well in his article, Morris (2006:8) believes that RBM&E focuses attention on achieving outcomes, establishes goals and objectives, permits managers to identify and take action to correct weaknesses, and supports a development agenda that is shifting towards greater accountability for aid lending. But implementing RBM&E requires a combination of institutional capacity and political will.

Traditional monitoring focuses on implementing monitoring that tracks inputs, activities and outputs, the products or services produced, often done to assess

compliance with work plans and budgets. Currently government has put an emphasis on both policy implementation and monitoring and evaluation. Results-based monitoring demonstrates how effectively an institution or government is performing and whether a policy or programme is achieving its stated goals. Results-based evaluation is an assessment of a planned, on-going, or completed intervention to determine its relevance, efficiency, effectiveness, impact and sustainability. The intention is to incorporate lessons learned into the decision-making process, a key finding of the World Bank roundtable discussions (Morris, 2006:8).

Finally, there are other reasons for implementing RBM&E. It provides crucial information about public sector performance, gives a view over time on the status of an organisation or programme, promotes credibility and public confidence, helps formulate and justify budgets, and it identifies promising practices.

3.3.2 RBM&E system for education and schools

The third millennium began on a very high note regarding public education and development, with world leaders meeting in 2000 at two separate events where they made two sets of major commitments to educational development. The first was at the World Education Forum in Dakar, and is known generally as The Dakar Declaration, where governments from 164 countries adopted the Framework for Action with six ambitious targets called EFA or 'Education for All', which was intended to ensure access to quality education for all children, youth and adults by 2015. The second was the Millennium Development Goals (MDGs): eight wide-ranging commitments for social development areas, including education, child and maternal health, nutrition, disease and poverty. See Box 3.1 which lists the relevant frameworks and goals to be attained by 2015.

At the Dakar Forum in 2000 the international community pledged that "no countries seriously committed to the 'education for all' declaration will be thwarted in their achievement of this goal by a lack of resources". However, until now, large portions of these resources have not been forthcoming. Aid to basic education will have to be tripled to reach the estimated 11 billion US dollars required annually to finance a narrow range of goals in low-income countries. Regular monitoring of the state of education in the world is vital to measure progress.

The Dakar Framework for Action and Millennium Development Goals

EFA Dakar Frameworks
1. Expanding and improving comprehensive early childhood care and education,   especially for the most vulnerable and disadvantaged children.
2. Ensuring that by 2015 all children, particularly girls, children in difficult circumstances and those belonging to ethnic minorities have access to complete free and compulsory primary education of good quality.
3. Ensuring that the learning needs of all young people and adults are met through equitable access to appropriate learning and life skills programmes.
4. Achieving a 50 per cent improvement in levels of adult literacy by 2015, especially for women, and equitable access to basic and continuing education for all adults.
5. Eliminating gender disparities in primary and secondary education by 2005 and achieving gender equality in education by 2015, with a focus on ensuring girls' full and equal access to (and achievement in) basic education of good quality.
6. Improving all aspects of the quality of education and ensuring excellence of all so that recognized and measurable learning outcomes are achieved by all, especially in literacy, numeracy and essential life skills.

Millennium Development Goals
Goal 2. Achieve universal primary education. (*Target 3*) Ensure that by 2015 children everywhere, boys and girls alike will be able to complete a full course of primary schooling.
Goal 3. Promote gender equality and empower women. (*Target 4*) Eliminate gender disparity in primary and secondary education, preferably by 2005, and at all levels of education no later than 2015.

Box 3.1: The Dakar Framework for Action and Millennium Development Goals
Source: UNESCO, Education For All: World Education Forum (2000)

In order to achieve maximum outcomes of all these EFA goals as set up in the above declarations and targeted for achievement by 2015, one of which is the global improvement of the quality and standards of education, UNESCO uses monitoring instruments such as the annual Global Monitoring Report, the EFA Mid-Term Review, and the Yearly Assessments. All these are backed up by relevant intervention programmes such as capacity-building. This is done mainly through the independent EFA Global Monitoring Report and the work of the UNESCO Institute for Statistics.

While the EFA goals and the MDGs are totally and inextricably interwoven and morally interdependent, it must be emphasised that education plays a crucial role in reducing poverty and inequality, improving child and maternal health, and strengthening democracy. Though there has been progress in education, it has been too slow and uneven for many of the core Dakar commitments to be realised. Judging from current trends, many of these global commitments will not be met by 2015.

Progress in education could help to unlock progress on many other MDGs in different areas such as child mortality and nutrition, but will require a strengthened commitment to monitoring and evaluating quality and equity. UNESCO's EFA Global Monitoring Report (2009:22) highlights the problems that most developing countries face in overcoming inequalities in education, which undermine progress on both the EFA goals and the MDGs. The report examines key issues in education policy, reform, finance and management, and the role they can play in overcoming inequalities.

UNESCO (2009) has been long involved in measuring education for the achievement of the EFA objectives and has also set up broad recommendations for measuring and monitoring education quality. These include:

- Developing a broad vision for education quality statistics together with national and international stakeholders to address jointly;
- Considering national approaches towards improved measures of system performance and learning achievement before benchmarking performance at a regional or global level;
- Creating and supporting communities of education data producers and users – invest in medium- and long-term efforts.

The "International Standard Classification of Education – ISCED" (UNESCO, 1997:19) was developed in the 1970s by UNESCO. The major aim was to

amalgamate international statistics on educational levels of the population. This classification was revised in 1997 and offers a common set of concepts, definitions and classifications establishing a frame for collecting data and presenting indicators on outcomes of the school systems. It covers all teaching activities organised in educational institutions for pupils and adults from pre-school education to continued schooling and training as well as general and vocational education. There are seven categories in this classification.

Table 3.2: International Standards Classification of Education

Name of the Level	Code
Pre-primary education	0
First stage of basic education	1
Primary education; First stage of basic education	2
Lower secondary education; Second stage of basic education	3
Post-secondary non-tertiary education	4
First stage of tertiary education (not leading directly to an advanced research qualification)	5
Second stage of tertiary education (leading to an advanced research qualification)	6

Source: UNESCO, 1997

Since the measurement of education from national level to districts and institutional level can be highly decentralised and especially complex, a much more comprehensive tool, such as a balanced scorecard, is important to monitor and evaluate education adequately. Most economists often measure decentralisation from top down to lower levels of government by looking at the percentage of educational revenues that come from local or regional sources, or, alternatively, by looking at the share of educational resources – whatever their origin – that local governments control. Using these measurement instruments shows that education is highly successful in countries such as Greece, Italy and Turkey, and highly decentralised in countries such as Canada, Norway, the United Kingdom and the United States. Most of these countries, particularly the USA, Canada, Norway and Greece, apply the use of balanced scorecards as a form of RBM&E to measure

school governance and development. It is therefore important at this stage to look into the meanings and origin of the balanced scorecard as a key aspect of this study.

3.4   THE ESSENCE AND ORIGIN OF A BALANCED SCORECARD

Writing for the Balanced Scorecard Institute, Paul Arveson defines the balanced scorecard (BSC) as a strategic planning and management system used extensively in business and industry, government and NGOs worldwide to align business activities to the vision and strategy of the organisation, improve internal and external communications, and monitor organisation performance against strategic goals. It was originated by Kaplan and Norton in 1992 as a performance measurement framework that added strategic non-financial performance measures to traditional financial metrics to give managers and executives a more 'balanced' view of organisational performance (Arveson, 1998:10).

Lawson *et al.* (2006:32) initially sought to distinguish between the terms 'scorecard' and 'BSC'. They believe that a scorecard system is one that relies solely on the concepts of the BSC as introduced by Kaplan and Norton in the early nineties; they hence put forward the following definitions:

> *A scorecard is a strategic management tool that helps to measure, monitor, and communicate strategic plans and goals throughout the organisation in a way that is understood by everyone (Lawson et al., 2006:3).*

> *A Balanced Scorecard is a framework for implementing strategy that translates an organisation's mission and strategy into a set of performance measures (Horngren et al., 2005:7).*

Through their focus on the private sector and business monitoring and evaluation, Kaplan and Norton (1996:16) proposed the following four perspectives for evaluating the performance of an organisation (Figure3.2).
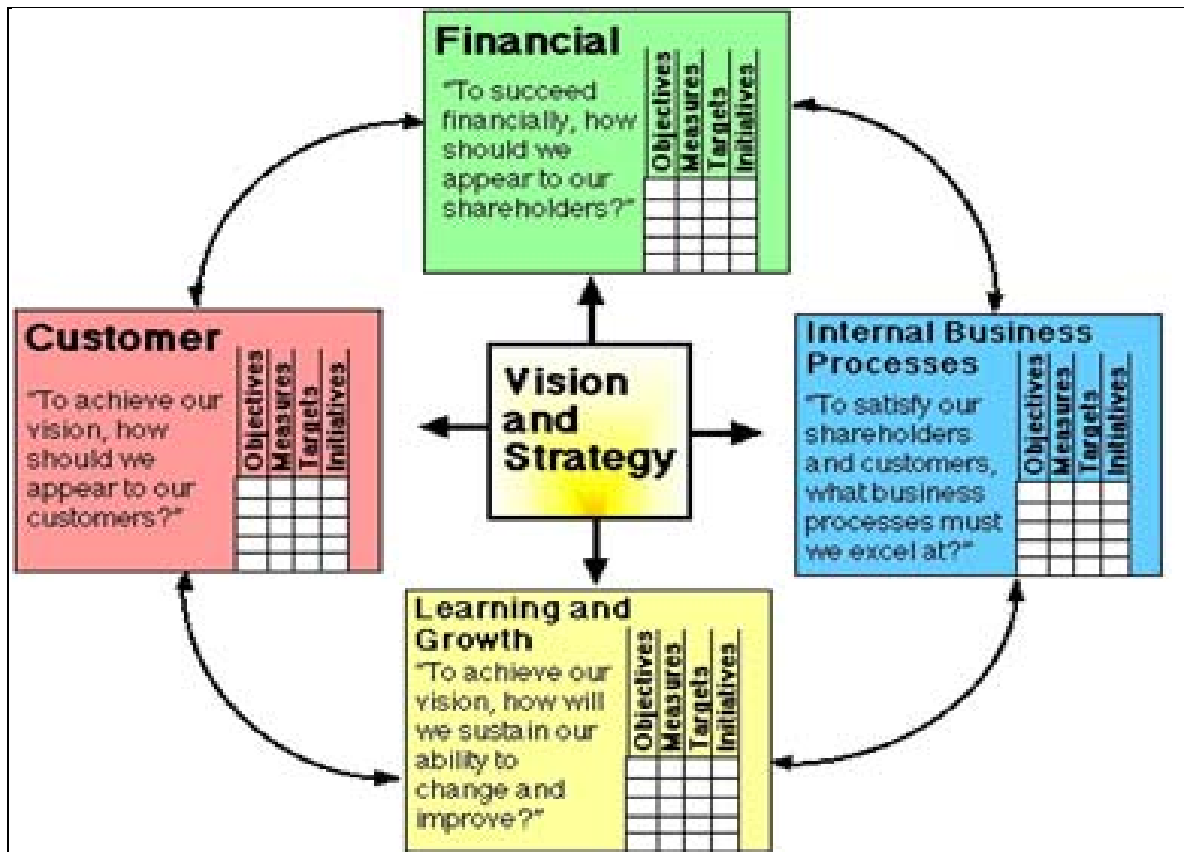
Figure 3.2:   The Paul Arveson Balanced Scorecard
Source: Adapted from Kaplan and Norton (1996)

- Financial perspective: To succeed financially, how should we appear financially?

- Customer perspective: To achieve our vision, how should we appear to our customers?

- Learning and growth perspective: To achieve our vision, how will we sustain our ability to change and improve, and adapt to changes in the environment and new changes?

- Internal business process perspective: To satisfy our shareholders and customers, what business process must we excel at? What are the unique competencies the organisations should have?

Essentially, the Balanced Scorecard offers four perspectives from which to view the organisation's effectiveness, i.e., the financial perspective, internal business perspective, learning and growth, and the shareholders and customer perspective. For each of these perspectives the organisation must first identify goals and then

determine measures and benchmarks that will capture the outcomes of these goals. It also has to represent a balance between *external* measures for shareholders and customers, and *internal* measures of critical business processes, innovation, and learning and growth.

The balanced scorecard is currently one of the most popular trends in M&E. Although empirical research and many success stories show that strategic measurement can work wonders, there are also many cases where scorecards simply did not work. The most balanced view argues that the Balanced Scorecard tool works well, when it is well implemented. Even if an organisation decides not to use a balanced scorecard, just knowing about its tools and methodologies can be helpful, since some of these instruments can be used independently. Also importantly, the balanced scorecard places a heavy emphasis on continually updating strategies and measures to accurately reflect the changing environment in which the organisation is operating.

3.5   A SCORECARD FOR MEASURING SERVICE QUALITY AND MANAGEMENT IN THE PUBLIC SECTOR

An important issue to begin with is the definition of quality and standards in the public service. As indicated in Bovaird and Loffler (2005:6), there is no single view on what 'quality' means in this context, but a number of the main approaches can be discerned:

- Conformity to specifications;
- Fit for purpose (meeting corporate and social objectives);
- Aligning inputs, processes, outputs and outcomes;
- Meeting or exceeding customer expectations;
- Producing emotional, passionate commitment on the part of users.

However Zeithaml *et al.* (1990:5) define service quality as "the extent of discrepancy between the customers' expectations or desires and their perceptions". Hence quality can be assessed by examining adherence to standards. In a paper prepared for the IMF Conference on Second Generation Reforms in October 1999 Tanzi (1999:3) defines the quality of the public sector as the characteristic that allows the

government to pursue its objectives in the most efficient way. The Institute of Medicine (1999:68) has also defined quality in the context of public health service as the degree to which health services for individuals and the population increase the likelihood of the desired health outcomes and are consistent with current professional knowledge. Parasuraman *et al.* (1988:9), suggests five underlying dimensions of service quality, which were originally indicated in the SERVQUAL approach:

- *Tangibles* (physical facilities, equipment and appearance of personnel);
- *Reliability* (ability to perform the promised service dependably and accurately);
- *Responsiveness* (willingness to help customers and provide prompt service);
- *Assurance* (knowledge and courtesy of employees and their ability to inspire trust and confidence); and
- *Empathy* (caring, individualised attention that the firm provides to customers).

The essence of public service standards is the aim and quest to deliver excellent services to all users, and governments regularly measure, monitor and publicise quality performance against a set of rigorous and challenging set of standards and targets. Measurement of quality and standards has increasingly become a major focus in the public sector. Reminiscent of the private sector, the debate over management of public service delivery standards has continued for a long while now. One instrument that has become most trusted and highly talked about for evaluating quality and standards is the balanced scorecard.

Santiago (1999:73), in endorsing the Kaplan and Norton (1996) balanced scorecard, suggests that within the health care sector the balanced scorecard is widely used to address quality care and standards at five levels: financial, customer, outcomes, internal processes, and learning and growth. The five interlinked levels of quality measured in a Balanced Scorecard are illustrated in Figure 3.3.

```
┌─────────────────────────────────┐
│      Return on Investment       │
│      Financial goals, mission    │
└─────────────────────────────────┘
                ⇧
┌─────────────────────────────────┐
│       Customers' outcomes        │
│   Health-related quality of life,│
│ ability to perform activities of daily│
│  living, satisfaction, retention,│
│    acquisition, market share     │
└─────────────────────────────────┘
                ⇧
┌─────────────────────────────────┐
│        Clinical outcomes         │
│    Targeted clinical outcomes    │
│      (lagging indicators)        │
└─────────────────────────────────┘
                ⇧
┌─────────────────────────────────┐
│    Internal processes outcomes   │
│      Intermediate outcomes       │
│   (leading or performance        │
│          indicators)             │
└─────────────────────────────────┘
                ⇧
┌─────────────────────────────────┐
│       Learning and growth        │
│  Capabilities and competencies,  │
│   information management and     │
│          innovation              │
└─────────────────────────────────┘
```

Figure 3.3: Levels of quality measured in a Balanced Scorecard
Source: Adapted from Kaplan and Norton, 1996

Several countries, particularly developed countries, which have become concerned about public service quality and standards, have developed mechanisms to assist in maintaining quality assurance. Most of these countries, especially in the European Union, have adopted Total Quality Management (TQM) as a system which provides a framework for organisations to manage their processes and activities efficiently.

In Europe since the early 1990s the quality of public services had become important, because of the explicit emphasis this issue has been given by governments. Beginning with the proposals of the former Britain Prime Minister, John Major (*The Citizen's Charter,* 1991:4), on the extent of consensus on the need to improve quality in public services. Recently in Romania the interest of the OECD and EU (2008:8)

the specific focus was on patient and staff safety, effectiveness and hospital development. All of these measure similar indicators of financial, customer, operational and process outcomes, as well as learning and innovation outcomes.

A number of Asian countries have also bought into this public sector quality management approach. Mohamed (2001:46) indicated that the Malaysian government, in fast-tracking public service reforms, has adopted the following quality management principles of Total Quality Management (TQM) as a broad framework for individual ministries and departments to formulate quality management programmes:

- Support of top management;
- Implementation of a long-term strategic plan for quality;
- Customer focus;
- Providing training and recognition;
- Fostering team work;
- Establishing performance measurement;
- Emphasising performance assurance.

A Quality Management System (QMS) defines and establishes an organisation's policy and objectives for achieving and maintaining quality. It also allows an organisation to document and implement the procedures needed to attain these goals. A properly implemented QMS ensures that procedures are carried out consistently, that problems can be identified and resolved, and that the organisation can continuously review and improve its procedures, products and services. It is a mechanism for maintaining and improving the quality of products or services so that they consistently meet or exceed the customer's implied or stated needs and fulfil their quality objectives.

In accordance with the International Organisation for Standardisation (ISO) 9000 (2000), a QMS provides public organisations with a set of processes that ensure a common sense approach to the efficient management of these organisations. The system could ensure consistency and improvement of working practices and standards, which will in turn provide products and services that meet customers'

requirements. ISO 9000 is the most commonly used international standard, which provides a framework for an effective quality management system.

The ISO 9000 is a generic term given to a family of standards developed to provide a framework around which a quality management system can effectively be implemented. In terms of ISO 9000 (2000) the requirement standard includes the following main sections:

- Quality Management System
- Management Responsibility
- Resource Management
- Product Realisation.

According to the Standards Council of Canada (1998:6), ISO 9000 is a series of international standards developed by quality experts from around the world for use by companies that either want to implement their own in-house quality systems or to ensure that suppliers have appropriate quality systems in place. The standards were developed under the auspices of the ISO for both quality management and quality assurance, and have been adopted by over 90 countries around the world. The ISO developed and maintained the ISO 9000 standards that promote international trade standards by providing one consistent set of requirements recognised globally.

TQM in evaluation programmes and organisation performance hence uses the ISO 9000 metrics as a basis for its service and product quality standardisation guide. In a review of the relationship between total quality management and balanced scorecards, Hoque (2003: 553-566) contended that TQM is currently implemented by most businesses and corporations interested in enhancing quality and standards of management practices and thereby enhancing growth prospects. Using financial and non-financial measures, the balanced scorecard further enhances quality and continuous improvement through their strategic priorities through the four dimensions i.e. customers, financial (or shareholders), internal processes, and learning and growth. Although proponents of the balanced scorecards claim that it is well suited for the implementation of any strategy, of which TQM is one example, Hogue (2003)

argues further that a TQM needs a BSC-like performance management system if it desires to achieve continuous performance improvement.

A balanced scorecard for public service quality evaluation can be useful for three reasons. First, its use may allow citizens, communities and stakeholders to make informed decisions about the quality of the service delivered as well as options available to purchase value (value is quality divided by cost). Second, it will permit organisations and partners to market their services by publishing their results, which enables clients, customers and rate payers to make choices based the provider's real capability and competency to meet their needs and expectations. Third, a balanced scorecard used as a strategic planning implementation tool that combines sets of indicators, linking them in a chain of events and leading the organisation in a desired direction. It can also give staff and management an effective tool to monitor and evaluate their performance in the most important areas (Davis, 2009: 15).

Measuring the standards and quality of the public sector often depends to some extent on the existence of control and enforcement mechanisms that should operate internally within the institutions themselves. For example, efficient internal auditors' offices can improve the functioning of the institutions and can provide some guarantees that they will not stray from their basic mandate and declared targets. However, these mechanisms alone may not be sufficient.

In other cases the mechanisms will cut across institutions. This happens when certain institutions specialising in controls and in enforcement have the responsibility of checking the behaviour and the performance of other institutions.

Examples of the latter are the General Accounting Office (GAO) in the United States, the Court des Compts in France, the General Auditor's Offices in Latin American Countries, and La Corte dei Conti in Italy (Tanzi, 1999:12). At times, however, these auditing institutions focus too much on whether the institutions have complied with the letter of the law rather than with its spirit. Thus, in many cases the performance of the institutions has attracted less attention than whether they have complied with some legalistic requirements. This kind of auditing is of limited value except, perhaps, for ensuring accountability, because it does not promote the quality of the public sector in its fundamental objective of delivering services to the public.

3.6   MEASURING THE PUBLIC VOLUNTARY AND NON-PROFIT SECTOR

As illustrated perfectly by Sedera *et al.* (2001:6), the balanced scorecard is applied in the private and public sectors from two different viewpoints. In the private sector the main emphasis is on financial indicators for managing the organisation. It mainly focuses on how the organisation responds to fluctuations in market share, share prices, dividend growth and other financial perspectives. Public sector entities, however, must respond mainly to legislative acts and are responsible to government authorities.

The most common difference between a private sector and public sector balanced scorecard lies in the purpose of the utilisation of the scorecard, where the public sector focuses on cost reduction and customer satisfaction, and the private sector mainly focuses on revenue generation, growth and profitability(Sedera *et al.*, 2001:6). This comparison of the public and private sector use of the scorecard leads us to consider the use of a balanced scorecard in the school sector, where a school is essentially regarded as a non-profit and public sector organisation, and the School Governing Bodies (SGBs) are voluntary service entities playing a highly accountable governance role without remuneration.

The concept of non-profit and voluntary organisations, commonly known as non-governmental organisations (NGOs), has long been used in relation to organisations which are purely for the public benefit but are not state bodies.

The basic definition outlined above can be modified slightly to include the non-profit-making and voluntary organisations. These non-profits entities, by virtue of being committed to a mission, need to focus their limited resources effectively in order to achieve not only their mission, but also to meet the expectations of recipients and sponsors. So they depend entirely on funds generated through fund-raising campaigns, sponsors and donations from both the state, private organisations, and local or foreign donor agencies.

Among the NGOs that touch every aspect of modern society, the charity organisations come to mind first. However, also included in this category are religious organisations, social services agencies, public health care organisations,

membership-based associations, educational establishments, arts and culture enterprises, and many others. With the amount of money being spent by the donor agencies and governments on funding these non-profit organisations, extending to more than 4,1 trillion dollars per year in the USA for about 1,5 million non-profit organisations, there is every reason for performance and quality of service to be measured. This would also be done in the interests of value for money and accountability concerns (Sedera *et al.*2001:6). Marie Gauthier (2005:12) also contends that Canada's non-profit and voluntary sector is so diverse and that a new emphasis on financing community-based organisations is needed. That government has conceded in giving additional funding of 3 million dollars over two years to advance beyond the voluntary sector initiatives.

There are challenges associated with measuring the non-profit and voluntary sector, like the difficulty of defining key performance indicators, the informal nature of the sector and the extreme diversity of most of these organisations, but there is still a need to measure the size, scope and relative value of the sector. The Balanced Scorecard Institute (1997:5) has meanwhile developed a nine-step process for building and implementing a balanced scorecard in a typical non-profit organisation. It is similar to Kusek and Risk's Ten Steps to Results-based Monitoring and Evaluation and consists of the following steps:

- Organisational assessment;
- Identification of strategic themes;
- Define perspectives and strategic objectives;
- Develop a strategy map;
- Derive performance metrics;
- Craft priority and strategy initiatives;
- Automate and communicate;
- Cascade the BSC through the organisation;
- Collect data, evaluate, and revise (Balanced Scorecard Institute, 1997:5).

In his own "Balanced Scorecard Step by Step for Governments and Nonprofits" Niven (2003:4) offers the following diagram of how the Balanced Scorecard can be utilised for the non-profit organisations (Figure 3.4):

The Balanced Scorecard Model for public and non-profit enterprises
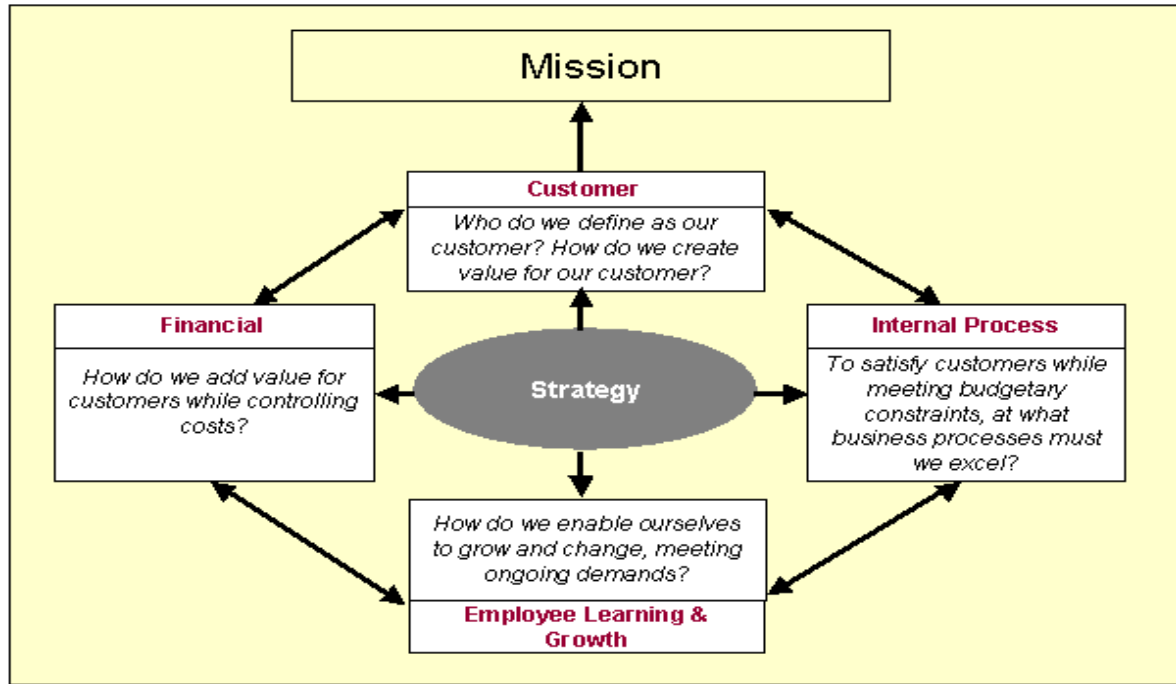
Figure 3.4: The Balanced Scorecard for Public and Non-profit Enterprises
Souce:Kusek and Rist, 2004

Most of these agencies have been measuring their performance for many years using some of these areas typically informed by the performance measurements on:

- Financial accountability;

- Programme products or outputs;

- Adherence to standards of quality in service delivery;

- Participant-related measures;

- Key performance indicators;

- Client satisfaction.

However, the key question is: how is the balanced scorecard used in the non-profit and voluntary sector? Voluntary and non-profit sector organisations can range from those whose benefit is primarily received by individual members directly (e.g. trade associations) to other organisations who create public goods benefiting individuals

who may be completely distinct from those who fund the organisation (e.g. advocacy groups). Hence the blanket application of a generic Balanced Scorecard can be problematic. Stakeholders include those who have an interest in the outcomes of an organisation's activities. An obvious stakeholder group is the founders of the organisation. Funding sources may also vary from government contracts to deliver a service, to grassroots supporters of a particular cause, to intersectional partnerships. The other obvious stakeholders' interests in voluntary organisations are the clients, i.e., those who benefit from the outputs of the organisation (Niven, 2003:35).

Unlike the government, which has particular requirements to provide services and the accompanying right of taxation, non-profits often have to broker unique relationships between clients and funders. Furthermore, the relationship between those receiving a benefit and those paying for it does not automatically reinforce itself as in the private sector with increased investment and revenues. A BSC for non-profit and voluntary sector organisations should be tailored for particular realities in order to improve the planning, managing and monitoring of organisational success in each of the environments. Hence the voluntary and non-profit organisations require the adoption of a BSC that aims not only at performance measurement, but also at streamlining and focusing strategy towards achieving the objectives of the various stakeholders (Kaplan & Norton, 1996:12).
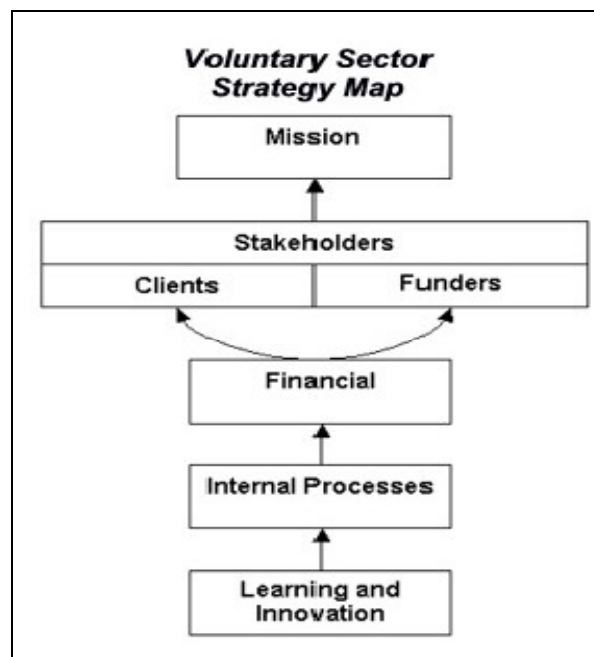
Figure 3.5: A Voluntary and Non-Profit Scorecard
Source: The Ambire Inc., 2007

In view of these realities Ambire (2007:67) has adapted a special model of a Balanced Scorecard based on Kaplan and Norton's 1996 Balanced Scorecard. The uniqueness of the model is that the financial perspective leads directly into the stakeholder perspective and not vice versa, which reflects the stakeholder definition of success rather than a financial definition in evaluating mission achievement. For organisations that are neither predicated on a government obligation or market opportunity, balancing client and funder perspectives, this model can be very useful.

One of the organisations that could benefit from a typical balanced scorecard are the educational establishments, particularly schools and more especially Section 21 Schools, i.e., those schools that are highly funded either by the department or the funders, who want to evaluate value-for-money aspects. Schools are the research unit in the education sector, which is a hybrid between a public organisation and an NGO. The school governing bodies (SGBs) are voluntary services, since the members don't get remunerated and therefore the obligation for performance measurement is not enforceable; hence the balanced scorecard application in this sector should be adapted. It would be interesting to look at some schools and how the balanced scorecard is applicable for monitoring and evaluation.

3.7 SCORECARD FOR SCHOOLS: THE VANCOUVER SCHOOL CASE STUDY, (VANCOUVER, CANADA)

This case study (Box 3.2) presents Vancouver School's experience in implementing a BSC approach to planning and monitoring of its management outcomes. As shown in the case study, the balanced scorecard can also provide a model that can be personalised by the management of the school for the purpose of monitoring and evaluation.

This case essentially study demonstrates how the Vancouver School's management used the balanced scorecard to turn the school around (Learning Partnership, 2009:2):

Vancouver School has successfully adapted the sometimes complex Balanced Scorecard approach to achieve more effective and integrated management planning. The School Governing Board (SGB) already had a "vision" for the school and a three-year implementation plan, a good understanding of school development needs and challenges, and a willingness to look at how management could improve the planning process and implement the strategic plan. However, it also recognised areas of need:

- Integration among management and curriculum units was inadequate.

- The strategic plan was, in some ways, seen as a corporate "wish list" of actions and projects that were not properly prioritised and sometimes even operated in direct conflict with each other.

- The link between management planning functions and budgeting functions was weak.

- Performance measures were not being used as decision-making tools.

To address these and other challenges, *Vancouver* School adopted the Balanced Scorecard model as the foundation for its latest management and strategic plan. *Vancouver* School's use of the Balanced Scorecard tracks the key elements of the school's strategic direction and allows management to define and monitor performance from a number of different perspectives, including financial, giving a clearer picture of how results are to be achieved, and what process in the mix is causing problems.

Developing performance measures and establishing systems to assist data collection and monitoring have been the biggest challenges. The school now has 20 strategic performance measures that are directly linked to prioritised outcomes. This is a marked improvement from more than 76 performance measures that were used prior to the Balanced Scorecard process and gives senior management and the SGB a simpler and more focussed performance measuring and review process. Most importantly, applying the Balanced Scorecard at *Vancouver* School has established and fostered on-going linkages between budgets and planning, outcomes and priorities, performance measures, processes and outcomes, and what the school does and why council does it.

Vancouver School now has a platform that neatly adapts to other emerging strategic planning models. Whether it is best value or total quality, use of the Balanced Scorecard model has established a firm foundation for the school to continually improve its strategic planning, curriculum implementation and review process.

Box 3.2: The Vancouver School Scorecard: A case study

Source: Learning Partnership, 2009

Properly applied the BSCs can enable any school to translate its mission and vision into specific strategic objectives across all the four perspectives of Kaplan and Norton's scorecard, i.e. financial, customer service, internal business, and learning and growth (Ambire, 2007:67). While this BSC retains measures of financial performance, it also supplements these measures with measures regarding customers, internal business processes, and learning and growth. It therefore enables the organisation to track the financial results, while monitoring the progress made in respect of building the capabilities needed for their growth. Watchel *et al.* (1999:431), in building a BSC for a Burn Centre, also achieved similar outcomes.

The Vancouver school case study also highlights the way in which the management has used the scorecard to redesign and refine the monitoring and evaluation system based on the current as well as a predicted future organisational environment. The BSC helped Vancouver school management to translate its mission and vision into specific strategic objectives across the four perspectives. They started by linking their school's values and missions to its goals, objectives and strategies. These were then linked to clearly defined sets of performance measures, targets and additional initiatives that would lead to the attainment of the school's outcomes.

The scorecard went further to enhance internal communication within the organisation, as most people were not acquainted the BSC. According to Kaplan and Lee (2007:267) in another Harvard Business School case study, the implementation of Fulton County School System's balanced scorecard took more than eight months just to orientate staff and other stakeholders to accept and support the idea of the BSC through intensive communication and workshops.

The BSC is a management system that enables organisations to clarify their vision and strategy, and translate them into action. It provides feedback around both the internal business processes and external outcomes in order to continuously improve strategic performance and results. When fully deployed, the balanced scorecard transforms strategic planning from being an academic exercise into becoming a part of the nerve centre of an organisation.

The Professional Learning Community (PLC) (2009:93) sets out similar views as shown in the Vancouver school case study. It argues that through a balanced scorecard, schools as educational organisations could further align measurement efforts towards the whole school development, for example:

- Student data measures align to the classroom measures;
- Classroom measures align to the School Improvement Plan (SIP);
- School Improvement Plan measures align to the Whole-School Evaluation and Development.

Therefore if school systems align measures from the classroom to the whole school management, there is a much greater opportunity for achievement of school improvement and development. The balanced scorecard can be a powerful tool to do just that. Currently many county and district schools in the USA, Europe and Canada have adopted the use of a balanced scorecard as a management instrument to enhance the quality of management and development, and to achieve a school's outcomes; there are thus many unique examples of successful changes using a balanced scorecard. Like many non-profit and voluntary organisations, the Vancouver School has implemented a balanced scorecard to monitor and track progress and performance. As the saying goes: *"What gets well measured, gets well managed."*

3.8   CONCLUSION

This chapter has discussed and analysed the most relevant concepts from monitoring and evaluation to the BSC as well as the related aspects and issues. It also visited some of the challenges and constraints of the successful implementation of measurements in developing countries, particularly in Africa. The success and/or failure of monitoring and evaluation depend heavily on ensuring that its implementation reflects the unique nature, the particular context and the environment of the organisation.

Having analysed and discussed the most relevant issues related to the BSC, particularly in the NGO setting, the most important insight derived from building a BSC for an organisation is the importance of each of its components as it relates to the particular organisation or programme being measured.

However, an unambiguous practice of adding and deleting new indicators and measures once better and more relevant ones become available, or as the existing measures are deemed to be softer and unreliable. But this practice of frequently adding and deleting measures makes it difficult to detect the cause-effect relationships at the heart of the scorecard claims. It is finally up to the monitoring and evaluation and scorecard managers within organisations to ensure that once a scorecard is implemented, the benefits for the organisation will be maximised and

the limitations recognised when making decisions based on scorecard information. It is therefore very important that in applying a scorecard in the school and education sector, the legislative and regulatory frameworks should be clearly unpacked and understood, as will be discussed in the following chapter.

CHAPTER 4

THE LEGISLATIVE FRAMEWORK FOR SCHOOL GOVERNANCE IN SOUTH AFRICA

4.1 INTRODUCTION

In order to achieve the UNESCO's (2000) Education for All (EFA) commitments in the Dakar Declaration and ensure that these global goals do not become just a pipe dream but an educational reality, the South African government has put in place a comprehensive legislative and regulatory framework. This framework intends to create an enabling environment and policy infrastructure for the provision and governance of basic primary education for all by 2015. Therefore, as indicated by Barry (2006:7), the Constitution of the Republic of South Africa, Act 108 of 1996 (RSA, 1996c), the South African Schools Act, Act 84 of 1996 (RSA, 1996b), the National Education Policy Act, Act 27 of 1996 (RSA, 1996a), as well as a host of other educational regulations passed by the various provinces are the principal laws aimed towards achieving the immensely complex task of transforming the education and schooling system.

It is crucial that a common reference point be established in defining the main concept of this study, i.e. school governance. Motimele (2005:2) views school governance as being about creating, implementing, supervising and evaluating the policies and rules which guide and govern the actions of the school and its members. According to Motimele (2005:2), school governance is concerned with the creation of policies for the school and making sure that the school is run according to these sets of policies. Almost all authors writing on this concept seem to agree that school governance must include all stakeholders, particularly the parents of learners in those schools. The primary goal in their programmes must be to raise money for the school so as to ensure that the school's curriculum and extramural activities are carried through successfully and effectively.

This chapter seeks to define the policy and legislative frameworks in the governance of education and schools, with the key focus limited to the monitoring and evaluation of governance of special schools and education in the Western Cape. A special

consideration of all relevant policies and laws impacting on school governance is hence beyond its scope. This chapter is for this reason focused on a review of the following laws and policies:

- The Constitution of the Republic of South Africa, (RSA, 1996c), including the Bill of Rights and the key principles governing public administration and inter-governmental relations;
- The National Education Policy Act, Act 27 of 1996 (RSA, 1996a), including the policies made in relation to schooling in terms of that Act;
- The South African Schools Act, Act 84 of 1996 (RSA, 1996b) and the regulations made under that Act; and
- Various other applicable educational laws governing schools

Institution-based governance and management and school finance administration will also be discussed to ascertain any key aspects that are important for the integrated evaluation of school governance. The school ethos, values and ethical codes are also reviewed with an intention to standardise policy collaboration between national, provincial departments and school managements.

The Western Cape schools and educational policies are also discussed mainly from the perspectives of Western Cape Provincial Schools Education Act, Act 12 of 1997 (RSA, 1997) and other notices and legal provisions of school governance from the Western Cape Education Department (WCED). In order to capture the business approach of public school governance, key requirements or stipulations for Section 21 schools are also discussed. Finally, the chapter looks into integrated governance monitoring and evaluation towards the attainment of development and quality in special schools.

In order to do justice to the legislative review of school governance in South Africa, it is important to begin by re-contextualising global educational declarations, e.g. the EFA goals and commitments, in the Southern and South African situation.

4.2   CONTEXTUALISING BASIC EDUCATION FOR ALL IN SOUTH AFRICA

Since the World Conference on Education for All (EFA) in Jomtien, Thailand in 1990 and the World Education Forum's Framework of Action on EFA held in Dakar, Senegal in April 2000, the push for modern mass schooling has become a primary focus of national education policymakers and researchers around the world. The EFA declaration that grew out of the Dakar 2000 conference served as a culmination of a century-long movement to transform existing national educational systems into the most comprehensive mass system of schooling ever devised.

South Africa is a signatory to a number of other international agreements on education provision, including the Dakar Framework for Action (UNESCO, 2000). The government has a commitment to combating poverty and uplifting the quality of life of the people through the provision of basic education that is compulsory for all children of school-going age, which is of good quality and in which financial capacity is not a barrier to access for any child.

The Department of Education's Plan of Action (DoE, 2003a:16) indicates that, according to the Dakar agreement, this target should be achieved by 2015. The country is well on the way to attaining this target before 2015, and has a record that is impressive by international standards. With regard to the funding of public schools, the DoE has promulgated a pro-poor funding policy in 2000. The department has gone further down the road of progressive or pro-poor school funding than any other in a developing country. Currently the emphasis is very much on ensuring that pro-poor funding mechanisms bring about adequate funding for all poor schools by 2015, at the latest. The objective goes beyond free education for the poor and seeks to achieve a schooling system that is free and of a good quality for all poor people in the country (DoE, 2003a:27).

Like many countries in sub-Saharan Africa, and besides just being a signatory and a member of the EFA declaration, South Africa has also further put in place numerous policy frameworks in order to actualise the objectives of basic education (Baker and Wiseman, 2007:435). According to a DoE report, *Education for All, Country Report*, which covers DoE education plans from 2002 to 2015 (DoE, 2008:25), the South

African government has expressed optimism that by the year 2015 illiteracy in South Africa will be reduced by half, in line with EFA targets.

According to an acclaimed online education update report, the Gateway to the Nation (2007), South Africa currently has 12,3 million learners, some 386 600 teachers and 26 292 schools, including 1 098 registered independent or private schools. Of all schools, roughly 6 000 are high schools, Grade 7 to Grade 12, and the rest from Grade R to Grade 6 are primary school. In government-funded public schools the average ratio of scholars, known as "learners" in terms of the country's outcomes-based education system, to teachers ("educators") is 32.6 to one, while private schools generally have one teacher for every 17.5 scholars.

Despite the positive situation and the impressive school enrolment data indicated by these figures, South African schools have not demonstrated an ability to retain learners nor provide any sustainable quality education. Education is still very far from reaching the EFA Declaration goals and hence leaves a lot to be desired from a country as well resourced as South Africa. According to the Intergovernmental Review, based on the National Treasury Report (2003), the average throughput rate and the differential between children in the first year and the final year of schooling – on average for every 100 children in Grade 1, there are 52 in Grade 12 – is suggestive of a high dropout rate (Spreen & Vally, 2006:355).

The recent EFA Global Monitor Report (UNESCO, 2005:392) places the 'survival rate' of a South African leaner reaching Grade 5 at close to 65% – lower than in Zambia, Tanzania, Namibia, Lesotho and Swaziland. Statistics in the same report further indicate that the progression rate declines even further in later grades. In 2000 South Africa underwent a rigorous EFA assessment as part of the international Monitoring Report. The Assessment Report was a stock-taking exercise, part of an extraordinary global effort co-ordinated by the United Nations family of agencies with the aim of measuring how well the nations of the world have fared in pursuit of the Education for All goals.

Through a set of core indicators, countries were asked to spell out what they learned, identify successes and shortfalls, and to suggest the most promising policy

directions that can be pursued in partnership with the international community (EFA Assessment Report, 2000:4). Despite the report coming up with findings indicating some positive progress towards attainment of the Declaration goals, it indicated that there was still a lot of ground to be covered.

4.3 THE SOUTH AFRICAN CONSTITUTION ACT, ACT 108 OF 1996

The biggest influence on the nature of governance of public education and consequently the schools, as alluded earlier by Department of Education Committee Report on the Organisation, Governance, and Funding of schools (DoE, 1995:37), started with the Interim Constitution of South Africa (1993). This interim constitution eloquently enshrined issues of school ownership, governance and finance (Adams, 2005:93). There is a general consensus that in order to ensure an acceptable quality of education, the responsible government must provide funds to the departmental, community-managed and state-aided primary and secondary schools on an equitable basis (DoE, 1995:37).

The South African democratic Constitution enfranchised the black majority and came into effect in 1994, when apartheid governance was abandoned. The introduction of the new Constitution of the Republic of South Africa, Act 108 of 1996 (RSA, 1996c) brought about a commitment to representative and participatory democracy, accountability, transparency and public involvement.

The Constitution sets the legal environment within which all the other legislative elements enacted by the national or provincial governments must operate. Hence, according to Jonas (2005: 30), this Constitution also provides the first elements of the legislative and regulatory frameworks in the provision and governance of public education in South Africa. Section 23 of the Constitution of South Africa (RSA, 1996c) enshrines a fundamental and basic right to education and it states that everyone has a right to:

- basic education, including adult basic education; and
- further education, which the state, must make progressively available and accessible through reasonable measures.

According to Foster and Smith (2001:16), the present Constitution fulfils two basic roles in enhancing a legislative framework. First, it provides for the structuring and distribution of legislative authority among the various spheres of government. Second, it stipulates certain fundamental principles, rights and freedoms which must be respected by government when enacting legislation, beginning with those indicated above.

Furthermore, in terms of the Constitution (RSA, 1996c) control over schooling was divided between national and provincial governments. Based on the South African Constitution (RSA, 1996c) a single national DoE becomes responsible for the establishment and maintenance of national norms and standards, while nine provincial departments of education were viewed as administering schooling within the national frameworks. The central government provides a national framework for school policy on the basis of constitutional stipulations, but administrative responsibility lies with the provinces. Power is further devolved to grassroots level via elected school governing bodies, which have a significant say in the running of their schools.

The Constitution (RSA, 1996c) laid a foundation for further legislative provisions on quality and standards in educational and school governance. In its Bill of Rights, section 29 (3), the Constitution states that everyone has a right to establish and maintain, at their own expense, independent institutions that:

- do not discriminate on the basis of race;
- are registered with the state; and
- maintain standards that are not inferior to standards at other comparable public educational institutions.

Spreen and Vally (2006) believe, however, that too often human rights in education with its attendant legislation and policies are reduced to mere mantra-like recital of human rights declarations. Keet (in Spreen & Vally, 2006:360) shows concretely how and why education as a human right remain elusive and has failed to prevent the increasing commodification of education and to maintain social, economic and environmental justice.

However, in the final analysis, notwithstanding all these concerns, there is enough room to be optimistic that the South African Constitution (RSA, 1996c) forms a basis for a comprehensive process of educational reform and development. Integrated with a series of education laws enacted under the administrations of Presidents Mandela and Mbeki, it has been transforming the South African educational system at national, provincial, district and institutional levels. For example, the South African Schools Act, Act 84 of 1996 (RSA, 1996b) provides for a uniform system for the organisation, governance and funding of schools.

4.4 NATIONAL FRAMEWORKS ON EDUCATION AND SCHOOL GOVERNANCE

4.4.1 National Education Policy Act, Act 27 of 1996

At the start of the new dispensation the government's White Paper 1 on Education and Training (RSA, Notice 1227 of 1995) (RSA, 1995b) paved the way for a genuinely democratic approach to education and installed parents as the custodians of education in public schools in South Africa through their respective school governing bodies. However, based on the provisions of the national Constitution as discussed above, the first line of policy legislation on education is the Constitution (RSA, 1996a), which serves as a background for all education and school policies. Its major purpose was the transformation of the South African education system into one which serves the needs and interests of all citizens and upholds their fundamental rights. One of the objectives is to provide for, among other things, the policies for the governance of public education and schools, as well as the monitoring and evaluation of education.

The Section 4 of the National Education Policy Act, Act 27 of 1996 (RSA, 1996a) states that the national minister shall determine the national policy for planning, provision, financing, staffing, co-ordination, management, governance, programmes, monitoring, evaluation and wellbeing of the education system. The Act also provides for the Members of Executive Committee (MECs) to be responsible for the professional administration of education and schools to determine national policies for various issues of school management (Barry, 2006:200-201).

Among other educational and school policies aspects, the following are directly related to the governance of schools and influenced by the National Education Policy Act, Act 27 of 1996 (RSA, 1996a):

- Education management information system, including the provision of data in accordance with the international obligations of government;
- Organisation, management and governance of the whole education system;
- Facilities, finance and development plans for education;
- Educator-learner ratio;
- Schools' establishment, registration, organisation, management, governance and funding;
- Admission of students to schools, including the determination of the age of admission;
- Number of hours per day and days per year during which education shall be provided for different phases of education in education institutions;
- Dates of school terms for the provinces;
- Curriculum frameworks, core syllabuses and education programmes, learning standards, examinations and the certification of qualifications;
- Determining school language of tuition;
- Control and discipline of students at schools;
- All other schools support services, e.g. health, welfare, career and vocational development, counselling and career guidance;
- Schools' international relations in the field of education.

The National Education Policy Act (RSA, 1996a) is therefore designed to give foundation and guidance for the drawing up of regulations at national, provincial and institutional level for the purposes of uniformity and co-ordination. For instance, all provincial and institutional policies must be guided by and based on the National Education Policy Act (RSA, 1996a) and the Constitution of South Africa (RSA, 1996c).

4.4.2 The South African Schools Act, Act 84 of 1996

The Department of Education report on the Organisation, Governance and Funding of Schools (in Smith and Foster, 2002:3) states that school governance and management are two interwoven elements in the process aimed at enabling schools to provide effective and efficient education and learning. However, such provision requires clear policies and the generation, distribution and utilisation of resources in an accountable, equitable and effective manner. Yet according to Potgieter *et al.* (1997:11), school governance, with regard to the governing body functions, means determining the policies and rules by which the school is to be organised and controlled.

On the other hand, professional management refers to the day-to-day administration and organising of teaching and learning at the school and to the performance of the departmental responsibilities that are prescribed by law. According to Davis (1999:60), although a distinction is perceived between "governance" and "professional management" of schools, these two issues are in practice more intertwined than is usually recognised.

In 1996 the South African government passed the South African Schools Act, often known as SASA (RSA, 1996b), to deal explicitly with undoing the legacy of the country's discriminatory past and to smooth the path for an open, just and equitable education system. The essential idea behind the Act was to put ownership and control of schools into the hands of parents. It mandated the establishment of an SGB at every public school in the country. The responsibilities given to SGBs include:

- Recommending teacher appointments;
- Developing mission statements, codes of conduct and admission policy;
- In special cases, administering school finances and property (Soudien, 2005:2).

The SASA (RSA, 1996b) was intended to build the democratic capacity of the South African people. Each province was given a two-month period in 2003 to manage SGB elections, which have become the fourth largest public elections in the country.

But how well is the system working? Is it building democracy? And most importantly, is it delivering quality education?

The SASA (RSA, 1996b) makes provision for both governance and professional management of public schools. In terms of SASA (RSA, 1996b), the governing body, which is a statutory body of elected people, is responsible for governance and stewardship of the school, whilst the principal, as part of the School Management Team (SMT), under the authority of HOD, is responsible for professional management.

Figure 4.1 shows a graphic outline of the national education governance accountability structure in the DoE that can deliver the objectives of quality education for all (see also Jonas (2005: 25) and the Department of Education's *Understanding the Schools Act* (1997a:36).
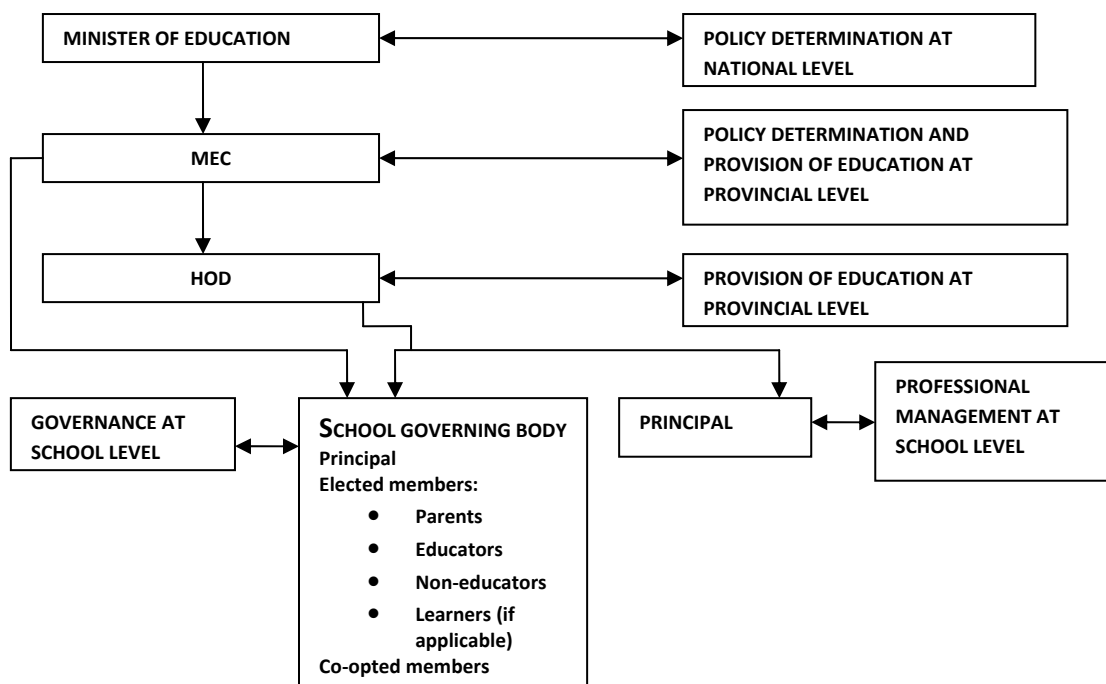
Figure 4.1: Education and School Governance Structure
Source: Department of Education, 1997

Meanwhile the SASA (RSA, 1996b), section 16 (1-7) sets out in detail how the governance and professional management of schools should be undertaken through

this structure. It also indicates the duties of the role-players with respect to organisation, governance and funding of schools.

The essential idea behind the SASA (1996b) is to put ownership and control of schools into the hands of parents. It requires the establishment of SGBs at every school in the country with the following responsibilities:

- Recommending teacher appointments;
- Developing mission statements, code of conduct and other school policies;
- In special cases, administering school finances and property. In special schools, being Section 21 schools, this is one of the major responsibilities.

The SASA (RSA, 1996b) is also intended to "redress past injustices in educational provision, provide an education of progressively high quality, advance the democratic transformation of society, combat racism and sexism and all other forms of unfair discrimination and intolerance, contribute to the eradication of poverty and the economic well-being of society, and protect and advance South Africa's diverse cultures and languages" (RSA, 1996b:2). The Act also spells out the democratic government's plans for educational reform. The Act provides for:

- Compulsory education for learners between the ages of 7 and 15 or learners reaching Grade 9, whichever occurs first;
- Two categories of schools, namely public and independent schools, as well as the establishment and maintenance of public schools on private property;
- Criteria for the admission of learners to public schools;
- Governance and management of public schools,
- The election of governing bodies and their functions; and
- Funding of public schools
  (South African Constitutional and Legal Foundations, 2006:12).

Also included in the law were the following points:

- No admission tests; public schools to admit pupils without discrimination;

- No pupil should be refused admission because of an inability to pay school fees (RSA, 1996b).

Public schools have to appoint governing bodies which consist of parents, teachers, a principal, non-teaching staff, and pupils in Grade 8 or higher. The majority of voting members must be parents. The functions of the governing body are listed, including the following:

- To develop the school's mission and constitution;
- To determine the school's admission policy, subject to the law;
- To determine the school's language policy … provided it did not
- discriminate on racial grounds;
- To adopt a code of conduct for learners;
- To determine the times of the school day;
- To make recommendations regarding the appointment of teaching and non-teaching staff;
- To manage school buildings and grounds;
- To draft an annual budget;
- To formulate rules for voluntary religious observance at school (RSA, 1996b).

Governing bodies could opt for greater decentralisation by applying for additional powers such as the maintenance and improvement of school buildings and grounds, determining subject choice and extracurricular activities, and buying textbooks, materials and equipment. Joubert (2006:12) suggests that functions of governing bodies vary between those governing bodies that "must" fulfil (section 20 of SASA) and those they can "apply for" (Section 21 of SASA), or the so-called Section 21 schools. Joubert hence believes the mandatory functions of school governing bodies can be demarcated as follows:

- Policy matters (adopting a constitution, mission statement, admissions language, religious observances, and code of conduct for learners, financial policy, and recommendation of appointments);

- Day-to-day matters (determining the times of the school day, support for the principal, educators and other staff members, the administration and control of the school's property, buildings and grounds);

- Financial matters (establish a school fund, prepare a budget, collect and administer school fees, financial records, appoint an accountant, supplementing resources) (Joubert, 2006:12).

Section 21 of the SASA (RSA, 1996b) states that in addition to the above functions, an SGB can request the Head of Department (HOD) to carry out allocated (or additional) functions. The HOD allows the school governing body to perform allocated functions if she/he is convinced that the school governing body has the skills, the experience and the resources to carry out such functions. The school governing body may appeal against the decision of the Head of the Department if he/she decides not to allow the governing body to perform allocated functions (Education Rights Project, 2005:15).

The SASA, section 19 (RSA, 1996b), states that the Provincial Department of Education is responsible for providing training to the school governing bodies. However, the governing body must take the initiative in identifying areas in which it needs training. The HOD has the responsibility to make sure that the Principal and other officers of the DoE assist the SGB in this identification process.

It must be noted that SGBs currently face many difficulties which threaten their effectiveness and their ability to represent all members of their school community. Obstacles that SGBs face include the following:

- SGBs have been forced to focus most on budgets and school fees rather than on issues related to teaching, learning and school mores as a result of the decline in state funding;

- SGBs have been handed the responsibility of fundraising and therefore unequal funding for schools persists, as wealthier school districts rely on their communities to strengthen the quality of education;

- SGB training has been inadequate and has not prepared members to deal with their complex responsibilities and roles (Chaka & Dieltiens, 2004:163).

In his study Maile (2002:326-331) stressed the importance of the accountability of school governing bodies for the purpose of school development. He emphasises the point that every stakeholder or member of the school governing body must be prepared to play his or her part actively. As Clark (2007: 1) suggests, in order to improve the standards and quality of school outcomes, school governing bodies will need to focus on the following five management areas:

- Effective school management strategies;
- Staff professional development;
- Effective teamwork strategies;
- Effective leadership strategies;
- Curriculum management and development.

Through the years there have been numerous amendments to the SASA (1996b) in which new provisions were added in order to improve the quality of school governance in South Africa. Among the amendments are the laws to enable public schools to appoint additional staff and to provide for the SGBs to make recommendations for the appointment, transfer or promotion of educators as a result of operational requirements.

Most important for the case of special schools is the Education Laws Amendment Act (Act 48 of 1999) section 12 (3), which amends the SASA (1996b) in order to provide for any member of the governing body elected from the body of parents of learners at the school; a representative of sponsoring body; representatives of organisations of parents of learners with special needs; representatives of organisations of disabled persons; disabled persons; and experts in appropriate fields of special needs education to stand as chairperson of that governing body.

The challenge for the future is to find ways of moving democratic and effective quality governance of schools from an idea to practice amid such economic diversity.

The purpose of the SASA (1996b) and other legislation is precisely to increase effective management and administration of schools. But this will only be achieved when serious interventions are made in the governance of schools. Minimally, the following will have to be done:

- Increase training efforts to build the capacity of working-class parents in fields such as managing meetings, managing finances and awareness of the different laws that pertain to school governance, including labour laws;

- Develop protocols for integrated schools for dealing with class and racial diversity at the parent level;

- Develop guidelines for achieving true representativeness on SGBs;

- Cluster schools and their SGBs to share and develop their capacity (Education Laws Amendment Act, RSA,1999c).

The *Education Laws and Policy Handbook* (DoE, 2008b), which is the 'kingpin' of South African education and school laws, mainly contains the major school policies and relevant legislation, including the National Education Policy Act (Act 27 of 1996) and the South African Schools Act (Act 84 of 1996), discussed above in detail. It also has various other education-related laws such as the Employment of Educators Act (Act 76 of 1998), the South African Council for Educators Act (Act 31 of 2000), and the General and Further Education and Training Quality Assurance Act (Act 58 of 2001), all of which are discussed in the following sub-section.

4.4.3 Other applicable laws on school governance

4.4.3.1The Employment of Educators Act, Act 76 of 1998

This Act is the single source of the majority of disputes with regard to the governance of education and schools in South Africa. Most studies reflecting on problems around school governance and SGBs always cite the educator-management conflicts, which mostly derive from the interpretation or misinterpretation of the provisions of this Act. The Employment of Educators Act, Act 76 of 1998 (RSA, 1998b) provides primarily for the laws for employment of

educators by the provincial departments with respect to the conditions of service and educator establishments, appointments, promotions and transfers, as well as the incapacity and misconduct of educators. In terms of the Constitution (RSA, 1996b) the school governing body has the responsibility to select and recommend to the Head of Education the appointment of educators.

However, according to the Reviews of National Policies for Education: South Africa (OECD, 2008:83), between 1998 and 2002 certain legislative amendments to the SASA (RSA, 1996b) affected the discretion and authority of school governing bodies (Grant-Lewis and Motala, 2004:128). Since these amendments, some of the provisions for school governing bodies' roles on appointment of educators have become more firmly regulated in order to prevent misuse and nepotism. In 1999 an amendment to the Employment of Educators Act, Act 76 of 1998 (RSA, 1998b) placed a two-month time limit for the school governing bodies to respond to a request for a recommendation for an educator appointment. Once this time has lapsed, the provincial Head of Education can make his or her decision without a school governing body's input.

The Employment of Educators Act, Act 76 of 1998 (RSA, 1998b) provides policy guidelines to address potential conflict in other educator-management relations, such as the promotion, transfer and safety of educators. Joubert and Prinsloo (2001:261-283) outline a number of other laws influencing (labour) relations issues affecting educators, among them:

- South African Council of Educators (SACE): Code of Conduct;
- Grievance Procedure (Personnel Administrative Measures (PAM) 1999, Chapter H);
- Strikes and Lock-outs (Labour Relations Act, Act 66 of 1995, Section 64-68), (RSA, 1995c);
- Code of Conduct: Dismissals (Labour Relations Act 66 of 1995, Schedule 8), (RSA, 1995c);
- Unfair Dismissal (Labour Relations Act, Act 66 of 1995, Section 185-192), (RSA, 1995c);

- Incapacity and Misconduct (Employment of Educators Act, Act 76 of
  1998, Sections 16-26), (RSA, 1998b).

4.4.3.2   General and Further Education and Training Quality Assurance Act, Act 58 of 2001

Generally quality of education is positively affected through the adoption of a more integrated quality assessment framework, a relevant curriculum, qualified teachers, increased finance, not to mention improved school governance. Meanwhile, quality can also suffer from insufficient and inadequate infrastructure, lack of facilities and support material, large class sizes, less committed educators, unmotivated learners and inexperienced parents. All these factors put together can result in declining school standards, unacceptably high failure and drop-out rates.

The General and Further Education and Training Quality Assurance Act, Act 58 of 2001 (RSA, 2001a) intends to establish a quality assurance body to ensure that continuous enhancement of quality is achieved in the delivery and outcomes of the general and further education and training sector of the national education and training system. It is towards these objectives that, as acknowledged by the OECD (2008:93), the Department of Education has over the last decade implemented various initiatives including:

- *Dinaledi* ("star") schools adopted in 2002 as a strategy to promote
  higher standards in mathematics, science and technology (AsgiSA,
  in OECD, 2008:10);
- *QIDS UP* programme, a new strategy for improving school quality;
- *NEIMS* as a system intended to document and track the state of
  infrastructure at every school, so that they can be supplied with
  water, electricity and sanitation, as well as science laboratories,
  libraries, sport fields and access to ICT equipment;
- *IQMS* as a major contribution to improve the quality of education and
  used for salary progression assessments.

4.4.4 Legislation on School Finances and Administration

Joubert (2006:39), in reviewing schools financial management, identifies four areas of importance as school funds and assets, the school budget, financial records and statements, and the annual audit and evaluation. However, for the purpose of this review, school finance and administration are to be assessed from three dimensions, i.e. the national schools funding and allocations, school fund payment and collection, and the schools financial management.

In defining financial educational management Odden and Picus (2008:178) say it is "the distribution and use of money for the purpose of providing educational services and producing student achievements". It can be further defined as that function of an educational manager which aims to:

- Estimate the needs of local educational training;
- Obtain finances in accordance with the estimated needs;
- Administer the finances obtained in a legally correct manner.

The Department of Education currently classifies some of the schools from poor communities as no-fee schools, where parents are exempted from paying any fees for their children's schooling. In most other schools the school governing bodies have the responsibility to determine whether parents should be partially exempted, or totally exempted from payment of school fees as determined by the SASA (1996b). The Regulation for the Exemption of Parents from Payment of School Fees (DoE, 2005) in the SASA (RSA, 1996b) provides the following formula to be used by the school governing bodies when considering applications for exemptions:

$$E = \frac{100(F+A)}{C}$$

Where:

E = school fees as a proportion of the income of a parent;

F = annual school fee, for one child, that a school charges (in terms of Section 39 of the Act);

A = additional monetary contributions paid by a parent in relation to a learner's attendance of, or participation in, any programme of a public school;

C = the combined annual gross income of the parents.

100 = the number by which the answer arrived at in the brackets is

multiplied so as to convert it to a percentage (DoE, 2008b:26).

This formula seeks to provide a fair method of determining payment of school fees by all parents as required by the law. This same law will prevent the exclusion of learners as a result of an inability to pay school fees, a situation that was rife in previous administrations. In terms of this formula, if *E* is equal to or greater than 10%, the parent should qualify for a total exemption. However, if *E* is equal to 3,5%, the parent qualifies for a partial exemption, and if *E* is equal to 2,5%, the parents do not qualify for exemption, unless certain conditions as specified in Section 4 of the Regulations of Exemption from Payment of School Fees (DoE,2005) are met.

In October of 1998 the National Norms and Standards for School Funding, in terms of the SASA (RSA, 1996b), was published to guide policy for the purposes of equal and fair funding and the allocation of resources to public schools, since the SASA (RSA, 1996b) promotes the equitable allocation of funds and resources in order to benefit the poorest and formerly disadvantaged schools. This policy sought to distribute equitably the available funds for non-personnel and non-capital expenditure progressively to the poor, according to the Resource Targeting Table (RTT).

In term of this table schools are classified into five quintiles ranging from the least poor to the poorest based on current resources available, the community or neighbourhood social standards, and the needs of the school. This resource-targeting table also contains an index each weighing 50% for the poverty in the community and the other 50 % for the conditions at the school. In each province the Member of the Executive Committee (MEC) is responsible for determining the allocation of schools into the quintiles.

Patel (2004:8), in a discussion of the laws on school financial allocations as illustrated in the Resource Targeting Table below, indicates that schools that have the ability to perform the functions under Section 21 of SASA (RSA, 1996b) would

have the funds transferred into their bank accounts in order to procure goods and services within general procurement guidelines.

According to Oosthuizen *et al.* (1998:180), the school fund account may only be used for educational purposes and the execution of the functions of the governing body. In terms of the SASA (RSA, 1996b), an SGB must establish and administer an account for school funds and must open and maintain a bank account.

Table 4.1: Resource targeting table for school allocation

School quintiles from poorest to least poor	Expenditure allocation	Cumulative percentage of schools	Cumulative percentage of non-personnel and non-capital recurrent expenditure	Per learner expenditure indexed to average of 100
Poorest 20%	35% of the resources	20%	35%	175
Next 20%	25 % of the resources	40%	60%	125
Next 20%	20% of the resources	60%	80%	100
Next 20%	15% of the resources	80%	95%	75
Least poor 20%	5% of the resources	100%	100%	25

Source: DoE, 2003b

Furthermore Section 21 schools are allocated a responsibility to develop annual school budgets in which they indicate all financial plans, such as purchasing school equipment and resources, additional learner material and stationery, in accordance with the development needs of the schools. Provincial departments, the law states somewhat ambitiously, would provide training for all governing bodies. Regarding the funding of Section 21 schools, the law stated that:

- Schools will be funded equitably by the state;
- Norms and standards for public school funding could be drawn up by the Minister of Education;

- Resources provided by the government have to be controlled by school governing bodies;
- Governing bodies could charge school fees, provided most of the school's parents supported the idea;
- Governing bodies could determine the procedures according to which parents who were unable to pay school fees were exempted;
- Parents who were liable for payment of school fees could be prosecuted if they did not do (DoE, 1996:23).

In complying with the determinations by the Member of the Executive Council through the Provincial Gazette in terms of the Public Finance Management Act, Act 1 of 1999 (RSA, 1999b) and the SASA (RSA, 1996b), schools are required to prepare an annual financial statement and present it for consideration and approval at a general meeting of parents convened for this purpose. According to Barry (2006:91), the annual financial statement must contain the estimated income and expenditure of the school for the following financial year.

Oosthuizen *et al.* (1998:182) provide clear guidelines on school financial management which are intended to assist struggling school governing bodies. They contain a moral ethos and ethical standards for clean financial administration, specifically around the collection of school fees, marketing the school's facilities and services, building supporting networks, financial resources, alumni culture and diverse sources of income.

The governing body is obligated to present a financial report specifying comprehensively all the finances received and spent, and indicating all the assets, liabilities and transactions made for the particular financial year. This will have to be audited by an independent accountant to give it a more legitimate and authentic status.

There are a number of related laws that compel schools to provide free and open access to the school's financial information for the purposes of public and independent evaluation and audits. Among these are the South African Constitution Act (Act 108 of 1996), Public Finance Management Act (Act 1 of 1999), Public Audit

Act (Act 25 of 2004), Promotion of Access to Information Act (Act 2 of 2000), and the Companies Act (Act 71 of 2008). Hence, based on the legislative requirements stipulated in these frameworks, the SGB is required to submit the school's annual audited statement to the DoE within six months after the end of the financial year. This audited statement should be made available to any member of the public or parent upon request.

4.5 PROVINCIAL REGULATIONS ON SCHOOL GOVERNANCE IN THE WESTERN CAPE

As provincial political power control keeps swinging from party to party, educational governance has long been a political football, where local, provincial and national politicians sometimes co-operate, but are often at odds with one another in the struggle to establish their influence on policy and its implementation in order to ensure accountability and quality of schooling in the Western Cape.

The proponents of change have recently recommended a number of new approaches and variations on old ones in order to meet the complex challenge of improving public education through different forms of school and educational governance. However, as with change in any organisational setting, resistance has been strong and the public debate on the appropriateness of new models for school governance continues.

In order to curb this political bickering over schools and education, legislation regulating schools in terms of the SASA (RSA, 1996b) and the Constitution of the Republic of South Africa (RSA, 1996c) in each provincial administration has to be created to establish a legal framework for ensuring that the national ideals of achieving quality basic education for all, as proposed in the Dakar Framework of Action (UNESCO, 2000). For this purpose, therefore, the Western Cape Provincial Government adopted the Western Cape Provincial Schools Education Act, Act 12 of 1997 (RSA, 1997) as a provincial education governance policy. The purpose of this framework is "*to provide for a uniform education system for the organisation, governance, and funding of all schools and to make provision for the special*

education needs in the province" (Western Cape Provincial Schools and Education Act, Act 12 of 1997; s-2 and WCED's Education Vision 2020 (WCED, 2004:13).

As far back as 2004 the Western Cape Education Department had identified and adopted the following set of Operational Education Management goals, referred to as "Vision 2020":

- Providing a learning space for every child;
- Addressing the issue of access, redress and transformation in all schools;
- Ensuring school effectiveness and improvement;
- Building the organisational effectiveness; and
- Increasing learner participation and learner success rates (WCED, 2004:19).

With all the goals stated above, the National Norms and Standards for School Funding (DoE, 1998:7) directs most of the allocation of state funds and resources for schooling to the advantage of the poorest communities – "*the pro-poor formula"*. However, there are still very high levels of disparities between governing bodies of schools from suburban and upmarket and advantaged areas compared to the township and rural community schools. As was also confirmed by Adams and Waghid (2005:58) and Jonas (2005:37), that resource disparity is even more evident in the case of Western Cape schools for special educational needs, where these disparities have a very significant influence on the school performance and educational outcomes.

Currently the Education Management and Development Centres (EMDCs) is a permanent feature in Western Cape educational governance. Their function is to bring management and development support closer to the public schools throughout the province. This is also meant to assist schools in their efforts to become accountable and to be learning organisations that are able to manage themselves effectively, efficiently and economically.

In total there are seven EMDCs (the Metropolitan-based EMDCs East, South, Central and North; and the rural-based West Coast / Winelands, Breederiver / Overberg and South Cape / Karoo) responsible for promoting parental involvement

in schools through school governance, local participation and the development of a culture of teaching and learning in schools.

While the most affluent schools are highly efficient and successful, most schools in the Western Cape are experiencing poor governance. A number of township special schools are troubled with issues of poor financial management, inadequate SGBs and parent involvement in school affairs, lack of school policies dealing with specific management issues such as learner discipline, fundraising and school development plans. Because of the inadequate regulations and guidelines, there are also problems of poor maintenance and utilisation of school transport. In the face of all this, a WCED Minute on Institutional, Specialised and Operational Support (WCED, 2007: 6) suggested that all the principals, educators and parents involved in the SGB should be given special training on issues of school governance and leadership so as to enhance their capacities and skills.

In October 2006 the Department of Education in the Western Cape developed a new "Focus Schools: Conceptual Plan programme" that intends to provide high-quality schooling as a priority for the WCED. The focus-school initiative is a programme aimed at building on good practice towards realising the notion of schools of excellence. This concept aims to add a new dimension and innovation to the education arena, providing opportunities for improved achievement of learning outcomes for learners (WCED, 2007:36).

According to the WCED Focus School plan (2006a:3), the selected schools are to become pathfinders and leading institutions in their fields, offering quality education in their communities. The schools are to ensure excellence in the nurturing and comprehensive development of learners with talent, interest or aptitude. In addition, the focus schools are to provide the young people in areas such as Khayelitsha, Mitchell's Plain, Elsies River and Oudtshoorn with the attitudes and social and intellectual skills for nation building and economic development. In this programme the role of parents as important stakeholders is not ignored, as they are central in planning and volunteering their skills and time in the fundraising stages of the Focus School plan.

There are plenty of other regulations, notices and circulars that have been designed by the Western Cape Education Department to give effect to good and quality school governance. The WCED Human Capital Development Strategy (WCED, 2006b: 20) gives an indication of some of these laws which are directed towards the school, educators, learners and the public explaining how certain procedures and activities need to be carried out. The essence of uniformity and the code of practice is important for organising and governing schools. Most of these regulations and notices are not enacted legislation, but are based on the Western Cape Provincial Schools Education Act, Act 12 of 1997 (RSA, 1997), SASA (RSA, 1996b), National Education Policy (RSA, 1996a) and the Constitution (RSA, 1996c), as the legislative and guiding frameworks.

4.6   QUALITY GOVERNANCE FOR SPECIAL AND SECTION 21 SCHOOLS

According to the DoE's (RSA, 2001b) Education White Paper 6 on Special Needs Education, educational inclusion is about the provision of an enabling environment that can accommodate all learners, including learners with special needs. Therefore for the purposes of achieving inclusive education, certain schools were to remain classified as special schools in order to render special services for the education of learners with very special educational needs, who would not be able to be included in the mainstream schools. In terms of the Inclusive Education (IE) programme, public special schools are referred to as 'Special Schools as Resource Centres'.

Section 21 of the SASA (RSA, 1996b) gives certain schools some measure of autonomy in as far as the allocation of functions and tasks relating to the finances of schools is concerned. This is only if those schools have demonstrated enough ability to perform these functions effectively. According to the SASA (RSA, 1996b) Section 21 (1) a – e, these schools have to do their own financial planning and budgeting through their school governing bodies. Section 21 schools are regarded as virtually synonymous with self-reliant and self-managing schools. Under the Western Cape Education Department all special schools are categorised in this group.

Several challenges arise in the process of capacitating school governing bodies in special schools. Very often the composition of the school governing body does not

reflect the demography of the school area, as governing bodies do not seem to comply with the National Language Policy Framework (RSA, 2003) when admitting learners and this leads to exclusion on the basis of language. Training for SGBs was literacy based and therefore excluded people who could not read or write. The three-year election term leads to loss of capacity as the legislation did not provide for re-election once a member resigns. Hence most rural and farm special schools face capacity and governance problems.

The SASA (RSA, 1996b) gives Section 21 and special schools the liberty to generate extra financial resources through self-initiated fundraising strategies. Section 36 (1) of the Schools Act states clearly that:

> *A governing body of a public school must take all reasonable measures within its means to supplement the resources supplied by the state in order to improve the quality of education provided by the school to all learners at the school* (DoE, 2008:29).

This nevertheless forbids the use of certain methods that are contrary to the law. For instance, the Financial Credit Regulator through the National Credit Act, Act 34 of 2005 (RSA, 2005a), outlaws financial borrowing and lending by non-accredited organisations and individuals. School governing bodies are not accredited to do financial lending business, and as such do not have the authority to participate in any form of financial lending on such terms and conditions that the MEC considers expedient, not even to receive grants and donations whether from parents of pupils or from other people.

As stipulated in the SASA (RSA, 1996b), the SGBs of Section 21 and special schools shall determine a maximum amount of fees to be paid by parents as well as prescribe by how much the school fees shall be increased, if at all, with a view to effectively rendering the necessary services and programmes of the school. For these services the school must establish institutional rules, in line with provisions determined by the provincial department, on how they will implement their own expenditure on the school curriculum and the purchasing of learner and teacher support material. The SGBs also should facilitate the entire school beautification and other school improvement incentives, implement school safety, infrastructure

development, and general maintenance and renovations as defined in the SASA (RSA, 1996b).

According to Tyobeka (2002:18), in a briefing to Parliament's Portfolio Committee on Education, the Department was working towards providing Section 21 status for most schools as was happening in Gauteng, Western Cape and Northern Cape. She further mentioned that there was improved confidence and management in Section 21 schools. But the major concern was that most of the schools that were granted Section 21 status were former Model C schools. The key priorities were around capacity building in provincial and district educational management offices, so that they could provide support to schools that are granted the Section 21 status, as well as trying to find alternatives to literacy-based training for the empowerment of illiterate parents.

4.7 CONCLUSION

The reality on the ground is extremely harsh and whatever public schools have managed to achieve during the past years in terms of human and social capital development is inadequate. By looking at the day-to-day unfolding of events in the lives of ordinary people, one can never boast that our public education system has been wholly successful.

The last fifteen years of the democratic dispensation have been crucial in the sense that the government wanted to prepare and implement a people-centric educational policy. How far the education system has been able to deliver good and quality outcomes is a fair question. The major goals pursued by the public and particularly special schools on governance and policy implementation, as discussed above, have been selected keeping in mind what the government did for the poor and marginalised sections of the society. But not much could be conferred in terms of outcomes for pursuing these goals.

Yet it is important to begin the review of monitoring and evaluation of education and school governance in terms of the legal framework as the cornerstone of quality outcomes in schools. This will be dealt with in the following chapter.

CHAPTER 5

A SCORECARD FOR MEASURING EDUCATION AND SCHOOL GOVERNANCE IN THE WESTERN CAPE: PRINCIPLES, PRACTICE AND PROCESS

5.1 INTRODUCTION

"What we measure counts: measuring outcomes is important both in its own right, to demonstrate the effectiveness of what we are doing, and in creating the right incentives to improve performance." (Dunnell, 2007:1)

The Education White Paper 2 on the "Organisation, Governance and Funding of Schools" (DoE, 1996) places much responsibility for educational administration at schools on the shoulders of school governing bodies. These schools are funded and maintained through state revenue and are meant to be overseen and guided, particularly in the case of the Section 21 schools, by the school governing bodies without any form of governance measurement and evaluation.

The National Policy on Whole School Evaluation (DoE, 2001), which is currently the cornerstone for quality assurance and accountability in schools, is meant to enable schools and external supervisors to provide an account of the schools' performance and show to what extent it meets the national goals and needs of the public and community. As illustrated in the WCED's (2003c) Monitoring and Evaluation and Quality Assurance: Draft Document, the current correlation for educational performance, one responsibility is a prerequisite and leads to another as follows:
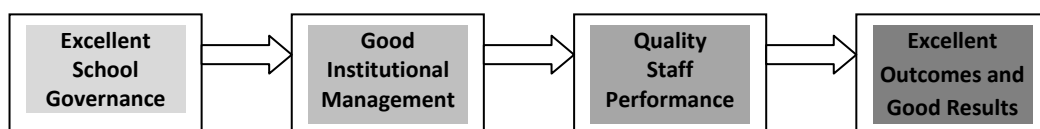
Figure 5.1: Stages of Quality Assurance
Source: WCED, 2003c

This kind of performance relationship, if it is to achieve its end result, i.e. excellent outcomes and good results, therefore calls for a measurement system focused on evaluating school governance so as to influence the other subsequent stages and the improvement of overall school performance. This chapter examines the

principles, practice and the process of using a scorecard in evaluating the special schools' governance in terms of the key features of a good school governing body. As pointed out in the SASA (RSA, 1996b), in pursuing good and effective governance the SGB must:

- know the policies and legal requirements which affect an SGB;

- meet regularly;

- understand the role of the principal as the professional manager of the school versus the role of the SGB in school governance;

- support teachers in performing their professional responsibilities;

- establish effective organisational structures and relevant committees, such as a disciplinary committee;

- inform parents, pupils and teachers of their rights and obligations, and accept inputs from them;

- formulate good policies which are in line with legislation, such as disciplinary measures to replace corporal punishment, which has been outlawed;

- oversee the maintenance, safekeeping and procurement of school resources and the recruitment of staff;

- provide information to the school community on issues such as the importance of fees, but also inform parents with financial needs that they are entitled to be exempted from school fees;

- help to build relationships with other schools in the same area to tackle problems collectively, for example, working with the community police forum to combat crime; and

- use the information provided by the Federation of School Governing Bodies of South African Schools and the National Association of School Governing Bodies.

The chapter begins therefore by reviewing the South African context and policy principles for measuring voluntary and public services, of which school governance is an example. There are various key issues that need to be taken into account in measuring voluntary and public service organisations which will be dealt with here. Importantly too, the related background and key frameworks on scoring public sector

performance, including the importance of measuring education outcomes and school governance, will be outlined. This chapter also looks into the complex demands of a scorecard in the public sector context, where one of the important issues is the use and value of a scorecard for a non-profit voluntary and public hybrid service, which is essentially what school governance, is. For instance, service standards and commitment, unlike in business and profit organisations' scorecard whose key expectations are fully margined around financial and profit values.

The chapter furthermore looks into the policy context of scorecard usage in special schools. It draws attention to the fact that special schools in the Western Cape are automatically allocated Section 21 status. Yet there are some specific demands for school governance that are slightly different in nature to the general and mainstream provisions of SASA, Section 20 (RSA, 1996b). Hence there is a special rationale in this case for a governance measuring instrument.

This chapter explains the usage of a peer-evaluation method and also explains the process of empowerment and behavioural objectives. Finally, the entire evaluation process, which includes pre- and post-evaluation assessments, is defined, which will shed some light on the background to the indices, targets and benchmarks that will be used in this school governance scorecard.

Because of its extensive scope, this school governance scorecard offers a review and an evaluation, including monitoring of the major school governance issues. These include the functioning of governing bodies, the governance of learner issues and the role of parents in governance. The ineffectiveness of governing bodies in addressing these issues will impede the greater autonomy given to governing bodies, including the powers of governing bodies to make recommendations for staff appointments. As set out in the Education Laws Amendments Act (Act 24 of 2005), the state is at liberty to ignore a governing body's recommendations. The SGBs of Section 21 schools are entitled to generate extra revenue for a school through the levying of school fees and the utilisation of school funds. However, before any of these developments are examined, it is important to reflect on the policy and historical realities of a scorecard in public and voluntary service.

5.2 SCORECARD IN VOLUNTARY PUBLIC SERVICE AND EDUCATIONAL INSTITUTIONS IN SOUTH AFRICA

5.2.1 The background and key principles

Realising how public governance and performance evaluation have increasingly become a concern and issue over the past few decades, monitoring and evaluation of service quality has also become a concept that runs through policy and regulatory developments in South Africa. The public management and academic research community believes that a shift in focus on outcomes quality requires a cultural change that, though challenging, is likely to enhance the quality of services and generate the best "value for money" in public services. That is because it focuses on the difference the organisations actually make and not just on the outputs produced.

In order for the South African public service to strive towards this noble vision, the PSC (2008:9b) suggests that the efficient, economic and effective use of public resources must always be promoted, monitored and measured. However, Van der Walt (2004:174) asks a valid question: "How can efficient, economic, and effective use of public resources be ensured if there is no yardstick on which it can be measured?" Therefore to realise quality and sustainable public service performance, constructing an appropriate index-orientated system for measuring public sector governance has never been more critical.

At present, the BSC as developed by Robert S. Kaplan and David P. Norton in the 1990s as a tool of performance measurement and management, initially used extensively in the private sector, is frequently adapted and applied to the public sector. Yet as confirmed by Kaplan and Norton (1992:48) themselves, the balanced scorecard has some shortcomings, particularly when applied to the public and voluntary sector.

While the most important perspective of the balanced scorecard is the financial perspective, most public organisations measure non-financial factors because of the realisation that these have a direct bearing on the bottom-line financial measures. According to Moullin (2002: 19), the perspectives of the Public Sector Scorecard (PSS) (Figure 5.2) are more focused on an integrated service improvement and

performance measurement framework, which adapts the balanced scorecard to fit the culture and values of the public and voluntary sector.
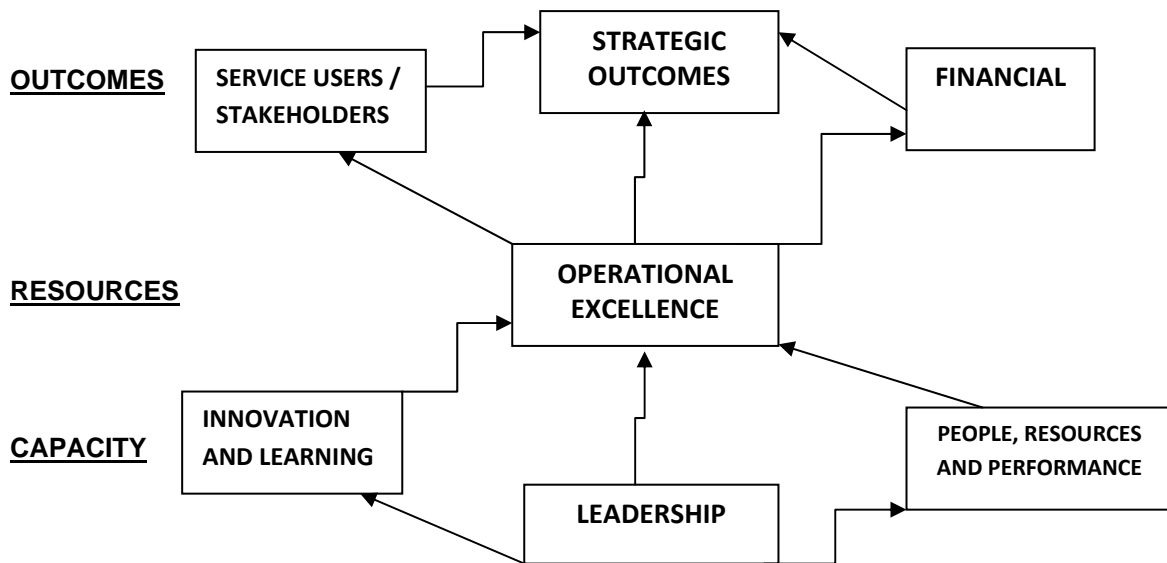
Figure 5.2: Perspectives of the Public Sector Scorecard (PSS)
Source: Moullin, 2002:19

According to WCED (2007b:1), the PSC is tasked and empowered to investigate, monitor and evaluate the organisation and administration of the public service. Furthermore, it is regarded in the public sector environment as the custodian and key driver of performance monitoring and evaluation. It also encourages the use of an adapted version of Kaplan and Norton's scorecard for evaluating the performance of the public sector.

According to PSC's *Basic Concepts of Monitoring and Evaluation* (2008b:28), some of the most important values and principles that a measuring instrument for governance in the public sector must include are:

- *High standard of professional ethics* – the public service must be based on high ethical principles as contained in the Code of Conduct for public servants;
- *Efficiency, effectiveness and economy* – it deals with the alternative strategies to achieve the same outcomes at the best price and without wastage;

- *Developmental orientation* – it must have mechanisms to facilitate organisational learning and the activities should always seek to improve quality and capacity, especially of those who are disadvantaged and vulnerable;

- *Equality and equitability* – issues such as race, ethnicity, political affiliation and family connections should play no part in service delivery;

- *Responsiveness* – this is the ability to ensure that people's changing needs are met within changing circumstances;

- *Participatory* – ordinary people and all stakeholders must be involved in all the organisation's activities, and at least be consulted;

- *Accountability* – this is the need to take responsibility and answer for all decisions taken and for the resources used in achieving outcomes the money was intended for;

- *Transparency* – people should be provided with information that is fully understandable and accessible;

- *Representativeness* – the organisation must be fully representative of all the stakeholders and participants.

Some of these principles make it evident that in measuring a public and voluntary service there are bound to be limits. Since volunteering is about giving one's time to participate in activities that benefit others without any benefit or income, the question of the enforceability of measures and performance is bound to arise, although it can be addressed. The use of incentives (like awards and recognition) can be very useful. The way to master a scorecard within such a dynamic and complex environment and to reflect all the public sector values and principles as indicated by the PSC (2008b) is to consider the complexity demands of such a balanced scorecard.

Once again, the central issue is the importance and tools of measuring a service such as school governance in order to manage it effectively within a given complex environment, which leads towards a measurement dashboard. As indicated by IBM

(2007:1), this measurement dashboard describes an advanced and highly complex level of a balanced scorecard, electronically managed with capabilities to measure and monitor a large number of high- and lower-level activities using metrics that can provide insight into the effectiveness of practices.

5.2.2 Towards a 'measurement dashboard'

Most challenges facing public sector and voluntary organisations in using a balanced scorecard emanate from the increased complexity and dynamic nature of stakeholder demands, as well as the variability of these requirements over time, when compared with their private sector counterparts. In order to achieve such a level of complexity as demanded from an instrument measuring public and voluntary services within a less complex setting, various factors have to be incorporated into the modified version of a scorecard. However, it is clear from the growing number of NGOs using a balanced scorecard as a management or monitoring and evaluation tool that these challenges can be successfully overcome.

In order to successfully apply a balanced scorecard and effectively deal with these complexities in the non-profit sector, there are two important aspects that must be taken into consideration by the designers and users of a public sector balanced scorecard. Firstly, there must be a correct reflection and understanding in the scorecard of what is meant by 'successes' in the evaluation of the non-profit sector. Secondly, the scorecard must be designed in a way that reflects the changes in short- and medium-term organisational goals (and resources) as are highly typical in a non-profit setting.

There also are several key performance areas that need to be measured for the purposes of financial management and governance; these may include budgeting and expenditure, procurement and acquisition, the assignment of projects to contractors, and resources and asset management. Clearly, using a manual system to manage performance on all these fronts can become a large administrative headache doomed to failure.

Ethiraj and Levinthal (2000:168) suggest that in dealing with multiple performance goals within the scope of a simplified version of the balanced scorecard for the public

and voluntary sector, the approach should mainly be directed towards non-financial performance measures built around the three main perspectives of a balanced scorecard: customer, internal business process, and learning and growth. In this case the financial perspectives will serve as a support base for the attainment of the strategic outcomes defined mainly in terms of customer perspectives. This once more confirms the public sector ethos that governments must allocate funds and resources as means to serve the community needs, which is their ultimate objective.

Therefore the relative framework for measuring and evaluating education and school governance as typical of the public and voluntary sector by means of a balanced scorecard takes this particular context and environment into account. It therefore keeps the focus on the specific goals that are crucial and this helps to reduce any complexity of the scorecard.

5.3 MEASURING EDUCATION AND SCHOOL GOVERNANCE IN SOUTH AFRICA

The 'context' for measuring education performance as a public service function takes into account the current conditions, issues, opportunities and constraints in the environment of the service in which evaluation has to take place. It is also reflected in the socio-economic milieu and the public service and administration policy set-up which support it. Within this background the Department for Public Service and Administration (DPSA) has entrusted the Department of Education and all other state departments to take responsibility for their own monitoring and evaluation as part of a commitment to quality service delivery, accountability and good corporate governance.

The PSC, which derives its mandate from Sections 195 and 196 of the Constitution (RSA, 1996c), considers and accommodates the legal perspectives on measuring education and schooling in South Africa. The PSC is tasked and empowered to, amongst other things, investigate, monitor and evaluate the organisation and administration of the public service. This mandate also entails the evaluation of the achievements, or lack thereof, of government programmes. The PSC also has an obligation to promote measures that would ensure effective and efficient performance within the public service and to promote the values and principles of

public administration, as set out in the Constitution, throughout the public service (WCED, 2004:12).

According to Burger (2009:1), South Africa has one of the highest rates of government investment in education in the world. Over the past three years the total budget for education grew by whole 14% from R122.8 billion to R140,4 in 2008/2009, totalling R165 billion in 2010/11. The relevant question to be asked therefore is whether there is a satisfactory quality of outputs from the education system which justify this expenditure. Hence the National Education Policy Act, 1996, Act 27 of 1996 (RSA, 1996a) empowers the Minister of Education to determine national norms and standards for education planning, provision, governance, monitoring and evaluation.

5.3.1 Measuring a school's performance

For too long the South African education system has been evaluated and appraised through inadequate methods. The pre-1994 administration of schools at district level was marked by an inspection system whose approach was predominantly policing and dictatorial control, which seldom went beyond checking mechanistic compliance. In this system school inspectors would visit schools randomly to assess school performance. However, in most cases principals knew about an impending visit quite early and they would simply 'set the scenes' perfectly for the inspection day, alert teachers to be ready for class visits – and therefore prepare all learners' records and documents as well as outstanding lessons, and the gardens and school grounds would be prepared to look perfect.

The other system was the assessment and appraisal of schools through consideration of the pass rates against the 'drop-out' and repetition rates. In this case a school with a high pass rate and low failure and drop-out rates was simply proclaimed to be a very successful school. These systems did not amount to realistic and credible evaluation as the indicators used proved to be highly unscientific and unrealistic.

According to Motala (1995:163), the South African literature on primary education, let alone on repetitions and drop-out rates, is extremely slender. In his work Motala

makes reference to a study by Nyikana (1982) and draws attention to the school-based variables such as the in-service teacher training necessary to reduce repeater rates; he also refers to Gordon (1986), who argued that financial considerations and employment conditions may have a greater influence on school drop-out rates than factors such as lack of teacher upgrading.

It is often wrongly claimed that increasing learner intake numbers, high pass rates, beautiful school gardens and state of the art school facilities as well as good school rankings in inter-school activities best represent the quality of management offered in a school. To this day schools are still judged on the basis of similar measures, which should only be used as external performance indicators of how well the school was doing compared to others. External indicators are targeted towards a particular audience, namely the students, parents, community, education department and particularly potential sponsors, in order to uphold image management in maintaining a favourable reputation. In reality, though, excellent external indicators may not necessarily indicate that a particular school is successful internally. Such a management style would not add significantly towards the achievement of long-term objectives of schools (Umashankar & Dutta, 2007: 58).

Instead, to ensure a healthy and developmental culture, schools have to ensure that internal performance measures are linked to the school governance goals that attempt to improve the school's developmental operations and not simply enhance competition with other peer schools (Hamid *et al.*, 2008:36). Similarly, the governance of special schools should focus on internal measures according to the nature of the work of the staff and link them to the strategic goals of the school and the WCED, which attempts to resolve external pressures and thus lead to sustainable education and school performance.

Typically internal performance measures are identified based on the nature of the work of the school governing body, management, individual educators and administrators. Therefore, to encourage excellence these measures should also be connected to organisational goals to ensure that the long-term objectives of the school are achievable (Hamid *et al.*, 2008: 38). Well linked performance measures

would not only guarantee the desired results, but would also give a competitive edge to the school.

It is important to realise that equal emphasis should be given to both external and internal performance measures. Neglecting either one category or over-emphasising one aspect could have undesirable consequences. Placing more importance on internal measures only could result in the failure to anticipate and acknowledge the influence of a dynamic environment to continually sustain the education system. On the other hand, a strong emphasis on external measures could cause the organisation to overlook the fact that the staff and parents are an intellectual asset and essential stakeholders. In such a situation the unfortunate consequence is that valuable employees and school governors may be lost.

The advent of democracy saw a major shift towards a more developmental and supportive interaction between the national department, district offices, school principals, educators and School Management Teams. After all the reforms that have taken place in education since the 1990s, there are currently five more realistic and important policies that have an impact on teacher and school evaluation and development, which are also referred to in the Ministerial Committee Report (DoE, 2008a), namely the:

- Development Appraisal System;
- Whole School Evaluation;
- Performance Management;
- Systemic Evaluation;
- Integrated Quality Management System.

The *Developmental Appraisal System* is one that identifies each educator's needs for improved teaching and learning. According to Cele (2008:36), referring to the ELRC, Resolution 4 of 1998, developmental appraisal is implemented with the aim to appraise educators in a transparent manner, while determining areas of strength and weaknesses.

Whole School Evaluation is the cornerstone of DoE's quality assurance strategy. It encapsulates other initiatives of performance assessment such as the schools' self- and external evaluation and aligns them with other activities and instruments such as systemic evaluation and the developmental appraisal system (DoE, 2006:10). Whole School Evaluation is a collaborative and transparent process of making judgements on the holistic performance of the school, which is measured against national criteria (Van Niekerk, in Cele, 2008:34). It also provides for schools to receive advice and support in their continual efforts to improve effectiveness.

This School Governance Evaluation scorecard is formulated on the basis of the approach of Whole School Evaluation, which is essentially a monitoring and evaluation model adopted from a policy of the British Office for Standards in Education (OFSTED). According to Asmal (2000: 22), this monitoring and evaluation policy prescribes an approach that is built upon interactive and transparent processes, including school self-evaluation, ongoing district-based support, monitoring and development, and external evaluation conducted by a supervisory unit.

Performance Measurement is a system aimed at evaluating individual educators' performance, particularly for the purposes of salary progression, grade progression, rewards and incentives. It is based on the ELRC resolution 1 of 2003.

Systemic Evaluation, whose major focus is learner achievement, refers to an assessment of the education system, using all relevant information impacting on the entire system such as resources, facilities, management structures, curriculum, and teacher and learner characteristics. The learner is the key indicator, among others (Haripasad *et al.*, 2005:1). The basic objectives of Systemic Evaluation are to:

- Determine the context in which learning and teaching is taking place;
- Obtain accurate information on the teacher and school achievements;
- Identify factors that affect learner achievement; and
- Make conclusions about appropriate educator interventions.

The Integrated Quality Management System (IQMS),as proposed by Haripasad *et al*. (2005:1), indicates that the tenets of IQMS are underpinned by the aim of quality assurance, which determines competence, assesses strengths and areas of further development to ensure continued growth, to promote accountability, as well as to monitor the overall effectiveness of an institution. Quality comes through process improvements intended to make a difference to the outcomes of these processes. For organisations that embrace quality initiatives and put quality programmes in place, measurements would be a central part of any such programme (Kaplan & Norton, 1996:119).

The IQMS has up to this point been the primary and main instrument currently applied by the Department of Education nationally for total educational evaluation. This is because IQMS integrates the three other major policy initiatives on school evaluation and development, i.e. the Development Appraisal System, Performance Management and the Whole School Evaluation (NEEDU, 2009:8).

In the final analysis, to determine whether progress towards the achievement of school objectives is actually being made, there should be regular measurement of results. The measures for determining the achievement of objectives should incorporate, as far as possible, all aspects that are measurable (Ingram *et al*., 2001:312). An instrument that could possibly serve as an aid in this regard is the balanced scorecard.

The PSC has identified nine principles and values of the public service that must serve as the basis for education and school measurement. The measuring practice must therefore send a clear message to all stakeholders in education and in the department's schools and must also add credibility to the public service. On the basis of that view the WCED's IQMS policy guide (WCED, 2001a:3) on whole schools evaluation has outlined the following definitions as a key in understanding the measuring instruments and scorecards in education. Any instrument and scorecard for schools should be based on:

- *Key Performance Indicators* – these are metrics used to assess the state of schools in order to prescribe the required course of action. Indicators can be qualitative or quantitative and are used to:
  - measure compliance
  - diagnose problems
  - determine progress
  - measure whether actions or programmes have the desired results;
- *Monitoring* – this is the means whereby schools are to assess progress on strategic objectives. It should be done regularly within the time frames as planned;
- *Evaluation* – this entails an assessment of how well the project, programme or strategy has achieved its outcomes;
- *Reporting* – this should take place in different formats during the monitoring and evaluation measurement against indicators using data collected;
- *Standard setting* – this is critical for any scorecard and ensures performance quality is adhered to. Standard setting could be done in terms of:
  - costs
  - quality and frequency
  - service commitment
  - delivery targets
  - compliance and redress mechanisms;
- *Baseline* – this is the existing standard by which things are measured or compared;
- *Efficiency* – this is the capacity to produce results with a minimum amount of expense, time, effort and wastage;
- *Effectiveness* – this is achieving a given goal or producing an intended result without necessarily being concerned about resources, time, effort or wastage.

In the attainment and sustaining of quality and standards in education the WCED has therefore set these imperatives as the basic framework through which a meaningful and legitimate instrument for measuring educational and school governance services and standards in the Western Cape should be structured and as the basic guidelines that represent the values. Since there has never been a scorecard for special schools' governance, the above principles must guide its formulation and implementation.

5.4   A SCORECARD FOR GOVERNANCE OF SPECIAL SCHOOLS IN THE WESTERN CAPE

Since the new education dispensation after 1994, the number of special schools has been growing nationally and indeed also in the Western Cape. Jonas (2005:30) states that in 2000 there were 390 special schools recorded nationally, with 94,6% of these being public special schools. These are however not evenly distributed throughout the country, with Western Cape having the highest number (70). Currently, as shown in the Appendix E, there are about 84 special schools in the province, classified into different types according to the special need area they specialise in. Jonas's (2005) thesis further indicates that in 2000 the total enrolment in these schools was 78 123 learners, while about 7 419 educators serve these schools, giving a provincial educator to learner average ratio of 1:11.

In his study Jonas (2005) again made some startling discoveries about the state of governance of the disadvantaged special schools in particular. According to Jonas (2005:4), the WCED's *Institution-based Management and Governance (IMG) Year End Report* (WCED, 2003b) suggests that most schools, including special schools, in the Western Cape are experiencing governance problems such as schools struggling to appoint permanent principals; difficulties in electing SGBs; schools not having full staff components on a permanent basis; and some schools having difficulties in developing School Development Plans (SDP).

With special schools in the Western Cape being categorised as Section 21 schools in terms of the SASA (RSA, 1996b) and having special schools being responsible for such a vast additional range of responsibilities which require good stewardship and

leadership skills, there is a high level of expectation of the quality of governance of these schools. For instance, according to the WCED (2007d), the former Western Cape Education MEC's financial statement states that Section 21 schools get a transfer payment and place orders with suppliers of their choice themselves. They will have to report in the annual statistical survey as to whether Learner and Teacher Support Material (LTSM) was delivered on time. Spot checks at Section 21 schools would also be made during the first week of re-opening of schools to confirm delivery.

As indicated earlier, governance problems in schools, including special schools, have a direct bearing on the quality of school performance and outcomes. This was confirmed in a preliminary interview with a teacher at Beacon Special School. Here is the case study consisting of a brief interview with Mrs Aurelia Rossow of Beacon School in Mitchells' Plain, Cape Town conducted on Monday, 16 October 2006:

Q: How does it feel to be at a special school?

A: *Working with special learners is a challenge for me. All learners have different abilities and I strive to build on the good of the learner, as well as working on the weaknesses. It is my ultimate aim to develop the learner so that he/she may be favourably accepted into the society, and that they may fit well into the changes of the society.*

Q: How is the school different from other schools?

A: *The school has all the learners' interest at heart. I think that in most cases the learner's self-esteem is boosted, as they get individualised attention from the educator as well as the staff of Beacon. Learners also interact very well with each other, and are familiar with everybody in the school environment.*

Q: Are there any difficulties that you come across with?

A: *Yes, behavioural problems in some cases. Financial constraints as well as social problems. The school is dependent on transport and we experience major problems in this regard.*

Q: Which learning areas do you offer?

A: *Numeracy, Literacy, Life skills, Arts & Culture and I always strive to do my best.*

Box 5.1: An interview with Mrs A. Rossow of Beacon Special School
Source: Compiled by the Author

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From this mini-interview with Mrs Rossow it is clear that the educator is very keen on working with special needs learners and to help them develop and fit well in to the constantly changing society. This is quite in line with the vision of the Specialised Education Service Directorate of the Western Cape Education Department, under which her occupation falls. The key challenges inhibiting her from achieving her goals and mission, however, are mainly school governance orientated. Here she mentions the following as some of the main governance-related problems:

- learner behaviour problems;

- financial constraints;

- social problems; and

- school transport difficulties.

Furthermore, similar to the governance concerns raised by Mrs Rossow at Beacon school, Jonas (2005:7) discovered that special schools' governance challenges were similar to these mentioned above. This represents a further confirmation of areas to be focused on as performance areas and indicators in a school governance scorecard, i.e.:

- poor school finance management;

- inadequate SGB and parental participation in financial matters;

- poor maintenance and utilisation of school transport;

- school facilities and buildings in a state of disrepair;

- lack of policies dealing with specific management issues, e.g.:

  o learner and educator discipline

  o fund administration and fundraising policy

  o school development policies.

As indicated by Nywambi (2004:35), the efficient governance of schools is a prerequisite for effective teaching and learning, and for achieving outstanding results; it is therefore true that in order for the school to function properly it must be governed optimally. Hence governance activities must be carried out in the best interests of the school. While all of the issues raised by Mrs Rossow (Interview, 16 October 2006) could easily lead to a disturbance in school management, including teaching and learning, and lead to poor school outcomes, it is pleasing to note that

most special schools' governing bodies have been able to overcome any such difficulties by creating school guidelines and policies and enforcing a clear code of conduct, in line with the law.

Given that special schools in the Western Cape are classified as Section 21 schools through an "automatic pass" evaluation, a governing body would still have to satisfy certain requirements. These include ascertaining whether the school does indeed have the capacity to manage and execute the additional functions according to the standards and provision specified by the province, and that the school community has the will to sustain this responsibility. Van Der Heever (2002:10) indicates in a briefing to Parliament that the Department of Education recommends the use of the following criteria for assessment of schools' readiness for Section 21 status:

- democratically elected SGB;
- functional SGB, according to its SASA functions;
- functional SGB committees;
- financial management capacity;
- management and administrative capacity;
- sound School Development Plan.

But according to Maharaj (2005:51), if the provincial authority was not convinced of a governing body's ability to continue to categorise them as Section 21 under certain requirements, the department can intervene and provide fuller guidance in exercising such functions. If there is still no improvement, the authority could withdraw these responsibilities from the governing body. The latter situation has, however, never occurred.

Although Section 21 schools are not independent schools, they are more responsible for their own affairs and the school governing body carries considerably more responsibility for the success than other public schools. It is imperative therefore that SGBs in the special schools be adequately empowered and evaluated as required in terms of experience, expectations and responsibilities. Whereas all the special schools in the Western Cape have Section 21 status, the Western Cape Education Department (WCED) from time to time still embarks on "special projects" whereby it

assumes the responsibility for purchasing and supplying textbooks to meet pre-identified strategic educational needs, using special funding.

In the same study on *The Governance of Special Schools in the Western Cape*, Jonas (2005:35) points out that in 2001 the wave of policy developments in special education resulted in a framework for establishing an inclusive education and training system in South Africa. These changes in policy once more posed new challenges to the effective governance of special schools, requiring that SGBs in these schools be highly empowered to cope with the nature of the additional responsibilities and expectations of running the different categories of Special Schools/Resource Centres or the Full-Service schools as defined in the Education White Paper 6 on Inclusive Education and Training (RSA, 2001b).

In dealing with special schools, the reference is to a distinct range of public schools dealing with the education and training of learners with special educational needs. The White Paper (RSA, 2001b) also provides for an enabling environment that can accommodate learners with special educational needs. For this purpose certain schools have been classified in order to establish the necessary infrastructure for the special needs learners – these have become known as special schools.

Special schools have also been referred to as Schools for Learners with Special Needs or ELSEN Schools. In terms of the current policy developments on educational inclusion, they are termed as Special Schools/Resource Centres. The national and provincial departments of education provide a wide range of education services to these learners who, owing to a range of factors, experience barriers to learning and participation (RSA, 2001b). Such factors could include:

- autism;
- behavioural problems;
- visual impairment;
- tuberculosis;
- children in conflict with the law;
- physical disability;
- neurological and specific learning disabilities;

- multi-disability;

- intellectual disability;

- hearing impairment;

- communication disorders;

- epilepsy;

- over-aged learners.

In terms of the Western Cape Provincial Gazette Extraordinary, No. 6554 (PGWC, 2008), the composition of the governing bodies of these special schools also differs according to specific types and groups. The public schools for learners with special education needs and the schools for learners sent to or referred to these schools in terms of the Children's Act, Act 38 of 2005 (RSA, 2005c), Western Cape Provincial Schools Education Act, Act 12 of 1997(RSA, 1997), and the Criminal Procedure Act, Act 51 of 1977 (RSA, 1977), as amended to Criminal Procedure Act, Act 75 of 1995 (RSA, 1995a) (second amendment), reveal important differences in governance principles when compared to ordinary public mainstream schools. For instance, the gazette suggests that the governing body structure for the public schools for learners with special education needs must constitute:

- seven parents of learners at the school;

- two educators at the school;

- one non-educator staff member;

- two learners in Grade 8 or higher, if reasonably practicable;

- one member representing all sponsoring groups, if reasonably practicable;

- one member representing organisations of parents of learners with special educational needs, if reasonably practicable;

- one member representing all organisations of disabled persons, if reasonably practicable;

- one disabled person, if practicable an expert in an appropriate field of special educational needs;

- the principal in his or her official capacity.

In the second case, i.e. the schools for learners sent to or referred to in terms of the Children's Act (Act 38 of 2005c), Western Cape Provincial Schools Act (Act 12 of

1997), and/or the Criminal Procedure Act (Act 51 of 1977), as amended, the governing bodies should be constituted as follows:

- two educators at the school;
- one non-educator staff member;
- two learners in the eighth grade or higher, if reasonably practicable;
- at least four but not more than six experts in appropriate fields of special education needs of learners at the school. Experts must include:
  - a commissioner of child welfare for the district in which the school is situated, designated by the Department of Justice
  - a social worker of the Department of Social Development, designated by the department;
- a psychologist at the school;
- the principal in his or her official capacity.

Learners are referred to the special needs schools if they have any one or more learning challenges as indicated above. The schools and parents of the learners have to indicate their request in a form provided by the department. Through its *Minute on Institutional, Specialised and Operational Support*, the WCED (2007c:1) indicates that admission of new learners to special schools can only be approved by the Director for the Specialised Education Support Services (generally known as SLES), after the official and correct procedures have been followed.

In referring learners to special schools, the school management and the parent or guardian need to complete the application form, which will be sent to the Western Cape Education's SLES director for consideration. Schools therefore need to ensure that only learners who really require special education and who cannot cope in mainstream schools are referred to and admitted into special schools. This is to ensure that learners who really need ELSEN are not prevented from obtaining admission by learners who could be included in mainstream schools. Moreover, to manage the double complications and challenges posed by the new changes in these Section 21 schools, the WCED also concedes there is a need for a high level of effectiveness and an accountability mechanism.

A number of special schools and other mainstream Section 21 schools in the Western Cape and even in other provinces have suffered a great deal in pursuing good management as a result of issues such as the economic recession. The following case was recently illustrated by *EP Herald* Editor (*EP Herald*, 2009) confirming a province-wide catastrophe resulting from the global financial meltdown.

Concern as Section 21 schools stagger under financial pressure

EASTERN Cape Education MEC Mahlubandile Qwase yesterday expressed concern about the financial viability of some Section 21 schools, saying that the matter was under discussion.

Speaking at a media briefing ahead of his policy speech, Qwase said there were several areas of concern, one of which was that, with an increased number of pupils applying for exemption from fees, this was creating financial stress.

"Some of the schools are struggling to maintain the huge infrastructure they inherited as former Model C schools and some are increasingly unable to do so."

Qwase said another issue that was being looked at was the fees and other charges that were levied by Section 21 schools. "We are looking at some kind of capping on fees," he said, adding that unless this happened access to these schools would become more and more limited, which was not what government wanted (Editor, *EP Herald*, 2009/06/19).

Box 5.2: Section 21 schools under financial pressure
Source: *EP Herald* (The Editor), 2009

In such a situation things can become even further exacerbated by poor governance and planning, particularly if there is no monitoring and evaluation. Maharaj (2005: 41) advocates the importance of the following 'key issues' of school governance in general as they relate to planning and governance of special schools:

- Participation;
- Values;
- Powers;
- Empowerment;
- Enterprise Culture;
- Partnership;
- Decentralisation.

These key issues raised by Maharaj (2005) are pertinent in the evaluation of the governance of special schools as they are derived from the principles of good governance and corporate values, based on the SASA principles of the governance of public schools, focused specifically on the Western Cape. The enterprise culture, for instance, drives the point of ensuring the principle of 'value for money' as characteristic of a self-managed institution. This monitoring will enable the WCED and SGBs to act on areas that need support and identify good practice. The balanced scorecard is mainly intended to evaluate the following school governance aspects:

- School leadership;
- Planning;
- School functioning;
- Post provisioning;
- School policies;
- Provision of learning and teaching support material (LTSM).

In the final analysis the objective of the school governance scorecard is to focus the attention of schools governors on three general concerns regarding responsibilities where they must answer the questions: How well are we doing? Are we doing the right things? What difference are we making? As indicated in UNFPA (2004:6), a scorecard will help to answer these questions and also assist them to change strategies and plans in order to achieve school targets. Similarly, according to the JET Education Survey, Annual Report (2008:8), the most important concerns relating to the scorecard for governance of special schools in the Western Cape are:

- *Effectiveness* – achievement of results;
- *Relevance* – ability to meet the general needs of the WCED;
- *Sustainability* – results sustained after withdrawal of external support;
- *Unanticipated results* – significant effects on performance;
- *Casualty* – factors affecting performance;
- *Validity of design* – logical and coherent;
- *Efficiency* – results vs. costs;
- *Alternative strategies* – other possible ways of addressing the problem.

It is therefore these critical issues that must inform the ethical foundation of this scorecard. Among other things, important issues such as uniformity and validity of results must be guaranteed in order to address questions of legitimacy and quality. Once again, in designing this kind of scorecard, based on the experiences of the JET Education Survey (2008), some of the foremost questions that need to be explored are the following:

- *Why*? The purpose and how the findings will be used;
- *What*? The main objectives of the evaluation and questions to be asked;
- *How*? The data sources and collection methods to be used;
- *Who*? Who has the expertise required to undertake the evaluations;
- *When*? The timing of each phase so that the results can be used to make decisions;
- *Resources*? The budget request (JET Annual Report, 2008:8).

In terms of the Feedback Loop Model of Effective School Governance (Mncube, 2005:355), measuring and monitoring school governing bodies leads to effective school governance and therefore also results in improved school outcomes and greater income.
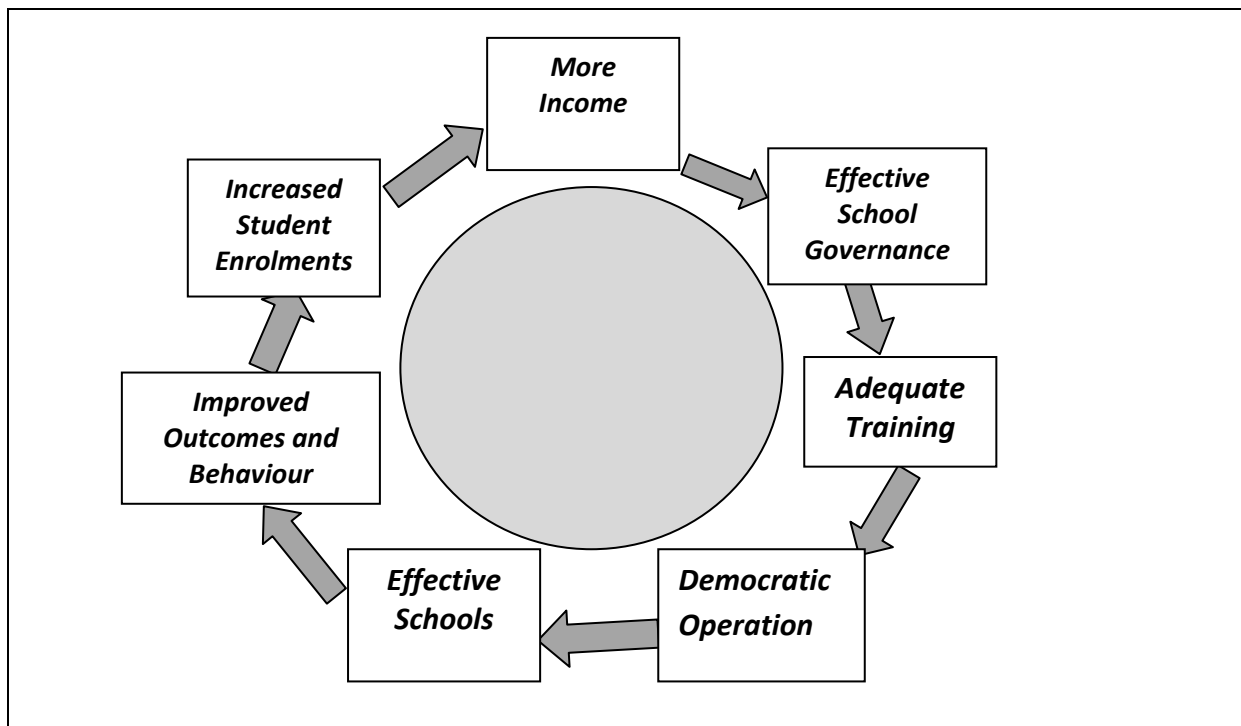
Figure 5.3: Mncube's Feedback Loop Model
Source: Mncube, 2005

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There is no doubt that the authorities in the WCED have realised that there is a need for improving school governance in special schools. Although it does seem unfamiliar within education circles, the use of a scorecard for measuring school governance, where the particular intention is focused toward development, is getting cautious approval. This is because the model will have to be tested first and modified to suit the particular educational context. The key interest is yet again on the specific method and system of evaluation to be used in the process.

5.5 PEER EVALUATION FOR EMPOWERMENT APPROACH AND BEHAVIOURAL OBJECTIVES

5.5.1 Analysis in peer evaluation

This evaluation scorecard is designed around peer assessment as the need is on focusing on realising certain aspects of school governance through a learning approach, hoping that the reflexive activities of peer assessment would have good formative value. The procedure's potential for providing trustworthy marks was of less concern. However, the realisation is that an analysis of the quantitative information should help to improve the school governance system.

Instead of the usual statistical format the choice is of a more informal readable approach, involving minimal reference to statistical concepts, which is also suitable for the average literacy level of most members of school governing bodies. Another matter that needs to be mentioned briefly, because it provides the background against which analysis of peer evaluation procedures takes place, concerns circularity, closed groups and standards.

According to Van Deventer (1999:15), while we acknowledge that the peer evaluation method uses individuals who act as assessors, it also poses a fundamental challenge, namely that the system closes in on itself and that its processes become circular. No matter how one breaches the system, one can never be sure to escape the circularity of processes operating within it. The value assigned by an assessor (i.e. the ratings it receives) is a function of both the quality of the assessed item and the assessment process. In other words, if a performance area

receives a good score, one cannot be sure whether this was due to the quality of the performance, or whether a poor assessor over-estimated the quality in the light of his or her own mediocre standard. This disadvantage is countered, however, by the usage of two or more evaluators who score the same aspects separately and then later discuss their results to synthesise an appropriate score.

Peer observation can provide an opportunity for school governors to see what great school governance looks like, so that they can emulate it. It also enables the school governor-evaluator to identify and learn about the most common governance mistakes at other schools, including the different manifestations and consequences of such mistakes, and this will in turn help to avoid them. This makes peer-evaluation a remarkable learning and empowerment process and is regarded as a learning method. A learning approach to evaluation is contextually sensitive and ongoing, and supports dialogue, reflection and decision-making based on evaluation findings (Torres & Preskill, 2001:389).

While the peer-evaluation process follows the same character and format of the Whole School Evaluation as adopted from OFSTED, school governance evaluation and scorecard evaluation are an entirely different kettle of fish. Under the leadership of the Western Cape School Governance Peer Evaluation Group (SGOPEG) working in partnership with the WCED, the Department is ultimately in charge and responsible for management of the entire evaluation process. However, the SGOPEG evaluation teams will, as with Whole School Evaluation, be given a code of conduct to follow, as well as advice on how to relate to staff, governors, parents and children of the schools that are evaluated. The evaluations will therefore be:

- Systematic – they follow a written procedure;
- Uniform – they follow the same procedure;
- Consistent – the outcome of evaluation should be predictable and repeatable by another team;
- Assessed against criteria – all judgments will relate to the areas of the school governance, and against statements of good practice, as addressed in the SGOPEG policy handbook;

- Based on evidence – every judgment must be supported by quoted evidence, for example, behaviour observed or documents seen (Gann, 1998:119).

It is also very important that the process must be accompanied by pre-and post-evaluation assessments that evaluate the evaluation.

5.5.2 Pre- and post-assessments

In terms of the WCED policy on qualitative monitoring and evaluation in schools, pre- and post-evaluation assessments are important in order to ascertain the nature of the understanding and readiness for the process as well as, in terms of the post-assessment, the success rate of the interventions. It is important to be able to determine the extent to which the evaluations have met the objectives. In order to assess organisational learning, the system must have a baseline or pre-assessment of what participants know prior to applying the scorecard as well as an indication of what they know after evaluation.

Pre-evaluation assessment is non-committal and meant to give an idea of the level of knowledge before the start of the onsite evaluation. It deals with ensuring the readiness for the evaluation. It indicates once more what target areas the SGB needs to focus on to prepare for evaluation.

Post-assessment seeks to understand the manner in which assessments took place and whether the participants were handled with respect and dignity as required by the WCED Monitoring and Evaluation guidelines. The post-assessment strategies also help to determine to what extent the learning objectives for development were met. In the final analysis, for the purposes of the development of both the pre- and post-assessments, the latter must indicate the actual areas the scorecard should improve on and those that are not relevant.

5.6 INDICES, BENCHMARKS AND TARGETS FOR QUANTIFYING THE SCORECARD

The WCED Quality Assurance's Monitoring and Evaluation guide (WCED, 2003c) sees indicators as something that, whether assessed quantitatively or qualitatively,

indicates progress through measuring the impact, success or limitations of a project. In the case of the governance scorecard the intention is to measure mostly qualitative indicators. Furthermore, as dictated by this WCED Monitoring and Evaluation guide, the development of these indicators will be such that they encapsulate the following elements:

- *Aptness and relevance* – the indicator should be directly related to the specific objective or goal of the project;
- *Specific, standardised and quantifiable* – these must be incorporated within the indicator;
- *Acceptable and credible* – to the constituencies and role-players for whom they are intended;
- *Aggregation* – indicators must be part of a whole and not stand-alone. The relationship between indicators for a particular goal or objective must be explicit;
- *Complementary* – allows for cross-checking of signals between indicators;
- *Impact orientated* – the indicator must measure what you are trying to achieve;
- *Specific* – well-defined and be understandable by all involved, not ambiguous;
- *Practical* – must be attainable.

Figure 5.4 shows a sample draft of the objectives, indicators, measures, and scores within the format of the scorecard for the special schools. The performance areas are broken down in terms of goals, which are themselves arranged according to the school governing body strategic objectives that are to be measured in accordance with their specific performance indicators and scored. Comments will also be given as to the specific challenges and perceptions in order to enable the SGB to easily adjust and improve its operations.

The scorecard will be developed in line with the mission, vision and the goals of the schools' governing bodies, where each goal is to be broken down into areas of activity or performance areas.

<u>Name of School</u>

Vision: _

Mission: _

Performance Area 1: _

Targets: _

Goals	Performance Indicators	Measures	Comment	Score (5-0)
1)				
2)				

Figure 5.4: Sample draft: A scorecard for special schools
Source: Compiled by the Author

These performance areas will themselves be elaborated and allocated functions and responsibilities of the school governing bodies in terms of Sections 20 and 21 of the SASA (RSA, 1996b) and the goals and mission of the school governing bodies as defined by the Western Cape Provincial Schools Education Act (Act 12 of 1997) and the WCED policy on special school governance.

In terms of the school curricula, allocated functions and financial responsibilities, the SASA Sections 20(1-2) and 21(1,a-e) clearly indicates what SGBs are supposed to do. Preliminary investigations at specials schools in the Western Cape indicated that most SGBs are able to comply with the relevant basic requirements of the SASA (RSA, 1996b). In other words, they are able to adopt a constitution, develop a mission statement for the schools and assist in the drawing up of a code of conduct for learners. Therefore in developing the indicators, leading questions are asked, e.g., How does your SGB function? Does your school you have a functional and legally constituted SGB? To ascertain whether a school has a legally functioning SGB means that some of the following issues must be addressed, leading to the identification of sub-indicators:

- Representatives should be properly elected;
- Members should represent all the various components of your school;
- Has the correct office bearers, i.e. chairperson, treasurer and secretary;

- Office bearers carry out their functions properly;

- Has the necessary sub-committees;

- Holds its required meetings and keeps required minutes;

- Has a constitution;

- Has helped the school to develop and/or revise its mission statement;

- Has helped the school to develop a Code of Conduct for learners;

- Undertakes the functions required by it in terms of Section 21 of SASA;

- Undertakes the monitoring of school finances (DoE, 2004: 104).

Pampallis (in Joubert, 2006:2-3) divides school governance functions into three clusters: firstly, providing for the democratic participation of all constituencies in the running of schools; secondly, mediating the interests of various constituencies in the school to ensure that different interests do not lead to the development of destructive conflicts; and thirdly, helping to create an environment conducive to teaching and learning in schools.

However, the functions of governing bodies are categorised between those that governing bodies "must" fulfil (Sec. 20 of SASA) and those that are "allocated" in terms of Section 21 of SASA to the so-called Section 21 schools. The mandatory functions of school governing bodies can therefore be demarcated as follows:

- **Policy matters:**
  - adopting a constitution;
  - mission statement;
  - admissions language;
  - religious observances;
  - code of conduct for learners;
  - financial policy;
  - recommendation of appointments.

- **Day-to-day matters**
  - determining the times of the school day;
  - support for the principal;
  - educators and other staff members;
  - the administration and control of the school's property;
  - buildings and grounds.

- **Financial matters**
  - establish a school fund;
  - prepare a budget;
  - collect and administer school fees;
  - financial records;
  - appoint an accountant;
  - supplementing resources (RSA, 1996b).

- **Allocated or additional functions** in terms of Section 21 of SASA (RSA, 1996b):
  - maintaining and improving the school's property;
  - maintaining and improving buildings and school grounds;
  - determining the extra-mural curriculum of the school;
  - purchasing textbooks and other educational materials and equipment;
  - paying for services to the school
  - providing community or adult basic education or other training classes.

Ensuring that school governing bodies promote the "best interests of the school" and strive to ensure its development through the provision of quality education for all learners at the school (SASA, Sec. 20(1)) requires knowledge and skills in the field of school governance (Joubert, 2006:3). It is evident, therefore, that school governing bodies need certain competences before being able to govern their schools; they also need to be assessed in order to ensure that targets are met and outcomes are achieved.

The performance areas with their targeted outcomes and results are themselves categorised according to the four key perspectives of Kaplan and Niven's balanced scorecard as applicable in the public sector and NGOs, i.e. financial perspective; internal process perspective; learning and growth perspective; and finally the customer perspective. The latter is the most important one in the public sector, as the core objectives of any public service is not to make profit, but to satisfy customer needs, which in this case are the needs of parents, learners and communities. This will also help to achieve a more balanced analysis of school governance, which in turn will satisfy stakeholders, in this case the Department of Education, the WCED and the funding agencies.

Finally, the total score achieved from the scores of each performance area will be added up and converted into a total percentage attained by the school governing body. That will therefore be the final score for the governance of that particular school as indicated through a school governance scorecard.

5.7   TIME-FRAMES AND PROCEDURE FOR EVALUATION

The evaluation process will mostly be informed by the steps of the WCED Directorate of Quality Assurance in planning a Monitoring and Evaluation exercise. This has been structured in the form of questions whose answers will help facilitate the evaluation. These questions are principally about:

- Reasons, purpose and motivation;
- Worthiness;
- Implementation of the M&E exercise;
- Subjects of the M&E;
- The monitors and evaluators;
- Methods;
- Time schedules;
- Control of information;
- Criteria for making judgments and decisions;
- Reporting (WCED, 2001a:8).

The school governance review process designed in line with the existing WCED Monitoring and Evaluation process (illustrated in Figure 5.5 below) includes the following steps: initiating the process, pre-assessment, on-site evaluation, oral summary report, a full scorecard report and a post-assessment.

Initiating process: 4 weeks before the proposed date of the school governance evaluation the school is informed of the intention to evaluate school governance in terms of the scorecard. The SGB and Principal are provided with a list of documents that are required to be produced, and the dates and deadlines for the various evaluation processes are agreed upon.

Pre-assessment: This takes place 2 days before the on-site evaluation. This is also the deadline for completion of the school's self-evaluation questionnaire, the completion of the required forms which provide information on the school, as well as the handing over of the required policy documents.

On-site evaluation: This lasts 2 – 3 days. During the on-site evaluation the school governance evaluation team will:

    – observe a parents meeting;

    – observe SGB and staff meetings;

    – evaluate the school's physical amenities and the resources;

    – interview SGB representatives, groups of parents, the principal, teachers,

    and non-teaching staff.

In this process questionnaires will also be used to gather information and data from these stakeholders.

Oral report to the SGB: This must be presented to the SGB and principal on the final day of the governance evaluation. This must include recommendations on how the school governing body might improve its practice.

Scorecard report: The evaluation team leader will provide the school with a comprehensive scorecard report on their findings within four weeks of the on-site evaluation.

Post-assessment: The school must respond to the findings of the evaluation team report within two weeks of receiving it.
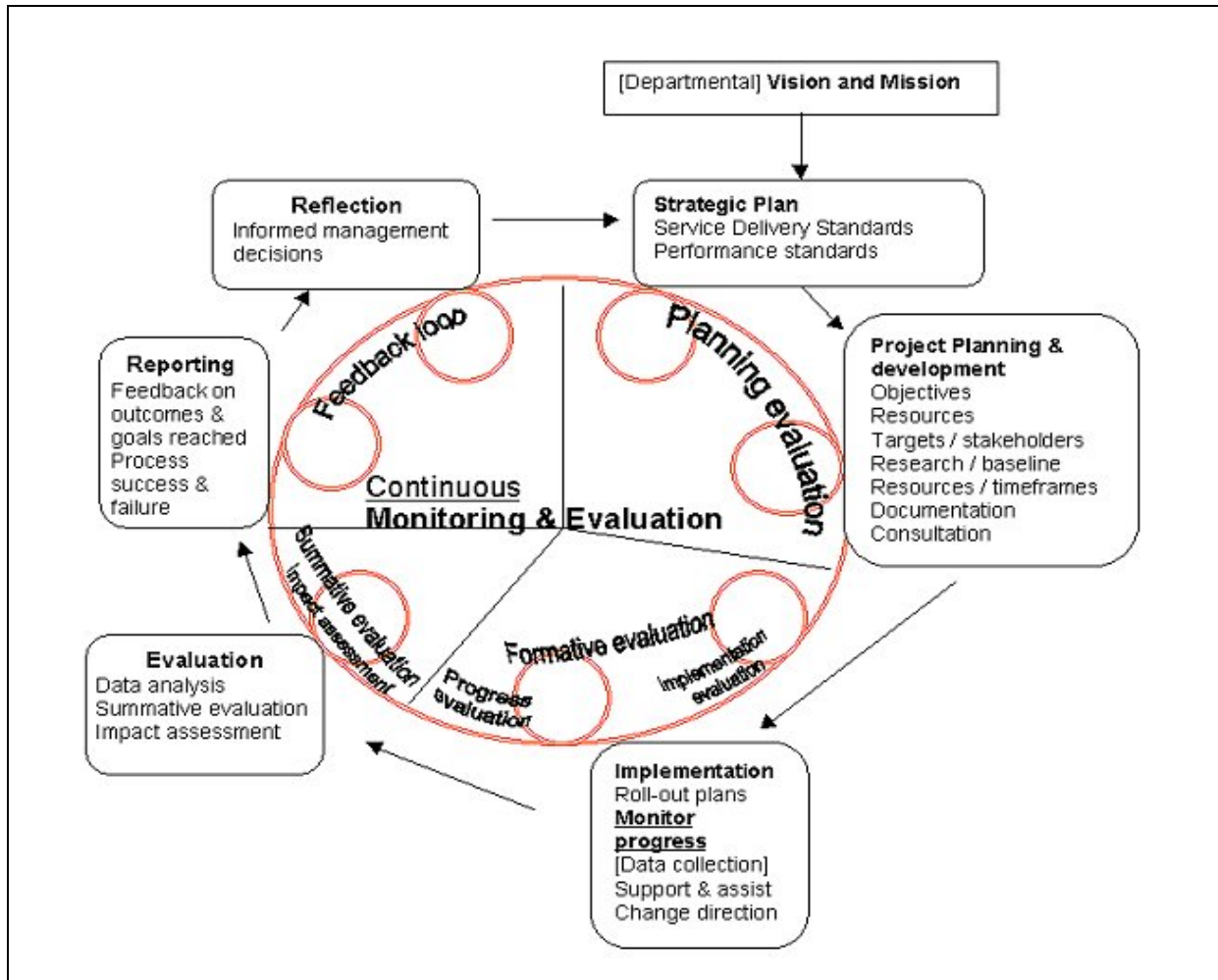
Figure 5.5: WCED continuous monitoring and evaluation cycle
Source: WCED M&E, 2003

As required by the monitoring and evaluation process in the WCED Draft Policy (2003c), monitoring and evaluation of school governance shall be a cyclical process. It shall inform future decisions and programmes and provide feedback on successes and failures and the reasons for them. The strength and effectiveness of a monitoring and evaluation system lie in the continual interrelatedness of the processes. Figure 5.5 explains the interrelatedness and continuity of the monitoring and evaluation process. The processes and procedures of the monitoring and evaluation process will follow a similar pattern as provided in this policy.

5.8   DOCUMENTS AND POLICY CHECKLIST

If SGBs are to meet their policy requirements in terms of the School Governance Evaluation process, they need to make sure not only that they have copies of the policies and documents indicated below, but that these documents are used to guide and monitor their operational effectiveness. This list was compiled according to the WCED School Policy Resource file, but it likely that the policy and document requirements of other special schools may be or not be comparable.

The documents and policy checklist also deals with an evaluation of the current state of policies by reviewing their applicability, relevance to current legislation, and plans for future review and developments. Appendix C provides an example of such documents, i.e. the Sun Valley Primary School constitution and Addendum of school governance policies, which are vital for the smooth running of the school; if used effectively, they can contribute towards effective and quality school governance.

The scorecard in its application process will also ascertain whether these policies are available, for how long, and when last a policy was reviewed, modified or developed in terms of the on-going and current changes in provincial and national policy provisions. The intention is to establish whether these given policies are in line with the law, as in most cases schools often face problems with the law in enforcing rules and regulations that have long been superseded by changes.

The following policies and documents will be checked and evaluated for quality and relevance:

- School vision and mission statements;
- Finance policy;
- Code of conduct (Educators);
- Code of conduct (Learners);
- Admission policy;
- Absenteeism and late-coming policies;
- Learning and teaching support materials policy;
- Maintenance policy;
- Subject/Learning area policies:

- o Assessment policy
- o Religion policy
- o Language policy
- o Extra-curricular policy
- o Environmental policy
- o HIV/Aids policy
- o Safety and security policy
- o Learner transport policy
- o Staff development and induction policy;
- Job descriptions;
- Time books (Educators);
- Timetables;
- Substitution timetables;
- Playground duty roster;
- Learner register;
- School Improvement plan;
- Budget;
- Logbook;
- Year plan which lists all activities for the year
- Registers for:
  - o admissions
  - o school assets
  - o attendance
  - o leave
  - o accident reports;
- Minutes of meetings of the various management and governance structures of the school (SGB, SMT, etc.)

5.9   CONCLUSION

The overriding element of this scorecard is the fact that it must meet all the policy requirements as determined by the Western Cape Provincial Schools Education Act, Act 12 of 1997 (RSA, 1997) and the SASA (RSA, 1996b). It is important that it

operates within an enabling policy and regulatory environment for school monitoring and evaluation practicable in the WCED. As an instrument that was not available before, it is imperative that the School Governance Scorecard (SGS) must be designed on the most simplified scale as possible, and must use a manageable number of the most influential and effective indicators according to the school governance goals linked to the performance areas. Enough room has to be created for the expansion and development of the instrument as more studies and new policies will have an impact on it.

Using the principles, process and practices that should guide the usage of a scorecard system in special schools in the Western Cape, the next chapter will set up a model for measuring school governance. On the basis of the explanation of key issues, concerns and important procedures provided, this scorecard will be most effective within a specific enabling policy environment, which must be ensured. The Western Cape Education Department's IQMS (WCED, 2001a) draft guidelines, the Western Cape Provincial Schools Education Act, Act 12 of 1997 (RSA, 1997) and the specific sections of the SASA (RSA, 1996b) are the cornerstones of the legislation that creates this specific enabling environment.

CHAPTER 6

THE BALANCED SCORECARD: A NORMATIVE MODEL

6.1   INTRODUCTION

This chapter presents a scorecard model that will be used in measuring the standard of governance in the WCED special school, as explained in the preceding theoretical chapters. It is a simple clinical resource that is easy to utilise, with a low level of teamwork and professional human resource requirements.

This scorecard is a kind of a school governance report card for public special schools, which are governed as Section 21 category schools in terms of the SASA (RSA, 1996b). It can, however, be further studied and developed for application in all mainstream schools, including non-Section 21 schools. Along with the test scores, it will include data on factors that can affect school governance performance such as teacher and staff appointment and promotion, parental involvement, and the adequate usage of school buses and transport. In the final analysis scores of between 0 - 5 are given for each indicator question in each of the ten performance areas. Then a final score and percentage are calculated from adding the Performance Areas scores.

The chapter starts by explaining the purpose of using the scorecard in special schools in the Western Cape, so that in analysing the model that is presented the context is fully understood. The particular aim is to enable school governing bodies and schools in general to reflect on the quality of their governance in order to identify areas of failure that needs to be prioritised for improvement. So it acts as a mirror of the school's governance and management continuum.

It then discusses the presentation of the scorecard and explains the model and its specific aspects. This section starts with a close review of the way in which this scorecard has been developed, the important elements that are involved, and the scoring process. It explains briefly the online usage of the scorecard to enhance management and quality of results. Documents and forms used in the evaluation

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process, i.e. the scorecard assessment forms and the document checklists, are also briefly outlined.

Before the actual scorecard is discussed, a brief note will be necessary on the level of detail in the measurements. This is once again a reflection of the complexity or simplicity of the instrument and its applicability in the public sector set up. At this point the model, which covers a broad range of school governance indicators, will be presented. This will be followed by a guide to using the scorecard, where the emphasis is on the need for the training of the assessors and scorecard users. Lastly, the limitations are discussed and a disclaimer added.

6.2 THE PURPOSE OF THIS SCORECARD

The purpose of this scorecard is to measure the governance of public special schools and to help the school governing bodies, school principals, WCED and stakeholders to determine their school's progress in school governance and management. It is a short, straightforward measurement tool to help public special schools identify where they are succeeding and where they need to address gaps. Because this scorecard can be completed by both internal and external measures, it can also be a useful team-building exercise. The purpose is to promote performance that must guide the way in which a school is appropriately governed as required by the SASA (RSA, 1996b) stipulations on school governance. It is useful for schools to gradually improve their standard of governance by periodically doing self-assessments.

The aim of this scorecard is not to enforce monitoring and evaluation of all special schools, but it is intended to be applied voluntarily to special schools that wish to participate, and those schools will accordingly be members of the School Governance Peer Evaluation Group (SGOPEG). The group teams including specialist bodies will once every 2 – 3 years embark on programmes of school governance evaluation among member schools. However, between these periods member schools will be allowed to use this scorecard to perform self-assessment exercises. These self-assessments would be done annually and simultaneously, as

the scorecard website would be opened for access by school governing body internal assessors.

The intention in using an online version is to enable assessment to be done uniformly and quickly, and to generate results rapidly. It will be a self-management system in that by clicking on a button the percentage results will be calculated and displayed. It will be up to the particular school governing body to decide if they want to publicise their outcomes to other member schools, or to not reveal their results. It is important first to understand how the scorecard is designed and how it operates. That will give information about the performance areas and indicators that are measured. All these will be defined in the presentation of the scorecard that follows.

6.3 PRESENTATION OF THE SCORECARD

The scorecard has been designed according to the key principles developed by Stolton *et al.* (2003) for the World Bank's WWF Alliance for Terrestrial Protected Areas and from other tools for assessment of non-profit and public service programmes (Hocking *et al.*, 2000; Mangubhai, 2003). It is a simple instrument to facilitate reporting on governance and effective development of public special schools in the WCED. It has been built around the key principles of good governance as defined in the WCED guidelines for effective school governance as well as the IQMS monitoring and evaluation code for schools. These WCED frameworks provide some important guidance in the development of monitoring and evaluation systems and encourage standards for school governance assessment and reporting.

Table 6.1: IQMS Score Index

Outstanding	No further improvement possible	5
Good	Above average (high standard and high quality)	4
Acceptable	Broadly typical / Average (It meets expectations)	3
Needs Improvement	Below average	2
Needs Urgent Support	Well below average (unacceptably very low standard and quality)	1
Not Available		0

Source: WCED, 2001a

The scorecard is based on the key performance areas that good school governance entails and each is viewed in terms of the indicators, goals/objectives and measures. In this scorecard the scores are allocated per indicator and constructed as: 5 = outstanding; 4 = good; 3 = acceptable; 2 = needs improvement; 1 = needs urgent support; 0 = no information available. The scoring definition index adapted from the Integrated Quality Management System IQMS (WCED, 2001a; 22) is further indicated in Figure 6.1 in the scorecard synopsis. After that the score and comments are given. Figure 6.1 is a brief synopsis of the scorecard, showing only a few indicators from the first performance area.

Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3. Needs Improvement; Below average = 2. Needs urgent support; Well below average (Unacceptably very low standard and quality) = 1. No Information available = 0

Indicators	Goals	Measures	Score (0-5)	Comment
1) SGB Election	Every three years the different school constituencies elect delegates to participate on the SGB to represent their interests on school matters.	Correct principles and procedures were followed for electing the relevant role-players in a fair and democratic manner.		
2) Constitutionality and Legal status	SGB must be fully established and operating in terms of relevant laws and the Constitution.	The SGB must be in a complete juristic and constitutional state with legal capacity to perform its functions in terms of the SASA (1996). It must also be fully recognised by the laws.		
3) SGB Structure	The organisational set-up of positions, format and numbers of representatives and organisation of the governing body should be structured correctly.	SGB structure should be constituted correctly in terms of SASA Section 24 with an executive committee made up of Chairperson, Secretary and Treasurer.		
4) SGB Sub-committees	School governing body should establish various committees to handle specific school matters and to help it govern well	SGB has established financial, staff appointments, sports, environment and health. Each committee is chaired by an SGB member		

Figure 6.1: A Synopsis of the School Governance Scorecard
Source: Compiled by the Author

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However, an excellent suggestion from Papalexandris *et al.* (2005:222) is that small-scale re-evaluation and fine tuning of the scorecard can be performed quarterly or semi-annually, with a large scale re-evaluation taking place yearly or whenever there is a significant shift in the education and school's policy strategy.

This scorecard essentially contains indicators, goals, measures as well as targets of good school governance practices to assist SGBs in fulfilling their school missions and developing professionally. The good practices are provided for various performance areas, i.e. meetings; principles of good governance; vision and mission; school financial management and fundraising; communication; employing educators and staff; developing school policies; and overall school development.

Figure 6.1 contains a very brief view of the elements of the school governance scorecard and the criteria that can be measured. This scorecard is currently available only in English, but will soon be translated into Afrikaans and Xhosa. It will also be accessible online at the following website: www.sgopegscorecard.co.za, soon to be created and utilised in order for the member schools to access it for self-assessment, which will be undertaken at a prescribed period yearly. It is important to indicate that the website is not yet active at this stage. The intention is to work in partnership with the *Khanya Project,* the WCED's outsourced Information and Technology Company, to roll out this computerised system to all special schools that participate in the SGOPEG project and to have all school assessment officers trained in its operation. Member schools can access the website with a password and a pin code to be supplied on registration. The results may also be made available online, if the school governing body and principals are willing to share them.

6.4   DESCRIPTION OF EVALUATION FORMS USED

Essentially there are two forms to be completed as part of this school governance evaluation process. As indicated below, it is the scorecard assessment forms that will give the score after the evaluation. The policy checklist form, on its part, is meant to check and evaluate only the availability of school policies and important school

documents that are crucial for effective institutional management. It is important for a school to get excellent scores on both these evaluations.

Two evaluation forms need to be completed:

- Scorecard Assessment Form – The scorecard form includes various performance areas, all of which should be scored;
- Document and Policy Checklist – The checklist for evaluating key policies, documents and information on school governance as well as the standard and governance objectives.

6.4.1 Questions and scores

The main part of the scorecard form is a series of questions grouped in terms of specific performance areas and targets of school governance evaluation as indicated in Figure 6.1. It also has other important elements such as indicators, goals, objectives, measures, scores and comments. Each indicator should be scored between 0 and 5, based on the level of performance. A series of answers is provided for each question to help scorers or assessors determine the relevant ranking.

Some of the questions that are not applicable to a particular type of special school governance set-up should not be ignored or omitted, but should be marked with a clear, neat and visible dash line and the specific reason must be given in the comments section. This is, inevitably, an approximate process and there will be situations where some of the indicators do not fit conditions in the special school very precisely. Users of this scorecard must choose the answers that are nearest to the situation in the school and they must use the comments section to elaborate

6.4.2 Targets

The targets are expressed in the form of minimum percentage scores expected from schools on a specific performance indicator. The key variables in determining these percentage score targets are law and policy as expressed in the legislative framework on school governance. Consultations, discussions and workshops held during the development and pre-implementation stages of the scorecard resulted in consensus among role players, schools and department officials on minimum targets

scores from all performance areas of the scorecard. Expected targets range from stated minimum targets upwards. However, if the minimum expected target is a range, e.g. 85%-90%, this means that room for change in the minimum score over time is acknowledged.

The fact that minimum expected scores differ between the various performance areas is due to the level of emphasis they are given by the department through its policies, regulatory framework as well as actions taken to enhance that particular area of school governance. For instance, financial management and safety in schools are some the most often expressed aspects of school governance, and therefore the minimum target expected is higher.

6.4.3 Comments

The comments section allows for qualitative explanations, ranging from personal opinion, a reference document, monitoring results or external studies and assessments, to justify why certain scores were given. The point is to give anyone reading the report an idea of why particular assessment scores were given. The researcher also suggests that respondents should add any useful information that could be shared with other school governing bodies and schools, for example, good practices or successful activities.

6.4.4 Final score

Scorecard users and assessors will have a score for each of the performance areas of evaluation and a final score after completing the assessment form. In cases where some questions are not scored, e.g. they are not applicable or not relevant to the particular special school, then the maximum score should be changed to an adjusted score (maximum possible score minus points for questions that are not applicable). Therefore the final score will be a percentage of the score over the adjusted maximum score.

6.4.5 Performance areas linkage to indicators, goals, and measures

A number of performance areas have been developed from various school governance frameworks, regulations and literature as well as from policies and literature on good governance. These were analysed and remodelled in line with the

primary policy documents, ie. SASA, National Education Policy Act, Act 27 of 1996 and Western Cape Provincial Schools Education Act, Act 12 of 1997 sections dealing with schools governance, discussed in Chapter 4, as well as the literature on the balanced scorecard for educational and non-profit sector as presented in Chapters 3 and 5 . Since of these performance areas is broad, they were each broken down into indicators that are the building blocks of each performance area. For each of these indicators a goal and measure was designed on the proposal of the framework or literature. For instance as illustrated on, performance area 1 in the scorecard model looks at the overall state of SGB, where indicator 1 is about SGB election. The goal is that every three years the different school constituents elect delegates to participate on the SGB so as to represent on the school matters.

Therefore the measure of this indicator is to answer a question whether the SGB was elected properly and the correct procedures and principles were followed for electing the members in a democratic, free and fair manner. The score out of 5 based on Figure 6.1 above is then allocated. Finally, if there is any statement or comment for improving the status quo it should be written on the column allocated. The same methodology was followed on all the other performance areas.

6.5   LEVEL OF DETAIL IN MEASUREMENT

This scorecard focuses mainly on the context of special school governance and requires little or no additional data collection from outside. It also takes account of the processes of school governance, including policies, status and responsibilities. The scorecard relies mostly on informed opinions from the school governors, principals, educators and parents. Another advantage is that it takes little time and requires few resources. Many issues are broadly covered, but the depth of analysis is generally low.

This scorecard approach is more useful if the focus is on improving the governance process and it reflects more about the achievement of good school governance and the school objectives. However, the confirmation of final school governance outcomes requires an independent evaluation through other more in-depth evaluation instruments.

6.6 THE SCORECARD FOR GOVERNANCE OF SPECIAL SCHOOLS IN WESTERN CAPE: A NORMATIVE MODEL

Name of School: _____ **EMDC**:_____

ELSEN Type:_____

Address:_____
_____
_____
_____

Tel/Fax:_____

E-mail:_____

School Principal: _____

School Governing Body Chair:_____

Signature:_____

Signature:_____

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SCHOOL
STAMP
```

Vision:_____
_____
_____
_____

Mission:_____
_____
_____
_____

Performance Area►1 : OVERALL SCHOOL GOVERNING BODY STATE; The overall status of the school governing body is important for it to function effectively. As the SASA (RSA, 1996b) indicates the SGB must be established properly in terms of the law. It must also have correct structures and do all its functions as required.

Targets: To have a correct foundation framework and perform all functions excellently as required by law. To target a score of over 90% in this PA as a basis of overall success.

Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3.
Needs Improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No Information available = 0

Indicators	Goals	Measures	Score (0-5)	Comment
1)SGB Election	Every three years the different school constituents elect delegates to participate on the SGB to represent their interests on school matters.	Correct principles and procedures are followed for electing the relevant role-players in fair and democratic manner.		
2)Constitutionality and Legal status	SGB must be fully established and operating in terms of relevant laws and Constitution.	The SGB is in a complete juristic and constitutional state with legal capacity to perform its functions in terms of the SASA (1996). It must also be fully recognised by the laws.		
3)SGB Structure	The set-up of positions, format and numbers of representatives and organisation of the SGB.	Should be constituted correctly in terms of SASA Section 24 with an executive made of Chairperson, Secretary and Treasurer		
4)SGB Sub-committees	SGB should establish various committees to handle specific school matters and to help it govern well.	SGB has created financial, staff appointments, sports, environment and health committee, etc and each committee is chaired by a governing body member.		

5)Co-option of Experts	Governing bodies can co-opt people with particular skills and expertise to assist it do its work better as provided by SASA.	Individuals with special knowledge, skills and key expertise should be co-opted on clear basis. Their status, roles and voting rights should also be well defined.		
6) School Leadership and Planning	Governing body is expected to provide leadership and create mechanisms for planning in the school so that it can fulfil its particular purpose	The school must have good leadership and planning focused to attainment of its stated mission and vision in a democratic and consultative manner.		
7) SGB Constitution	The SGB must also adopt a constitution setting out how the SGB will govern the school.	The SGB constitution must define the school mission statement setting out the values and beliefs of the school.		
8)Policies	The governing body must determine various school policies that will define the course of management and development of the school.	The school policies must be based on the broad legislative framework, SASA, and WCED regulations and special needs education principles. They must also be regularly reviewed and developed in line with on-going policy changes nationally and provincially.		
9)Communication	Constant and open communication and consultation as a key element of good public governance.	The school should adopt and uphold an effective and good communication culture between SGB, parents, staff, learners, community and other stakeholders on all school matters.		
10)Procedures	Specific guidelines and processes on meetings and decision-making on school and governance matters.	Decision-making and meeting process and procedure must be based on the guidelines of the SGB constitution and regulations of the WCED and SASA.		
		TOTAL SCORE		
		TOTAL %		

Performance Area 2 : <u>MEETINGS</u>; The SGB meetings are the defining operational factor on school governance. It is important therefore that meetings are planned, organised and handled the right way.

Targets: To have the correct procedures followed in SGB meetings. Looking for a percentage score of between 70% – 80 % as a starting point. Most members still need training on meeting management

Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3. Needs Improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No Information available = 0

Indicators	Goals	Measures	Score (0-5)	Comment
1)SGB Meetings	These meetings take place between general and parents meetings to deal with Pertinent day to day school governance matters and are only attended by relevant elected people	The attendance is only for the SGB members, any other member can be invited on a specific report or mandate to be discussed. The quorum of the meeting must be adhered to.		
2)General/ Parents Meetings	Open meetings held by the governing body with the broad constituencies of all categories of stakeholder groups in order to give reports and seek new mandates on school matters	SGB must hold meetings of the governing body with parents, learners, educators and other staff at the school, respectively, at least once a year.		
3)Attendance	SGB must encourage maximum presence in meetings especially in general meetings where decisions are to be taken or where elections are to be held.	A record of attendance must always be kept in meetings. Parents and members must send a letter of apology if they cannot attend a meeting.		
4)Participation in Discussions	Broad-based and equal opportunity to voice opinions and ask questions by parents and stakeholders in school meetings.	The numbers of individual members making opinions, asking questions and putting forward views in SGB, parents and stakeholder meetings per total number of attendance.		

5)Democratic Style of Meetings	The manner in which the SGB and the Chairperson Allows for open contestation of ideas and views, and how individual members feel welcome to voice opinions in the school meetings.	SGB does allow for an open participatory democracy where individual members can freely voice their views and ideas on issues affecting their children and learners at the school.		
6)Time Management in Meetings	Keeping time in school meetings is very key to enhancing attendance and participation	Ensuring that SGB meetings are started and finished on time, and that all issues are given sufficient discussion time.		
7)Regularity of Meetings	Frequency of meetings must be in line with the constitutional provisions and the requirements of the law regulating school governance	SGB meetings must take place at least once every three months except when there is urgent school matter that needs to be addressed.		
8)Meeting Notices	School must hand out standard notices of invitations to the meeting to all the parents and/or SGB meetings.	Meeting notices must be clear, standard, and sent on time to all participants and members. They must have all important meeting details including an agenda		
9)Quality of Reports and Minutes	The written copies of reports and minutes of meetings and discussions must be recorded.	The minutes of the meeting, agenda and any other reports must be made available and must of an acceptable standard.		
10)Language of meetings	Meeting discussions and documents must be in a language that can be easily understood by all members and parents so as to accommodate even the most illiterate and uneducated participants.	Language of communication in discussions must either be the mother-tongue or a common language understood by all the participants.		
		TOTAL SCORE		
		TOTAL %		

Performance Area 8: SCHOOL VISION AND MISSION STRATEGIES; Schools need to have a clear and powerful vision and mission statements. It gives focus to the direction where the school is going. Governing body must ensure that the vision and mission is well communicated and shared by all stakeholders.

Targets: To have a very effective, clear, shared and well communicated vision and mission statements for the school. To have 85% percentage score in this area.

Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3. Needs Improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No Information available = 0

Indicators	Goals	Measures	Score (0-5)	Comment
1)Vision	School governing body must develop an ideal statement of the school. What they want the school to be.	SGB has a vision statement that effectively outlines the purpose of the school and informs its purpose and is based on the mission and values as informed by WCED policy.		
2)Mission	SGB must adopt a school mission statement setting out the values and beliefs of the school that drive the ways of arriving at the school vision.	Develop and communicate school vision, mission linked to school policies and plans in a collaborative way and secure commitment to these.		
3)Ethos	A critical and collective understanding of the values that the school upholds	The governing body must ensure that teachers, learners, and parents share and uphold the school ethos.		
4) Relevance to WCED's Vision and Policy	Vision and mission statements of the school must be relevant to the policy objectives and vision held by the WCED and DoE.	The school vision and mission share common ideals with the broad vision and perspectives of the WCED and DoE.		

5)Strategy Communication	The governing body must always strive for a well communicated and shared strategy and mission in order to have effective performance and results.	The school mission and strategies are well communicated to all the parents, teachers, learners, community, and other stakeholders.		
6) Regular Review and Adaptation	Vision and mission must be regularly reviewed and adapted to changing environmental and policy imperatives of the DoE.	The times that the vision and mission statements have been adapted from the initial to the current in relation to DoE policy changes.		
		TOTAL SCORE		
		TOTAL %		

Performance Area 4: <u>PRINCIPLES OF GOOD SCHOOL GOVERNANCE</u>; These principles are important for effective governance and harmony in schools and the SGB needs to strive to practice them for sustainable school leadership and development.

Targets: The school must be governed according to these basic principles of good governance. A score of between 85% - 90% is a target in this area.

Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3. Needs Improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No Information available = 0

Indicators	Goals	Measures	Score (0-5)	Comment
1)Responsibility	Putting the best interests of the school including learners, teachers, and parents first and governing with great care and responsibility.	The SGB handles the school matters responsibly and takes care of all the concerns, needs, and interests of various stakeholders. It also holds the interests of learners dear.		
2)Accountability	Decision-makers being held accountable and responsible for the good governance of the school.	SGB are fully accountable to school parents and stakeholders and serve their interests through mandates and report-backs.		

3)Transparency & Openness	There needs to be equal, open , and free-flow of information from the SGB and the school constituencies and stakeholders	SGB must operate visibly and openly, and there must be free access to information by all the stakeholders and the public		
4)Consultation	In school governance, the SGBs practices broad consultation with the public and relevant role players.	SGB consults with all the stakeholders including the school principal, parents, teachers, when making decisions. This is done through meetings with general memberships of all school groups.		
5)Integrity	The ethical and just values consistently reflected by the school, in particular in governance.	The day-to-day school governance practices are a consistent model of integrity, efficiency, and accountability and reflect honesty, openness, and fairness in parent relations.		
6)Ubuntu	Caring and showing a deep sense of understanding and concern to the wishes and interests of others.	In governing, the SGB must practice humanity and show care and understanding to the needs and concerns of all stakeholders especially parents and learners.		
7)Equal Participation	Freedom role-players to actively participate equally and constructively in all school governance and development matters.	All stakeholders have equal voice in decision-making and are free to part take equally in all school developmental activities		
8)Value for Money	Cost of the SGB ineffectiveness is far more than the price and time of learning to govern well.	SGB uses its resources and school budget in implementing good school governance effectively and efficiently.		
9)Acts and speak as one	The sense of showing unison in communication and acting as one body, putting personal interests aside in order to encourage unity in the school.	SGB members must always act as a team and speak in one voice on issues of the school governance.		

10)Delegation	SGB can delegate most of their functions to committees or individuals, but they remains accountable for any decisions taken.	SGB carefully considers tasks to be undertaken before delegating some of the work to committees or individuals and remains accountable for results.		
		TOTAL SCORE		
		TOTAL %		

Performance Area 5: SCHOOL FINANCE MANAGEMENT; Section 21 schools have an additional responsibility to take charge of and to oversee the financial operations of the school. The governing bodies therefore have manage school finances in line with the principles of Public Finance Management Act (1999).

Targets: To be efficient, transparent and accountable in handling the school finances. In this category the target percentage score is 95% - 100%.

Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3. Needs Improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No Information available = 0

Indicators	Goals	Measures	Score (0-5)	Comment
1)Budgeting	SGB must prepare and get approved by all school stakeholders an annual school budget for the following year.	Budget must show estimated school income and expenditure and must be developed according to the policy and guidelines of the WCED.		
2)Fundraising	Schools must take measures to raise additional funds to supplement the resources and capital supplied by the WCED.	The SGB has set in place and embarked on fundraising activities to generate additional funds to improve the quality of learning provided to all learners in the school.		

3) Financial Records	The record statements of finances collected, received and spent by the school.	SGB must keep a balanced statement of the records of all funds received and utilised by the school signed by the principal and SGB Chairperson.		
4) Auditing Systems	Annual financial records of the school must be examined and audited by an accounting officer who has no interest in the financial matters of the particular school at hand.	The governing body must appoint an independent accountant and/or auditor to audit the records of financial statements, as defined above.		
5) Procurement and Acquisition	Procurement and acquisition system in the school governance context has to adhere to good governance principles and the PFMA (2001).	The business relationships with the suppliers in the procurement and acquisition of goods, services and equipment for the school are executed with the highest standard of integrity.		
6) School Fees Collection	Governing body must determine and charge school fees in order to supplement the budget allocated by the WCED in terms of norms and standards for allocations.	A school fees resolution must be taken by the majority of the school parents and must take account of exemption of parents and effectively collected.		
7) Banking	The SGB must open and maintain a school banking account where all money received by the school including school fees and fundraising and contributions must be paid into a school fund.	The school maintains a credible bank account and all its finances are kept in a school fund under supervision of the finance committee and the signatories and there are no bank overdrafts.		
8) Resources and Asset Management	Assets and resources acquired by the SGB for management and development of the school are the property of the school must be well managed and utilised only for educational purposes.	The school has a system in place for monitoring use and maintenance of school assets and resources. It also has a yearly asset and resource stock taking as part of resource evaluation.		

9)Provision of Learner and Teacher Support Material	The SGB and school management team ensures that within the school financial resources a budget is made for the purchasing and provision of LTSM.	SGB ensures the on time order, purchase and delivery of LTSM including textbooks and stationery to school within the policies of acquisition.		
10)Cost Accounts and Taxes	Ensuring a good management of service bills, accounts and taxes management record.	The school is always on par with the payment of municipal service bills, accounts and revenue service taxes and keeps a good record of it credit payments.		
		TOTAL SCORE		
		TOTAL %		

Performance Area 6: <u>STAFF EMPLOYMENT AND RECOMMENDATION</u>; **This is one of the main causes of conflicts in schools. The SGB needs to handle educator employment and recommendation issues in terms of the law, i.e., the Employment of Educators Act (1998).**
Targets: SGB's will be total nonpartisan and transparent when they handle staff employment and selection in school posts. The performance target score is for 80% or more in this area.
Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3. Needs Improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No Information available = 0

Indicators	Goals	Measures	Score (0-5)	Comment
1)Educator Recommendation for Appointment	SGB has an obligation toward the school community to recommend the appointment of the best qualified, motivated, committed and competent educators.	The governing body practices its role of educator selection and appointment in an effective, transparent and honest manner, in line with the Employment of Educators Act (1998) resulting in selection and recommendation of best candidates.		
2)General Staff Employment and Promotion	SGB must make recommendations to HOD on the employment and promotion of non-educator staff, and general and assistant workers.	The governing body practices its role of staff appointment and promotion in an effective, transparent and honest manner, in line with the Employment		

		Equity Act (1998) resulting in selection and recommendation of best suitable candidates.		
3)Staff Orientation and Retention	SGB must have policy in place for new educator and staff introductory and development programmes for keeping them longer in the service of the school.	The school must put in place educator and staff orientation programmes and put emphasis on talent management, career development and mentorship.		
4)Interviews and Short-listing	School governing body must create a fully representative staff selection committee for interviewing and short listing.	The entire committee is always present and equally participates in educator and staff short listing and interviews.		
5)Demotion and Dismissal	The SGB has a responsibility of fairly recommending to HOD for the demotion and dismissal of staff and educators in cases of ill-discipline and poor performance.	The governing body discharges its constitutional role on recommending a staff or educator dismissal and/ or demotion in a fair and non-partisan way as defined in Section 186 of the Labour Relations Act and ELRC.		
6)Contract and Part-time jobs	Often the SGB on posts provided from its own funds, has to handle selection and appointment of staff for part-time and contract jobs.	The selection of staff and educators for part-time and contract posts must be done on fair and equitable manner in line with the law.		
7)Acting Opportunities	The equal opportunities for all educators and staff currently employed at the school to be considered for acting on temporary and senior level positions.	The governing body must handle the selection of educators and staff for acting in an equitable and fair manner where all individuals are equally considers and given opportunity.		
8) Further-training, volunteering and Development	Equal opportunities for further-training, volunteering and development of staff and educators as it can be viewed as prospects for promotion chances.	All educators and staff are given equal opportunity on further-training, volunteering and development to improve their skills and prospects for promotion consideration.		
		TOTAL SCORE		
		TOTAL %		

Performance Area 7: **PARENTS AND COMMUNITY ROLES**; Parents in particular and community needs to be fully involved in the school's affairs. The final word on any school issue must come from the parents however some need to be trained to play their roles effectively.

Targets: To have highly involved parents who take part fully in school affairs. Parents must attend meetings regularly and effectively take part in discussions and school activities. A 90% - 95% score is targeted for this PA.

Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3. Needs Improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No Information available = 0

Indicators	Goals	Measures	Score (0-5)	Comment
1) School Policy-making	Parents of learners at the school should play a significant role in the formation and adoption of school policies and through various committees should take part in their implementation.	The SGB must ensure that all the parents of learners at the school play a major part in formulation, adoption and implementation of school policies as suggested in the Schools Act (1996).		
2) School Activities	A school has a yearly activity programme where parents and the other community organisations can participate in an education partnership.	Parents and the community are very involved and visible in various school activities like concerts, sports, and school academic and social events.		
3) School Finances and Fund-raising Activities	SGB must ensure that the parents of learners at the school are directly involved in all matters of school finance and in fund-raising activities.	Parents must perform their responsibilities of overseeing school finance activities, adopting budgets, and they must be directly involved in school fundraising programmes.		
4) Extra-mural Activities	The visibility and involvement of parents and governing body in all extra-mural and cultural activities is important for the school.	Parents must play a most active part in the schools' extra-mural and cultural activities like sports, arts, games, choir, etc. that their children are involved in, assisting the educators.		
5) School Maintenance	Making sure that the school is neat, in good condition, clean, and well-maintained.	The governing body must allow some parents who are unable to pay the school fees for their learners to		

		directly participate and assist in school maintenance duties.		
6)School Protection and Security	Learner's and school safety is an important part of effectiveness and the SGB must ensure that the community are partners in protection and school safety responsibility.	There must be in place a contingency strategy involving the community and parents for ensuring learners and school safety in line with WCED's Safer schools policy.		
		TOTAL SCORE		
		TOTAL %		

Performance Area►8: <u>SCHOOL IMPROVEMENT AND DEVELOPMENT</u>; **One of the main responsibilities of the SGB is to facilitate school development and improvement programmes. In this regard the school must not be behind others.**
Targets: To have a school that is well developed and improved. The school must strive to achieve modern outlook and must be beautiful. Hoping for a 75% score and more in this area.
Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3.
Needs Improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No Information available = 0

Indicators	*Goals*	*Measures*	*Score (0-5)*	*Comment*
1)School Improvement Plan	A plan for school improvement which sets out strategies and programmes as recommended by SMT and staff and identified through Whole School Evaluation.	SGB must ensure that the school has in place a School Improvement Plan that sets out programmes and plans for school improvement as required by DoE.		
2)Staff Skills Development	All staff must be encourages to participate on identified and relevant skills improvement programmes though DoE facilitated or school promoted initiatives.	There must be in place, and he school must embark on relevant and quality staff skills development as part of the school improvement plan.		

3)Management Training and Development	School management development at all levels of the school system is identified by WCED as key factor affecting effective school governance and performance.	Training of school management teams must ensure that the school is managed by competent and knowledgeable manager and educators.		
4)School Governing Body Training	Given the nature and amount of work to be done by the school governing body the DoE has to provide training for SGB members in order to improve capacity to do its work effectively.	The school ensure that the SGB is provided with relevant orientation, training, and advanced training programmes that will enhance their capacity to govern effectively.		
5)Improving School Buildings and Environment	The school governing body must maintain and improve the school's property, buildings and grounds.	The school buildings, grounds, fencing, and the entire school environment must always be maintained and improved regularly.		
6)Information and Communications Technology	In this age of the Internet, the Information and Communications Technology could play an invaluable role in school governance.	Schools governors must be trained in using technology to support and deliver the quality governance, and all SGB members are able to use this enhanced technology environment.		
7) School Infrastructure and Property Development	The use and development of school's resources like, classrooms, offices, garages, buses, vehicles, tools and equipment, parking, etc.	SGB must ensure a sustainable infrastructure and property usage for school development.		
8)School's role in Community Development	The governing body must encourage the school to contribute to a wider community development in areas related to the school.	The school must take a leading role and responsibility in a number of community development programmes particularly in areas where the school specialises.		

		TOTAL SCORE		
		TOTAL %		

Performance Area 9: __HEALTH AND SAFETY IN SCHOOL__; Health and safety are issues of importance to both learners and staff at the school. It is therefore important for school governors and management to ensure that school health and safety standards as espoused by the WCED are maintained.

Targets: The schools are to have highest standard of health and security. Regular health checks and security at gates and around the schools shall be maintained all times. Looking for a performance target score of 85%

Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3.
Needs Improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No Information available = 0

Indicators	Goals	Measures	Score (0-5)	Comment
1) Learner Safety	The safety and protection of learners in school and on the way to and from school is important to the SGB and adequate measures to ensure learners safety need to be put in place.	There are very effective plans and measures put by the governing body to ensure learners safety in school and on the way to and from school.		
2) School Security	The governing body must make sure that the school buildings, properties, and equipment are well protected from thieves and vandals.	There are security systems in place to ensure that the school is well secured to ensure school buildings, properties, and equipment are effectively protected.		
3) Health Issues	The governing body must ensure that the school is health conscious and applies strict principles that guarantee the health welfare of learners and staff.	The nature of health measures and inspections that were done on the school areas like kitchens, toilets, taps, etc. to ensure that learners and staff are safe from health hazards and disease.		

4)Learner Abuse	Learners must feel protected from any kind form of violation of their safety which threatens physical violence which may cause injury or even death.	The school must put in place enough measures to prevent any act or threatened act of physical violence which may cause injury or even death to a learner.		
5)Sexual Harassment	SGB must stop these are unwanted conducts of sexual nature that often done by colleagues to one another which demean the character of individuals.	The governing body has created measures to curb any unwanted nature of sexual harassment gestures and behaviour that is unwelcome and un-mutual from colleagues.		
6)HIV Aids Awareness	Teaching HIV/AIDS within the curriculum is an integral part of the school governing body as is mandatory in all schools of the WCED.	The HIV/AIDS education must be implemented through formal classroom teaching, the training of learners and teachers is viewed as a major programme of the school governing body.		
7)Intimidation and Harassment	There must be no conveying of threats and incidents that are unwelcome, unwanted and have destructive effects on fellow colleagues or individuals at work.	The school does not tolerate any unfair treatment, intimidation and discrimination, based on race, gender, sexual orientation, religion etc., and any form of harassment such as making unwelcome sexual advances among fellow colleagues.		
8)Learner -Transport Safety	The safety of learners while travelling to and from must be ensured; hence the SGB must ensure that the school learner transport is always safe for learners.	The school governing body must set mechanisms to ensure that learner transport is always in good condition and that learners are safe while travelling to and from school.		
9) Gangsterism, Drugs and Alcohol in School	The school governing body must set mechanisms to curb any drug, alcohol abuse and gangsterism in schools.	The school must embark on educational programmes and campaigns in partnerships with the community and relevant organisations to educate learners about the dangers of drugs, alcohol		

		and gangsterism.		
10) Dangerous Weapons in School	SGB must put means to curb the bringing to school and possession of dangerous weapons (guns, knives and other objects) which may threaten the lives of learners/teachers.	Instruments such as hand held metal detectors are used to assist schools in carrying out random searches if they suspect that learners are carrying dangerous objects to schools.		
		TOTAL SCORE		
		TOTAL %		

Performance Area 10: CODE OF CONDUCT AND DISCIPLINE; Code of conduct is crucial for both learners and educators if the school is to achieve effective outcomes and good results. Strict adherence and monitoring of discipline must be a priority of the school governing body and management.

Targets: To have a highly effective school disciplinary system. The expected score here is not less than 75% -80%.

Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3. Needs Improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No Information available = 0

Indicators	Goals	Measures	Score (0-5)	Comment
1) Learner Discipline	SGB must development and regularly revise a code of conduct for learners in co-operation with parents, educators and learners in order to curb learner ill-discipline at the school.	The learner discipline is good at the school and the number of cases reported is quiet low as a result of the code of conduct set up by SGB, parents, educators and learners.		
2) Staff Discipline	The governing body and principal must foster good disciplined and responsible behaviour by the staff in line with their calling as expected from people working in the educational environment.	Staff at the school are well disciplined and behave in a professional manner as confirmed by the low number of staff disciplinary hearings over the resent year's period.		
3) Educator's Code of Ethics	The SGB must ensure that the school compile, maintain, from time to time review and adopt a code of professional ethics in line with SACE principles to be followed by educators at its school.	The school has developed and uses this code of professional conduct as a guide to foster a good moral and ethical behaviour for educators.		
4) SGB Guidelines	The SGB must create guidelines and rules based on the SASA so as to provide for the interpretation of responsibilities and to enhance good practices and behaviour by members.	The SGB must set principles, rule and guidelines to control the behaviour and to ensure members understand their responsibilities and roles as defined in the national policy guidelines.		

5)Work and Office Code	School must put in place codes of office and work conduct which will guide staff, educators and management behaviour at work so as to foster an efficient work ethics.	The school has put in place codes for regulating behaviour at and around the school environment such as no smoking, no cell phone usage in class, etc.		
6)School Uniform and codes of dress	Schools must make rules that foster learners to wear the official school uniform and appear neat and tidy at all times and educators wear proper dress codes as recognised by the DoE.	Strict school uniform policy for learners and dress codes for educators must be in place and followed and adhered to all the time.		
7)Discipline and Corporal Punishment	No educator may administer corporal punishment at a school to a learner and any contravenes is liable on conviction to a sentence which could be imposed for assault.	SGB must ensure educators and staff comply strictly with the DoE policy of no us of corporal punishment in fostering discipline to learners.		
8)Learner Suspension and Dismissal	Learner suspension and dismissal from the school as a result of lack of discipline should only be done as a last resort after all other processes have been exhausted and with the approval of the HOD in WCED.	The SGB must ensure that no learner is suspended, dismissed or expelled from the school due to ill-discipline without the due hearing process and without an official and written confirmation of the HOD.		
		TOTAL SCORE		
		TOTAL %		
		SCORECARD FINAL %		

DOCUMENTS AND POLICY CHECKLIST

Outstanding; No further improvement possible = 5. Good quality; Above average (high standard and high quality) = 4. Acceptable; Broadly typical / Average (It meets expectations) = 3. Needs Improvement; Below average = 2. Needs urgent support; Well below average (unacceptably very low standard and quality) = 1. No Information available = 0

Policy	Last Reviewed	Next Review	Applied (Y/N)	Challenges/Comments	Score
School Vision and mission statements					
Finance policy					
Code of conduct (Educators)					
Code of conduct (Learners)					
Admission policy					
Absenteeism and late-coming policies					
Learning and Teaching Support Materials Policy					
Maintenance policy					
Subject/Learning area policies					
Assessment policy					
Religion policy					
Language policy					
Extra-curricular policy					
Environmental policy					
HIV/Aids policy					
Safety and security policy					
Learner transport policy					
Staff development and induction policy					

Policy	Last Reviewed	Next Review	Applied (Y/N)	Challenges/Comments	Score
Job descriptions					
Time books (Educators)					
Timetables:					
Substitution timetables					
Playground duty roster					
School Improvement plan					
Budget					
Logbook					
Year plan which lists all activities for the year					
Registers:					
o admissions					
o school assets					
o attendance					
o leave					
o accident reports					
Minutes of meetings:					
School Governing Body					
Senior Management Team					
Parents					
Staff					

6.7   GUIDANCE FOR USING THE SCORECARD

This school governance measurement scorecard has many uses as an orientation tool to help school principals and SGBs of new special schools to take account of issues to be addressed in establishing an effective school, or as a tracking tool to provide school governors with a sense of "where they are" in terms of the school governance and management. It also serves as a user-friendly reporting tool on school governance and management status based on information largely already collected without any additional field-level research.

For self-assessment the scorecard should be completed by the same type of special school-appointed officials, either the school governing body officials, principals or ideally the SGB chairpersons in all participating schools to validate the scoring. The scorecard is designed to be completed within a relatively short period, such as during a staff meeting or other routine meeting, by referencing available reports or datasets.

First of all the scorecard should be accessible and completed electronically online on the SGOPEG website www.sgopegscorecard.co.za ,or a similar appropriate domain which, as indicated earlier, has not been activated as yet. However if some member schools do not have internet or computers, they can still utilise the scorecard manually. Once the school evaluation team or scorecard user gain access to the website, the following procedure would have to be followed:

Step 1: Use a password and a code number to open the scorecard. These were allocated to member schools on registration to the body.

Step 2: Read the instructions carefully. If English, Afrikaans or Xhosa is preferred, click on the appropriate language for instructions.

Step 3: Start by completing the outline page, giving all details of the particular special school being assessed as well as that of the assessor.

Step 4: Complete all the ten Performance Areas (PA) fully. Read the details in each of the indicators, goals and measures and then, according to your knowledge and as verifiable by proof, give a score of between 0 – 5 (see the score index box, Table 6.1 for score definition).

Step 5: Once the first performance area (PA 1) is completed, click on "Complete" and then a total score and percentage for PA 1 will automatically be given. Then move to the next performance area.

Step 6: Continue as defined in step 5 until you reach PA 10. Then click on the "Total Percentage Score" to get the overall score for the whole of the school governance.

It is then up to the scorer or assessor to print a copy or close the scorecard. If, however, the school would like to share its results and gain access to the results of other member schools, they can click on "Open to share".

6.8   LIMITATIONS AND DISCLAIMER

The scorecard is aimed at helping SGBs report progress on school governance effectiveness from a given baseline. It should not replace more thorough methods of assessment for the purposes of adaptive school management. The scorecard instrument has been developed to provide a quick overview of the initial state of school governance status, related efforts and subsequent progress over a period of years in improving the effectiveness of the school governing body, in particular public special schools that are voluntary members of this project. The scorecard is designed to be filled in by an appointed school governing body official, the principal or other appropriate staff member. The scorecard does not allow a detailed evaluation of outcomes, but rather serves to provide a quick overview of the status of governance steps identified in the WCED school governance guide and the SASA (RSA 1996b), up to and including outputs.

The whole concept of "scoring" progress is fraught with difficulties and possibilities for distortion. The current system assumes, for example, that all the indicators and performance areas cover issues of equal weight, whereas this is not necessarily the case. The accuracy of this scorecard might be improved by weighting the various performance areas, although this would raise additional challenges in deciding on differing weightings. In the current version a simple scoring system is maintained, but the limitations of this approach should be recognised.

6.9   CONCLUSION

Although the application of a scorecard in education is well documented, there have been very few studies on its use in school governance in South Africa. This model introduces a new approach, where school governance is scored from all the four different perspectives of Kaplan and Norton's (1992) balanced scorecard, i.e. customer service; innovation and learning; internal processes; and financial perspectives. The primary approach of this school governance scorecard is to translate the school's vision and mission into specific strategic objectives and goals across these four perspectives.

The scorecard itself does not purport to be the alpha and omega of school governance, nor to be the panacea for solving its problems, but it has the necessary qualities to make a qualitative contribution towards improvement of school governance in the public special schools. The way in which the performance areas used have been broken down into indicators is meant to evaluate all the aspects affecting school governance. The question that remains to be considered now is the outcomes achieved in the empirical study, where this model has been implemented and studied in the field, which will be the topic of the following chapter.

CHAPTER 7

APPLICATION AND TESTING OF THE MODEL
AT SELECTED SPECIAL SCHOOLS

7.1   INTRODUCTION

The researcher has designed balanced scorecard model incorporating all relevant aspects such as measures, indicators, targets and goals for measuring school governance. These aspects, as indicated earlier, are largely based on the requirements of SASA (RSA, 1996b), other national and provincial regulatory frameworks for institutional management and governance, as well as the important codes for good institutional governance based on the King Report (2002).

The next important step therefore is the application of the model in action for the measuring and evaluation of governance in the selected pilot school. This chapter therefore discusses the entire implementation process that was followed in the study, including the subsequent evaluation of the state of governance. The approach applied in this discussion is a discriptive analysis of theoretical perspectives on the implementation of scorecards. Central to that anaalysis is the review of the methodological approach that was followed and its implications. Thereafter the chapter outlines the practical application process that was undertaken by the researcher.

The entire format of the stages of the application methodology is also indicated graphically in Figure 7.2, which has been adapted from the example of a model application process in Parboteeah *et al.* (2010). It shows all the stages of the application process which are discussed in the chapter.

7.2   THE THEORETICAL PERSPECTIVES ON THE SCORECARD
        IMPLEMENTATION

The implementation of balanced scorecards is still in its infancy stage in South Africa, in particular in the public sector, while application is rapidly growing in most developed

countries such as the United States of America (Rossouw *et al.* 2002: 278). There are nonetheless even more examples of successful scorecard application outside the private sector domain, two such cases being the Council for Higher Education, as captured by Ferreira (2003:19) in her study on a framework for continuous improvement in South African Higher Education, and the City of Cape Town, which Bam (2008) analysed in his report entitled "The implementation of the balanced scorecard as a performance management tool at the City of Cape Town".

Duursema (2001:85-107) suggests that the key aspects in the scorecard implementation phase are planning the implementation, establishing pilot groups or structures, training and orientation, and IT support and communication. The same phases were followed the school governance scorecard implementation, in terms of the methodological approach. Monahan (in Bam 2008:81) suggested that the following steps must be followed for successful balanced scorecard implementation:

- Obtain a commitment from organisational leadership and be sure that leadership cascades throughout the organisation;
- Allow the organisation to define strategic objectives and key performance indicators;
- Involve stakeholders, consumers and employees. Consultation – external and on-going – is essential;
- Develop a communication plan. Without it any efforts of a public organisation become isolated from those who are affected by its activities;
- Use technology to collect, analyse and use performance information.

In the scorecard implementation process these suggestions were utilised, but with modifications for adaptability. Carriere and Mercier-Gauthier (2006:19) suggest that some of the key guarantees for good implementation are:

- Approach measuring with a positive attitude – the goal is to improve, not to punish;;
- Constantly communicate the desired results and the progress made;
- Encourage participation – everyone must be involved in reaching the objectives;

- Monitor progress regularly – What has changed? Why? What must be done to improve the situation?
- Promote accountability – avoid blaming people but rather allow them to take ownership of decisions, influence the choice of priorities, and be aware of the impact of their actions;
- Align corporate, sector and individual objectives;
- Align recognition and reward systems (Carriere & Mercier-Gauthier, 2006:19).

Virtanen (2009:13) suggested that some of these steps can be performed simultaneously, thus shortening the total project time schedule. Duursema (2001: 110), states that the implementation needs to be split into three phases, namely the development, the embedding and the operational phases. While SASOL Technology is a much more extensive scenario, it was useful to learn from the experiences of the application in the pilot schools. The purpose once again was to eliminate as many challenges as possible. Some of the key challenges in the application at schools were the realisation that most schools are not organisationally integrated, in that management and staff did not share the same views on school governance strategies, objectives and outcomes required. These differences had to be resolved first in order to guarantee a smooth application, even though this sometimes meant involvement in the school's domestic and management issues. Application and testing the scorecard hence entailed thorough prior preparation before initiating the evaluation phase, which also meant determining the parameters of the results as well as updating some of the core aspects of the balance scorecard.

A fundamental feature of the school governance scorecard is that everything it measures should relate to the school's mission and strategies. These measures must also relate to each other in a cause and effect relationship. The individual measures should also be unique, depending on the specific school's goals and strategies. It is therefore critical to identify the appropriate goals and strategies in relation to the core perspectives.

Since this study looks at developing a balanced scorecard for measuring and evaluating the governance of special schools, which are 'public sector entities', the proposed starting metrics, i.e. key goals and measures, are mainly extracted from education–related legislation on school governance and management, government directives, and studies of school successes in South Africa.

7.2.1 Communication and pre-assessment

In the application of the scorecard, the communication and training of the role players and participants is paramount to the success of the whole project. This entails communication with WCED for access to undertake the study. In this case this took the form of written communication and an oral presentation to the WCED Directorate for Research Services and Knowledge, Information and Record Management Systems and ICT.

From here communication had to go down to the three WCED Education Management and Development Centres, simply known as districts, i.e. EMDCs South, East and Winelands. At this level communication was effected to EMDC Heads for Institution-based Management and Governance (IMG) as well as ELSEN Directors. At both department levels the scorecard model and programmes for implementation and evaluation were presented and concerns were discussed and resolved.

The final leg of the communication process took place at school level, where discussions in selected special schools with school principals and SGBs were held in order to "set the ball rolling" for the implementation of the scorecard. Parents, educators and staff were also briefed and sampled individuals were informed. Their roles, rights and obligations to the study were clarified, and the essence of the study was explained.

There is consensus on the importance and role of communication for successful scorecard implementation in both the public and business sector. This lies mostly in the communication strategy and its objectives. For instance, Creelman (1998:158) states

that the following are the key objectives of the balanced scorecard communication strategy that are applicable to the business sector balanced scorecard communication:

- To develop buy-in to support the organisation's (school's) strategy through a dialogue with key stakeholders;

- To educate the school and the education fraternity about the scorecard and its usefulness in turning the school around;

- To develop an understanding of the strategy as described by the scorecard within the school;

- To get commitment from the school to execute the scorecard;

- To provide feedback on the scorecard as well as the direction as to what to do next.

Briggs and Coleman (2007:3) point to a number of challenges encountered by researchers in education and educational leadership settings. He suggests that most of these problems can be overcome by effective communication and buy-in from the participating entities.

However, before the actual implementation of the scorecard at pilot centres and indeed during the communication stage, it was important that a preliminary evaluation of school governance in the individual special schools is done through a more traditional questionnaire instrument. A group of sampled individuals representing different constituents in the SGB were given questionnaires to complete in ehich they had to indicate their perceptions of key school governance functions. The questionnaire would allow the researcher to have a view of individual participants' grading of six key areas with examples of specific targets, as well as a total percentage grading for their school.

Although this questionnaire, "A scheme for evaluating school governance", can provide a quick overview of school governance, it does have some shortcomings. But it remains useful as it is able to reflect perceptions of school governance from within the governing body stratum. This pre-evaluation system, according to Shipman's (1979) "In-school Evaluation", is acknowledged and recommended as a basis for evaluation. The range of indicators stretches from SGB meetings, time management, delegation of

responsibilities, school finances and budgeting, learner safety, to overall school development. Hence it can be regarded as evaluating the broader aspects of school life which the SGBs particularly of self-management schools and special schools are legally entrusted to watch over.

7.2.2 Setting structures of responsibility

Once communication was effectively done and pre-evaluation undertaken, the immediate step to follow was the setting up of proper structures and identifying key individuals for managing the scorecard in the pilot schools. Three individuals would form part of the scorecard evaluation team at each school. This is important in order to avoid human error, unbalanced and subjective views, and to give the scorecard outcomes better credibility as a set of collective opinions.

Rogers (1995) reports on the potential benefits of a systemic approach in educational evaluation research. He declares that an exciting potential contribution could be made by the educational research tradition, stemming from the fact that organisations themselves are involved, in one way or another, in the implementation and evaluation of educational models (Rogers, 1995:63).It is therefore relevant that SGB structures are inevitably involved in educational evaluation and adoption of the scorecard. The ad hoc structure of the school governance evaluation team as demonstrated iin Figure 7.2 consists of an SGB executive member, probably the Chairperson or Secretary of the SGB; the principal is the key figure in school management and governance; there would then also be a nominated staff member, either an educator or a member of the non-teaching staff.
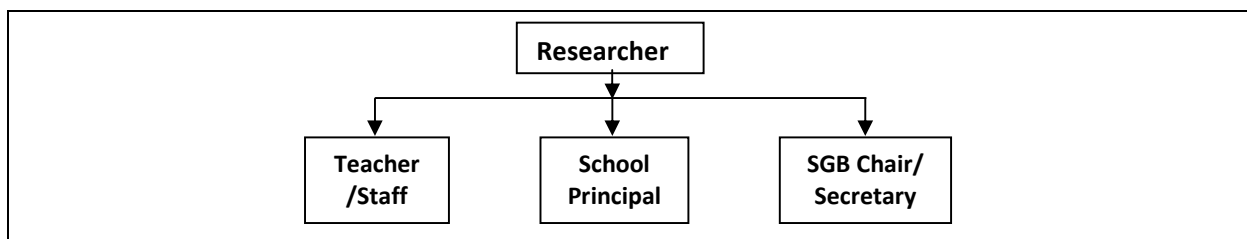
Figure 7.1: School Governance Evaluation Team
Source: Compiled by the Author

The researcher would also be part of this evaluation committee. The importance of transparency and participation is that they relate to the whole quest for support and the buy-in required for the success of the study, especially since most of the evaluation meetings were held after school hours and were not part of the individuals' paid duties.

Structure in this case does not just imply human capital for the successful implementation of this scorecard, but there is also a need for resources and system structures be created in advance. Since this scorecard will be a sustainable feature of the life of the school, there is a need to keep documents and filling systems, and to create a suitable working space. All this is important to ensure that there is efficient administration of this process, as well as to avoid any possible conflict with normal school management.

7.2.3 Training and orientation

Immediately after the creation of scorecard structures in schools, another challenging stage in the implementation of a scorecard for evaluation is the training and orientation of the teams and participants. Referring to training and development as *'empowerment'*, Creelman (1998:162) agrees that to successfully deploy a balanced scorecard, empowerment is crucial. There is no way the objectives of a scorecard can be successfully achieved if training and orientation are not undertaken, particularly since the scorecard itself is a very complex instrument, not commonly used in lower-level public sector institutions such as schools. However, with the current era of monitoring and accountability to which the public sector is slowly adapting, the time has come to apply measurement effectively.

According to Creelman (1998:162), a 1997 in-depth benchmark study of best practice public organisations in performance management and measurement by European Foundation for Quality Management, American Productivity and Quality Center and Organisational Dynamics Incorporated (ODI) found that these leading organisations not only used balanced scorecard, but also clearly demonstrated a high level of employee alignment with the organisation's mission and strategy, and good empowerment of the

entire staff on the scorecard and its use.In order to provide directions for scorecard implementation, two sessions of mini-workshops on training and orientation were held at each pilot school, where participants and scorecard evaluation teams were trained. The small two-hour mini-workshops took place after school hours; their primary focus was on:

- Background of the scorecard;
- Matrix and indexes involved in a scorecard;
- Its use in measuring school governance;
- Practical exercise in using a scorecard;
- Managing the scorecard data; and
- How the results are communicated for school governance development.

Smith and Hinchcliffe (2003:4) concur with the idea that scorecard training and orientation should serve as a base for implementation and they also need to incorporate aspects such as explanations on pitfalls to avoid failure, important success factors that work, and the readiness factors which schools must ensure are in place prior to final deployment and piloting for a school governance evaluation system.

7.2.4 Deployment and piloting

As Creelman (1998:153) puts it, while communicating the scorecard Department-wide, it is probably a good idea to introduce and pilot the scorecard throughout the sampled schools in the Department. Creelman (1998:161) further contends that:

piloting the balanced scorecard in selected, preferably volunteer, units can be a powerful way to test the scorecard and to begin a process of getting effective recognition throughout the organisation.

This was very much the case with deploying a school governance scorecard at participating pilot schools, where the WCED started to show interest in awarding the scorecard with broader recognition. However, with a lack of resources, they did not, as anticipated, commit any financial resources that would assist in the entire

implementation and testing of the scorecard. That became one of the key challenges in effectively deploying and piloting the balanced scorecard equitably in all pilot schools.

When implementing and piloting the balanced scorecard model, it became necessary to provide a framework to guide the process. Therefore the following framework for implementation and piloting the scorecard was adapted from Screen and Coryn's (2008) framework for guiding model evaluation (in Parboteeah *et al*. 2010:134):

- Ensuring that the school evaluating teams understand all terms and concepts used in balanced scorecard;
- Ensuring that the evaluators perceive all elements in the balanced scorecard equally, or whether some elements are perceived as more important than others;
- Guaranteeing that the evaluators agree on the relationships present between indicators, goals, measure and targets;
- Determining whether the evaluators feel any more elements can and should be measured; and
- Ensuring that evaluators agree with the model, and if they do not, ascertaining whether some changes is necessary for the second-round piloting.

The deployment and piloting of this balanced scorecard was performed at the twelve sampled special schools, also referred to as pilot centres, throughout the three education management districts of the WCED, i.e. EMDCs South, East and Winelands. For the sake of a quality study and disregarding time limitations, the length of deployment and piloting was extended to a period of six months.

This was also done to accommodate pre-evaluation, scorecard stabilisation, orientation and training, as well as to allow for observation of the needs and experiences linked to the scorecard activities that will drive the research and further development. These activities proved crucial, as they indicated whether the model application and testing would require any adaptation or a redeployment stage or not, as will be discussed next.

7.2.5 Adaptation, remodelling, alternating and redeployment

Implementing a functioning model applicable for successful measurement of school governance, as indicated by Creelman (1998:208), is part of the process of application a balanced scorecard. However, as this research shows, basic education, particularly in public schools in South Africa, has never before applied a balanced scorecard as a means of performance evaluation and measurement. Therefore, because this process is new in the public education environment, there is a need to develop and adapt the scorecard into an operational model that is suitable for the organisation.

Looking at the model from a holistic or systems-modification approach, the scorecard design has been understood as an integrated system rather than as a series of independent measurement components. Incorporating this perspective into the indicators, targets, goals and measures that are focused uniformly across the departmental strategies and goals can have a significant effect on the outcome.

For instance, scorecard deficiencies and weaknesses that might be hard to recognise at a broader organisational scale are easily identifiable when the scorecard is viewed from a single unit or individual school perspective. However, synergising and aligning strategies in a bottom-up approach in the education and schools environment is crucial in order to come up with a standard and uniform instrument aimed at achieving common goals and targets. Synergies such as these are common in scorecard designs, but are often overlooked at large corporate organisations. Much greater consideration of potential synergies will foster the use of an advanced model that incorporates perspectives into common goals.

The adaptation and remodelling process necessitated allowing all stakeholders some measure and degree of innovation in altering the scorecard indexes to suit key elements of their specific school strategies and objectives. Even so, standardisation was ensured as the scorecard is based on aspects of national and provincial education provisions on school management and governance.

The critical mass of information and data applied in alternating and remodelling the scorecard was essentially based on the ideas, suggestions and inputs collected from participants and stakeholders. These perspectives of department officials, school stakeholders and monitoring teams were gathered during discussions, orientation and workshop sessions, during the pre-assessment interviews as well as during the pilot observations stages. Still, these ideas had to be verified and confirmed in the light of the relevant literature and legislation, and modified to the nature and objectives of the scorecard before being used in the final version of the model.

Proper standardisation, synergising and uniformity had to be considered before the scorecard was considered ready for final application for measuring school governance. Furthermore, it was important to consider the methodological approach and implication for implementation and evaluation of the scorecard in view of the complex nature of the process.

7.3   METHODOLOGICAL APPROACH AND IMPLICATIONS ON SCORECARD IMPLEMENTATION AND EVALUATION

Recognising the need for a broader and holistic inspection of total school governance performance than is evident at present with the conventional instruments currently used by the WCED (i.e. Integrated Quality Management System (IQMS) and the Whole School Evaluation (WSE)), a more strategic approach could be far more useful in the application and testing of the scorecard. This is further motivated by the extensive scope of the performance areas and indicators that are incorporated in the model, as well its overall complexity.

Accordingly, as proposed in Papalexandris *et al.* (2005:215), a more viable practical approach for preparing, designing, implementing and rolling out the scorecard is a results-orientated and solution-based methodology focusing on short and distinct phases with manageable outcomes. Yet in unique cases, such as the WCED's where

there is a lack of financial incentives in place to give support to the programme, the approach is simplified for practicability.

In essence evaluation must be oriented towards assessing and improving any given object, programme, system, theory and most other entities. According to Stufflebeam and Shienkfield (in Parboteeah *et al*., 2010:8), this type of formal evaluation can be defined as:

> *the systematic process of delineating, obtaining, reporting, and applying*
> *descriptive and judgmental information about some object's merit, worth,*
> *probity, feasibility, safety, significance, and/or equity.*

In the Virtanen (2009:17) phases of scorecard implementation the operation or action phases are the most emphasised in the application. They specifically entailed important sub-stages like updating the values of measures, reporting balanced scorecard results, analysing the results and refining the balanced scorecard before entering the scores and data for analysis.

Entering scores and data onto the balanced scorecard was done separately by three evaluation team members based at the school, i.e. the principal, SGB Chairperson and the third nominated member (the teacher or the non-teaching staff member either of whom should be part of the SGB). A meeting would be held afterwards facilitated by the researcher as Scorecard Evaluation Coordinator to reconcile the individual scores of the three different evaluators. Calculating school governance performance had to consider different perspectives and metrics, weights and scores as a way to normalisation and reconciliation. At this point scores would be discussed and evidence put forward in order to synergise the totals and come to a final score.

7.4   PRACTICAL APPLICATION: PUTTING THE SCORECARD IN ACTION

The evaluation research design of the study, which is extensively explained by Mouton (2001) as an outcomes experimental method, is aimed at testing whether the designed

balanced scorecard model can be effectively applied to measure school governance for development. Therefore a step-by-step approach as shown in Figure 7.1 was followed. The advantage is that the process is user-friendly and can be applied within a very limited time constraint. The normative model of the scorecard that has been developed would be piloted at selected schools for subsequent roll-out. Prior to the implementation tests, pre-assessments was carried out by means of observation, interviews and questionnaires, ie. Pre-Assessment Scheme for Evaluating School Governance (see Appendix A).

The process began with testing the normative model of the scorecard that has already been developed and is ready for application at selected schools across the Western Cape Province's special schools. As indicated in the introduction, three EMDCs participated in the study of twelve schools, four in each EMDC. The following procedural steps were undertaken in piloting the scorecard
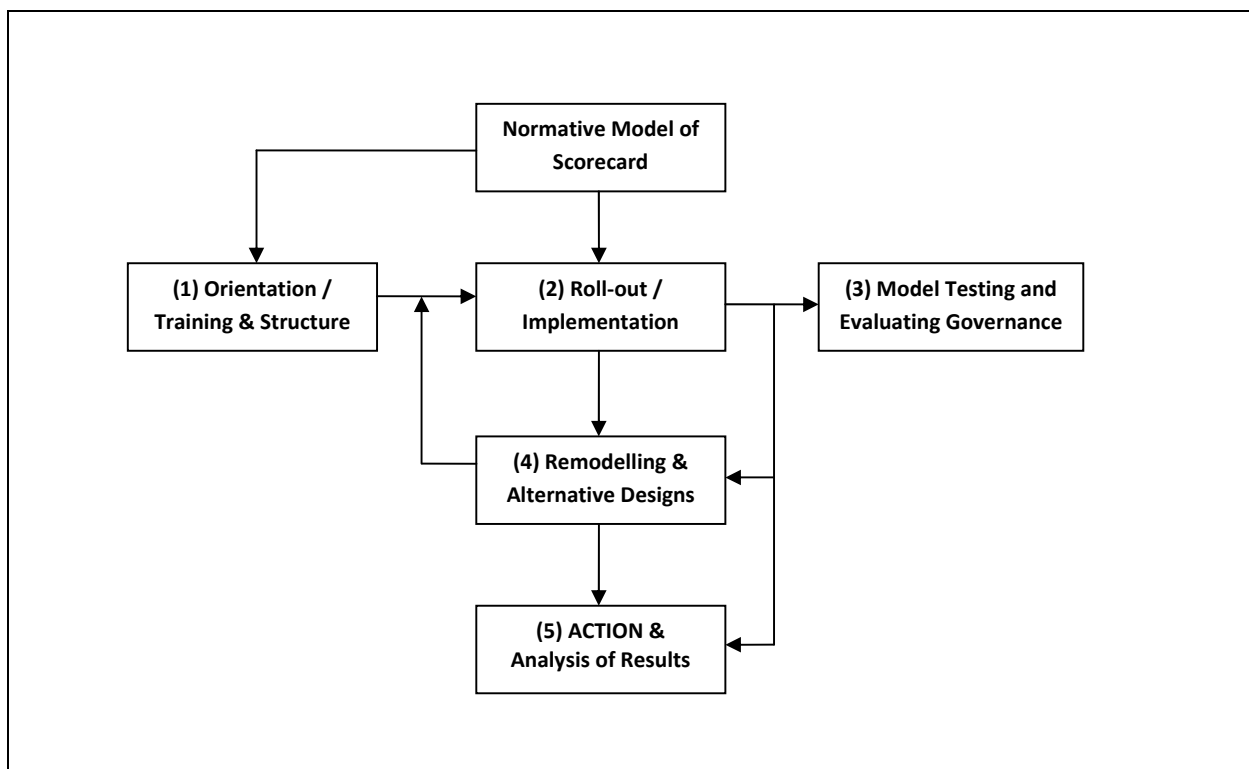
Figure 7.2: Model Application Process
Source: Parboteeah *et al*., 2010:131

Step 1: The orientation, training and putting the model into action

The researcher visited the individual schools, where informative meetings were held with school management, staff and the SGB. In each school there was a thorough explanation of the project followed by a discussion setting the scene further. This presentation included an outline of the purpose and the objectives of the study as well as its benefits for the participating schools in improving their educational outcomes. Relevant participants in the study were involved in the orientation and training session to explain the scorecard so that they would be able to utilise it in evaluating school governance.

This is important as it helps to develop capacity for self-evaluation within schools, as that would be a continuous requirement. This training entailed a format of a mini-workshop for the participants in each school. During this training, monitoring and evaluation officers who would be working closely with school principals were identified and appointed from each school. Orientation also included consultations and conversations with WCED Director for Institution-based Management and Governance (IMG) as well as the EMDC officials for ELSEN schools in order to obtain information and feedback on the scorecard.

Step 2: Implementation and roll-out

Insufficient resources meant that the researcher could not utilise an IT and software solutions medium as a domain for the computer application of this model. As noted earlier, the main advantage of choosing an appropriate IT solution is the balance between the effectiveness of the software and the time it takes to implement. However, in order to minimise costs a manual hard copy roll-out process was used.

Duplicate copies of the School Governance Scorecard were issued to each of the participating schools, where the researcher, the school principal and the appointed Monitoring and Evaluation Officer (M&E Officer) formed an ad hoc project team to manage the scorecard implementation. Throughout these stages the ideas and advice

on measures, indicators and goals from all participants were noted and collected for possible alteration and remodelling of the scorecard. One of the scorecards was manually completed as self-evaluation by the principal and the Evaluation Officer. It will be confirmed in six months, when the researcher comes to implement the second phase of the school governance evaluation. The six months period is given for the schools to further familiarise themselves with the scorecard and become accustomed to it, and to collect and gather all the relevant confirmation documents relating to the scorecard.

Step 3: Model testing and evaluating governance

After the implementation and roll-out of the instrument, the evaluation of its applicability and usefulness in measuring school governance was studied through a combination of observation and interview methodologies. At this stage a structured interview was developed to ascertain whether the model can meet the need for a more reliable, valid and standardised diagnostic and evaluative instrument in the field of education management and school governance.

The main purpose of the testing and evaluation of the scorecard is to ensure that the scorecard could be successfully deployed with no problems, mistakes or inaccuracies (Parboteeah *et al.*, 2010:135). The preliminary analyses and observations of all the problems encountered during the self-evaluation of school governance showed the scorecard to be highly reliable and valid. If any shortcomings and errors are detected in the instrument, or if any useful suggestions are made by the participants, the scorecard would be remodelled and alternatives incorporated in order to improve efficiency for the second roll-out and the main study.

Step 4: Remodelling and alternative designs

In evaluating a scorecard that works in real situations two main processes were involved, i.e., utilising appropriate scorecard metrics such as scores, weights and indices, and correctly calculating the total performance. The metrics should be confirmed by key managers in WCED and statisticians, and the suggested metrics should be carefully incorporated into a remodelled scorecard before it is finally evaluated in action. The scorecard must also confirm that all four perspectives – the

financial perspective, customer perspective, internal processes perspective, and learning and growth perspective – are adequately used together in a balanced fashion to produce what has been termed a *'balanced scorecard'.*

Step 5: Action, evaluation and analysis

The stage of putting the balanced scorecard into action is the final and the most critical stage, and therefore high level of concentration and focus is required. The process of introducing a balanced scorecard into an organisation is a challenging endeavour that constitutes a significant change initiative. Its simplicity, however, can lead people to underestimate the difficulties of putting it in place. This very same experience was avoided by the researcher in the process of putting the scorecard into action.

A well-managed step-by-step and systematic approach was followed in order to avoid errors that could result in a dysfunctional scorecard and inappropriate evaluation results. As suggested by Papalexandris *et al.* (2005:217), these are some important aspects that were also considered for the effective introduction, evaluation and analysing of the scorecard in action:

- Plan and initiate the scorecard application;
- Gain commitment;
- Assess readiness for change;
- Establish question-and-answer mechanisms;
- Select the project/evaluation team;
- Establish the communication plan.

Therefore with the correct methodological approach adhered to, there were no major difficulties and challenges with the final implementation and roll-out of the balanced scorecard, as the next section on the eventual scorecard implementation and evaluation reveals.

7.5   DATA GATHERING AND PREVIEW

Gathering and entering data onto a scorecard report often present unique challenges. The process requires good focus and concentration in order to spot any errors, irregularities and gaps that could result in poor scorecard outcomes. As Niven (2006:285) has also pointed out, the absence of some data should not cause any delay in reporting the scorecard.

Like a highway police officer pulling over a contrite speeder, you get to hear every excuse in the book: "The source reports haven't been provided yet," "I'm waiting for one number from Accounting," "I was on vacation last week and I'm still catching up!" (Niven, 2006:285). However the solution, according to him, is to focus on measures and data available and spend the necessary time and effort to develop processes for acquiring outstanding data. According to Prosatis Partnering (2010: 2), many balanced scorecard implementations go wrong because managers are often reluctant to introduce new data-gathering routines. The balanced scorecard measuring in those cases is therefore primarily based on data already available in other systems and not on the measures most relevant to the strategic objective.

In line with the approach in Lipe and Salterio's (2000:283-298) study, the SGBs of the participating pilot schools were similar in nature and organisational structure; they also had more than five years of school governance experience, but were arguably distinctive in their knowledge and understanding of their task and responsibilities. The key approach, then, was to instruct the participating members to evaluate schools independently in order to ensure that the data would be more reflective of the specific conditions. After that, as in Lipe and Salterio's (2000) experimental approach, the evaluators were allowed time to sit and reconcile each other's balanced scorecards in order to arrive at a common conclusion.

All the information was then submitted confidentially by means of sealed envelopes and first stored in an Excel spreadsheet data-management system. It would later be kept in multiple data-analysis software systems for synthesising, analysis and interpretation.

Since there were in essence three levels of data to manage and interpret in the entire study, with the scorecard evaluation itself carrying very vast amount of data and information of its own, the process required some efficient and careful data storage, classification and organisation.

Table 7.1: School Governance Data Index

School	EMDC	S.Gov. pre-BSC	S.Gov. post-BSC	KEY PERFORMANCE AREAS																			
				01		02		03		04		05		06		07		08		09		10		
				B	A	B	A	B	A	B	A	B	A	B	A	B	A	B	A	B	A	B	A	
A.D.T. School	EAST	87%																						
Eden School	WINE-LANDS	78%																						
Eureka Centre	WINE-LANDS	87%																						
J. Kriel School	EAST	90%																						
K'litsha ELSEN	EAST	64%																						
N'ltando School	EAST	75%																						
Nompu School	MID-LANDS	75%																						
O.View School	SOUTH	72%																						
Pioneer School	WINE-LANDS	81%																						
Siviwe School	MID-LANDS	72%																						
T'mblet School	MID-LANDS	75%																						
WCSS. School	EAST	78%																						
Aver. %																								

Source: Compiled by the Author

Index codes: 01 – General SGB state; 02 – Meetings; 03 – School's vision & mission strategies; 04 – Principles of good governance; 05 – School financial management; 06 – Staff employment & recommendation; 07 – Parents & community roles; 08 – School improvement & development; 09 – Health & safety in school; and 10 – Code of conduct & discipline. The B- code means before balanced scorecard application and A- code means after balanced scorecard application.

Table 7.1 is a typical example of an Excel-type spread sheet data storage system in which data that were gathered from the pilot schools would be organised, classified and stored, before they were analysed. Despite the complexity of the data and the diversity of indicators and measures, it has been possible to keep the instruments as simple as possible for the purpose of manageability of the research.

The aim is also to ensure easy interpretation and communication of data and information. The table allows for storage of pre- and post-balanced scorecard application scores taken from all the indicators counted as percentage scores of all key performance areas of school governance in the model. Individual evaluators scores are synergised in order to come up with a single indicator score per pilot school.

The pre-balanced scorecard scores were collected through the pre-assessment school evaluation questionnaires from the ten selected individuals involved in school governance, while the post-balanced scorecard scores are collected through the balanced scorecard evaluation itself as done by each school's evaluation team. This process will again make it easy for the feedback on governance evaluation to be given and for post-assessment to be conducted.

7.6   FEEDBACK AND POST-ASSESSMENT

While observation has been continuously utilised throughout the study, i.e. the systematic observation of the balanced scorecard application, the feedback and post-assessment remained the key diagnostic instruments to keep in touch with the participants in each pioneer school governance evaluation team. This also helped to provide valuable information with which the evaluation process and application could be improved based on the responses as well as to develop the balanced scorecard, if necessary. Therefore the feedback and post-assessment activities in the scorecard application process remained integral parts of an ongoing and systematic evaluation.

Norton and Kaplan (1996, in Creelman 1998:260) also put special emphasis on the importance of feedback and post-assessment during the balanced scorecard application, as they regard it as a "strategic feedback system". According to Creelman (1998:260), Norton and Kaplan go on to suggest that the strategic feedback system as "double loop" learning is key to this process:

… double loop learning occurs when managers question their underlying assumptions and reflect on whether the theory under which they were operating remains consistent with current evidence, observations, and experience.

Both the oral and written reports were presented to the evaluation team, the SGB, the principal and the staff. As suggested in the previous chapter, this was done on the final day of the scorecard application in the school governance evaluation. At this stage the reports must also include recommendations on how the scorecard could further improve school governance in practice. The evaluation team, together with all the school stakeholders, was also provided with a comprehensive scorecard report on their findings. The schools responded to the findings of the evaluation team report with a post-assessment within two weeks of receiving it.

7.7   CONCLUSION

The application and testing of the scorecard at selected pilot schools followed a methodology that was stage orientated and has the following steps:

- Orientation, training and setting up structures;
- Implementation and roll-out;
- Model testing and evaluation;
- Remodelling and alternative designing;
- Action, evaluation and analysis.

In order to ensure successful application and testing and avoid any form of resistance to the process of measurement of school governance, the process has to be as inclusive of all the school stakeholders as possible. It is important to use a random and purposive format when selecting individual participants from groups.

It was crucial to do pre-assessment as this would indicate the current state of governance in the school before the scorecard is applied. The pre-assessment was

carried out by means of a normal Pre-assessment Scheme for Evaluating School Governance (see Appendix A). Scorecard application is preceded by training through rigorous workshops, orientation and communication, as the instrument is complex and new to the schools. While the initial intention was to ensure that the application of the model is kept as simple as possible, the practical experience has shown that without adequate training and capacity it could be slightly complicated.

The evaluation teams formed in the schools included an outsider as well as somebody from another participating school. This serves the purpose of the format used in this monitoring and evaluation process, i.e. a peer evaluation approach. Data are captured through the completion of the scorecard, analysis of evidence and observing aspects of the school as required in the scorecard.

The implementation stage was followed by post-assessment using short questionnaires and interviews in order to verify the responses of the participants to the scorecard and the evaluation process. The following chapter deals with the collection, analysis and interpretation of data.

CHAPTER 8

DATA PRESENTATION, ANALYSIS AND INTERPRETATION

8.1   INTRODUCTION

Any research study, qualitative or quantitative, should culminate in a data analysis and interpretation stage to arrive at findings and draw a conclusion. In developing a scorecard for measuring schools' governance, the application and testing of a model through an experimental design methodology led to the production of predominantly textual data. The data were divided in terms of the collection stages of the study, i.e. pre-assessment, application and evaluation, and post-assessment stages. As the collected data came in a raw and unorganised state from all the participants, through open-ended interviews transcripts, systematic observation field notes and questionnaires, the key challenge was to collect, store and organise it properly. This becomes important so as to improve the quality and validity of the research analysis and findings of the study (Welman & Kruger, 2001:135).

The general approach applied in this study for analysing the qualitative data is based on a simple model which essentially consists of three parts (Seidel (1998:1), i.e. noticing, collecting and reflecting upon interesting points. Furthermore, key to this approach to data analysis is the cleaning, categorising, classification, coding and analysing of the data collected through observations, questionnaires and interviews. To limit the occurrence of any potential errors, data cleaning was undertaken so as to ensure data accuracy and that all the erroneous or unwanted aspects are removed and only the relevant data go through the analysis process.

This chapter outlines the entire process of analysis and interpretation of data from preliminary assessment, scorecard evaluation and post-assessment. As pointed out, three stages were practical in the application and evaluation of the scorecard model. The data were first and foremost classified in terms of these stages with the purpose of ascertaining the impact of the model and the level at which this impact was most

effective, as well as whether the model did work and lead to any significant improvement to measuring school governance.

The general process of the data analysis entailed thorough planning beginning from the moment of collecting information, valuating the data quality, classifying and coding data, interpreting the data in order to develop a sense of its significance, and finally analysing the data. A computerised software system, Moon-stats, was also utilised in order to assist the general Excel spread sheet data storage and analysis system.

8.2   PRELIMINARY ASSESSMENT OF SCHOOL GOVERNANCE

The pre-application assessment of school governance was undertaken by means of three different instruments, namely questionnaires, interviews and systematic observation. In a process where data comes in different formats, with the predominant one being textual, i.e. data rich in meaning, as well as minimal numeric data in the form of numbers and measurements, it becomes critical to use computerised data-editing systems (Mouton, 2001:108).

To ensure effective cleaning, classifying, encoding and alignment of the textual and numerical data in preparation for analysis, it was stored separately in self-designed Excel spread sheets. However, due to the vast scope of the data involved in the preliminary evaluation stage, it became necessary to align, classify and code the data so that it could be streamed properly into the correct measurable areas and indicators.

This further entailed an complex process of cross-aligning, re-classifying and sub-coding the data to ensure accurate and precise analysis. For an easier overview of the analysed data, the use of various charts and graphs based on an Excel application and MoonStats's statistical solutions was adopted. However, in discussing the preliminary assessment analysis, it would be useful to examine the data separately and then at the end make conclusive reflection of the entire process. This would begin with a

consideration of the preliminary assessment questionnaires, i.e. the Schemes for School Governance as Evaluation reflected in Appendix A.

8.2.1 Preliminary questionnaires

All the participants in the study, i.e. the SGB, principals, parents, teachers and non-teaching staff were given the questionnaire, i.e. the Scheme School Governance Evaluation, to ascertain their individual and group impressions on the governance of their school based on the pre-determined sets of indicators linked to key variables.

These questionnaires focus on key governance performance and responsibilities and entailed aspects such as the SGB existence and the overall functioning, meetings, school finances, planning, teacher and staff employment, involvement and participation of role-players and stakeholders. All the aspects involved in the questionnaire are based on the SASA (RSA, 1996b) as key requirements for good school governance. It is important to indicate that the school governance evaluation scheme used a generic evaluation approach of internal and self-evaluation similar to the current IQMS and Whole School Evaluation approach currently used by the DoE in measuring school performance.

With each of these checklist areas of school governance measured in terms of ten indicators in terms of positive and negative responses, the scores were counted simply by allocating percentages for positive responses from the individual participants for each school governance performance area. These are then added up and a total percentage for the school governance evaluation scheme is determined for each individual participant in the study. This gives a clear indication of what particular groups of stakeholders perceive regarding each of the indicators and performance areas.

Graph 8.1, the school governance scores as determined from the Scheme for School Governance Evaluation or preliminary assessment before scorecard application at the schools, shows very interesting results. In fact, the results particularly suggest that the state of governance in special schools from formerly disadvantaged backgrounds and

townships, from across the EMDCs involved in the study, was almost shocking. Very little has happened with respect to the development of school governance, according to the perceptions of most participants in most of these schools, compared to their counterparts from the more advantaged backgrounds.
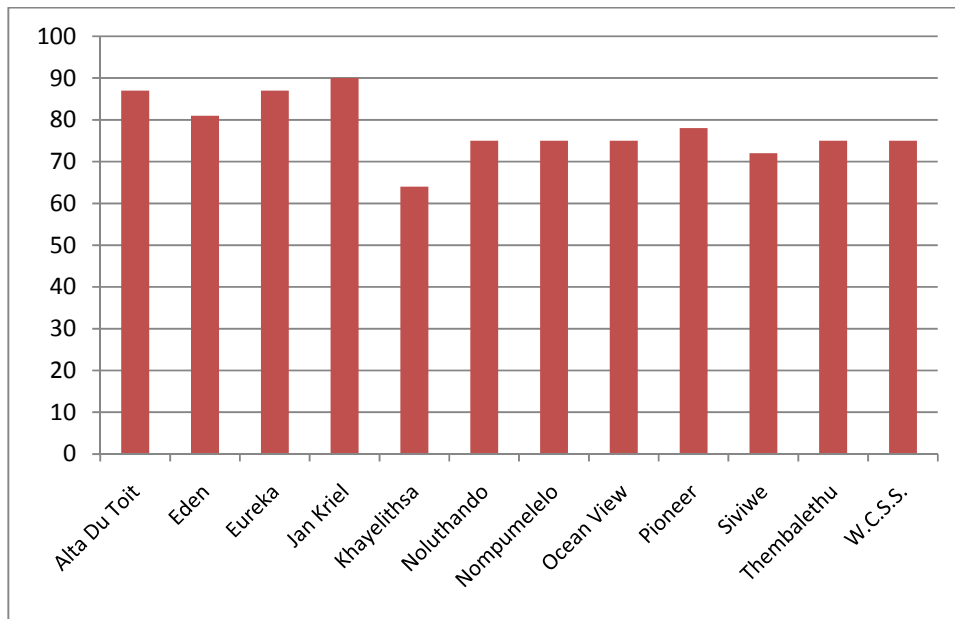
Graph 8.1:   School Governance Pre-Evaluation Chart
Source: Compiled by the Author

According to the preliminary assessment questionnaires outcomes as indicated in Graph 8.1, only four out of twelve schools are governed optimally, i.e. have a score of over 80%. The school governance score variation range between the lowest and highest score of 62% and 90% (28%) is so wide as to deserve special attention. Seven other schools, however, are not that bad, as they scored between 72% and 78%. Schools such as Khayelitsha and Siviwe scored on average the lowest total scores of 62% and 71% respectively. The scores of the other formerly disadvantaged schools i.e. Noluthando, Nompumelelo, Ocean View, Thembalethu and Western Cape Sports School, are slightly higher (between 72%-78%). The four schools that scored above 80% are Alta du Toit, Eden, Eureka and Jan Kriel.

Jan Kriel School had the highest total score of 90%, meaning the school has good overall school governance practice. Furthermore, the difference in margin of the total school governance scores from the highest to the lowest is 28%, which should be a point of concern for the provincial educational administrators.

The preliminary assessment questionnaires also reflect results on details that are not shown in Graph 8.1 but which are nevertheless important in analysing school governance. Most schools do not always perform well or badly on all the different aspects of the questionnaire. Graphs 8.2A-F give a clear reflection of which aspects of school governance are important to some schools and which are not so important. On aspects such as school finances, planning and SGB functioning, schools like Alta du Toit, Jan Kriel and Eureka seem to achieve high scores, whereas other like Khayelitsha and Siviwe schools are always at the lowest level.

The one school that ranks last on educator and staff employment, i.e. Khayelitsha, (see Graph 8.2F), risks internal instability that has the potential to affect the total governability of the school. The issue of staff and educator employment and promotion is one of the most pertinent issues in schools. This could be manifested in the lowest average scores achieved by the school also on the overall score chart.
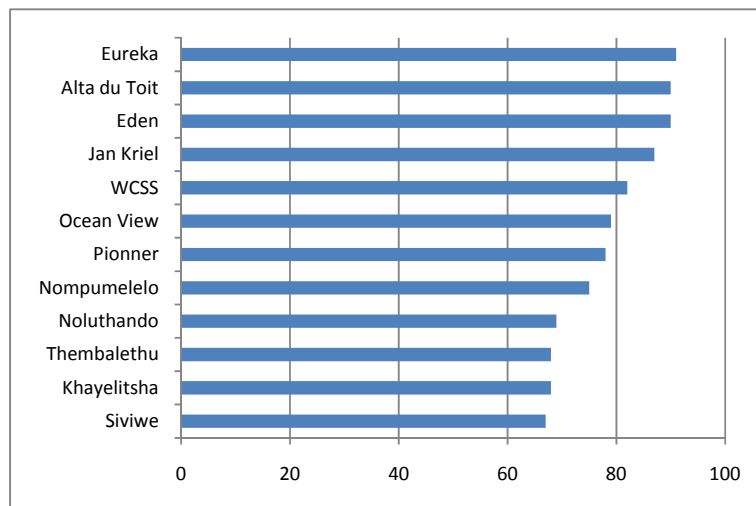
Graph 8.2 (A): SGB Existence and Functionality
Source: Compiled by the Author

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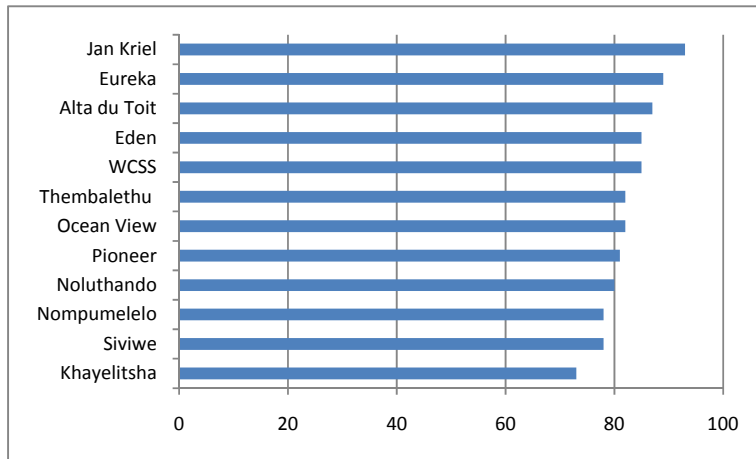
Graph 8.2 (B): Meetings
Source: Compiled by the Author
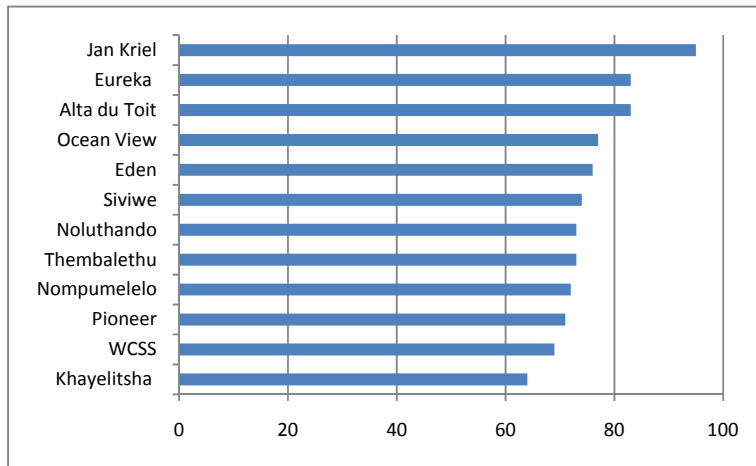
Graph 8.2 (C): Planning
Source: Compiled by the Author
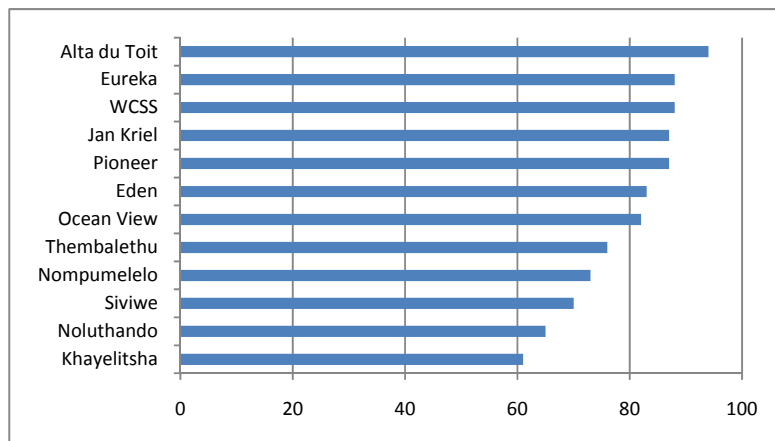
Graph 8.2 (D): Finances
Source: Compiled by the Author

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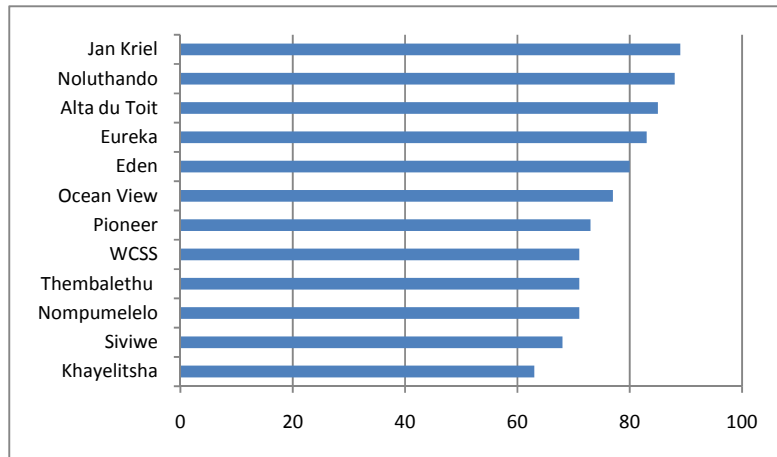
Graph 8.2 (E): Parents & Stakeholder Participation

Source: Compiled by the Author
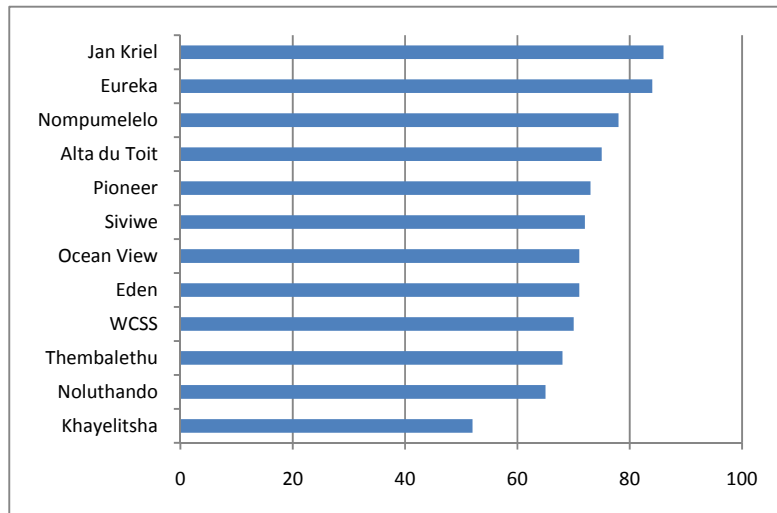
Graph 8.2 (F): Educator & Staff Employment

Source: Compiled by the Author

8.2.2 Systematic observations

Systematic observations entailed a type of replicable observation, where any other different researchers doing the same study would be able to observe and report the same results. The major aspects subjected to observations are the most visible at the schools as well as the more closely inspected elements within the key school governance performance areas and indicators.

School governance observation essentially entailed a two-day visit and walking through the schools with an appointed school guide who would explain certain important questions. It consisted of viewing the school buildings and infrastructure such as classrooms, offices, toilets, the sports fields and the school environment. Of major interest were the security arrangements from fencing, surveillance and alarms to security guards. Finally, it was also important to observe a meeting of the school governing body or any of its sub-committees.

Alta du Toit Special School

On arrival at the school one could immediately observe a highly secured school environment suitable for learning. The school has high-quality fencing, surveillance and alarms systems supported by security guards. The school buildings and infrastructure, although old, are of good standard and are well maintained. Management and administration offices are also good and have a high-standard IT system. This school represents professionalism and good management. Classes are held in well-appointed classrooms with a learning infrastructure and materials. Toilets are also neat and hygienic. The school has a green and healthy environment together with a well-maintained sports field.

Eden School

Although the school is small, it has good buildings with simple infrastructure and neat classrooms with adequate learning materials. The office sizes and numbers can be improved to enhance administration. The school does have a healthy environment, but is not green enough though. Toilets are hygienic. There are not enough sports fields. Grass and trees would improve the school environment. Security mainly takes the form of fencing and security guards. One meeting of the SGB sub-committee for fundraising was held and it was pleasure to observe the nature of the cooperation, discipline, participation and transparency in meetings.

Eureka Youth Centre

Because of its background, nature and purpose as a reform and development centre for boys, the school has best quality buildings, infrastructure, classrooms and offices. The security at the school is also of a very high quality consisting of fencing, surveillance and alarms, all monitored by security guards. The school is very neat with a beautiful and healthy environment with grass, flowers and trees surrounding the soccer and rugby fields. There is good infrastructure in terms of transport and accommodation (hostels) for learners. However, there was no school governing body meeting to observe. There was openness and transparency from management.

Jan Kriel School

Jan Kriel has school buildings, infrastructure, classrooms and offices that are of a high standard. This attests to the way in which the school is governed. Learning is therefore very effective as all the necessary facilities to ensure a good learning environment are present. There is an overall healthy and hygienic environment, including clean toilets. There are sufficient sports fields with enough grass and trees. Security for learners and school property is reinforced with electronic fencing, surveillance and alarms over and above the security guards. In the SGB meeting there was good communication, time management and professionalism, particularly on school financial matters.

Khayelitsha Special School

The school has inadequate buildings and a poor infrastructure that is not appropriate for providing a sound education. Considering the numbers of learners, there is a shortage of classrooms and those available are not well suited to quality learning. There are also not enough offices. Health and security could be improved. The school environment does not auger well for healthy learning: no grass, no trees, only a very small vegetable garden. There are no sport fields either. There is less cooperation and enthusiasm from educators and staff. SGB meetings are not properly organised.

Noluthando School for the Deaf

The school is rather new but needs further development. Offices are up to standard and there are resources available. Classrooms are also well organised. Updated resources are available. Toilets and water facilities are clean. The environment needs improvement with sports fields. Standard security is fencing and security guards. SGB meetings are properly conducted, but with less participation from stakeholders.

Nompumelelo Special School

This is a small school with semi-modern buildings and infrastructure. There are quality classrooms but with insufficient learning equipment. There are not enough offices to accommodate all staff members. Toilets are not hygienic. Recreation facilities such as sports fields are non-existent. Security mainly consists of fencing, alarms and security guards. SGB meeting are not open enough and there is a low leve of participation from stakeholders.

Ocean View Special School

Ocean View School is making use of temporary accommodation. The buildings are unsuitable with insufficient infrastructure. There is only one small office for the principal. The rest of the staff and administration are accommodated in a compartment in the passage that leads to the principal's office. Classrooms are too small and full to capacity. The school is generally in an unsafe environment and security relies only on fencing and insufficient security guards. There are no sporting facilities.
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Pioneer School

The school has a huge school building with large classrooms and almost perfect infrastructure with plenty of offices. It has a highly secure environment with sports fields and activity halls. The school environment is hygienic with clean toilets. There is quality fencing, a surveillance system and alarm backed by security guards. SGB meetings take place under very professional standards with a very strong corporate governance approach.

Siviwe School of Skills

Siviwe School was recently converted from an ordinary primary school to a school of skills. The school is using old buildings which are dilapidated. Classrooms are in the process of being renovated. There are no updated sports facilities. A block of offices has just been built by the Department. Learner discipline is a major problem. Security is inadequate; the school depends mainly on a strong fence and security guards. The SGB operates democratically and there is cooperation by all stakeholders.

Thembalethu ELSEN School

The school has modern buildings with an infrastructure suitable for education of disabled learners. Classrooms are big and well equipped. There is sound infrastructure for good management, which includes offices with IT facilities. There is a good health and hygienic culture, in that the toilets and bathrooms are always clean. The school lacks a sports field, but there are activity halls. Security is also very strong with fencing, surveillance and alarms backed by security guards. Meetings are held very democratically and there is participation and cooperation by stakeholders.

Western Cape Sports School (WCSS)

The WCSS uses the WCED buildings, which provide suitable infrastructure with enough classrooms, activity halls and sporting facilities. There are quality offices with IT equipment. Toilets and water areas adhere to high standards of hygiene. The school environment is perfect with sufficient grass and trees. Security is maintained through fencing, surveillance and alarms and security guards. There was no SGB meeting to attend, but good discipline and cooperation are evident.

8.2.3 Observation analysis: A synthesis

Most schools have good buildings and infrastructure as result of funding from the DoE and sponsors. However, there are problems in terms of maintenance, which is a direct responsibility of the SGB. Since good governance reflects in management professionalism, it becomes clearly evident in classrooms, e.g. poor classroom set-up and no learning materials and facilities. This was the case with most township-based

schools. A well-governed school could easily be identified only by observing the school's external characteristics. Examples are schools such as Alta du Toit, Jan Kriel and Eureka. They excelled in this area, unlike other schools, which showed no evidence of any landscaping.

All these schools are funded by the state and they receive donations from various NGOs and sponsors and hence their level of governance needs to be on a par. Most schools visited by the researcher have no IT systems, which leaves one wondering how modern management approaches are applied. There are schools with no security at all, while others have high-level security. Sporting activities are one of the most important aspects of the school curriculum. Almost 40% of schools that were visited have no sporting infrastructure.

Observations revealed that schools differed in terms of learner transport, health standards and hygienic conditions. Finances are a serious concern in most schools. This is an area not available for observation at many schools, whereas a number of others are open to scrutiny. SGB meetings, particularly where the school's financial issues are discussed, are usually closed for observation.

8.2.4 Interviews

Interviews were held with all the principals of schools participating in the study as they are central to school governance and management. They are also the single most important individuals working as Department officials in the schools and working directly with SGBs, albeit as "CEO's" of the schools. Principals are also directly involved in the creation and implementation of the school governance policies. The aim of the interviews was to obtain information and data to substantiate the observation results as well as to validate initial perceptions on the effect of governance formed during the observations. A scribe was always present in all interviews sessions to take notes.

The main issues that were covered in the interviews were about SGB policies, meetings, support for teachers, SGB-principal or management roles, sub-committees,

stakeholder communication and relationships, and the community's responsibilities. The interviews are discussed on a school-by-school basis below.

Alta du Toit Special School

According to the Principal, Mrs Marietjie du Toit, their school does not have any problem in understanding the policies and legal requirements, as most of their SGB members have been involved in school governance and education for a long time. They also have periods when they share views and knowledge on educational and school governance policies. On SGB meetings she said: *"Meetings schedules are set well in time and are agreed by all members, reminders are sent to members prior and there is strict control on meeting attendance"*.

On the SGB and management role Mrs Du Toit indicated that the SGB and management interact frequently to discuss the roles of each party, so there has never been friction and misunderstanding. The school plays a role in the community of Kuils River, where learners and teachers take some of their projects to the community for community development and the parents also participate in community safety programmes.

Eden School

At the Eden school, the Principal explained that high-level SGB training takes place regularly after elections to ensure that elected members understand the policies and requirements for governing schools. On SGB structures, the Principal indicated that there are sub-committees for finance, fundraising, sport and culture, and discipline, and that all the SGB members and parents participate.

About communication with all stakeholders, Mr James, the school principal said that *"there was regular communication with educators, parents, and the general workers to inform them of all the decisions taken in meetings and to get new mandates from them"*. Mr James also stated that the SGB supported educators in their work whenever they

needed assistance, *"for instance, if there are fieldtrips with learners, some of the SGB members and parents would accompany them",* he said*.*

Eureka Youth Centre

At Eureka the SGB meets four times a year (once every quarter) in line with the constitutional requirements as outlined in the SASA (RSA, 1996b). Parents are not directly involved in school governance, as the learners come from areas far away from the school. Their participation is, however, determined by a combination of special provisions from the SASA (RSA, 1996b), Children's Act, Act 38 of 2005 (RSA, 2005c) and Criminal Procedure Act, Act 75 of 1995 (RSA, 1995a). They are hence represented on the SGBs by the district magistrate.

Regarding SGB responsibilities, the Principal, Mr Johan Zellie indicated that as the SGB meets and revises various school matters, they also look into the maintenance of school buildings and property, the procurement of resources, and the recruitment of staff is done democratically. According to Mr Zellie, *"the school has a responsibility in the nearby communities of De Nova and Zwelethemba, where some of our projects aim to uplift people in difficult circumstances".*

Jan Kriel School

Jan Kriel School has highly trained and qualified lawyers, accountants and business managers appointed in the SGB, resulting in full understanding of the policies and legal requirements of school governance. In terms of meetings the Principal of Jan Kriel, Mr Burger (interviewed 6 March 2010), stated *"that SGB meets regularly every three months. The Chairman calls all the members directly reminding them of the meeting and the members' attendance is recorded".*

Jan Kriel's SGB has developed a range of school policies which guide management and are in line with Departmental requirements. At Jan Kriel teachers are always supported in educational needs, e.g. resources or equipment, but also in cases of learner discipline.

Khayelitsha Special School

According to the Principal, the SGB problem was that most members cannot understand all the policies of school governance as a result of illiteracy. The SGB training that is done by the WCED also proves to be insufficient. The SGB meets regularly and meeting invitations are sent with learners to the SGB members. Not all members are fully committed as they do not receive any compensation.

The school principal, Mr Klass, also indicated that *"there is often a lot of infighting and disagreement with decisions on budgets, procurement of resources, and recruitment of staff and teachers"*. The teachers participate in all SGB programmes but there are often some who are less enthusiastic and more hesitant.

Noluthando School for the Deaf

Although members are informed about the meetings by the Chairperson (by correspondence and telephonic notices), there are always complaints regarding transport. On the question of understanding of roles, Mrs Mavuka, the school principal said that "*there was good understanding as the Principal has to manage the school on the day to day basis, while the SGB governs and develops and adopts school policies".*

Accordingly, as required by SASA (RSA, 1996b), all the stakeholders, parents, teachers and general staff participate in meetings and put forward their proposals and their concerns, which are considered like everyone else's. In terms of the SGB's responsibility of overseeing school programmes, there is an SGB member in every committee to give feedback to the SGB. *"They give final approval in all school activities that must be undertaken, especially those that need school budget",* said the Principal*.*

Nompumelelo Special School

There is regular training provided for all SGB members to empower them in understanding of policies and frameworks, but the problem is that the policies and training are always in English and most parents in the SGB are illiterate. The school principal, Mrs Mxube, said: *"SGB supports educators and staff at large. Teachers get*

sent for training to improve their skills in short courses relevant to their subjects. SGB also does regular visits to see if teachers are not experiencing any problems".

SGB is also directly involved in overseeing the maintenance of school property, safekeeping of facilities and procurement of goods and services. According to Mrs. Mxube, *"employment of educators is one sticky area that normally creates conflicts in the school, but the SGB immediately sets principles that must be followed in terms of the law".* On the community relationships, the Principal indicated that there were good relationships with the community around the school, so that if there are services that need to be rendered at the school such as gardening, fixing pathways, etc., the first priority for those jobs is always people from the nearby community. They are also the first line of security for the school.

Ocean View Special School

Most of the SGB members are also sleep-in workers who work at places far away from the area; the SGB can therefore only call meetings on weekends. The Chairperson normally writes letters and sends them with the learners to the SGB members. On the Principal-SGB roles, the Principal, Mrs Williams, commented: *"Yes there's sometimes arguments about the role functions as often some SGB members want to control the day to day school management. We often invited the WCED to help resolve those conflicts and they would come and give workshops".* Mrs Williams also indicated that it was difficult to maintain the grounds as the current property did not belong to the school. The school would soon be moved permanently to another building in the area that used to house the Departmental offices.

Procurement of goods is done by the SGB; management must just list all the required items. Appointment of staff is also done by the SGB. *"Lucky now, because we are a small school, we only have five educators and only two permanent assistants",* Mrs Williams said.

Pioneer School

All members of the SGB are fully informed and understand the policies and legal requirements of school governance. Most board members are professional people and specialists in various fields; some are lawyers, so they help the school with the knowledge of these aspects. Awareness sessions are also held to update new members. Meetings are held regularly on a monthly basis and the secretariat reminds the members about the venue, date, time and agenda of the meetings.

On the issue of school policies Mr H.F. Mentz, the principal's comments were: *"Some of the school policies have been established some time ago and are part of the school culture, but we keep updating them in line with the changes in provincial education regulations and national policy"*. There are a lot of good relationships with the community of Worcester and there is frequent interaction with businesses and the municipality on common issues.

Siviwe School of Skills

Most of the SGB members reside in the area around the school and most are unemployed. It therefore becomes very easy to reach them whenever an unscheduled meeting is called; otherwise all meetings are planned in time and members have the times and dates for those meetings.

The SGB supports educators in many ways: often parents come to school to volunteer and assist teachers during classes, in cleaning, in maintaining order, and they also go with travelling groups to assist on the way. On the rights and obligations of various stakeholders Mrs Kulati, the school principal responded: *"Parents, teachers and staff are all consulted in their sectors before any decision is taken by the SGB and their views and opinions are highly regarded"*.

Thembalethu ELSEN School

Whereas some of the SGB members are illiterate, the governing body of Thembalethu School operates very well and all the members have participated in the training

programme facilitated under the WCED about the policies and requirements for school governing bodies. The Principal, Mrs Nosipho Franse indicated that meetings are held once every term in line with the SGB regulations; the only thing is that members need to be reminded often, especially as the meeting date approaches.

There is lot of support for educators as parents always volunteer to assist any educator who needs assistance with learners or in class; the SGB and parents are always available. On the rights of other stakeholders the Principal said: *"All stakeholders are respected and are consulted by the SGB before any decision is finalised, particularly those decisions that affects the particular groups directly"*.

Western Cape Sports School

According to the new Principal, Mr Friedenthal, "*the school opened its doors for the first time in 2007 and is the initiative of both the WCED and the Department of Cultural Affairs and Sport (DCAS)"*. Since the Principal took over, the SGB meetings were not taking place as often as scheduled.

Learners are from different places mostly outside the school vicinity, so parents are not included on the SGB, but the Department officials represent their interests. School policies are developed by the board with the assistance of the founding Departments of Education and Sport and Culture, but are endorsed by all the stakeholders, the sponsoring bodies, educators, general staff, and the Departments before being applied.

8.2.5 Preliminary assessment: A summary

Looking into the responses from questionnaires, observations and the interviews with the principals of the different schools, it appears that schools have varied experiences on matters of school governance in terms of understanding policies, meetings, role functions, and stakeholder roles and relationships. On the questionnaires it became obvious that certain schools are mostly at the top of the score chart, while others always lie at the bottom on almost all the aspects under evaluation.

There are clear trends that appear where schools with better resources from a formerly advantaged educational background have better governors who understand policies and roles and are more effectively governed. On the other hand, most schools from formerly disadvantaged education backgrounds are, put simply, struggling to govern well.

The pre-application analysis was essentially to reveal the finer details of particular governance aspects and the state of conditions in various schools before the use of the scorecard, which has been developed and applied in order to assess the difference. The main purpose for the development of the scorecard for measuring school governance is that it has the means to measure more accurately the finer aspects of the areas with greatly improved reliability than the instruments used in the pre-application evaluation.

Now with the data of the scorecard ready to be presented and analysed, it would be easy to interpret the actual factors affecting different levels of school governance at different schools without generalising about the outcomes. In the following sub-section the results from the scorecard are presented for analysis.

8.3   BALANCED SCORECARD APPLICATION: THE ANALYSIS OF RESULTS

A cross-referenced analysis of governance from special schools in the WCED's East, South and Cape Winelands EMDCs using performance areas and indicators designed from the SASA (RSA, 1996b), the provincial regulatory framework on school governance and other legislative frameworks was undertaken. Traditional analysis of a school's performance usually begins predominantly with looking at the matric pass rate and often ends there. The BSC therefore presents a fact-based approach towards understanding the effectiveness of school governance performance, or lack thereof, in terms of the key indicators and measures that it provides.

At the overall level the total score rates for school governance are indicated in Graph 8.3. The scorecard reflects the schools from the worst-governed school, Ocean View

School with 54%, to the best-governed school, Jan Kriel School with 90%. Seven of the twelve schools participating in the study, i.e. Khayelitsha, Nompumelelo, Western Cape Sports, Thembalethu, Noluthando, Siviwe and Pioneer, all achieved scores ranging between 60% and 80% as shown in Graph 8.3. Eden, Eureka and Alta du Toit also achieved remarkable scores ranging from 82% to 88%.
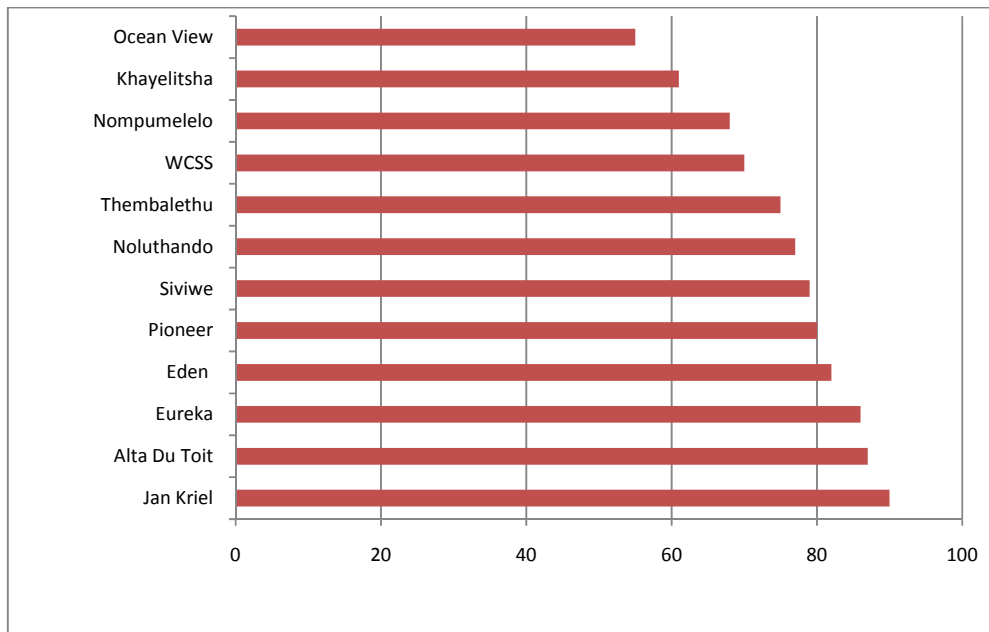
Graph 8.3: Scorecard School Governance Evaluation Scores

Source: Compiled by the Author

But how did the selected special schools score on various indicators? The following Graphs 8.4 (A-J) illustrates the findings.

8.3.1 Overall SGB state

The general condition of the school governing body is the single factor that determines governance performance in any school. There is no way that a school with a non-existing or dysfunctional SGB can be properly governed or have effective management and produce good results. It is therefore important that the scorecard begins with evaluating the "health" of the governing body.

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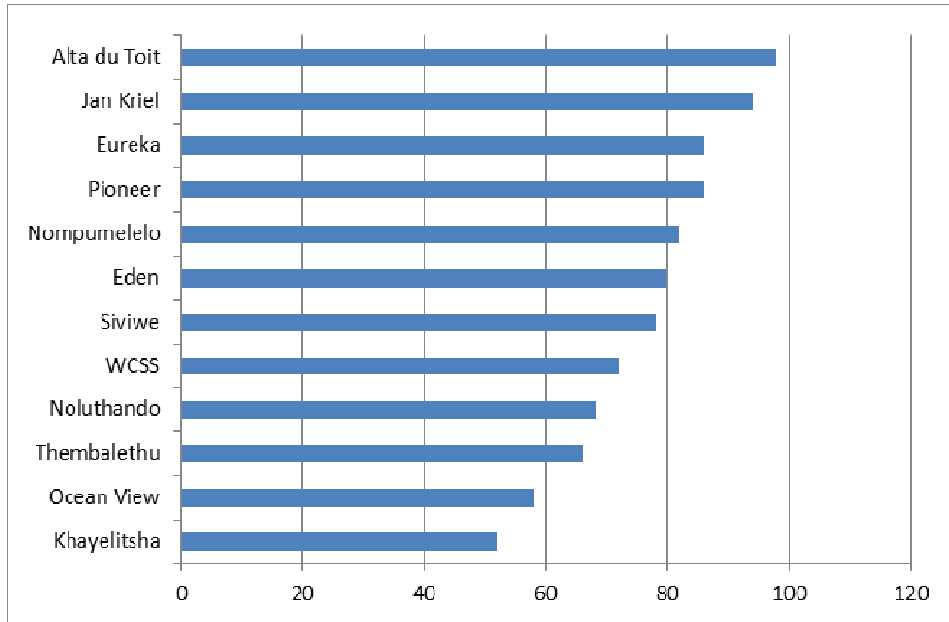
Graph 8.4 (A) SGB State and Functioning

Source: Compiled by the Author

On examining all the indicators for good existing and functioning SGBs for all the schools the Graph 8.4(A) indicates the results according to the scorecard from best to worst scores. In terms of the scorecard the specified average target to be achieved by the schools for standard governance was 90%. The results here show that of the twelve schools involved in the study only two schools could attain this target, but four other schools achieved just above 80%.

This therefore means that 50% of the participating schools' SGBs are healthy and functioning. Certain schools' SGBs that were given a clean bill of health in the pre-application questionnaire and interview, such as the WCSS, have now been proven unhealthy by the scorecard, while Pioneer school, which was not certified on the pre-application checklist, has now been certified as healthy.

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8.3.2 SGB Meetings
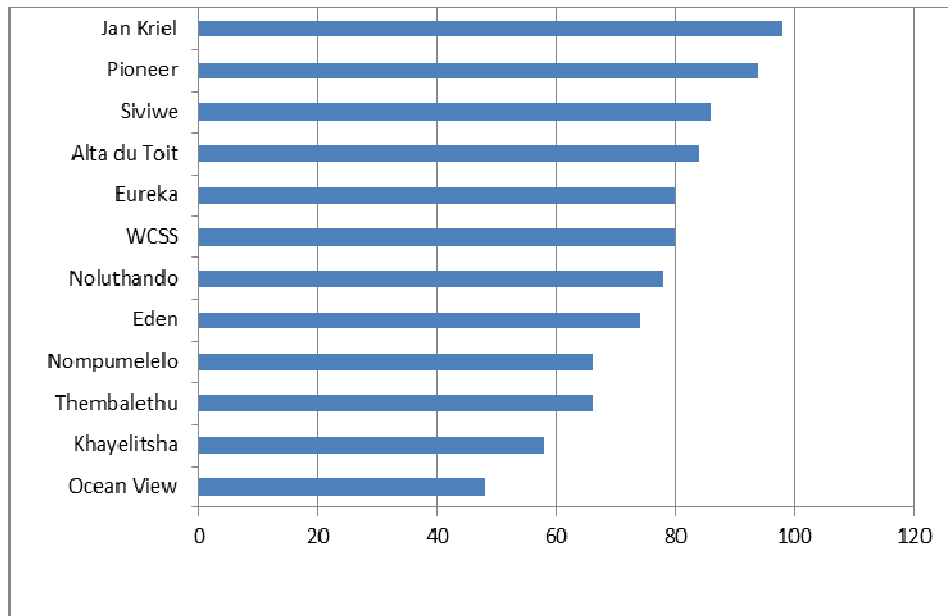
Graph 8.4 (B): Meetings

Source: Compiled by the Author

One of the basic essentials in the operation of school governance is meetings. This is where important discussions take place and decisions are made about school life and progress, and here members are elected particularly to participate. Often the way in which meetings are called, facilitated and managed gives a clear reflection of the quality of governance provided by the particular SGB to the school. Having examined all the related indicators through the scorecard, Graph 8.4 (B) gives the scores achieved by the schools in this area.

The related indicator in this area included attendance, participation, democratic nature, time management, notices, language use, and the quality of reports and minutes. It is interesting to look at the startling reality of the difference between the lowest score of Ocean View (48%) to the highest score of Jan Kriel (98%), a difference of 50%. The pre-application checklist gave Ocean View a misleading score of 82% on the meetings.

It is encouraging; however, that 67% of the schools involved in the study are already beyond the starting target score of between 70%-80%.

8.3.3 Vision and mission statements
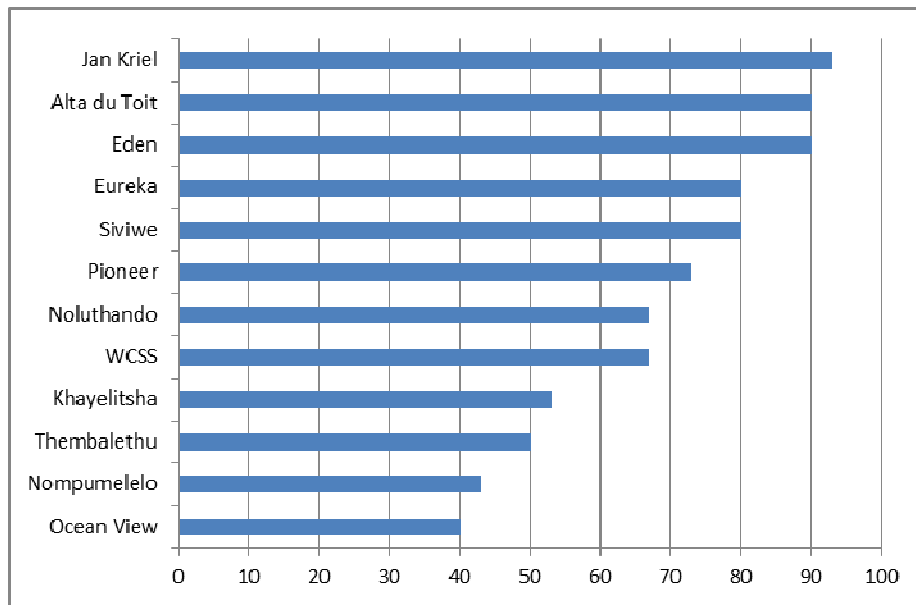
Graph 8.4 (C): Vision and Mission
Source: Compiled by the Author

These are two of the most important elements in organisations attaining their goals. The vision and the mission inform the strategy of the schools, and without clear and well-communicated and internally shared strategies, schools will not achieve their goals. The target for this area is to achieve a percentage score of 85%. With 5 out of 12 schools above 80%, this is a hopeful start. Again 67% of the schools are well above 68% while the remaining 33% are all schools from the historically disadvantaged groups. The three schools that scored below and up to 50% do have vision and mission statements in their files, but they are not communicated or relevant to existing departmental vision and policy. The key aspect of concern here is that without a vision and mission, there can be no quality planning, resulting in poor implementation of the programme. This could also result in poor utilisation of resources, which is what is happening in many schools.

8.3.4 Principles of good governance
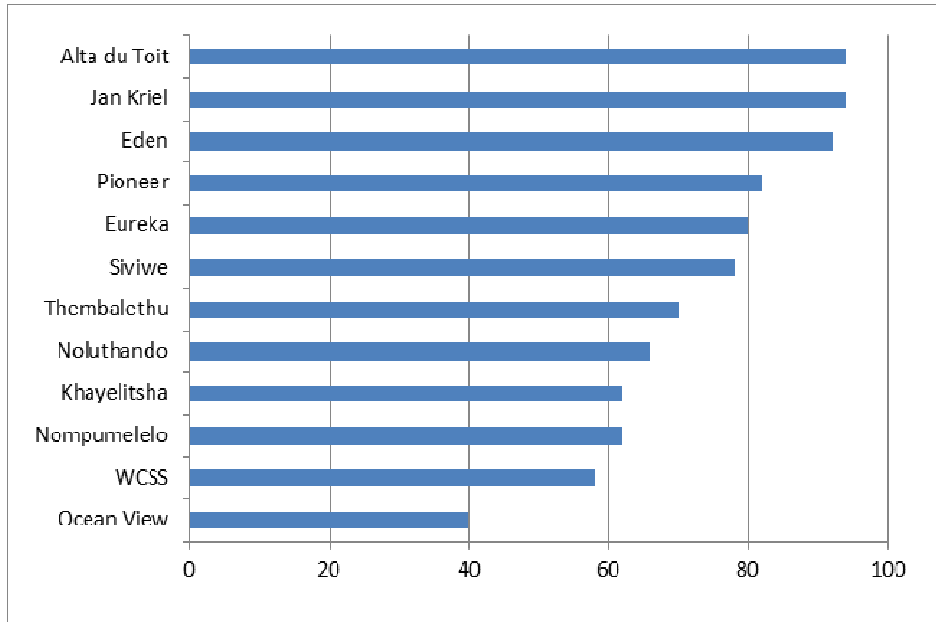
Graph 8.4 (D): Principles of Good Governance

Source: Compiled by the Author

The principles of good governance, as elaborated and applied in corporate governance, are generally accepted and applicable throughout the public administration. These principles include accountability, transparency and openness, consultation, integrity, responsibility, value for money and *ubuntu*. The target determined for this indicator was 85%-90% and only three schools achieved this score.

Seven out of twelve schools, almost 60%, however, attained more than 75%. From the twelve participating schools, only two schools, the WCSS and Ocean View School, scored less than 60% on the application of good school governance principles. The Ocean View School again scored the lowest in this category with a 40% score.

8.3.5 School finance management
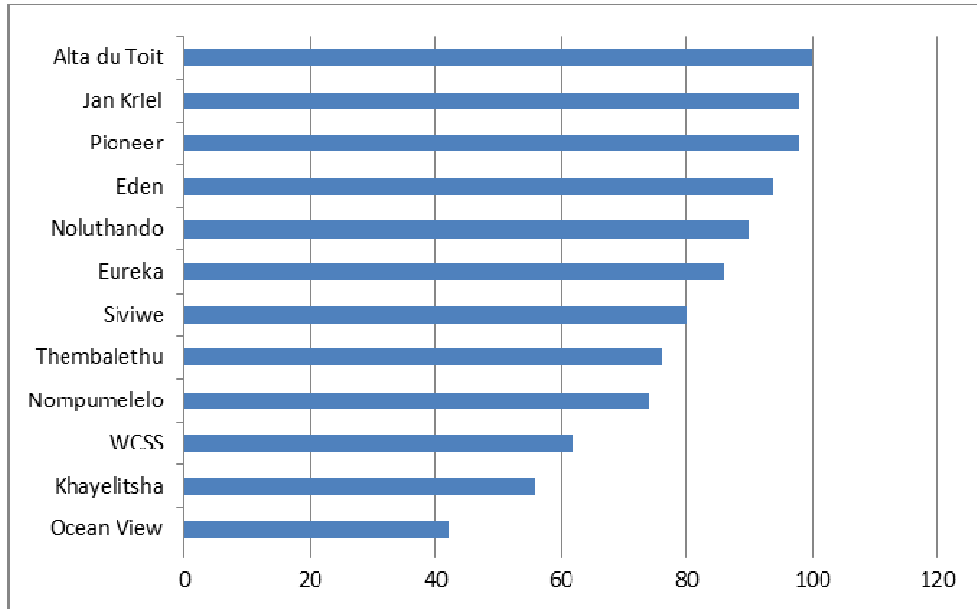
Graph 8.4 (E): School Finance Management
Source: Compiled by the Author

This is one of the most important areas of responsibility for governance of Section 21 schools, as they are handling all the finances of their schools themselves. It is therefore crucial that a well-governed school perform well in this aspect. According to the scorecard, the proposed target for this performance area is a high 95%-100%. Five schools performed well and achieved this target. One of those schools, Alta du Toit, scored a remarkable 100% achievement, while two others, Jan Kriel and Pioneer, achieved a highly commendable score of 98%.

The principals of all these schools had indicated during the pre-application interviews that the SGBs had appointed highly qualified professionals such as accountants on their governing bodies. Two other schools, however, achieved worryingly low scores of below 60%. These very same schools had achieved over 80% on the same performance indicator during the pre-application checklist questionnaire evaluations.

8.3.6 Staff employment and recommendation
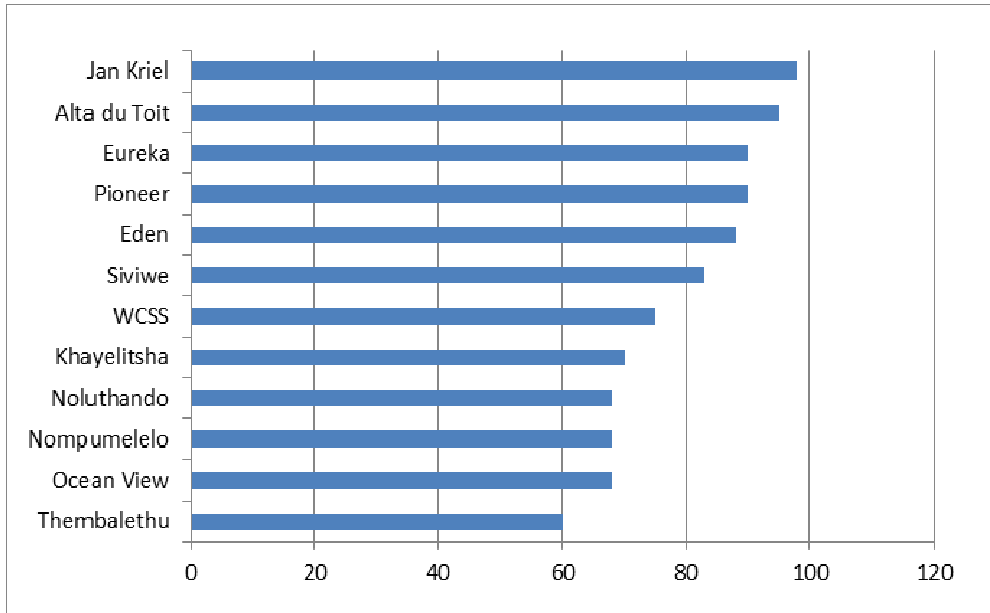
Graph 8.4 (F): Staff Employment and Recommendation

Source: Compiled by the Author

Staff employment, promotion and recommendations by the SGB are one of the most contentious issues and they often lead to challenges in governability at schools. As stated in the scorecard performance area statement, a successful SGB handles staff and educator employment and recommendations properly in accordance with the Employment of Educators Act (RSA, 1998b).

The proposed minimum target to be attained in this area is 80%, partly because it is impossible to satisfy everybody, human nature being what it is. Looking at the scorecard results, 50% of the participating schools scored above 80%. Jan Kriel and Alta du Toit are model exemplary schools; they achieved highly remarkable scores of 98% and 96% respectively. That is obviously one of the reasons why there is so much stability and success at these schools. Another interesting factor is that no school achieved a score below 60%.

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8.3.7 Parents and community participation
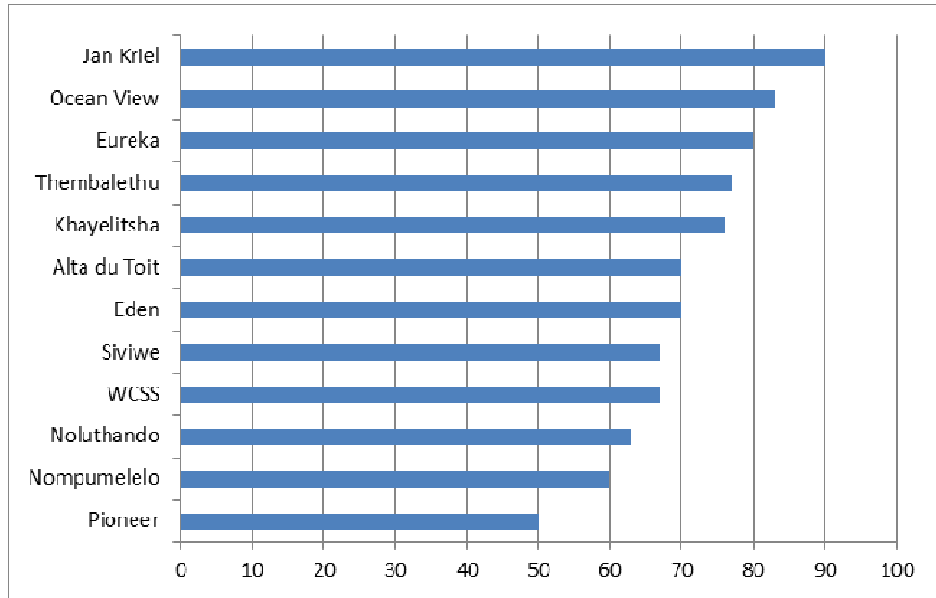
Graph 8.4 (G): Parents and Community Participation
Source: Compiled by the Author

According to the regulatory framework outlined in Chapter 4, the SASA (RSA, 1996b), for there to be more credible governance, parents must play a leading role in the governance of the schools of their children. It also states that all the stakeholders and the entire school community must participate fully. The scorecard required that a target of 90%-95% be attained in this area. Jan Kriel school, with a score of 90%, is the only school that achieved this target. This could mean, as suggested by the OECD (2004:60), that they have strengthened the roles and influence of the various stakeholders, i.e. school management, teachers, students and parents, in school governance.

Pioneer school scored the lowest mark of 50%, but the principal did indicate in the interviews that parents of their learners do not participate practically as the learners are from different places around the country. Ten schools out of twelve achieved scores ranging from 60% to 84%, there is therefore room for improvement.

8.3.8 School improvement and development
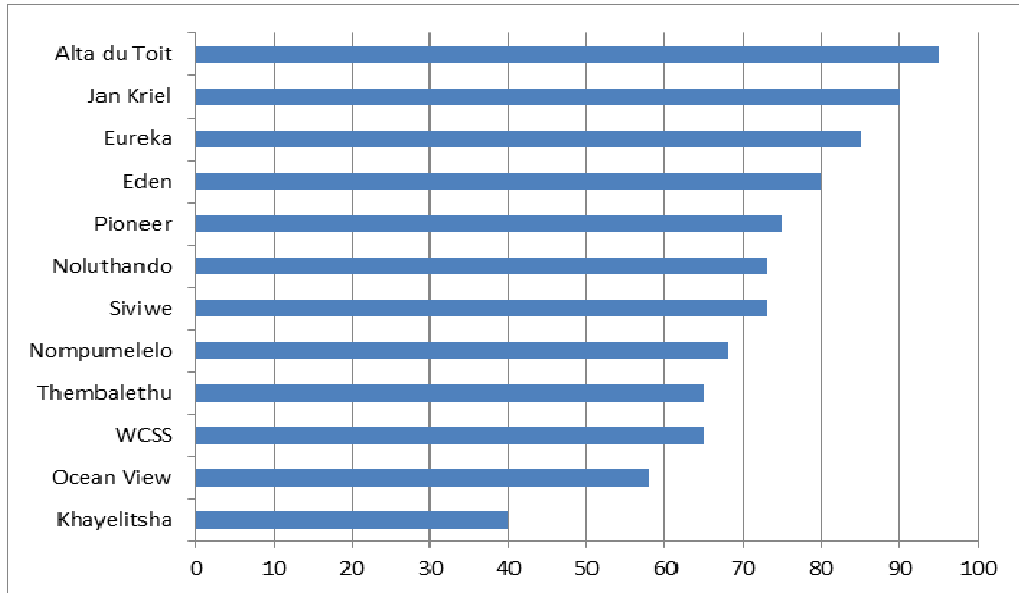
Graph 8.4 (H): School Improvement and Development

Source: Compiled by the Author

From a very common view and mostly from external dimension, a broader perspective on good school governance is clearly reflected by the level of school improvement and development. This is not just about buildings and infrastructure, but also implies development of staff and systems. SGBs are constantly striving to enhance the general outlook and beauty of the school through continuous improvement and development.

The best schools in this area are the historically advantaged schools; they have put more emphasis on the maintenance and development of the properties, buildings and the school infrastructure. The proposed minimum target in this category was 75%, but only five schools have achieved this score. The two lowest scoring schools, i.e. Ocean View and Khayelitsha with 58% and 40% respectively, should be a matter of serious concern for the WCED.

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8.3.9 Health and safety in schools
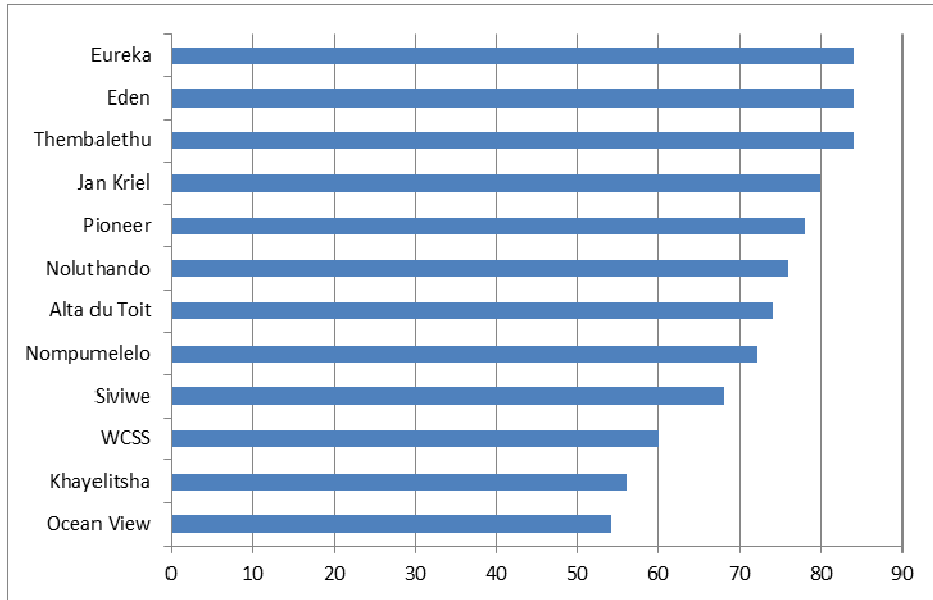
Graph 8.4 (I): Health and Safety in Schools

Source: Compiled by the Author

The general safety and health conditions in schools are among the most important aspects of governance of schools. The SGB and school management team need to set policies and create an environment that will improve school safety and health conditions not only for learners, but for educators, staff and visitors, as well as as keeping the property in good condition.

The scorecard indicates very clearly that the target in this area is to have the highest standard of health and security in schools. There must be regular health inspections and security must always be maintained at the gates and around the school. As indicated in Graph 8.4 (I), three schools, Eureka, Eden and Thembalethu, all achieved a top score of 84% each, just one percent off the recommended percentage target of 85%. The two schools, Ocean View and Khayelitsha, have the lowest scores of 54% and 56% respectively, while the other seven school scores range between 60% and 80%. Also interesting is the fact that the two lowest-scoring schools scored lowest on

maintenance and development of buildings and infrastructure. This might be the sign of inappropriate prioritisation and lack of target focus.

8.3.10 Discipline and code of conduct
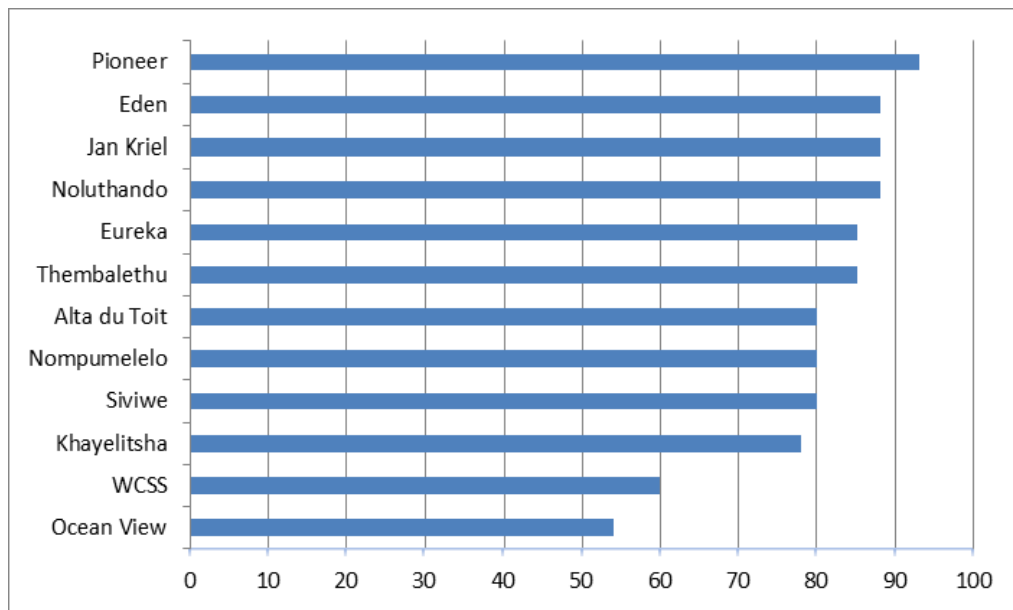
Graph 8.4 (J): Discipline and Code of Conduct
Source: Compiled by the Author

Discipline and code of conduct are key factors in the governance of public schools. As indicated by the WCED (2003a:1), discipline is clearly necessary for the functioning of a school. Undisciplined learners not only disrupt teaching and learning, but can also endanger other learners and educators. This should be viewed from the multidimensional perspective of learners' discipline, educators' conduct and the management code of ethics for the school. The scorecard suggests that strict adherence and monitoring of discipline have be a high priority of the school governing body and school management.

The target in this area was to have a highly effective school disciplinary system and the minimum percentage score target of between 75% and 80% was to be achieved by schools. Only two schools, Ocean View and WCSS, failed to reach that target score and

only achieved 54% and 60% respectively. All the other schools achieved a relatively healthier 77% to an excellent 94%.

8.4   SCHOOL GOVERNANCE INDEX (SGI): THE INNER-METRICS

An analysis conducted over a year revealed that there are different and distinct outcomes of school governance at the specials schools involved in this study. At each school the SGB applies governance principles mostly according to their personal preferences rather than to the regulatory and policy provisions of the WCED and Department of Education. These preferences become an unintentional influence, affecting decisions taken on a daily basis as well as the entire school governance.

These indicators have been analysed in the form of the perceptions at the participating schools and different versions have emerged based on the preferential approach to school governance. Each of these indicators has a number of sub-indicators revealing the schools' varied preferential styles of performance. The analytical overview of the patterns informs the quality of governance in each participating school.

The state of the SGB, as a single indicator of governance in the school, is further analysed according to various sub-indicators, which play an integral part in the entire school governance system. From the entire process the following interrelated inner-metrics have been further reconfirmed as main aspects influencing the governance of schools:

Table 8.1 (A): SGB State and Functioning

	TOTAL	Alta du Toit	Eden	Eureka	Jan Kriel	Khayelitsha	Noluthando	Nompumelelo	Ocean View	Pioneer	Siviwe	Thembalethu	W.C.S.S.
Elections	10	10	8	10	10	6	8	10	8	10	10	8	6
Legal status	10	10	8	10	10	8	10	10	8	10	10	10	4
Structure	10	10	8	10	10	3	8	10	8	10	10	8	8
Sub-committees	10	8	10	8	10	4	4	10	4	8	8	6	4
Experts' co-option	10	10	8	8	8	4	6	8	4	8	6	4	10
Leadership & planning	10	10	8	8	8	6	6	8	6	8	6	6	6
Constitution	10	10	6	8	8	6	8	6	4	8	6	6	10
Policies	10	10	8	8	10	2	6	6	4	8	6	6	6
Communication	10	10	8	8	10	4	6	4	6	8	8	8	10
Procedures	10	10	8	8	10	6	6	4	6	8	8	6	6

Source: Compiled by the Author

Table 8.1 (B): Meetings

	TOTAL	Alta du Toit	Eden	Eureka	Jan Kriel	Khayelitsha	Noluthando	Nompumelelo	Ocean View	Pioneer	Siviwe	Thembalethu	W.C.S.S.
SGB Meetings	10	10	8	8	10	6	8	8	6	10	8	8	8
Parents/ General Meetings	10	10	6	8	8	6	6	6	4	10	8	6	8
Attendance	10	10	6	8	10	8	8	8	4	8	8	8	8
Participation	10	8	6	8	10	4	6	4	4	10	8	6	8
Democracy	10	8	6	8	10	6	8	6	4	8	10	6	8
Time Management	10	8	8	8	10	4	10	6	4	8	8	6	8
Frequency of meetings	10	10	10	8	10	8	10	6	4	10	10	8	8
Notices	10	10	8	8	10	6	8	6	6	10	8	8	8
Reports & Minutes	10	10	10	8	10	4	8	8	6	10	8	6	8
Language	10	10	6	8	10	6	6	8	6	10	10	4	8

Source: Compiled by the Author

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Table 8.1 (C): School Vision and Mission

	TOTAL	Alta du Toit	Eden	Eureka	Jan Kriel	Khayelitsha	Noluthando	Nompumelelo	Ocean View	Pioneer	Siviwe	Thembalethu	W.C.S.S.
Vision	*10*	8	10	8	10	6	8	6	4	8	8	6	8
Mission	*10*	8	10	8	10	4	6	0	4	8	8	4	8
Ethos	*10*	8	8	8	10	6	6	6	4	8	8	4	8
Relevance to WCED policy	*10*	8	10	8	10	6	8	6	4	8	8	6	6
Strategy communication	*10*	10	8	8	8	6	6	6	4	6	8	6	2
Regular review & adaptation	*10*	8	8	8	8	4	6	2	4	6	8	4	6

Source: Compiled by the Author

Table 8.1 (D): Principles of Good Governance

	TOTAL	Alta du Toit	Eden	Eureka	Jan Kriel	Khayelitsha	Noluthando	Nompumelelo	Ocean View	Pioneer	Siviwe	Thembalethu	W.C.S.S.
Responsibility	*10*	10	10	8	10	6	8	6	4	8	8	8	6
Accountability	*10*	10	10	8	10	6	8	8	4	8	8	6	4
Transparency & Openness	*10*	10	10	8	8	8	6	6	4	8	8	8	4
Consultation	*10*	8	10	8	8	4	8	4	4	8	8	8	4
Integrity	*10*	10	10	8	10	6	8	8	4	8	6	8	6
Ubuntu	*10*	10	8	8	10	8	8	8	4	8	6	8	8
Equal Participation	*10*	10	8	8	10	6	4	6	4	8	10	10	6
Value for Money	*10*	10	10	8	10	4	4	8	4	10	8	6	8
Acts & speak as one	*10*	8	8	8	8	8	6	6	4	8	8	4	6
Delegation	*10*	8	8	8	10	6	6	2	4	8	8	6	6

Source: Compiled by the Author

Table 8.1 (E): School Finance Management

	TOTAL	Alta du Toit	Eden	Eureka	Jan Kriel	Khayelitsha	Noluthando	Nompumelelo	Ocean View	Pioneer	Siviwe	Thembalethu	W.C.S.S.
Budgeting	*10*	10	10	8	10	8	8	6	4	10	8	8	6
Fundraising	*10*	10	8	6	10	6	10	8	2	8	6	6	6
Financial records	*10*	10	10	8	10	6	8	6	4	10	10	8	6
Auditing systems	*10*	10	10	10	10	4	8	6	6	10	10	8	6
Procurement & Acquisition	*10*	10	10	10	10	6	10	8	4	10	8	6	6
School Fees collection	*10*	10	10	8	8	6	10	8	2	10	8	10	6
Banking	*10*	10	10	10	10	6	10	8	6	10	10	8	8
Resources & Asset Mangmt.	*10*	10	8	10	10	4	8	6	6	10	6	6	6
Provision of LTSMs	*10*	10	8	8	10	6	10	10	0	10	8	10	6
Cost Accounts & Taxes	*10*	10	10	8	10	4	8	8	6	10	6	8	6

Source: Compiled by the Author

Table 8.1 (F): Educator and Staff Employment and Recommendations

	TOTAL	Alta du Toit	Eden	Eureka	Jan Kriel	Khayelitsha	Noluthando	Nompumelelo	Ocean View	Pioneer	Siviwe	Thembalethu	W.C.S.S.
Educator Appointment	*10*	10	10	10	10	8	6	8	6	8	10	6	8
Staff Employment & Promo.	*10*	10	10	10	10	8	8	6	6	8	10	4	8
Staff Orientation &Retention	*10*	10	8	8	8	6	6	6	10	8	6	8	6
Interviews & short-listing	*10*	8	8	10	10	6	8	6	10	10	8	6	8
Demotion & dismissals	*10*	8	8	8	10	10	6	6	10	10	8	0	8
Contract & P/T jobs	*10*	10	10	8	10	6	6	8	6	10	8	6	8
Senior Acting Opportunities	*10*	10	8	8	10	6	8	8	6	10	8	6	8
Further-training & Dev.	*10*	10	8	10	10	6	6	6	0	8	8	6	6

Source: Compiled by the Author

Table 8.1 (G): Parents and Stakeholder Participation

	TOTAL	Alta du Toit	Eden	Eureka	Jan Kriel	Khayelitsha	Noluthando	Nompumelelo	Ocean View	Pioneer	Siviwe	Thembalethu	W.C.S.S.
School policy making	*10*	10	8	8	8	6	6	6	10	6	6	6	8
School activities	*10*	6	8	8	10	8	6	10	8	4	6	10	8
Finances & Fundraising	*10*	6	8	8	8	8	6	6	8	4	8	10	6
Extra-mural activities	*10*	6	6	8	8	6	6	6	8	4	6	8	6
School maintenance	*10*	8	4	8	10	10	6	6	8	6	6	6	6
School protection & Security	*10*	6	8	8	10	8	8	6	8	6	8	6	4

Source: Compiled by the Author

Table 8.1 (H): School Improvement and Development

	TOTAL	Alta du Toit	Eden	Eureka	Jan Kriel	Khayelitsha	Noluthando	Nompumelelo	Ocean View	Pioneer	Siviwe	Thembalethu	W.C.S.S.
School Improvement Plan	*10*	10	10	8	10	0	6	6	6	8	8	8	6
Staff Skills development	*10*	10	8	8	10	6	8	8	6	8	6	6	6
Management Training &Dev	*10*	10	8	10	8	6	10	8	6	8	8	4	6
SGB Training	*10*	8	8	10	10	4	6	4	4	8	8	6	8
Buildings & Environment	*10*	8	8	8	10	6	8	8	4	6	8	8	6
ITC Training	*10*	8	6	8	8	2	6	6	8	8	6	6	4
Infrastructure & Property	*10*	8	8	8	8	2	8	8	8	8	8	6	6
Community Development	*10*	6	8	8	8	6	6	6	4	6	6	6	6

Source: Compiled by the Author

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Table 8.1 (I): Health and Safety in School

	TOTAL	Alta du Toit	Eden	Eureka	Jan Kriel	Khayelitsha	Noluthando	Nompumelelo	Ocean View	Pioneer	Siviwe	Thembalethu	W.C.S.S.
Learner safety	10	8	8	8	10	6	6	8	8	8	6	6	6
School security	10	10	10	8	10	8	8	6	4	10	8	8	6
Health Issues	10	8	8	8	10	6	6	6	4	8	6	8	6
Learner abuse	10	8	10	8	10	10	6	6	4	8	6	10	6
Sexual Harassment	10	8	8	8	10	8	8	8	8	8	6	10	2
HIV Aids Awareness	10	8	10	10	8	6	10	10	6	8	8	10	8
Intimidation & Harassment	10	8	10	10	8	10	8	8	4	10	10	8	8
Learner-transport safety	10	8	8	8	10	8	8	6	4	10	6	6	6
Gangs, Drugs & Alcohol	10	8	8	8	8	8	8	6	4	8	6	8	6
Dangerous Weapons	10	0	2	8	10	6	8	8	8	0	6	10	6

Source: Compiled by the Author

Table 8.1 (J): Discipline and Code of Conduct

	TOTAL	Alta du Toit	Eden	Eureka	Jan Kriel	Khayelitsha	Noluthando	Nompumelelo	Ocean View	Pioneer	Siviwe	Thembalethu	W.C.S.S.
Learner discipline	10	8	10	8	10	6	8	8	8	8	6	10	6
Staff discipline	10	8	10	8	10	8	8	8	4	10	8	10	6
Educators' Code of Ethics	10	8	8	8	8	10	10	8	4	10	8	8	6
SGB Guidelines	10	8	8	8	8	8	8	8	4	8	8	10	6
Work & Office code	10	8	8	8	10	6	10	10	4	10	8	10	6
School uniform & C.O.D.	10	8	6	8	10	6	8	10	4	10	6	10	6
Corporal Punishment	10	8	10	10	10	8	10	10	4	8	10	10	6
Suspension & Dismissal	10	8	10	10	10	10	8	10	4	0	10	0	6

Source: Compiled by the Author

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8.5   EMPIRICAL INTERPRETATION OF RESULTS

According to Welman and Kruger (2001:216), the principle of experimentation and scrutiny suggests that there is no sense in conducting research if the results will not be interpreted and released to the community. Based on the scorecard inner-metrics, as shown in Graphs 8.4 (A-J), the respective states of the SGBs in the participating schools differ enormously. Schools like Alta du Toit, Jan Kriel, Pioneer, Eureka and Nompumelelo have fully legitimate and properly elected and functioning SGBs in place with properly constituted SGB structures.

This becomes even more interesting considering the less than average position of the Khayelitsha, Thembalethu, Ocean View, and WCSS schools' SGBs in terms of these particular micro-indicators of governance. Most schools are also below the expected state regarding the availability or lack of SGB constitution. Without a proper SGB constitution one wonders, how these SGBs are actually functioning in running the schools?

On meetings, the inner-metrics based on the micro-indicators show that certain schools are performing with relative consistency. Jan Kriel almost obtained the maximum scores, whereas Ocean View is doing very little in handling school meetings properly. Any score under six is generally unacceptable and requires urgent intervention. Khayelitsha is also very poor on the participation in meetings, time management, and the preparation and presentation of minutes and reports.

Nompumelelo SGB is struggling to create a realistic vision and mission for the school. Their mission statement is virtually non-existent and they do not hold any regular reviews nor do they adapt their vision statement in line with the regular developments in the WCED broad vision strategies. Western Cape Sport School meanwhile has a good vision and mission in place, but it is not shared with all stakeholders as there is no strategy for communication.

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There are also areas of concern that can be improved by various schools through the application of the principles of good governance. One of these is could be delegation at Nompumelelo, where there is a deep culture of monopolising governance responsibilities. The WCSS needs to improve on accountability, openness and transparency, and consultation. Thembalethu SGB requires improvement on acting as one and developing consensus among all the stakeholders.

On the very pertinent area of school finances, Alta du Toit has done exceptionally well with 100% achievement. The other schools that performed well on various micro-indicators of school finances are Pioneer, Jan Kriel, Eureka and Eden. Ocean View, however, needs to improve on their purchase and provision of LTSMs, fundraising and collection of school fees. Khayelitsha also is very poor on resources and assets management, accounts and tax payments, and school financial auditing. These are very serious issues of financial accountability.

Dysfunctionality in many most schools results from poor handling of staff employment and promotion. While it is the SGB's role to make recommendations to the Department on educator and staff employment and promotion, but this is often abused through nepotism and favouritism. Thembalethu SGB, for instance, is struggling to properly implement its functions relating to educator and staff employment and promotion. The school also lacks sufficient skills for handling staff demotions and dismissals. Jan Kriel, Alta du Toit and Eureka are performing excellently on this aspect of governance. Their secret is always to *'follow the policy and rules'*.

In terms of the participation of parents and other stakeholders such as educators, non-teaching staff, sponsoring bodies and even learners, Eden, Pioneer and WCSS all have a few aspects that require urgent support. Pioneer is struggling to ensure parents' full participation on internal school activities such as extramural activities, fundraising and even lack interest in the school's financial affairs. Eden experiences poor stakeholder participation on school maintenance. WCSS's community is not participating in securing the school and in programmes for protecting learners and staff. In the latter case, the

WCSS indicated in the pre-application interview that the school was also not playing much of a role in developing community relationships.

On the question of school improvement and development, almost half the schools do not have any School Development Plans (SDPs) in place. From buildings and infrastructure development, educator and personnel training, SGB and management training to IT technology, Khayelitsha and Ocean View are lagging behind the others.

Ocean View has vast problems in maintaining safe and healthy conditions for learners and educators in their schools. The prevalence of dangerous weapons such as knives, guns, etc., in schools can cause immeasurable harm and even death to learners and educators, as has happened in many schools. Pioneer, Eden and Alta du Toit, which are all formerly advantaged schools, have very low scores in this area of dangerous weapons.

At WCSS sexual harassment among all the learners and staff is a major challenge that requires urgent action. Although not in a critical state, Khayelitsha and Ocean View are lagging behind other schools on the promotion of HIV Aids awareness and literacy to learners. Currently the school with the safest and healthiest conditions is Jan Kriel.

Finally, viewing the important issue of discipline and code of conduct in schools, the inner-metrics reflect that Ocean View faces enormous challenges of discipline, not so much from learners as from educators, management and even the SGB itself. But most of the others schools also need to improve on certain aspects of this indicator. For instance, Eden, Khayelitsha, Siviwe and WCSS have to improve on their school uniforms and staff code of dress. Pioneer and Thembalethu are struggling to implement policies on learner and staff suspension, as well as learner dismissal in cases of serious violation of school discipline.

8.6   ANALYSIS OF POST-ASSESSMENT

After the scorecard application and evaluation were completed, post-evaluation was undertaken at all the schools in the project. This took the form of a short questionnaire (Appendix B), which was completed by the principal and the evaluation team coordinator. The questionnaire had eight questions to be answered, most of which received positive and favourable answers.

All the schools believed that scorecard application and evaluation of governance at their individual schools was very fruitful and was done in an acceptable manner. This was primarily because schools were given ample time to understand and become accustomed with the scorecard and its contents, as well as the entire process. Owing to good planning and communication, there was also no interruption of the schools' academic programmes and there was also no intrusion on participants' personal time.

Schools affirmed that adequate orientation, training and preparation for application and evaluation were given. Willing participation in voluntary orientation and training workshop sessions bears testimony to this fact. There was a concern about time constraints from the Siviwe evaluation team. More time to communicate with the entire staff component would have alleviated unfounded anxieties from the staff at large.

Schools conveyed an overall positive impression of the scorecard as a useful instrument for monitoring and evaluation of school governance. The Siviwe school evaluation team again indicated that *"the scorecard made us aware of our strengths and weaknesses so that improvement can be done where necessary"*. The Ocean View team was concerned that *"The level of sophistication of the instrument is beyond the level of the SGB. It can however be a valuable instrument, but it will depend on the educator reps to do it"*. Despite that, all the schools also concurred on the relevance of indicators and micro-indicators used on the scorecard.

The schools furthermore agreed that school governance could be enhanced through regular application of the scorecard. A few schools are concerned about the level of language and terminology use on the scorecard. Eden and Eureka teams are keen on

who would provide support for the short-comings of the SGB once they are identified in order to be more effective.

To improve the efficacy of the scorecard in application and evaluation, schools made a number of suggestions. These include *"language simplification and translation into IsiXhosa and other African languages"*, *"indication as to the follow up after evaluation"*, and *"inclusion of the implementation plan as an addendum"*.

8.7 CONCLUSION

Given that empirical research is based on experimentation or observation, i.e. evidence, it is therefore frequently conducted to answer a specific question or to test a certain hypothesis or model. As stated earlier, Welman and Kruger (2001:216) believe that there is no sense in conducting research if the results will not be interpreted and released to the community. Essentially the interpretation of the evidence-based results entails ascertaining the impact of this research on monitoring and evaluation of school governance through the processes of pre-assessment, scorecard application and post-assessment.

The scorecard results reveal that the pre-assessment instruments, using a traditional scheme questionnaire and interviews for evaluating school governance on specific indicators, did not supply fully accurate data. The results and scores from the two instruments gave exaggerated scores. This discrepancy could give a fairly misleading and inaccurate total score for school governance and therefore lead to inaccurate findings. Graph 8.5 shows the different scores achieved by each of the schools for the pre-assessment evaluation results and the scorecard results.
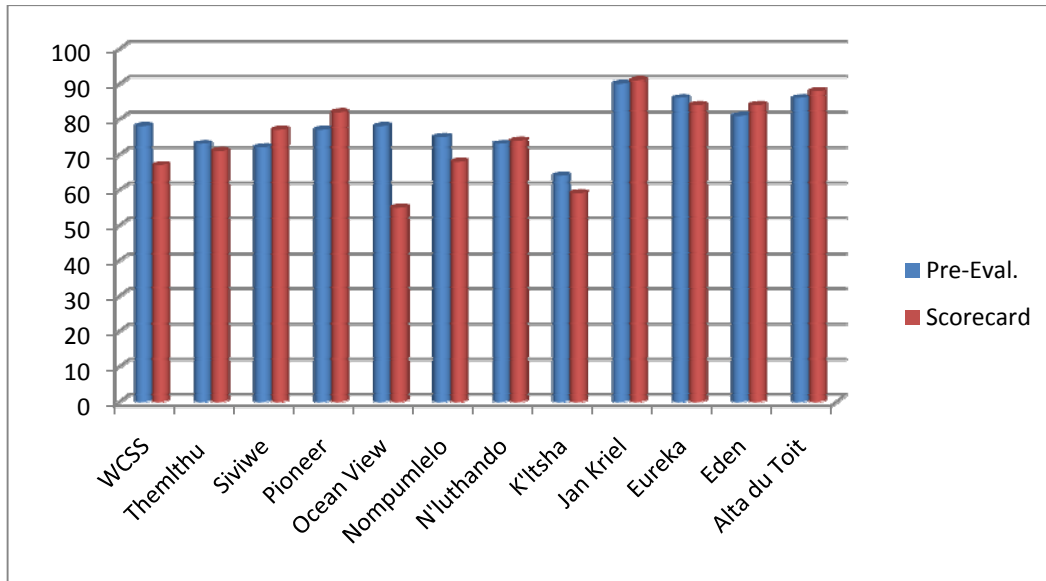
Graph 8.5: Overall pre-evaluation vs. Scorecard results

Source: Compiled by the Author

None of the twelve schools achieved the same total scores; half of the schools' scores were much higher in the pre-assessment evaluation than in the scorecard. An interesting observation is that the schools whose scores dropped significantly on the application of the scorecard were mainly formerly disadvantaged black schools, while there is a slight marginal difference among the predominantly advantaged white schools.

Jan Kriel and Alta du Toit are the two schools with the slightest marginal variance in scores of both the pre-assessment evaluation and scorecard application. Ocean View, WCSS, Nompumelelo and Khayelitsha are the schools with the largest marginal variances, ranging between 6% and 22%. These marginal variance gaps could be misleading in traditional schools' governance assessment leading to inaccurate conclusions and inappropriate and ineffective corrective measures, resulting in a waste of departmental resources and funds. The scorecard proves beyond reasonable doubt to be a useful instrument capable of giving clear measurement of each indicator with a minor margin of error.

CHAPTER 9

FINDINGS, RECOMMENDATIONS AND CONCLUSION

9.1   INTRODUCTION

The analysis and examination of all the data captured confirms what was postulated in the earlier chapters dealing with the theoretical overview on governance and monitoring and evaluation, namely that there is a relationship between improved schools, good school governance and the measurement through the BSC. This chapter presents the findings of the research, and suggests recommendations that would facilitate and improve the use of a BSC for measuring school governance. Findings obtained correspond effectively to the hypothesis that initiated the study, as it postulated that the governance and school development functions of the SGBs, which produce better school outcomes, will be further enhanced through monitoring and evaluation by means of an adaptable balanced scorecard.

The results have been separated into findings on the BSC model that was designed and applied, and on the nature and quality of governance of the special schools involved in the study. The first part of this chapter outlines the findings on the usefulness of the BSC for school governance. The second section deals with the findings on the critical nature and elements of the school governance of the various schools involved in this study.

The findings will lead to the recommendations that are suggested in the light of the failures and shortfalls experienced, so as to improve the conditions and quality of measuring school governance evaluation. Finally the chapter offers brief recommendations for the use of the BSC and the improvement of school outcomes through monitoring and evaluation.

9.2   FINDINGS

This study entailed experimental research to design a balanced scorecard for evaluating school governance and determine whether its application to special schools in the Western Cape would improve the quality of school governance. With a normative model developed and piloted at the sampled special schools within the WCED, the data were collected and analysed as discussed in Chapter 8. The findings of the study are presented in two sections: firstly, the efficacy of the scorecard as an instrument for monitoring and evaluating school governance in special schools; and secondly, the nature of governance at these schools.

9.2.1 Findings on the balanced scorecard

As evidence mounts on the critical role that school governance plays in school and learner achievement, it becomes clear that the SGBs from the highly successful schools are very effective compared to those in low achieving ones; school governance measurement therefore becomes a critically important aspect of education in the 21st century. The results from this study indicate clearly that a scorecard designed and adapted for the voluntary service educational sector including all the relevant goals, indicators, measures and targets will be an effective instrument for monitoring and evaluation of school governance. It is also able to reflect the successful and weak factors in all the governance performance areas incorporated.

School governance measurement

A measurement process must include all stakeholders, parents, educators, staff, funders and community groups, to play a stronger role in determining the state of governance as well as success and failures of the school. The scorecard has accurately projected a clear indication for the state of school governance and was able to point exactly to the most urgent areas of weakness. Schools should then be able to plan strategically in addressing the projected failures and in sustaining high standards in the successful areas.

As stated in the hypothesis, the application of a balanced scorecard as a system for monitoring and evaluating the governance of special schools would enable the authorities not only to measure the level to which the school is governed, but also to detect whether the public resources ploughed into education and schools are achieving the targeted outcomes. The experimental study has revealed that the schools with higher average total scores are the ones with much better outputs and results. This further confirms that the goals, indicators and measures used in the applied normative model fully relate to the school governance performance success factors.

Balanced scorecard perspectives

The traditional balanced scorecard perspectives, as indicated in the Graph 9.1below, were retained and were incorporated into the normative model of school governance in order to achieve effectively balanced results. The simple adaptation to suit a hybrid public and voluntary sector context did not detract from the purpose of analyse the data and metrics in terms of the four perspectives indicated.
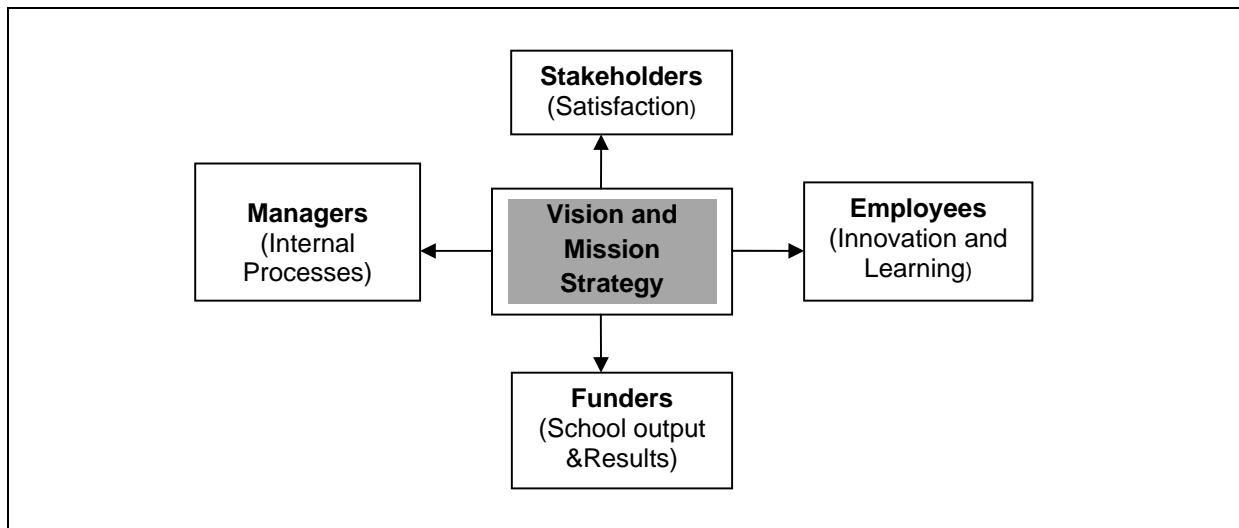
Figure 9.1: Balanced Scorecard Perspectives

Source: Compiled by the Author

All the performance areas the indicators and the micro-indicators in the normative scorecard were symmetrically aligned to these four perspectives. There is, however, room for further development and realignment for improved quality and standards.

Strategies and objectives

The applied normative model of the balanced scorecard linked the objectives, initiatives and metrics to vision and mission and strategy, while communicating all the school governance priorities to stakeholders of a school. As indicated by Cobbold and Lawrie (2002:2), a balanced scorecard enables organisations to clarify their vision and strategy, and translate them into action.

This scorecard included the school governance relationship from the management process, financial management, fundraising efforts and budgeting allocation, educator and staff employment, school development, skills training up to community participation. The results have been very promising, with a possibility of further development through a successful approach of implementation.

Performance areas, indicators, targets and measures

All the performance areas as well as the indicators used in the scorecard have proved to be relevant and acceptable to schools, as they are based on the legislative and regulatory policies and guidelines of the WCED. These important aspects of the scorecard can indicate the best governed schools, especially when they are developed with the full participation of the schools and all stakeholders.

The targets, as based on the previously stated principles of law and regulatory frameworks on school governance as well as on the measures in the scorecard, are properly aligned to the indicators and performance areas as linked to the SASA (RSA, 1996b). These aspects provide a clear measure and quality of the governance of the schools participating in the study. Based on the post-assessment, more than 80% of the participating schools support the scorecard and are pleased with the indices used to measure the governance.

Scorecard measurement accuracy

The scorecard as initially developed by Kaplan and Norton in 1992 has proved to have the potential of being a good instrument for school governance and SGB appraisal that is capable of gaining immense popularity. This scorecard creates a link between education and school governance strategy and action. Through its accuracy and reliable measurement, the tool has the potential of becoming very important among different schools.

This instrument is unique in two ways compared to the traditional performance measurement tool, i.e., IQMS and Whole School Evaluation:

- It considers the financial as well as the non-financial indices in determining the school governance level; and
- It is not just a school governance measurement tool, but also a monitoring and evaluation system.

Focus on details

Using the BSC scorecard approach in school governance evaluation generates the performance data as well as constituent and essential feedback necessary for continuous improvement. This is essentially because the scorecard increases the number of performance areas to be evaluated from the two areas included in the IQMS. It also breaks down the school governance performance areas into a number of measurable key indicators and hence it is able to focus on measuring the finer details and micro-indicators of school governance. This makes it very easy for the WCED and the school to remedy any failure by focusing exactly on the precise area of failure.

Developmental support

The scorecard can improve the governance of the school by enhancing the main levers of school development. It can align the school vision and mission towards correct strategies and action plans. This makes it easier for school policy decisions made by the SGB and management to be related to broader strategic objectives. The governance of public schools is, after all, designed to involve a myriad of stakeholders,

including parents, educators and community role-players which have interests that are directly linked to the strategic objectives of the school.

The scorecard provides robust measures that enable the SGB to communicate more effectively with stakeholders to maintain support for the implementation of the mission and vision. The scorecard also ensures that effective strategic planning efforts required by school look beyond the immediate tactical decision and communicative long-term strategies for development. This scorecard enables many schools to address the ever-increasing demands for school improvement.

Detect the key areas of failure

Although schools may appear very simple, the myriad of challenges they deal with are very complex; these include dealing with school fundraising and financial administration, school and staff development, learner safety, pass rate, disciplinary issues and many others. As demonstrated in the scorecard application and evaluation, the scorecard was in this regard helpful in highlighting the key areas that need the attention of the SGB and the authorities with immediate effect. The scorecard is an effective instrument for governance performance measurement for schools and SGBs.

School ranking and grading

Scorecard use for school governance evaluation enables schools to be automatically graded by the authorities in terms of their achievement and scores acquired. Schools using this scorecard system could also be ranked on a School Governance Index (SGI). This competitive spirit can certainly encourage SGBs to improve on the scores and set new targets that will improve their overall SGI rankings. Incentives could be created by the authorities to encourage and reward best governance of schools. In the final analysis this initiative encourages improved performance and hence better governance of schools.

9.2.2 Findings on school governance

SGB status

While all the special schools do have SGBs, most are very weak. Existing in name does not necessarily mean a fully functioning and healthy school body. A few do not exist at all, except for some parents attending meetings only for the sake of their children who study at the school.

SGB structure

There is a huge difference in the constitution of SGB structures among similar types of special schools, even among those with the same numbers of learners and staff components. The sub-committee structures at some schools are not properly maintained, as required by the WCED SGB regulation.

SGB training

SGB training is inadequate as some members, particularly parents, are often not empowered to effectively carry out school governance roles. Often training is done not to the level of literacy of the SGB members and that still leaves them ill-equipped. There is a lack of standardised and measured training programmes and modules for school governance.

Meetings

Certain schools have proper meetings that are carried out according to the requirements and standards of the school governance regulations. SGBs in some schools have highly skilled and professional leaders who help to run meetings with excellent standards. There is therefore a proportional relationship between the professional and literacy levels of members and the standard of SGB meetings.

Vision and mission

While most schools have grand vision and mission statements, these are often not well applied to guide school strategic objectives. Often the vision and mission statements are the privilege of, meaning only known, proposed and reviewed by the SGB

Chairperson and the school principal, while other school members are not aware of them. At some schools these documents were to be found on the lowest shelves of the principals' cupboards, long forgotten.

Section 21 status

Most participants indicated during the interviews that they were not aware their school was a Section 21 school; others did not even know what a Section 21 school meant. This therefore translates into inappropriate administration of the schools' affairs from SGB to management.

Policies

School policies are the life blood of the schools. The majority of formerly advantaged and Model C special schools have good well-developed policies that guide the school management. Lack of skills in the SGB leads to poor school governance, where most schools would simply cut-and-paste 'good policies' from other schools and apply them as they are in their own schools. This often leads to a breakdown in management.

Governance principles

As suggested by the King Commission (2002:8), principles of good governance are absolutely crucial even for public and non-profit institutions. SGBs have good intentions of governing their schools with success, but most do not observe these key principles carefully enough to ensure good governance. Some of the most important principles that are lacking from most SGBs are openness and accountability, particularly on school finances.

Participation

Most school governors provide restricted participation. While on paper free participation is encouraged from all stakeholders and members, it is often limited to those aspects on which there is agreement with the leader's views. Some school members have complained about what they call "systematic exclusion", where information would be withheld from certain members and provided at the eleventh hour to limit their

preparation and therefore curtail their participation in school affairs. This happens most in the budget report and in filling senior vacancies.

Finances

As the collected data indicate, most schools have a good to excellent financial management culture based on the provisions of the Public Finance Management Act (Act 1 of 1999). In some schools the problem lies in financial auditing, as they do not have fully independent audit records. They use auditors who are recommended by friends and who have certain contacts and interests in the process. Most disadvantaged special schools struggle with fundraising and so tend to depend mostly on the state funds, which are already limited. These tend to constrain most important schools programmes.

Transparency

Lack of transparency, particularly on the financial affairs of the schools, was evident during the research, where some schools were very reluctant to allow observation of the SGB meetings where finance-related matters were discussed. At most Section 21 special schools financial matters remain a 'no-go area' for any research study. This situation was also a major constraint to the research as financial administration is a major aspect of school governance (King Report, 2002).

Experts on SGB

Contrary to the requirements of Section 24, SASA (RSA, 1996b), there are no experts co-opted to the SGBs of some schools like Khayelitsha, whereas most other schools have not less than two experts on the SGB. At Jan Kriel, for instance, the SGB Chairperson is a lawyer by profession, bringing into the governance process very important knowledge of policies and legal requirements which affect school governance and the other official is an accountant who heads the school financial committee. These two experts alone are a crucial factor for the success of any organisation in terms of good governance.

Employment

It has become obvious that recommendations for employment and promotion of educators and staff have been a matter of critical importance in school governance in South Africa. More than 80% of conflicts in schools emanate from employment and promotion issues. Most schools do not give equal opportunities for all in employment or promotion at their schools. Very often SGBs and management have their own favourites for filling vacant and promotion positions. This then leads to resentment and lack of co-operation from educators and staff members.

Communication

Communication and consultation are two of the most important aspects of good school governance. Highly successful and best-governed schools are always characterised by a culture and well-established system of effective communication. It was also evident during the research implementation and evaluation phase that the pilot schools which achieved a good score on in the scorecard communication and information did a lot to promote communication and information-sharing.

School development

From the study it was detected that the most developed schools are the ones with better governance and the least developed are the ones with poorest governance. School development is therefore directly proportional to the standard of governance. In better developed schools the SGBs always promote the best interests of the school and endeavour to enhance the development of the school. SGB members enthusiastically strive for sustainable development and improvement of the school and avoid any actions that will undermine the school. As part of their immediate role in school development, the SGBs make certain that the school finances and resources are used effectively and efficiently, and that the stakeholders are fully informed about how school resources are utilised.

Health and safety

Properly governed schools put the emphasis on safety and health conditions for the learners and educators. The WCED has created guiding principles for 'Safer Schools' from which SGBs should develop and implement school policies of health and safety. Most of the schools in this study have prioritised a safe learning and teaching environment. Others have created special committees on health and safety which works with the WCED in ensuring a safer environment.

Discipline and conduct

Discipline and code of conduct are among the most obvious indicators of well governed schools as they can be viewed from outside the institution. The least well governed schools often have the poorest level of discipline of learners, and the conduct of officials and staff is normally the most unacceptable. Simple things such as sticking to the school times and wearing of school uniform regularly are small indicators of a code of conduct which is enforced. A number of the best-governed schools have a low level of learner discipline, because this often is influenced by their family culture and community.

9.3   RECOMMENDATIONS

Radar School Governance Report System

The Radar School Governance Reporting System (RSGRS) is a web-type school governance measurement and reporting tool (Fig. 9.2). It should also be incorporated into the report statements, i.e. the defining statement of the scorecard report. The Radar report chart should be openly demonstrated at the school entrance foyers. The RSGRS should comprise the graphical webs of the targeted indicator scores for each school over and above another graphical web of the actual scores the school has achieved.

Such a graphic communication of the scorecard results, representing a snap shot of the current level of governance for the school, would be viewed by all the school

stakeholders and authorities. This would encourage SGBs to improve performance as well as generate and capture definable statistical results and school governance data. The Radar Scorecard Reports should stay posted until the following school governance scorecard evaluation.
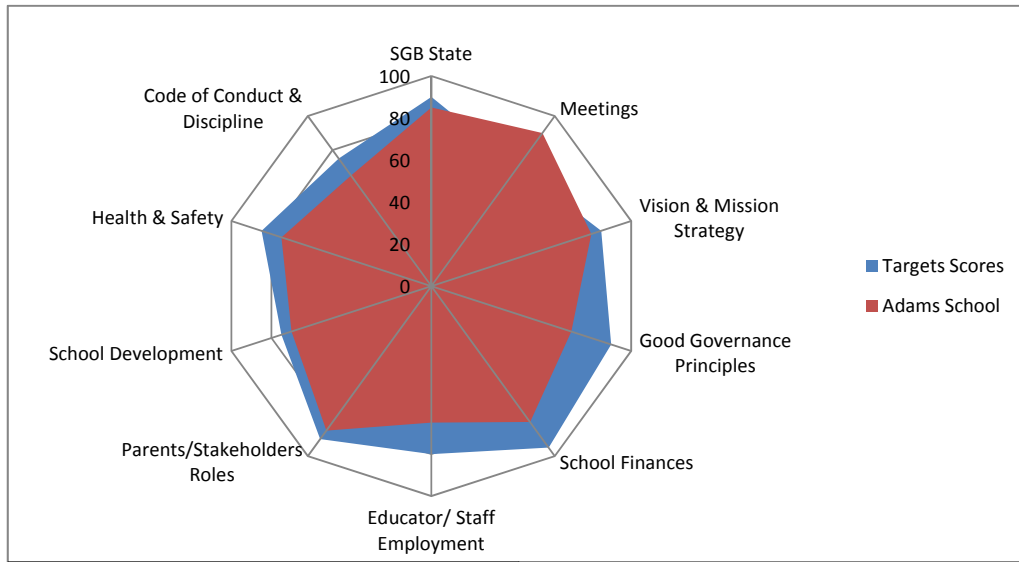
Figure 9.2: Radar School Governance Report Chart: Adams School (A fictional school)

Source: Compiled by the Author

The Radar School Governance Report System is planned around performance areas that are relevant to school governance and contains a system to track, monitor and record activities and evidence of progress. It also enables the stakeholders and funders to gain access to key qualitative school governance statistics.

Online-based BSC system

The authorities should encourage more studies in order to design an online use of the scorecard. In this system schools would be able to do self-assessments at given times of the calendar year to report to stakeholders on their standard of governance. This could be an e-School Governance Scorecard, which is operated electronically and uses computerised systems. The e-Scorecard is common in the private sector and its benefit to the process is the minimisation of time spent on the scorecard evaluation.

Resources would have to be acquired to ensure that schools can use e-Scorecards. Schools in rural and underdeveloped areas would require electricity, computers and internet and telecommunications to enable effective access to e-Scorecard application. Training for evaluation teams and SGBs would be necessary to improve their capacity to use the scorecard effectively. SGB members also would need to have computer training so as to use this system without difficulty.

Follow-up action

The WCED should work together with the relevant stakeholders to put in place a system of follow-up activities to be undertaken for the under-achieving schools once the school scorecard results are released. There should be a set programme that would deal with improving the poorly governed schools.

Ideally, a benchmark should be established where, for example, all schools with a total score of less than 60% should be attended to. Such a follow up strategy should deal with schools in a standardised approach such as:

- Schools between 59% and 40% should be on support strategy (A);
- Schools between 39% and 20% should be on support strategy (B);
- Schools between 19% and 0% should be on support strategy (C).

These support and follow-up strategic intervention programmes should be clearly defined and formalised in regulations. These could include financial and resource co-operative support; advanced school governance support and training; putting schools under partial administration; and complete administration or curatorship.

Improve language

One of the key challenges of the successful scorecard usage in school governance evaluation is the language used. The recommendation is therefore that the scorecard must be available in all the official languages used by the school governance stakeholders. In case that becomes more of a challenge, an index section or glossary to

explain and define the meaning of some of the key concepts in traditional language could be incorporated into the scorecard.

Training and orientation

Since monitoring and evaluation are new in the public sector and voluntary, better training and orientation of the main participants in the scorecard are needed to improve the measurement results. Highly trained evaluation teams would be able to give better orientation and introduction of the scorecard to the stakeholders. With the use of an online-based scorecard there would also be a need for computer orientation to the SGB members and participants.

Scorecard management

An independent and representative body outside the WCED would be necessary to manage the scorecard. The terms of reference for such a body would need to be clearly defined, so that its work does not encroach on other roles. This body would need to have fully operational and permanent structures working directly on school governance monitoring and evaluation. It could be beneficial if that body could work in partnership with a corporate player to help with could the financial and technical sustainability challenges.

Support and funding

There is always a need for funding in order to implement a programme successfully, therefore the body would need to raise funds and seek support. Financial support would assist this body to carry out training programmes, implement projects and to effect communication for school governance monitoring and evaluation. As a prospective non-profit entity, this body would need to be registered to be legally eligible for funding and support.

Awards and rewards

Membership of and participation in SGBs should be voluntary and participation should be acknowledged with achievement awards and reward events that are hosted by this

body regularly to acknowledge best performance and school improvements. This external body working in partnership with WCED could hold biannual regional school governance gala dinner events, where encouragement and awards are given to SGBs.

Biannual School Governance Index

A district-based biannual school governance index with open access to governance scores for all participation schools should be made accessible to public. This entrenches a culture of openness and transparency. This alone will have a psychological effect to help schools strive for better governance in order to improve their standing on the index.

The class divide

With this study being conducted across the socio-economic spectrum, from township to city schools, rural to urban schools, and poor to rich community schools; there was a revelation of class divide among these special schools. The majority of rural and township based schools surrounded by poorer communities are the worse governed while most of the urban and city based schools with advantages and resources are the best governed. A further study in this matter could reveal better solution as to how this challenge of class divide could be overcome. Some of these special schools, even though they are funded more according to the pro-poor funding model, are still not governed properly, and worse some are getting even dilapidated.

A scorecard for the mainstream school

A scorecard model which effectively measures the governance of mainstream schools should be studied. It would be inappropriate to apply this particular model in mainstream schools. It is designed for the special schools which essentially are classified under Section 21 category schools, particularly in the Western Cape. Notwithstanding that there are certain common elements in governance of mainstream and special schools, and some mainstream schools are also Section 21 category schools, the wholesome application of this model will be unadvisable.

Future research

Since this study was only focused on the special schools as Section 21 schools in the Western Cape, its findings cannot be simply extrapolated to all types of public schools in all provinces. A much more complex national study for the possible application of a scorecard to measure and improve governance in all public schools is necessary. The results of this study should only be viewed as a microcosm to further break down all types of public schools so that a much more conclusive and informed view of the measurement of governance in all public schools is obtained.

As indicated earlier, this model is a basic and simple design using data and rigorous analysis to measure the governance of special schools. The reality is that not all the indicators in the scorecard are weighed the same; the various indicators are weighed in slightly varied amounts. A study to improve the current model where weighted balance of measures and targets would be improved is recommended.

With the proposal for an online design and application of the balanced scorecard, future research should be undertaken to realise that option as this would improve the efficiency of the application and use in schools.

9.4   RECOMMENDATIONS SUMMARY

Flowing from the study and the findings, the key recommendations that need to be considered for implementation by the authorities in order to successfully apply and promote the scorecard, and improve the school governance evaluation and governance performance at the schools include:

- Improved support for the poorly governed schools;
- Establish proper SGB structures and school policies;
- Supply essential resources according to the specific needs of the school governing bodies;

- Promote the competitive spirit and rewards to encourage better school governance; and
- Provide sufficient training and awareness of the school governance scorecard and evaluation.

With the possibility of future research that entails a much broader study focused on all the mainstream schools' governance monitoring and evaluation through a BSC, more applications and refinements could follow.

9.5 CONCLUSION

Good governance has come to be a very popular aspect of international and development institutions the world over. This is mainly due to the importance given to efficiency and accountability in the institutions and countries by global organisations. As indicated earlier the World Bank makes a distinction between governance as an analytical framework and an operational concept.

Initially the theoretical review on governance focused mainly on the theoretical definitions of governance and understanding of it within global democratic organisations as well as corporate environments. It has becomes apparent that the recognised and established principles of governance and good governance are applicable to modern-day organisations. Key pillars of good governance have emerged from the study and organisations should examine themselves against the identified key indicators of each of these pillars to determine their level of compliance with good governance necessary for effectiveness in the changing global environment.

Over the last seventeen years of the public education dispensation in South Africa the government has wanted to prepare and implement a people-centric educational policy. With the introduction of the South African Schools Act, Act 84 of 1996 (RSA, 1996b) as well as the host of other education-related legislation, the government wanted to ensure an education system that delivers excellent outcomes. Of all the major challenges it

faced in achieving these outcomes in public and particularly special schools, school governance and policy implementation have been selected for investigation. A rigorous and clinical assessment of deficiencies in school governance performance should focus on interdependent cross-sectional indicators, instead of making general assumptions based on the assessment of a few performance areas. SGBs and school principals may be unable to understand and correct governance problems without monitoring and evaluating the broader range of micro-indicators and measures of school governance. To address the governance problems and insufficiencies, schools need to turn to a management tool called the balanced scorecard so as to translate the schools' vision and mission into measurable objectives.

As management of information became increasingly vital for public organisations, including educational institutions and schools, the balanced scorecard was introduced in 1992 by Drs Robert Kaplan and David Norton, as acknowledgment of the meaning of monitoring and evaluation. The BSC is a tool that focuses on strategy and objectives to address four perspectives, and translate the strategies into applicable action plans. As indicated earlier, the traditional analysis of a school's performance generally focused on pass rate analysis, and often ended there. But what about the significant elements of the school that must be successful to generate good pass rates? How can they be monitored and evaluated in defined and measurable terms?

The BSC does just what the name implies; it balances the performance perspectives of all different elements within the governance of the school. The four perspectives used in the balanced scorecard are:

- Stakeholders' perspectives: (Satisfaction);
- Managers' perspectives: (Internal Processes);
- Employees' perspectives: (Innovation and Learning);
- Funders' perspectives: (Financial Results).

All strategies and objectives for the scorecard must be aligned with the corporate vision and mission strategy, in order to support overall school governance success. The SGB, management and all key stakeholders must identify and prioritise areas of achievement for each perspective. By aligning with the school strategies and objectives, the scorecard can extend these measurable goals to the applicable action plans, which gives stakeholders both involvement in, and accountability for, school governance performance. Developing strategies and objectives for the school requires the SGB and management to consider critical factors for success in each of the scorecard perspectives. By defining the measurable elements necessary to earn stakeholder satisfaction, the SGB and school management team must develop a specific action plan to achieve the goal, and still earn the returns as defined in the scorecard's financial perspective.

Providing financial incentives to SGBs for achieving the measurable goals articulated in the scorecard will help to build more proactive teamwork within the school. It will also give all stakeholders a sense of ownership in the process that can lead to even more ambitious goals for the planning year.

Through thorough and comprehensive measurements of school governance performance, the school governance scorecard and the School Governance Index (SGI) were developed. They are able to offer a report card on the accomplishments of each school governing body based on the baseline indications as well as micro-indicators for the year being investigated, with reasonably complete available data for nearly all school governance indicators. For those educational analysts who would like to review the performance of special school on various aspects of governance separately, the scorecard includes scores for each performance indicator and micro-indicator.

The BSC is a management system that enables organisations to clarify their vision and strategy and translate them into action. It provides feedback around both internal programme processes and external outcomes in order to continuously improve strategic performance and results.

SGBs use a BSC to monitor school governance performance in all areas. This BSC includes several key performance objectives that include school fundraising and finance management, educator and staff employment, and school policy formulation. Progress on each of the indicators is easily reported to the WCED, staff, and all other stakeholders regularly. Each year the SGB of the special schools involved will establish specific objectives and measures of the BSC for that year based on feedback from staff and other stakeholders within the school.

A school evaluation team and staff members collect data for the scorecard in order to track progress on objectives specific to their departments. Over time the schools will find the balanced scorecard to be effective for school governance evaluation. It can also be used to allocate resources to key initiatives and priorities of the school.

Building and implementing a scorecard will enable the SGB to achieve optimum governance success by integrating its financial resources with its strategic goals that are articulated by all parents, educators, management, general staff, learners and other stakeholders within the school.

The balanced scorecard helps keep the scarce resources of the school focused on the essentials of running governance and school programmes. Essentially the interpretation of the evidence-based results entails the conclusive inference that the impact has created through monitoring and evaluation of school governance on the overall school management and development. It reveals the critical factors that are manifested in the process from pre-assessment, the scorecard application to the post-assessment.

As the study indicates, the BSC alone should not be viewed as the panacea of good school governance, but it has the necessary qualities to make a qualitative contribution towards improvement of public schools. The fact that the performance areas have been expanded and the indicators broken down into a number of micro-indicators is meant to assist evaluation of all the aspects affecting school governance.

The BSC model as developed is a unique instrument that is able to measure the quality of governance in special schools. The indicators and micro-indicators will enable the evaluation authority to identify the major areas of failure in the governance of the school. The quality assurance analysts in the DoE can therefore prescribe with clear evidence what steps the Department needs to undertake to assist failing and poorly governed schools. This BSC will also enable the WCED's quality assurance and Whole School Evaluation efforts to zero in on specific micro-indicators of problem areas that result in the poor governance of schools.

Although the implementation and roll-out of the BSC faced major challenges such as lack of vision, inadequate capacity and insufficient preparedness, there was still eagerness and keen interest in the BSC in schools. Training and communication on BSC implementation need to be taken to all the school staff members and not only the selected school evaluation team members.

The results of the scorecard evaluation of the participating schools as indicated in Tables 8.1 (A-J) show the specific excellent and weaker areas in the governance of the special schools. For instance, where the BSC indicates poor meeting attendance, lack of discipline or absence of an SDP, the particular school involved will certainly have a low SGI.

In ensuring the success of the BSC the authorities and management should explore possibilities of working in partnership with others such as the IT groups, auditing firms, etc. in order to ensure excellence and quality application. The WCED currently works with the Khanya Project in ensuring application and development of IT at its schools.

Finally, as stated earlier, the reality is extremely harsh, and what the public schools have achieved in the past in terms of human and social capital development is inadequate. The question of measuring the governance of public institutions and organisations is absolutely central to the quest for attaining good governance.

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APPENDIX A

Pre-Assessment Scheme for Evaluating School Governance

Mr. Patrick Thando Jonas

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MEETINGS

	Yes	No	Proposed Action
1. Is notice of meetings delivered in good time?			
2. Is the agenda clear and supported by relevant?			
3. Is the purpose of each agenda item clear?			
4. Are all governors treated equally?			
5. Are all governors encouraged to speak?			
6. Are all decisions clear, and is collective responsibility accepted?			
7. Is discussion always kept to the point?			
8. Are all governors punctual in attendance?			
9. Is the room adequate and setting appropriate?			

PLANNING

11. Is there a clear School Development Plan?			
12. Does the plan consider financial matters?			
13. Was the plan's preparation a cooperative effort?			
14. Was the final form approved by the School Governing Body?			
15. Are all objectives clear and written down?			
16. Does the plan make clear what is to be do done?			
17. Does the plan make clear who is responsible for what?			
18. Does the plan make clear the start and finish dates?			
19. Does the plan include a system for monitoring and evaluating progress?			
20. Does the School Governing Body receive regular reports on progress, both internally externally generated?			

FINANCE

	Yes	No	Proposed Action
21. Is sufficient interest taken by all governors in financial affairs?			
22. Do governors understand their powers and responsibilities?			
23. Is lack of understanding treated sympathetically?			
24. Is there a clear statement of staff responsibility?			
25. Do committees have clear terms of reference regarding spending powers?			
26. Is the budget monitored regularly?			
27. Do governors receive regular reports on finance?			
28. Does the budget reflect organisational priorities?			
29. Is the budget part of longer term financial planning?			
30. Do members understand the long-term income trends?			

LEARNERS AND PARENTS

31. Is there a statement and procedure on equal opportunities?			
32. Is a complaints procedure communicated to all users?			
33. Is all documentation produced in appropriate and accessible language?			
34. Are there agreed performance criteria for all aspects of the school's work?			
35. Does the curriculum meet statutory requirements?			
36. Are learners offered a coherent core curriculum?			
37. Are learners offered appropriate choices and opportunities?			
38. Are there agreed guidelines on learner behavior?			
39. Does the organisation work to a set of agreed quality standards?			
40. Are statistics on performance regularly			

reported?			

EMPLOYMENT

	Yes	No	Proposed Action
41. Do governors understand their roles and responsibilities as employers?			
42. Does the School Governing Body follow a systematic procedure in appointments?			
43. Do all the staff have up to date contract and job description?			
44. Are all the staff inducted into the organisation?			
45. Do all staff receive training according to the needs of the organisation?			
46. Do staff understand the role of governors?			
47. Is there an appraisal system for all staff?			
48. Is there a policy and procedure on equal opportunities employment?			
49. Is there a written pay policy?			
50. Is there a health and safety policy?			

SCHOOL GOVERNING BODY

51. Do all governors understand the mission/aims of the organisation?			
52. Do all governors understand the instruments and articles?			
53. Do all governors know what documents comprise plans, policies and procedures?			
54. Do all governors know the school's areas of work?			
55. Do all governors adhere to an agreed code of conduct?			
56. Do all governors know the boards procedures?			
57. Do all governors know the criteria for the recruitment of governors?			
58. Do all governors have specific areas of responsibility?			
59. Do all governors understand their roles in providing community leadership?			
60. Do all governors have a plan for developing own their skills to support the work of the organisation?			

APPENDIX B
POST-EVALUATION QUESTIONNAIRE

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┌─────────────────────┐
│                     │
│   S C H O O L       │
│   S T A M P         │
│                     │
└─────────────────────┘
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Name of School:_ _Ocean View Special School_ _

EMDC: _ _ _ _ _ _ _ _ _ _South _ _ _ _ _ _ _ _ _ _ _

ELSEN Type:_ _ _ _ _ _ _ _ _ _ _ _ Severely Mentally handicapped_ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _

Important School Data	Males	Females
No. of GGB members	2	7
No. of SMT	0	3
No. of HOD's	0	1
No. of Non – teaching Staff	3	8
No. of Educators	3	5
No. of Learners	65	30

Address:_ _ _ _ c/oDraco Road & Castor Way_ _
_Ocean View _
_ 7975_ _
_ _

Tel/Fax:_ _ _ _(021) 783-2381/783-1779 _

E-mail:_ _ _ admin@oceanvlsen.wcape.school.za_ _

School Principal: _ _ _ _Mrs FWilliams _

Signature:_ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _

School Governing Body Chair:_ _ _ _ _ _ _ _ _Mr M Bull _ _ _ _ _ _ _ _ _ _ _ _ _

Signature:_ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _ _

1. WAS THE EVALUATION OF GOVERNANCE AT YOUR SCHOOL DONE IN AN ACCEPTABLE
    AND FRUITFUL MANNER?

    > *Due to time constraints the principal completed the evaluation.*

2. WAS ADEQUATE ORIENTATION TRAINING AND PREPARATION FOR GOVERNANCE EVALUATION GIVEN?

Not enough training was provided to the SGB to carry out the evaluation.

3. WHAT WAS YOUR OWN IMPRESSION OF THE SCOREBOARD AS AN INSTRUMENT FOR SCHOOL GOVERNANCE MONITORING AND EVALUATION?

The level of sophistication of the instrument is beyond the level of the SGB.
It can be a valuable instrument, but it will be dependent on the educator reps. To do it.

4. WERE ALL THE IMPORTANT INDICATORS AND RELEVANT MEASURES INCLUDED?

Yes

5. DO YOU THINK SCHOOLS' GOVERNANCE CAN BE ENHANCED THROUGH REGULAR APPLICATION OF THIS SCOREBOARD?

Yes – but who will provide support for the shortcomings of the SGB to be more effective.

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6. WHAT WOULD YOU LIKE TO BE DONE TO IMPROVE THE SCHOOL GOVERNANCE SCOREBOARD TO MAKE IT MORE EFFECTIVE FOR SCHOOLS GOVERNANCE EVALUATION?

Training for SGB members.
No indication is given as to what happens after the evaluation.
It can have an implementation plan as an addendum.
Simplify the language.

THANK YOU SO MUCH FOR YOUR COONTRIBUTION AND SUPORT TO THIS STUDY; THANK YOU SO MUCH FOR YOUR TIME AND PATIENCE!!!!!!!!
MAY GOD BLESS YOU; YOUR SCHOOL; STAFF; SGB; PARENTS; AND LEARNERS!!!!!!

APPENDIX C

SGB CONSTITUTION:
Sun Valley Primary School (Sun Valley, Cape Town)

1. Definitions

In this Constitution, unless the context indicates otherwise, the following terminology relates in each case to the accompanying definitions. Therefore:

"Education" means instruction, teaching or training provided to learners in terms of the provision of section 18 of the S.A. Schools Act, 1996 (Act # 84 of 1996).

"Governing Body" means the Governing Body of Sun Valley Primary School referred to in section 16 (1) of the Act:

"Head of Department," means the head of the education department in the province of the Western Cape.

"Measures" means the measures relating to the governing bodies of ordinary public schools (excluding public schools for learners with special education needs): or the measures relating to governing bodies of public schools for learners with special education needs including public schools for learners sent or transferred thereto in terms of the Child Care Act, 1983 (Act 74 of 1983), and/or the Criminal Procedures Act 1977 (Act 51 of 1977)

"Member of the Executive Council" means the Member of the Executive Council responsible for the education in the Province of the Western Cape;

"Sponsoring body" means a body or group of persons approved by the governing body who is prepared to assist the school financially;

"The Act" means the South African Schools Act, 1996 (Act 84 of 1996), and the measures published there under; and

"This Constitution" means the Constitution of the Governing Body of Sun Valley Primary School. (hereinafter referred to as "the school")

2.   Name of school:

Sun Valley Primary School (hereafter referred to as "the school").

3.   Street address of school:

Brigantine Avenue, Sun Valley, 7975.

4.   Postal address of school:

Brigantine Avenue, Sun Valley, 7975.

5.   Status of the school:

The school is a juristic person with legal capacity to perform its functions in terms of the Act.

6.   Governance and Professional Management

6.1Subject to the Act, the governance of the school is vested in its governing body: Provided that the governing body or a member thereof, in his or her capacity as a member, may not interfere with the professional functions of an educator in the performance of his or her duties.

6.2   The Governing Body stands in a position of trust towards the school.

 6.3 Subject to the Act and this Constitution, the professional management of the school must be undertaken by the principal under the authority of the Head of Department.

7.   Objectives of the School

7.1 To provide education to learners. To admit learners, subject to the provision of section 5 of the Act. To provide for their educational needs without discriminating unfairly in any way.

7.2 To allow no form of "racial discrimination" whatsoever in the execution of the language policy of the school, subject to the provisions of section 6 of the Act.

7.3 To allow religious observances at the school to be conducted on an equitable basis and attendance at them by learners and members of staff to be free and voluntary, subject to the provisions of section 7 of the Act.

7.4 To use the school fund, all proceeds thereof and any other assets of the school only in accordance with the provision of section 37 of the Act.

7.5 To function financially in such a way that the school will fulfil its commitments.

7.6 To serve the community by preparing learners in such a way that they will take their place in the community as well-educated people.

7.7 To provide the opportunity to all staff of the school to grow professionally, to attain work fulfilment and to deliver education of the highest quality.

7.8 To make a contribution to the promotion of sport and culture in general, and to use sport and culture activities as educational opportunities to benefit the learners of the school.

8. Feeder Area

8.1 The school traditionally serves the following areas:

 Sun Valley, Noordhoek and Fish Hoek valley.

9. Functions and Allocated functions of the Governing Body

9.1 The governing body performs the functions which fall within its powers and which are necessary for the welfare of the school, subject to the provisions of section 20 and 21 of the Act.

9.2 The governing body uses the school fund and assets of the school in accordance with the provisions of section 37 of the Act.

9.3 The governing body uses the funds in accordance with the provisions of the Act and this Constitution, for the purpose of realizing the above-mentioned objectives.

9.4 The governing body must provide services and facilities in the interest of the learners and of education, in accordance with the provisions of the Act and this Constitution.

9.5 The governing body must appoint auditors in accordance with the provisions of section 43 of the Act, to audit the financial records and statements of the school.

9.6 The governing body must adopt a code of conduct for the learners, after consultation with the parents, educators and learners of the school in accordance with the provisions of section 8 of the Act.

9.7 The governing body must suspend and / or recommend the expulsion of learners who transgress the code of conduct in accordance with the provisions of section 9 of the Act

9.8 The governing body must see to it that school fees are levied and may force the payment thereof in accordance with the provisions of section 39,40 and 41 of the Act.

9.9 The governing body drafts the Core Values and the Mission of the school. The Core Values and Mission must form part of this Constitution.

10. Liability of Members of the Governing Body

A member of the governing body is not liable for any debt, damage or loss incurred by the school unless he or she acted without authorization, with malicious intent or negligently and can therefore be held responsible for debt, damage or loss.

11. Composition of the Governing Body

The governing body of the school is composed in accordance with the provisions of measure 2 of the measures.

12. Term of Office of Members of the Governing Body.

The term of office of a member of the governing body who is not a learner shall be as determined by measure 4 of the measures.

13. Quorum

At least one more than half of the members of the governing body composed in accordance with the provisions of measures 2(1) of the measure, shall constitute a quorum at any meeting.

14. Election of Office-Bearer of the Governing Body

Subject to the provision of the measures, the governing body elects from its ranks, at the first meeting of the governing body, office-bearers who will include at least a chairperson, a treasurer and a secretary.

15. Term of Office- Bearers

15.1 Subject to the provisions of the measures, the term of office of the office-bearers shall be twelve months from the date of their election.

15.2 An office-bearer may be re-elected after the expiry of his or her term of office.

16. Apology for Absence of Members of the Governing Body.

The governing body accepts leave of absence of a member or members for a period determined by the governing body.

17. Casual Vacancies in the Governing Body.

A casual vacancy occurs and is filled in accordance with the provisions of the measurers.

18. Committees

18.1 The governing body may, in accordance with the provisions of section 30 of the Act, appoint one or more committees to advise it, and, subject to the instruction of the Governing body, in order to perform such functions as the governing body may determine.

18.2 The governing body may alter or invalidate any decision of a committee-as described in paragraph 18.1.

19. Meetings

19.1 The governing body shall meet at least once every school term.

19.2 The governing body shall meet with learners, parents, educators, and other staff at the school, at least once a year.

19.3 The governing body shall render a report on its activities to parents, educators, learners and other staff of the school at least once a year and shall circulate an annual financial report to parents.

19.4 Meetings of the governing body are held in accordance with provisions of the measurers.

 19.5 An extraordinary meeting shall be convened by the chairperson when he or she deems it necessary or when at least **five (5)** members of the Governing Body submit a written request and reasons for such a meeting.

19.6 Each member of the governing body has one vote. At the conclusion of voting, the chairperson shall, in addition to his or her deliberative vote, have a casting vote.

19.7 A member of the governing body must withdraw from a meeting of the governing body for the duration of the discussion and decision-making on any issue in which the member has a personal interest.

20. Minutes of Proceedings of Meetings

The minutes of the proceedings of meetings of the governing body shall be dealt with in accordance with the provisions of the measures.

21. Bank Account

21.1 The governing body must open and maintain a banking account.

21.2 Subject to paragraph 21.1 all school fees must be paid into the school fund.

22. Closing of the Financial Year

The financial year commences on the first day of January and ends on the last day of December. The records and statements of the school must be audited thereafter in accordance with the provisions of section 43 of the Act.

23. Submission of Financial Statements

The governing body must submit a copy if the annual audited financial statements to the Head of Department, within six months after the end of each financial year.

24. Amendment of Constitution

A decision to amend this Constitution requires a **two-thirds majority** of the total membership of the governing body after all members have been informed of the proposed amendments at least two months in advance.

If too few members are present at the meeting convened for this purpose, a second meeting must be called exclusively for this purpose at least two weeks after the first meeting.

APPENDIX D
SCHOOL GOVERNANCE PRE-ASSESSMENT DATA

	SGB	Meetings	Planning	Finances	L'ners & Parents	Employment	Group Av.
Alta du Toit							
Principal	90%	100%	100%	100%	80%	80%	92%
Chairperson	100%	100%	80%	100%	70%	90%	90%
Parent	90%	80%	80%	100%	90%	70%	85%
Parent	100%	80%	90%	100%	100%	90%	93%
Teacher	80%	80%	70%	70%	80%	100%	80%
Teacher	100%	60%	90%	80%	80%	60%	78%
Non-teaching Staff	60%	100%	60%	80%	50%	70%	70%
Non-teaching Staff	80%	70%	60%	90%	100%	70%	82%
SMT	100%	100%	100%	100%	100%	100%	100%
SMT	100%	100%	100%	100%	100%	100%	100%
Total	*90%*	*87%*	*83%*	*94%*	*85%*	*75%*	*87%*
Eden							
Principal	90%	80%	100%	100%	90%	80%	90%
Chairperson	90%	100%	80%	100%	80%	100%	92%
Parent	80%	70%	90%	80%	100%	70%	82%
Parent	90%	80%	90%	70%	80%	70%	80%
Teacher	100%	80%	70%	70%	100%	50%	78%
Teacher	100%	100%	60%	90%	80%	40%	78%
Non-teaching Staff	70%	80%	50%	60%	60%	40%	60%
Non-teaching Staff	90%	70%	40%	80%	60%	80%	70%
SMT	100%	100%	80%	90%	70%	80%	87%
SMT	90%	90%	100%	90%	80%	100%	92%
Total	*90%*	*85%*	*76%*	*83%*	*80%*	*71%*	*81%*
Eureka							
Principal	90%	100%	100%	100%	80%	80%	92%
Chairperson	100%	100%	80%	100%	70%	90%	90%
Parent							
Parent							
Teacher	80%	80%	70%	70%	80%	100%	80%
Teacher	100%	60%	90%	80%	80%	60%	78%
Non-teaching Staff	60%	100%	60%	80%	50%	70%	70%
Non-teaching Staff	80%	70%	60%	90%	100%	70%	82%
SMT	100%	100%	100%	100%	100%	100%	100%
SMT	100%	100%	100%	100%	100%	100%	100%
Total	*91%*	*89%*	*83%*	*88%*	*83%*	*84%*	*87%*
Jan Kriel							
Principal	90%	90%	100%	90%	100%	80%	92%
Chairperson	90%	100%	100%	80%	80%	60%	85%
Parent	100%	100%	100%	100%	100%	100%	100%
Parent	100%	100%	100%	100%	100%	100%	100%
Teacher	60%	100%	80%	70%	60%	80%	75%
Teacher	60%	80%	100%	60%	80%	60%	73%
Non-teaching Staff	70%	80%	70%	80%	70%	80%	75%
Non-teaching Staff	100%	90%	100%	90%	100%	100%	97%
SMT	100%	100%	100%	100%	100%	100%	100%
SMT	100%	90%	100%	100%	100%	100%	98%
Total	*87%*	*93%*	*95%*	*87%*	*89%*	*86%*	*90%*
Khayelitsha							
Principal	80%	70%	90%	100%	60%	70%	78%
Chairperson	80%	60%	70%	50%	50%	60%	62%
Parent	50%	60%	40%	50%	30%	50%	47%

Parent	40%	50%	60%	70%	50%	40%	52%
Teacher	50%	80%	70%	40%	60%	40%	62%
Teacher	60%	90%	60%	40%	70%	50%	62%
Non-teaching Staff	50%	70%	50%	50%	70%	60%	58%
Non-teaching Staff	60%	60%	70%	40%	80%	40%	58%
SMT	90%	90%	60%	100%	70%	50%	77%
SMT	100%	100%	70%	70%	90%	60%	82%
Total	*68%*	*73%*	*64%*	*61%*	*63%*	*52%*	*64%*
Noluthando							
Principal	100%	100%	100%	100%	100%	100%	100%
Chairperson	70%	100%	80%	70%	80%	50%	75%
Parent	100%	100%	100%	100%	100%	100%	100%
Parent	70%	100%	100%	60%	100%	60%	81%
Teacher	10%	80%	50%	40%	90%	40%	52%
Teacher	70%	70%	0%	60%	80%	90%	62%
Non-teaching Staff	50%	50%	50%	70%	40%	70%	55%
Non-teaching Staff	20%	80%	50%	40%	90%	40%	53,3%
SMT	100%	100%	100%	100%	100%	100%	100%
SMT	100%	100%	100%	100%	100%	100%	100%
Total	*69%*	*80%*	*73%*	*65%*	*88%*	*65%*	*75%*
Nompumelelo							
Principal	80%	100%	100%	100%	100%	80%	93%
Chairperson	100%	100%	100%	100%	100%	100%	100%
Parent	80%	50%	50%	60%	70%	100%	68%
Parent	60%	70%	70%	100%	100%	70%	77%
Teacher	100%	80%	70%	90%	100%	90%	88%
Teacher	80%	90%	70%	70%	90%	70%	62%
Non-teaching Staff	40%	40%	50%	40%	40%	40%	42%
Non-teaching Staff	40%	70%	30%	60%	80%	60%	57%
SMT	100%	100%	100%	100%	100%	100%	100%
SMT	70%	80%	80%	80%	70%	70%	75%
Total	*75%*	*78%*	*72%*	*73%*	*71%*	*78%*	*75%*
Ocean View							
Principal	90%	100%	100%	100%	70%	80%	90%
Chairperson	80%	90%	70%	100%	100%	90%	88%
Parent	80%	80%	80%	80%	100%	70%	82%
Parent	100%	80%	80%	70%	90%	80%	83%
Teacher	60%	80%	70%	60%	40%	80%	65%
Teacher	80%	40%	60%	70%	70%	70%	65%
Non-teaching Staff	60%	80%	70%	70%	60%	40%	63%
Non-teaching Staff	60%	80%	70%	70%	60%	40%	63%
SMT	90%	100%	80%	100%	80%	80%	88%
SMT	90%	90%	90%	100%	100%	80%	92%
Total	*79%*	*82%*	*77%*	*82%*	*77%*	*71%*	*72%*
Pioneer							
Principal	90%	100%	90%	90%	80%	100%	92%
Chairperson	90%	80%	90%	100%	80%	100%	90%
Parent	100%	100%	100%	100%	100%	100%	100%
Parent	80%	90%	80%	80%	70%	60%	77%
Teacher	60%	50%	70%	100%	80%	50%	68%
Teacher	70%	70%	80%	70%	80%	60%	72%
Non-teaching Staff	50%	70%	40%	80%	60%	70%	62%
Non-teaching Staff	60%	60%	50%	100%	50%	50%	62%
SMT	80%	90%	50%	70%	60%	60%	72%
SMT	100%	100%	60%	80%	70%	80%	82%
Total	*78%*	*81%*	*71%*	*87%*	*73%*	*73%*	*78%*
Siviwe							
Principal	70%	90%	100%	100%	90%	100%	92%

Chairperson	80%	70%	70%	70%	80%	90%	77%
Parent	60%	80%	70%	60%	70%	60%	67%
Parent	80%	50%	80%	50%	70%	80%	68%
Teacher	70%	100%	70%	60%	50%	70%	70%
Teacher	90%	100%	100%	60%	60%	80%	82%
Non-teaching Staff	40%	80%	60%	50%	90%	50%	62%
Non-teaching Staff	50%	70%	80%	100%	90%	40%	72%
SMT	70%	80%	50%	80%	40%	80%	67%
SMT	60%	60%	60%	70%	40%	70%	60%
Total	*67%*	*78%*	*74%*	*70%*	*68%*	*72%*	*72%*
Thembalethu							
Principal	100%	70%	70%	70%	70%	70%	75%
Chairperson	100%	100%	100%	100%	100%	100%	100%
Parent	80%	90%	60%	80%	60%	70%	73%
Parent	40%	100%	50%	70%	70%	70%	67%
Teacher	80%	70%	80%	80%	80%	70%	77%
Teacher	70%	80%	90%	80%	70%	60%	75%
Non-teaching Staff	40%	70%	70%	70%	50%	80%	63%
Non-teaching Staff	40%	90%	60%	50%	60%	40%	57%
SMT	70%	80%	70%	80%	80%	60%	73%
SMT	60%	70%	80%	80%	70%	60%	87%
Total	*68%*	*82%*	*73%*	*76%*	*71%*	*68%*	*75%*
W. C. Sports Sch.							
Principal	90%	100%	80%	100%	70%	90%	88%
Chairperson	90%	100%	90%	80%	100%	90%	92%
Parent							
Parent							
Teacher	80%	80%	60%	80%	40%	60%	67%
Teacher	90%	80%	60%	80%	80%	70%	77%
Non-teaching Staff	70%	90%	70%	100%	40%	60%	72%
Non-teaching Staff	60%	60%	50%	80%	90%	80%	70%
SMT	100%	90%	70%	80%	50%	60%	75%
SMT	80%	80%	70%	100%	100%	50%	80%
Total	*82%*	*85%*	*69%*	*88%*	*71%*	*70%*	*78%*

APPENDIX E – WCED Special Schools

Below is a list of allthe Special Schools in the Western Cape Education Department (WCED) with contact details.

AREA OFFICE	TYPE OF SCHOOL	SCHOOL NAME	POSTAL ADDRESS	TEL No	FAX No
Athlone	Hospital School	GROOTE SCHUUR HOSPITAAL SKOOL	p/a E11 Superintendentskantoor Nuwe Groote Schuur-Hospitaal OBSERVATORY 7925	021-4045012	021-4043254
		PRINCESS ALICE HOSPITAL SCHOOL	D15 Groote Schuur Hospital OBSERVATORY 7925	021-4043282	021-472709
		ST. JOSEPH'S TEHUIS RK PRIM.	Posbus 21 HOWARD PLACE 7450	021-9342287	021-9342287
	Special School	DE GRENDEL SPESIALE SKOOL	Privaatsak X2 MILNERTON 7435	021-523010	021-5515421
	Specialized School	ALPHA SKOOL	Posbus 48 WOODSTOCK 7915	021-4471212	021-4480405
		EROSSKOOL	Posbus 82 ATHLONE 7764	021-6379080	021-6374816
		MARY KIHN SCHOOL	Low Street OBSERVATORY 7925	021-4470310	021-4481351
		TAFELBERGSKOOL	P.O. Box X6 SEA POINT 8060	021-4399433	021-4340937
		VERA-SCHOOL	Private Bag X4 CLAREINCH 7740	021-6962844	021-6964877
	Training Centre	BEL PORTO SKOOL	Privaatsak X3 CLAREINCH 7740	021-6964134	021-6968228
		MARY HARDING SKOOL	Posbus 104 ATHLONE 7764	021-6378068	021-6387915
		MOLENBEEK SKOOL	Privaatsak X12 MAITLAND 7405	021-5114507	021-5118755
Bellville	Hospital School	TYGERBERG HOSPITAALSKOOL	K.40 , Vloer 10E Wes Tygerberg Hospitaal TYGERBERG 7505	021-9385261	021-9385261
	Places of Safety	HUIS VREDELUS PRIM.	Posbus 325 ELSIESRIVIER 7490	021-9337190	021-9324420
	Preprimary School	CAREL DU TOIT SENTRUM.	Posbus 19130 TYGERBERG 7505	021-9385312	021-9332774
	Special School	FLORIDA VAARDIGHEIDSKOOL	Posbus 17070 RAVENSMEAD 7490	021-5350756	021-5350755
		WESTCLIFF SPESIALE SKOOL	Posbus 328 SANLAMHOF 7532	021-9484877	021-9489434
	Specialized School	ASTRA SKOOL	Posbus 21106 DURRHEIM 7491	021-9340155	021-9340183
		ATHLONE SKOOL VIR BLINDES	Privaatsak X1 KASSELSVLEI 7533	021-9512234	021-9515118

	Training Centre	CHERE BOTHA SKOOL	Van der Stelstraat 73 Oakdale BELLVILLE 7530	021-992701	021-997992
		FILIA SKOOL	Posbus 12911 N1 CITY 7463	021-5921361	021-5921369
		OASIS SKOOL	Posbus 10091 BELHAR 7507	021-9522100	021-9523664
George	Hospital School	SANTA SENTRUM	Posbus 3737 GEORGE-INDUSTRIA 6536	044-8759086	044-8751174
	Industrial School	DIE BULT HS	Privaatsak X6529 GEORGE 6530	044-8744146	044-8744147
		KRUINSIG HS	Privaatsak X6576 GEORGE 6530	044-8744074	044-8732516
		PACALTSDORP NYWERHEIDSKOOL	Privaatsak 7004 PACALTSDORP 6534	044-8782379	044-8782346
		PETRA-MEISIESKOOL	Privaatsak X642 OUDTSHOORN 6620	044-2726054	044-2724005
	Places of Safety	HUIS OUTENIEKWA PRIM.	Privaatsak X6587 GEORGE 6530	044-8750402	044-8750669
	Primary School	KINDERKRAALTJIE	Privaatsak X6601 GEORGE-OOS 6539	044-8742042	044-8736213
	Special School	VAN KERVEL SPESIALE SKOOL.	Privaatsak X6601 GEORGE-OOS 6539	044-8742042	044-8736213
	Training Centre	ELJADA SKOOL	Posbus 70 OUDTSHOORN 6620	044-2791780	044-2792575
		KAIROS SKOOL	Posbus 3145 Bridgton OUDTSHOORN 6621	044-2791563	044-2728609
Kuils River	Industrial School	LE FLEUR MEISIESKOOL	Privaatsak X7 FAURE 7135	021-9041424	021-9045514
	Places of Safety	HUIS ROSENDAL PRIM.	Privaatsak X3 FAURE 7131	021-8433559	021-8433259
	Reform School	FAURE SKOOL VIR MEISIES	Privaatsak X2 FAURE 7131	021-9045306	021-9045507
		FAURE SKOOL VIR SEUNS	Privaatsak X1 FAURE 7131	021-8433202	021-8433526
	Specialized School	BET-EL SKOOL VIR EPILEPTICI	Posbus 105 KUILSRIVIER 7580	021-9035146	021-9039915
		JAN KRIEL-SKOOL	Posbus 17 KUILSRIVIER 7579	021-9031108	021-9031220
		NOLUTHANDO SCH. FOR THE DEAF	P O Box 1856 SOMERSET WEST 7129	021-3611160	021-3611161
		PAARL-SKOOL	Posbus 140 BRACKENFELL 7560	021-9815555	021-9817833

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	Training Centre	ALTA DU TOIT SKOOL	Privaatsak X10 Kuilsrivier 7579	021-9034178	021-9036021
Mitchell's Plain	Hospital School	SONSTRAAL HOSPITAALSKOOL	Lentegeur Hospital School Highlands Drive MITCHELL'S PLAIN 7785	021-3701111	021-317359
	Specialized School	AGAPESKOOL	Posbus 223 MITCHELL'S PLAIN 7785	021-324162	021-325496
		TEMBALETU	P O Box 2228 CLAREINCH 7740	021-6375902	021-6376726
	Training Centre	BEACON SKOOL	Posbus 346 MITCHELL'S PLAIN 7785	021-314324	021-340916
		LENTEGEUR SCHOOL FOR LSEN-SMH	Posbus 80 MITCHELL'S PLAIN 7785	021-314111	021-342308
		NOMPUMELELO SKOOL	P O Box 507 GATESVILLE 7766	021-6378062	021-6336379
Paarl	Industrial School	KHUTHELE SCHOOL OF INDUSTRY	Private Bag X6004 SOUTHERN PAARL 7624	021-8632043	021-8632044
		VAL DU CHARRON MEISIESKOOL	Privaatsak X10 WELLINGTON 7655	021-8731068	021-8734955
	Places of Safety	LINDELANI	P O Box 7181 STELLENBOSCH 7600	021-8822634	021-8822635
	Training Centre	DOROTHEA SKOOL	Posbus 2046 DENNESIG 7601	021-8895461	021-8895680
		LIGSTRAAL SKOOL	Posbus 1102 Nederburg PAARL-OOS 7627	021-8627182	021-8623603
		RUSTHOF SKOOL	Posbus 514 SOMERSET-WES 7130	021-8514441	021-8527350
West Coast	Industrial School	ATLANTIS NYWERHEIDSKOOL	Privaatsak 1 Dassenberg ATLANTIS 7350	021-5725022	021-5721538
	Special School	WESKUS SPESIALE SKOOL	Privaatsak X6 SALDANHA 7395	022-7141244	022-7141244
	Training Centre	DAWN SKOOL	Posbus 3119 Reygersdal ATLANTIS 7352	021-5724359	021-5728426
		KARITAS SKOOL	Posbus 1048 VREDENBURG 7380	022-7151676	022-7131835
Worcester	Hospital School	BREWELSKLOOF HOSPITAALSKOOL	Privaatsak X3044 WORCESTER 6850	023-3481356	023-3481359
	Industrial School	STEINTHAL SEK.	Posbus 17 TULBAGH 6820	0236-301031	0236-301127

	Reform School	UMZINGIZI	Private Bag X1 RAWSONVILLE 6845	023-3491807	023-3491970
	Specialized School	DE LA BAT-SKOOL	Posbus 98 WORCESTER 6850	023-3422560	023-3425563
		NUWE HOOP-SENTRUM	Privaatsak X3047 WORCESTER 6850	023-3472791	023-3474607
		PIONIER-SKOOL	Privaatsak X3048 WORCESTER 6849	023-3422313	023-3423959
	Training Centre	CAMPHILL SCHOOL	PO Box 68 HERMANUS 7200	0283-23803	0283-23900
		EDEN SKOOL	Posbus 293 WORCESTER 6850	023-3423770	023-3471508
		MISPAH-SKOOL	Posbus 13 ELIM 7284	02848-810	02848-654
Wynberg	Hospital School	MAITLAND COTTAGE HOME	Kildareweg NUWELAND 7700	021-642090	021-6830691
		RED CROSS CHILDREN'S HOSPITAL	Primary School Klipfontein Road RONDEBOSCH	021-6585042	021-6585326
	Industrial School	OTTERY NYWERHEIDSKOOL	Privaatsak X4 OTTERY 7808	021-733030	021-737790
	Places of Safety	HUIS BONNYTOUN	Rosmeadlaan 41 WYNBERG 7800	021-7615932	021-7615677
		TENTERDENSKOOL	Durbanweg 60 WYNBERG 7800	021-7975611	021-7978368
	Reform School	CONSTANTIA MEISIESKOOL	Privaatsak X5 TOKAI 7966	021-7129294	021-7122256
		CONSTANTIA-SEUNSKOOL	Privaatsak X3 TOKAI 7966	021-7945104	021-7946613
		PORTERSKOOL	Privaatsak X2 TOKAI 7966	021-7121023	021-754728
	Special School	BATAVIA SPESIALE SKOOL	Posbus 36357 GLOSDERRY 7702	021-615110/1	021-6834226
	Specialized School	DOMINICAN GRIMLEY-SCHOOL	P.O. Box 2986 CAPE TOWN 8000	021-7901052	021-7906241
		DOMINIKAANSE SKOOL VIR DOWES	Posbus 19027 WYNBERG 7824	021-7618046	021-7618578
		VISTA NOVA-SCHOOL	P.O. Box 193 RONDEBOSCH 7700	021-6895323	021-6852402
	Training Centre	BLOUVLEI SKOOL	Posbus 124 RETREAT 7945	021-720857	021-7125803
		GLENDALE SCHOOL	P.O. Box 30055 TOKAI 7966	021-722075	021-721540
		OCEAN VIEW SKOOL	Posbus 45 SEESIG 7977	021-7832381	021-7831779