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SCHOOL OF EDUCATION
FACULTY OF HUMANITIES
THE UNIVERSITY OF THE WITWATERSRAND

TEACHER APPRAISAL REFORMS IN POST-1994 SOUTH AFRICA: CONFLICTS, CONTESTATIONS AND MEDIATIONS

A Thesis submitted to the School of Education, Faculty of Humanities, of the University of the Witwatersrand in fulfilment of the requirements for the degree of Doctor of Philosophy in Education

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Johannesburg, April 2011

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ABSTRACT

This thesis provides a trajectory policy analysis of post-1994 appraisal systems in South Africa by capturing the dynamics of these policies between different levels as well as the reasons these policies have changed and evolved in the way they did over the past 10 years. Its aim is to understand why and how various post-1994 South African teacher appraisals were negotiated, formulated and re-negotiated with their different impact on schools, taking into account the various tensions and contestations within appraisal and between stakeholders. The study attempts to make the following claims around issues of appraisal, policy analysis, multi-method research.

First, because appraisal policies are socially constructed and politically contested, they are fraught with inevitable socio-educational tensions around the balance between teacher development and accountability, coming from the negotiations between the main stakeholders at various stages of the policy process.

Second, because current policy analysis approaches have failed to address the increasingly complex domain and gap of policy-practice in an era dominated by the interplay of conflicting agendas and interests of various policy communities, an eclectic approach to policy analysis is used and recommended. This approach relies mainly on a political analysis, which conceives of policies as both constraining and empowering structures and texts which create space and opportunities for policy agency and leadership. Such political approach has to conceive of three different policy powers to reveal the various tensions and contestations around policies and the conditions of possibilities as well as to unravel how stakeholders interpret and mediate policy processes which are often fragile settlements constantly re-negotiated.

This study focuses on the notion of enabling policy leadership and its mediation strategies to reveal how different agencies position themselves and strategize around policy tensions in the hope of strengthening their agendas. This policy leadership is also

critical in ensuring a sufficiently strong policy settlement between education departments, schools, teacher unions and professional bodies over how to develop teachers and make them accountable for their performance

Third, it argues that, despite post-1994 South Africa embarking on an era of stakeholder democracy, various stakeholders were gradually pushed to the margin of education policymaking, leaving teacher unions (because of their privileged position in relation to the ruling party) as the main party with which the department of education consulted and bargained. This exclusion of other stakeholders involved in quality education meant that professional associations were absent even though their input was desperately needed to negotiate how appraisal could feed into the enhancement of teacher professionalism and identities in the post-1994 school system.

Finally, this study uses a multi-method research approach, involving formal research instruments as well as various data collection mechanisms involving different forums with stakeholders, such as oral hearings, review teams, seminars, conferences and written evidence over a period of two years to provide a richer form of triangulated data with rather interesting results. This data was analyzed and interpreted to identify patterns of policy contestations, negotiation and mediation strategies which assisted in theorizing further the policymaking processes and politics around appraisal as well as the role and limitations of policy leadership. This multi-layered empirical research work is essential if the complex and fluid positions and strategies adopted in various policy processes over time are to be unraveled.

KEYWORDS: appraisal, teachers' work, teacher accountability and professional development, policy powers and leadership.

DECLARATION

I, Francine De Clercq, declare that this thesis is my own unaided work. It is submitted for the degree of PhD in Education at the University of the Witwatersrand, Johannesburg, School of Education. It has not been submitted before for any other degree or examination in any other university

Signed by

Francine De Clercq **Where:** **Date:**

ACKNOWLEDGEMENTS

I share this complex but inspiring research journey with many colleagues, educationists, friends and family members. I am what can be considered a very mature student, who has been lecturing in the School of Education for so many years that I can already see my retirement approaching at a not-so-distant horizon. During my years at Wits, I worked hard and became buried into my teaching, supervision, student counselling, various project management and research consultancy for education departments in the hope that these various academic and managerial outcomes would distract my senior colleagues from insisting that I do a PhD. However, this was not to be, as they frequently reminded me that the PhD was non-negotiable. One of the main reasons which prevented me to consider earlier a PhD study was the amazing amount of time and discipline required for the completion of such big piece of work. I was sceptical, at this stage of my working life, about spending so much of my time and energy on one and the same task, However, after many years of gentle but forceful advices, my wise senior colleagues managed to convince me to confront the beast head-on, not only for my university career but also for my personal professional identity and pride. An approaching sabbatical leave in 2008 assisted me in cracking the back of such work. This is why I want to thank from the bottom of my heart my many close colleagues as well as my friends who, in different ways, helped me to become less weary about this long journey and ensure I could enjoy it and the journey as well as grow in confidence with it.

To my colleagues in the School of Education, and in particular, Professors Michael Cross and Brahm Fleisch, I want to thank you for your sensitive and sensible approach in making me find the strength and courage to complete this PhD work. More specifically, I want to thank Michael, my supervisor, for his ever insightful and valuable comments about the conceptualisation, structure and at times half-baked arguments in my not-always-tightly-argued draft chapters. His comments were truly 'rare' pearls of wisdom, which explain why some of my arguments are now (I hope) more strongly argued and illustrated. Throughout the PhD study, you remained a just and empowering supervisor who initiated me into the senior academic trade, in a similar manner as what a professional sports coach does, gradually changing my self-taught limiting academic style. You remain inspirational, fair and tactful as I always thought you would when I decided to ask you to be my supervisor. Thank you also to Brahm, my other senior colleague, boss and friend, for his concern and generosity. You were always so available for long and challenging chats about how to improve arguments and thoughts and you gave me numerous good tips about how to do rigorous PhD research with strong arguments.

After the first six months of intensive work towards the proposal, I realised how privileged I was to have such supportive colleagues, to enjoy the luxury of one sabbatical year where I could be single-tasked and concentrate on such monumental piece of academic work. I am also grateful to Mary Metcalfe, the then-Head of School,

for never stopping to believing that I would complete this PhD. To you and all my other colleagues, thank you for your unwavering support and your belief that I would soon experience how exciting and inspiring this PhD research journey is.

My sabbatical year was made even more productive by two unexpected interesting activities. The first one was an invitation in August 2008 to sit on a five- month Ministerial Committee on the feasibility of a quasi-independent body in charge of school evaluation and development. It was a great learning curve to do the research, assist with the collection of views by various officials within the department and schools and, in the process, enrich my own PhD research work. This is why I want to express my appreciation to the then-Minister Naledi Pandor, the DoE as well as the Committee chairperson, Professor Jonathan Jansen, and other Committee members, for giving me the opportunity to think creatively about school evaluation and appraisal in a different, non-academic, way.

The second activity was a two-week course on Research Writing, organised by the CLTD and conducted by Dr Cecile Badenhorst, the resident expert of academic research writing at Wits. The aim of the course was to assist with research writing and the coming to terms of our identity as academic writers. This course was beyond my expectations; not only was I reconciled with academic writing, something that Cecile taught us could be creative, exciting and an amazingly powerful learning experience at any stage of our academic career. But something else also happened that no amount of therapy could do: I gained a powerful sense of reconciliation with myself and centeredness with my identity as an academic writer. Because of this course, I have felt more resolute about writing and I thank Cecile for providing me with a turning point in my research career.

Equally important is the profound debt I owe the many officials and educationists whom I interviewed and with whom I dialogued in the last two years of this study, whether they were at national, provincial or district level, or in teacher unions, ELRC and SACE. I want to thank them all sincerely for participating with [apparent] interest in my often much too-long interviews and would like to praise them here for their dedication, commitment and/or leadership in education.

Lastly, I would like to thank my family for providing me emotional support to reign in my elated and discouraged moments as well as physical space, by allowing me to take refuge in our large attic room for long days and nights. My two teenage sons, Sébastien and Shau, who, in their different ways, kept me going through their joy and curiosity about life as well as teasing (including their sometimes rough critical adolescent moods). To Sébastien, thank you for your understanding and great humour in dealing with my extraverted moody character, as if you knew what I needed whenever I saw you. To Shau, thank you for your patience in tolerating my ups and downs and my need to communicate, in the hope that you will understand what people who care about you want you to know about them. I hope that my higher education work and study experience will inspire you both in your well started life-long education.

Finally, thanks to my close women friends who provided a warm holding nest to allow me to dare and continue to venture into this long learning PhD journey, with its many sacrifices, joys and pains. During the past three years, I learnt much, found a new identity as a writer as well as a new resolve and peace of mind. I can only repeat to people interested in this journey what a dear friend told me: “Treat your PhD as your C.C. (or Constant Companion)” as it can and will strengthen your resolve, discipline and confidence.

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LIST OF ACRONYMS

ADEA	Association for the Development of Education in Africa
CAPS	Curriculum and Assessment Policy Statements
COSATU	Congress of South African Trade Unions
CPTD	Continuing Professional Teacher Development
CTA	Common Task Assessment
DAS	Development Appraisal System
DIP	District Improvement Plan
DG	Director General
DNE	Department of National Education
DoE	Department of Education
DSG	Development Support Group
EAZ	Education Action Zones
ELRC	Education Labour Relations Council
EMIS	Education Management Information Systems
ETDPP	Education, Training and Development Practices Project
ETDP-SETA	Education, Training and Development Practitioners of Sector Education and Training Authority
FET	Further Education and Training
GDE	Gauteng Education Department
GEAR	Growth, Employment and Redistribution
GET	General Education and Training
HoD	Head of Department
HSRC	Human Sciences Research Council
ICT	Information Communication and Technology
IDSO	Institutional Development Support Officials
IQMS	Integrated Quality Management System
IQAA	Independent Quality Assurance Association
ISASA	Independent School Association of South Africa
LEA	Local Education Authorities
LoLT	Language of Learning and Teaching

LSEN	Learners with Special Needs
LTSM	Learning and Teaching Support Material
MinCom	Ministerial Committee
NAPTOSA	National Professional Teachers Organisation of South Africa
NCS	National Curriculum Statement
NECC	National Education Crisis Committee
NEEDU	National Education Evaluation and Development Unit
NEPA	National Education Policy Act
NEPI	National Education Policy Investigation
NETF	National Education and Training Forum
NGO'S	Non-Governmental Organisations
NPFTED	National Policy Framework for Teacher Education and Development
NQF	National Qualification Framework
OBE	Outcomes-Based Education
OECD	Organisation for Economic Co-operation and Development
OFSTED	Office for Standards in Education (United Kingdom)
OSD	Occupation Specific Dispensation
PD	Professional Development
PEDs	Provincial Education Departments
PGP	Personal Growth Plan
PM	Performance Measurement
PMDS	Performance Management and Development Scheme
RNCS	Revised National Curriculum Statement
QA	Quality Assurance
SACE	South African Council for Educators
SADTU	South African Democratic Teachers Union
SAQA	South African Qualification Authority
SAOU	Suid-Afrikaanse Onderwyserunie
SASA	South African Schools Act
SDP	School Development Plan

SE	School Effectiveness
SGB	School Governing Body
SIP	School Improvement Plan
SMT	School Management Team
TAC	Treatment Action Campaign
TED	Teacher Education and Development
TDS	Teacher Development Summit
WSE	Whole-School Evaluation