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The perceived effectiveness of perfomance appraisal in Gauteng Independent Schools

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THE PERCEIVED EFFECTIVENESS OF PERFORMANCE APPRAISAL IN GAUTENG INDEPENDENT SCHOOLS

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A Research Report submitted to the Faculty of Education,
University of the Witwatersrand, in partial fulfilment
of the requirements for the degree of Master of Education

Degree awarded with distinction on 8 December 1999

Johannesburg February 1999

ABSTRACT

Performance appraisal is being used in many schools to improve the effectiveness of organisations as well as develop individuals. South Africa is currently moving away from the old inspection system which was used in Government Schools and has implemented a new appraisal system for its schools. It is important at this time to ensure that the most appropriate path is embarked upon so that the process adopted and implemented is effective. This research aims to investigate the appraisal systems currently in use in the Independent Schools in Gauteng and to inform the debate on what the critical issues seem to be. A proposal is offered on the future of appraisal systems in schools.

All 95 head-teachers of the Independent Schools registered with the Independent Schools council were sent questionnaires to complete. Three Preparatory schools were selected and the teachers in each of the schools were sent a similar questionnaire which gathered information about their perceptions of appraisal. The head-teachers from the three schools were also interviewed.

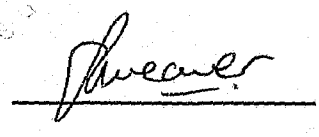
The results indicate that teachers do not feel consulted about the process and thus lack ownership. This implies that there are problems with the implementation of appraisal in schools and that teachers do not really support the system. There was a large discrepancy between the perceptions of the head-teachers and the teachers with the head-teachers being far more positive about appraisal. Both groups generally felt that business is different to education and that systems developed in business should be adapted to the educational field rather than being transferred straight across. The

positive aspects of appraisal which were reported on included useful reflection on practice, motivation of the teachers, improvement of performance and personal growth. The negative outcomes indicated that it was a threatening process for the teachers, that it sometimes encouraged individualism and competition, it involved subjective assessments and evaluations, it lacked continuity and feedback and did not really build relationships of trust.

In order to overcome the problems encountered, it was recommended that performance management be looked into as an alternative.

DECLARATION

I declare that this research report is my own, unaided work. It is submitted in partial fulfilment of the requirements of the degree of the Master of Education in the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in any other University.



Simon Weaver

February 1999

ACKNOWLEDGEMENTS

The successful completion of this study is, to a large extent, due to the support of the following people:

- Karen my wife for her advice, encouragement and support.
- Caroline Faulkner, Lecturer in the Education Faculty, for her guidance and assistance in supervising the research.
- Margie Sutherland and Caryn Conidaris for their advice and encouragement.
- The head-teachers and teachers from the Independent Schools who took the time to complete the questionnaires sent to them.
- The three participating Preparatory Schools for agreeing to assist in this research.
- All the participants in the research for their time and input.

TABLE OF CONTENTS

		Page
CHAPTER 1 : INTRODUCTION		1
CHAPTER 2 : LITERATURE REVIEW		5
2.1	DEFINITION	5
2.2	THE PURPOSES OF USING PERFORMANCE APPRAISAL	5
2.3	METHODS USED IN PERFORMANCE APPRAISAL	9
2.4	THE ASSUMPTIONS BEING MADE IN PERFORMANCE APPRAISAL	13
2.5	THE STRENGTHS OF PERFORMANCE APPRAISAL	15
2.6	THE WEAKNESSES OF PERFORMANCE APPRAISAL	17
2.7	OTHER FACTORS ASSOCIATED WITH PERFORMANCE APPRAISAL	22
2.8	PERFORMANCE MANAGEMENT : AN ALTERNATIVE	25
CHAPTER 3 : THE AIMS OF THE RESEARCH		28
CHAPTER 4 : THE THEORETICAL FRAMEWORK		31
4.1	ORGANISATIONAL CULTURE	32
4.2	A CONGRUENCE MODEL OF ORGANISATIONAL BEHAVIOUR	33

CHAPTER 5 : METHODOLOGY 37

5.1 THE RESEARCH METHOD USED 37

5.2 DATA COLLECTION IN THE PRESENT STUDY 39

5.2.1 Choice of participating schools 39

5.2.2 Head-teachers questionnaire 40

5.2.3 The teachers questionnaire 41

5.2.4 Analysis of the data 42

5.2.4 Follow-up interviews with the head-teachers 43

CHAPTER 6 : RESULTS AND DISCUSSION 44

6.1 BIOGRAPHICAL DATA OF HEAD-TEACHERS 44

6.2 BIOGRAPHICAL DATA OF TEACHERS 46

6.3 THE PROCESS OF APPRAISAL 47

6.3.1 School A 47

6.3.2 School B 48

6.3.3 School C 48

6.4 THE NUMBER OF SCHOOLS WHICH OPERATE A PERFORMANCE APPRAISAL SYSTEM 49

6.5 HOW PERFORMANCE APPRAISAL IS CHARACTERISED 50

6.6 THE AIMS OF PERFORMANCE APPRAISAL 53

6.6.1 Development of the individual teacher 55

6.6.2 Development of the whole organisation 58

6.6.3 Client focus 59

6.7 THE REASONS FOR USE OF PERFORMANCE APPRAISAL IN RESPECTIVE SCHOOLS 60

6.8 THE TRANSFERABILITY OF SYSTEMS DEVELOPED IN BUSINESS TO EDUCATION 62

6.8.1 Head-teachers' reasons for "essentially yes" responses 64

6.8.2 Teachers' reasons for "essentially yes" responses 64

6.8.3 Reasons for "partially yes" responses 65

6.8.4 Reasons for "no" responses 66

6.9 OWNERSHIP OF THE PROCESS BY THE TEACHERS 68

6.10 PERFORMANCE APPRAISAL EFFECTIVENESS SCORES 69

6.10.1 Individual effectiveness scores 81

6.11 THE STRENGTHS OF THE SYSTEM IN SCHOOLS 86

6.12 WEAKNESSES OF THE SYSTEM 90

6.13 VITAL FACTORS WHICH WILL ADD TO THE SUCCESSFUL IMPLEMENTATION OF SUCH A SYSTEM 94

6.14 ADVICE FOR THOSE SCHOOLS WHO WANT TO IMPLEMENT APPRAISAL 95

6.15 COMMENTS MADE BY HEAD-TEACHERS WHO DO NOT HAVE PERFORMANCE APPRAISAL SYSTEM 101

6.16 POSITIVE ASPECTS OF THE PRESENT STUDY 102

6.17 LIMITATIONS OF THE PRESENT STUDY 102

CHAPTER 7 : CONCLUSION 105

7.1 THE AIMS OF APPRAISAL 106

7.2 THE POSITIVE OUTCOMES OF APPRAISAL 107

7.3 THE NEGATIVE ASPECTS REPORTED ON 108

7.4 RECOMMENDATIONS FOR THE FUTURE 112

REFERENCES 115

APPENDICES

APPENDIX A - Head-teachers' questionnaire 119

APPENDIX B - Teachers' questionnaire 127

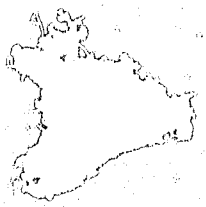
APPENDIX C - Letter to head-teachers 134

APPENDIX D - Letter to teachers 136

APPENDIX E - Effectiveness scores per item 138

LIST OF TABLES

TABLE		PAGE
1	Qualifications of head-teachers	44
2	Types of schools	45
3	Qualifications of teachers	46
4	Characterisation of performance appraisal	50
5	Purposes totals	53
6	Judgemental purposes	56
7	Developmental purposes	57
8	Reasons for the use of performance appraisal	60
9	Transferability of the systems from business	63
10	Item averages and t-ratio scores (Main items)	72
11	Item averages and t-ratio scores (Effectiveness)	80
12	Effectiveness scores	82
13	Effectiveness scores frequencies	83
14	Strengths of appraisal	87
15	Weaknesses of the system	90
16	Vital factors involved in appraisal	94
17	Advice for appraisal	96



CHAPTER 1

INTRODUCTION

> We are currently in the midst of unprecedented change in education. The role of school governors, headteachers and teachers will all be different in the future from what they have been in the past and everything is happening at a very fast rate, which leaves us little time to become acclimatized to new ways of looking at things (Dean, 1991 : 1).

In order to manage this change, education needs to establish management systems which will assist in the process. A system which originated in business, has been introduced into education so as to facilitate the management of teacher performance, namely, performance appraisal.

I believe that performance appraisal is an essential part of every organisation's operations. Each organisation has some form of appraisal whether it is formal or informal. The informal system may occur without managers being aware of what they are actually doing. Nevertheless, they are engaged in thinking about and evaluating subordinates performance in one form or another. Ivancevich and Glueck (1983 : 237) define formal performance evaluation as "a system set up by the organisation to regularly and systematically evaluate employee performance".

Formal performance appraisal has been used in schools in England since the 1970's, but it was only in 1991 when Kenneth Clarke, the then Secretary of State for Education

got the Teacher Appraisal Regulations passed through parliament, that it began to form part of what schools were expected to do. Thus, theoretically, all schools in England are supposed to operate performance appraisal systems. Horne and Pierce in their book "A practical guide to Staff Development and Appraisal" (1996) have documented their findings on the research that they have done in schools that have implemented these Teacher Appraisal Regulations and these findings will be referred to in this research .

In South Africa, an inspection system has been operational for many years in government schools where teachers were evaluated by Inspectors who were sent to schools by the Education Department. But Mpolweni (1998 : 54) argues that:

> The teacher evaluation system in South Africa in the late 1980s was, in some Education Departments, characterised by conflicts and unhealthy relationships between teachers on one hand, and principals, inspectors and subject advisors on the other hand.

Teachers were mainly unhappy with the way the inspection was conducted where inspectors would visit schools unannounced and then merely check on whether certain things had been done.

> Such a mode of evaluation, which had its focus on quantity rather than quality of work done by learner or teacher was viewed as unacceptable. The system implied that the teacher did not have anything of value to contribute to the process and this assumption tended to undermine their professional integrity

(Mpolweni, 1998 : 54).

In 1991, the South African Teachers' Union embarked on a national defiance campaign against the inspection system and began negotiating a new system of appraisal (Mpolweni, 1998 : 55). Since 1994, there has been some activity in the setting up of proposed policies for the implementation of a new and updated performance appraisal system for the post 1994 South African schools. At the governments request the University of the Witswatersrand Education Policy Unit proposed a new appraisal system which they piloted in several schools (Mokgalane, Carrim, Gardiner and Chisholm, 1997). The government expressed an interest in this work and has now begun to implement an appraisal system in all schools from January 1999. This development was mentioned on Tuesday 1 September 1998 in The Star newspaper which reported that Minister Bengu had announced the introduction of a "teacher appraisal instrument". The instrument is aimed at the development of the teachers and it is felt that it will enable teachers to work on their weaknesses and strengths. Thus, South African Education seems to be moving away from the old system of inspections to a new formal appraisal system. It is thus important that while this initiative is being introduced that all current aspects in this connection be looked at closely so that shortcomings in the policies and the mistakes in the implementation of such appraisal systems are avoided.

Business is generally moving away from a focus on performance appraisal and is rather looking towards what is known as performance management (Armstrong, 1994, Spangenberg 1994, Lockett 1992). Performance management is more than just

appraisal,

> it ... continuous process in which organisations clarify the level of performance required to meet their strategic objectives, convert them into unit and individual objectives and manage them continually in order to ensure, not only that they are being achieved but also that they remain relevant and consistent with overall strategic objectives (Lockett, 1992 : 14).

The system of performance management has arisen due to the problems which have been encountered with performance appraisal in organisations. It would be certainly shortsighted of our education department to embark on the introduction of a system which is being proved to be less effective than originally expected.

Due to the fact that performance appraisal has been identified by many countries, including both South Africa and England as the route to take to negotiate the process of educational change, it is important to ensure that this is the most effective course of action and as such performance appraisal systems which are currently in use need to be evaluated. The evaluation of appraisal systems in use in Gauteng Private Schools is the intention of this research. The perceptions of both heads and teachers has been sought to establish how effective performance appraisal is perceived in its current form.

CHAPTER 2

LITERATURE REVIEW

This chapter serves to highlight some of the prior research which has been done in the area of performance appraisal.

2.1 Definition

Moorhead and Griffin (1989 : 604) define performance appraisal as:

> The process by which a manager (1) evaluates an employee's work behaviours by measurement and comparison with previously established standards, (2) records the results, and (3) communicates them to the employee.

These three parts of appraisal are fundamental to all such systems and although the systems being utilised may be different, they still evaluate, record and communicate findings in one form or another.

2.2 The purposes of using performance appraisal

In order to further understand performance appraisal, it would be important to discuss its purposes. Brown (in Gerber, Nel and Van Dyk, 1994 : 442), maintains that, performance appraisal is:

> The process of assessing and recording staff performance for the purpose of making judgements about staff that lead to decisions. The decisions will include: providing feedback for professional development, assessing individual and group training needs, determining who is to be promoted, making salary decisions and selecting staff.

This statement seems to imply that the appraisal system is designed to be used by management for the purposes of improving the organisation. There is a strong sense of top-down management where the top makes all the decisions once the data from the evaluation of the staff has been accumulated. The implication here is that the individuals in the organisation have little to contribute in the process apart from doing what the organisation dictates. The organisation is viewed as being the controller of the process.

McGregor (1957 : 66) has stipulated that the purpose of performance appraisal should be to satisfy both the needs of the organisation and the individual. He identified the following as being important :

- the provision of systematic judgements on which to base decisions involving salaries, promotions, demotions, etc.

- the provision of feedback to employees with information about how they are performing and the suggestion of ways of changing behaviour, attitudes, skills and job knowledge;

- the provision for the basis for personal growth and development by means of coaching and counselling of the employees by their superiors.

Here again, the top-down approach is clearly evident where it is the subordinate who needs to change and be coached by superiors in order to improve the organisation's productivity.

Kearney (1977 : 58-59) has postulated that there are two main aims of performance appraisal which both have sub-purposes. The two main purposes are what he calls a) judgemental and b) developmental.

Judgemental purposes include the following :

- Reward purposes The purpose here is to assist in the making of decisions concerning pay increases, promotions, demotions and terminations which is based on actual performance.

- Feedback purposes The provision of feedback to the employee regarding their actual work performance.

- Planning purposes The provision of input into personnel utilisation and training requirements.

The Developmental purposes include the following :

- Personal development purposes Performance appraisal highlights areas for personal development and growth. In other words it shows people their strengths and weaknesses.

- Motivational purposes Performance appraisal aims to encourage initiative, develop responsibility and motivate employees to do better in their jobs.

- Communication purposes Performance appraisal develops communication between the different people in the organisation i.e. between managers and their subordinates.

These purposes as defined by Kearney seem to be more encompassing than the others discussed as he seems to include both organisational and individual aims which should be targeted when doing performance appraisal.

Lawler, Mohrman and Resnick (1984 : 33) believe that both managers and subordinates think that performance appraisal

> should have an important role and that it should accomplish a number of objectives vital to organisational effectiveness. These include defining work roles, motivating performance, and aiding the subordinate's development.

The focus here is both on the organisation and the individual gaining from the interaction. In the same study done by Lawler et al., (1984) they found significantly more subordinates who believed that one of the purposes of appraisal should be to determine pay.

Natorp (1993 : 47) in his research found that the most important purposes which were listed by his subjects were the following :

- review of work effectiveness.
- training needs identification.
- staff development
- work planning and goal setting
- promotion
- remuneration

He found that the provision of developmental information and support was perceived by his subjects as being the most important aim while mutual goal setting was also seen to be important important.

2.3 Methods used in performance appraisal

Several appraisal and evaluation systems have been implemented in various organisational settings. Armstrong (1994) has identified three important contributors to the whole area of performance appraisal, these being merit rating, management by

objectives (MBO) and performance appraisal as it developed in the seventies and eighties with behaviourally anchored rating scales.

"Merit rating schemes require managers to judge the worth of their staff against work and/or personality factors or characteristics " (Armstrong, 1994 : 15). Work factors would include such things as knowledge of present duties, effective output and accuracy of work. Personality aspects would include aspects such as confidence, attitude to work, initiative and steadiness under pressure (Armstrong, 1994 : 15). Ratings for each aspect are then carried out on a particular numerical scale.

It was found that the problems with this type of system was that the terms being rated were very general and they failed to establish actual standards against judgements made. Thus merit ratings were seen to be subject to many variations and inconsistencies as well as being open to rater subjectiveness and interpretation (Armstrong, 1994 : 15). For these reasons they have been largely discredited.

Another system which is known as management by objectives (MBO) operates as a feedback process which requires the definition of corporate objectives from which are derived unit objectives (Armstrong, 1994 : 18).These detailed objectives are then evaluated in terms of whether they are being met or not and from the results, unit and corporate objectives and plans are then reset. As would be expected this system was seen to fail due to the amount of paper it produced and its rigid and bureaucratic nature. It also tended to over emphasise quantifiable objectives to the detriment of qualitative and behavioural aspects of performance. Furthermore, management by objectives was

perceived as often being a top-down process with insufficient dialogue between the managers and the individuals reporting to them (Armstrong, 1994 : 19). Lowenberg and Conrad (1998 : 174) point out that management by objectives focuses on analysing the ends but not the means and as such the process is often ignored which could help to procure new resources or consider other important behaviours which may be important. Kane and Freeman (in Lowenberg and Conrad 1998 : 174) suggest that while MBO can be an effective tool, its role as an appraisal instrument should be limited due to its bureaucratic and complex nature.

Performance appraisal was further developed in the seventies and eighties and seemed to incorporate features from management by objectives in what was termed results-operated schemes (Armstrong, 1994 : 19). This whole development involved the setting up of:

> behaviourally anchored rating scales which required the identification of the key areas of responsibility for a job or a group of jobs. A scale was then developed for each area with a short statement describing the typical behaviour for the particular scale value to which the statement was attached" (Armstrong, 1994 : 19).

Armstrong (1994 : 20) argues against performance appraisal schemes for the following reasons:

> They have often been the property of the personnel department which has

imposed them as a bureaucratic system on line managers who carry out appraisals under duress and therefore badly. They have also been operated in many instances as a top-down approach incorporating an annual appraisal meeting which dealt with the past and was used mainly to determine 'merit' pay awards..... The very word 'appraisal' implies that this is a top-down process in which managers tell their subordinates what they think about them. And one of the reasons for the failure of many appraisal schemes is that managers did not like doing that at all - they objected, in Douglas McGregor's phrase, to 'playing at being God'.

Other methods which have been mentioned by Lowenberg and Conrad (1998) include the following:

- Checklists : A checklist consists of a set of objective statements or adjectives which the appraiser ticks if he/she believe that item pertains to the employees. If not, the item is then left blank.

- Critical incidents : In this method the appraiser keeps a log of all observed behaviours which are considered to be either successful or unsuccessful.

- Essay Evaluations : Here the appraiser describes in essay format the employee's behaviour, progress and performance using predetermined guidelines.

There are, thus, many different methods which have been used to carry out appraisal.

In many organisations it may well be found that several methods are being used simultaneously as Natorp (1993) found in his study. It is important to note that there seems to be some criticism of each method which is mainly due to rater inadequacies and potential biases in the process. All these methods seem to require a certain amount of subjective evaluations from appraisers.

In order to overcome this problem with rater subjectivity and bias, a new method of appraisal has been adopted namely 360-degree feedback systems. This method obtains feedback from all the people who surround the person being rated. In fact, almost anyone who is associated with the person is a potential rater of the person. This full circle view of the person is far more comprehensive than any of the other methods which are used as it includes feedback from subordinates and peers(Lowenberg and Conrad, 1998).

> In conclusion, different appraisers have different views of performance, and the performance appraisal is clearly influenced by these individual perspectives. When determining who will appraise performance, the organisation must be aware of the factors that influence employee ratings and must monitor the appraisal program to identify when and where these influences could occur (Lowenberg and Conrad, 1998 : 179)

2.4 The assumptions being made by performance appraisal

It is important when looking at performance appraisal to investigate the assumptions which are being made about the functioning and structure of organisations. It has been

pointed out that it assumes that organisations are characterised by a heavily hierarchical form (McConnell in Williams, 1993 : 79). Spangenberg (1994 : 2) points out that performance appraisal "assumes that organizational systems usually function well and that the causes of individual performance variance lie mainly with the employee". The improvement on performance is thus seen to be up to the individual even though the system in which the individual operates may well be dysfunctional causing de-motivated and unchallenged employees. What is important to note here is ; "This ignores a basic premise of the total quality movement, that the system or process is the determinant of performance and the basic source of variation (Spangenberg, 1994 : 8)." The individual is merely one small part of the bigger system and it is often the system which feeds into and changes the behaviour of the individual and not the other way round. Thus, an individuals performance should not be seen in isolation but as part of a bigger culture and system. It is therefore, the system as a whole which is the greater determinant of performance and productivity rather than the individual. Furthermore, appraisal assumes that there is a wide distribution of innate ability among employees and that all training is fairly good and uniformly internalised by employees (Spangenberg, 1994 : 5).

The other important assumption which performance appraisal makes is that all raters are objective in their conclusions about employees appraisal outcomes and that there is little variation in method from one rater to the next (Spangenberg, 1994 : 6). As has already been pointed out when looking at the different methods used in appraisal, rater subjectivity is difficult to control. If this is the case then that there is great variation between raters is not surprising.

Thus it seems that appraisal assumes the organisational structure and culture has little impact on the functioning of the organisation and furthermore the raters of performance are objective and fair in their assessments and evaluations of employees.

2.5 The strengths of performance appraisal

The literature highlights some positive outcomes of performance appraisal. Dean (1991) in her book on Professional Development points out that it is important for schools to have appraisal which will aid the whole process of professional development. She says of research done on appraisal :

> The heads commented on high levels of professionalism, greater analysis of practice, a broader educational context against which to make judgements, a receptivity to new ideas and a willingness to explore them. The teachers spoke of the benefits of having to analyse their strengths and weaknesses and of questioning curriculum and methodologies which they had taken for granted for years (Dean, 1991: 117).

Mokgalane et al (1997) carried out a pilot study of their proposed appraisal system in South Africa, which attempted to address problems of transparency and democracy in the whole process. They found that the positive aspects to emerge from the study included: a) a more developmental focus which resulted in the teachers being able to improve classroom performance, teaching methodology and working relations and b) there was more transparency and openess in the process.

Horne and Pierce (1996) in their study which was conducted on performance appraisal in schools in England, found the following positive aspects arising from their evaluations:

- Appraisal tends to build and enhance relationships.
- Appraisal confirms individual strengths.
- In primary schools it created a positive atmosphere of trust and well being.
- Performance monitoring was viewed as being a good thing.
- There seemed to be a greater awareness of the teacher's own skills.
- Appraisal accentuated the positive.
- Improved organisation and time management was reported.
- A Sharing of ideas occurred and teachers no longer felt isolated.
- There was a broadening of teaching styles.

Natorp (1993) in his study which was carried out on two auditing firms found that performance appraisal does make a difference by motivating employees, leads to

greater productivity and increases the understanding by subordinates of their roles.

From the above it seems that there are many positive outcomes to the whole process and it is seen to be essential to conduct appraisal in schools due to the fact that there are many positive aspects to the process which may increase the effectiveness of schools.

2.6 The weaknesses of performance appraisal

Although there is little doubt that there are many positive aspects to performance appraisal, a great many problems with the system have been identified which has ultimately lead to a reworking of the system in the form of performance management. McConnell (in Williams, 1995 : 71) is fairly negative about performance appraisal saying, "In mid-1994 appraisal cannot be said to have yet had a fundamental influence on the way schools work." Lawler et al (1984 : 28) maintain that:

> appraisal clearly failed to deal with pay, planning, and developmental issues as fully as the subordinates would have liked. In other words the performance appraisal system is falling short in meeting the employees needs.

Furthermore, these researchers found that only about half of employees report being satisfied with appraisal (Lawler et al, 1995 : 30). The literature seems to support these statements by highlighting the following as the problems which are associated with performance appraisal systems.

1) Rater or evaluator problems - Gerber (1994) points out several problems associated with the raters in performance appraisal. Firstly there is the problem of the Halo effect where the evaluator bases his appraisal on the overall impression of the person. The standards being used by different evaluators may well differ between evaluators, words may be interpreted in different ways. Thirdly, evaluators have been found to often avoid high and low assessments and therefore assess everyone in a narrow central band. The recency effect comes into play when evaluators forget about events which may have happened in the past and only remember the most recent behaviour. Personal bias is evident when evaluators allow their own likes and dislikes to influence their judgements. Spangenberg (1994 : 5) points out that "conventional wisdom tends to overestimate the ability to evaluate, and to underestimate the margin of error always inherent in observations of performance".

Natorp (1993) adds to this with his findings that there were problems with the accuracy of feedback which points to the problem of rater subjectivity and relativity.

2) Appraisal is viewed as being overly bureaucratic- This problem is documented by Spangenberg (1994), Mokgalane, Carrim, Gardiner and Chisholm (1997) and Lockett (1992). Spangenberg (1994 : 6) points out "most appraisal systems are cumbersome, with simplistic rating categories, useless numerical scales and bureaucracy and paperwork that make appraisal an ordeal."

3) Performance appraisal destroys teamwork - The very nature of appraisal means that individuals are compared with each other. This is seen as creating competition between employees to the detriment of the team. (Spangenberg, 1994 : 8) (McConnell, 1995: 79).

4)The focus in appraisal is on the short term - The problem here is that it is usually a once off annual event where not a great deal of follow-up and monitoring takes place and in this way it only really concentrates on a brief period around the time of the interview (Spangenberg,1994 : 10) (Lockett,1992 : 34)

5) Performance appraisal increases variability - Rankings and comparisons of employees on certain criteria will lead to clear distinctions between the high fliers and those who do not do so well. The gap between the two groups may well widen as they become accustomed to their relative positions in the organisation (Spangenberg,1994 : 11).

6) Appraisal can create negative emotions in employees - "Whenever a person receives feedback that falls short of expectations, or is punished for not meeting goals, the result can be demotivation, lowered self-esteem, and other negative consequences (Spangenberg,1994 : 11)". Mokgalane et al (1997) found that due to the lack of openess and consultation in the whole process, many teachers felt threatened by the process and controlled. Dean (1991 : 118) maintains that teachers see the idea of appraisal as a threat and they fear

humiliation. Clearly the fear of failure as well as the negative impact failure has on teachers compounds the feelings of incompetence which may well result in poor performance.

7) The problem of time - Horne and Pierce (1996 : 54) found in their research that time was a major concern for all teachers. Some resented time taken away from their own classroom, while others felt that the time constraints imposed on the effectiveness of the interviews. Time constraints were also seen to result in appraisal only looking at the short term, a problem which has been highlighted above. Furthermore, many teachers felt frustrated that although their concerns had been clearly identified and accepted as valid nothing had been done about them due to the constraints of time.

8) The focus is exclusively on the individual in appraisal - Horne and Pierce's research (1996) indicates that many teachers felt that there was too much of a focus on the individual to the exclusion of the focus on the school. It was seen as important that the whole school have some common targets and objectives to which all teachers aim and that this should be somehow incorporated in the system of appraisal. Appraisal, it was felt should not be an isolated event. It should be connected in some way to the development planning of the school as well as to the professional development of the staff.

A major criticism which is levelled at performance appraisal by those who support performance management is that it has become an end in its self without being

connected to the aims and objectives of the organisation (Spangenberg, 1994 and Armstrong, 1994). The supporters of performance management maintain that although a form of appraisal or evaluation is essential for managing performance, this aspect should merely be considered as a tool in the management of performance. Performance appraisal is just one aspect of managing performance. (Spangenberg ,1994 and Armstrong, 1994)

It seems that the single biggest problem with performance appraisal is that of rating. "Supervisors and managers just do not seem to be able or willing to evaluate employees performance accurately and reliably (Spangenberg,1994 : 12) As Scholtes (in Spangenberg,1994 : 13) points out:

> When we act as though our evaluations are accurate, when we reward, punish, promote, commend or retrain people based on our evaluations, we are making adjustments to a system about which we understand very little.

From the literature it is clear that there are problems with the whole process of performance appraisal but things are certainly not conclusive. Those who are proponents of the concept seem to report the more positive aspects while those who try to argue the case of performance management seem to be more critical. A difference of opinion in the two camps exist over the whole issue of being able to work in groups and collaboratively with others. It seems that although the process has many outcomes which should be sought, the many problems seem to detract from all the positive aspects. What needs to be sought is a way of doing appraisal which eradicates the

negative aspects.

2.7 Other factors associated with performance appraisal

When looking at how effective a particular system or policy is, it is important to identify the factors which may contribute to the success or failure of the policy after implementation has taken place. It is important to realise that each school will interpret performance appraisal in a particular way and will incorporate it into their school in a unique way. There are many factors and variables which need to be considered in this connection.

Firstly, as Fullan (1992 : V11) stipulates, "Educational change fails many more times than it succeeds. One of the main reasons is that implementation - or the process of achieving something new into practice - has been neglected." The process of implementation is fundamental to the success of performance appraisal, how it is introduced and how its aims are communicated is important. Many appraisal systems could be seen as negative due to the fact that the system was not effectively implemented. Connected to this is the support such a change receives from the leaders of the organisation. If the leaders are not supportive of it and do not provide the resources with which to implement the programme then it will be far harder to implement effectively (Mokgalane et al, 1997 : 9).

Another important factor which should be considered in this connection is how the appraisal system is used by the organisation. An organisation that uses appraisal as

a means of control may well find that employees feel threatened and insecure about the process and consequently this may lead to negative outcomes. As Chisholm, Gardiner, Magua and Vinjevold (1995 : 19) point out "for teachers, appraisals are an extremely sensitive issue, and any attempt to bulldoze them into something which will appear to be yet another means of extracting discipline and obedience will backfire."

McConnell (1995 : 7) points out that trust and relationships are vital in the whole process of performance appraisal. If there is no trust between the different contributors then the whole system will be fraught with difficulties as there may well be suspicion and feelings of negativity surrounding the whole process.

Landy, Barnes and Murphy (1978) reported on by Cascio (1991) found that subordinates were more likely to accept an appraisal system and believe their performance was accurately rated if:

- performance was appraised frequently
- supervisors were familiar with subordinates' work performance.
- subordinates were given the opportunity to express their own views openly in the interviews.
- new performance targets were set during the interview.

Furthermore, Lawler,et al., (1984) endorsed what was said by Landy, Barnes and Murphy by indicating that for performance appraisal to be effective then the following were important :

- the content of the appraisal forms has little impact on effectiveness.
- a climate of trust in the organisation is seen as vital for success.
- discussion of pay was seen as being important.
- self appraisal contributed positively to the process.
- work planning had a positive effect.

In Natorp's Research (1993), he found that his subjects rated frequent performance appraisal as an important determinant of performance appraisal effectiveness. A once a year appraisal in which aspects of performance were rated and discussed and then not mentioned for another year was not seen as being positive by the respondents in this study. They were wanting far more continuity with an ongoing process rather than once-off annual event.

An important aspect to recognise is the fact that performance appraisal can be viewed as a formal arrangement in the organisation. This will impact on and be impacted on by many other components of the organisation such as the culture, the individuals and the

environment. All these components are connected and interrelated and cannot be seen in isolation.

Thus, it is clear from the above that there are certain elements which are important for the success of a performance appraisal system. It is important to take these aspects into account when doing research into this whole area. The perceived weaknesses and faults of the system are in many cases due to these factors rather than due to the policy of appraisal itself.

2.8 Performance management : an alternative

The literature reviewed offers an alternative to performance appraisal which has been eluded to throughout this review. It is important that performance management and what it attempts to achieve should be briefly discussed.

> Performance management is traditionally viewed as an approach to managing people that entails planning employee performance, facilitating the achievement of work-related goals, and reviewing performance as a way of motivating employees to achieve their full potential in line with the organization's objectives (Spangenberg 1994 : xiii).

Spangenberg (1994 : 14) sees typical performance management systems consisting of four stages:

1) Performance planning - the setting of goals in terms of the business plan. An important aspect in this connection is enuring that all employees are fully aware of the goals or objectives of the organisation.

2) Managing performance - during this stage employees' performance is managed through activities such as coaching and providing assistance.

3) Reviewing performance formally and informally - this is done on an ongoing basis and not just once a year.

4) Rewarding performance.

The key difference between performance appraisal and performance management is that appraisal is seen as one facet of performance management (Armstrong, 1994). Performance management is a whole organisation strategy where the objectives of the organisation drive the process. The other difference which should be highlighted is that in appraisal, performance is rated according to certain criteria for example criteria which refer to what is considered best teaching practice. On the other hand, performance management uses appraisal to set and measure goals which aim at planning and improving the system using mission-related criteria (Spangenberg,1994 : 15). An important assumption made by performance management is that "an individuals' measurable performance cannot exceed their competence (Lockett,1992 : 19). Lockett (1992) continues by suggesting that we need to focus on two objectives in appraising people and these are:1) Ensuring that people are motivated to perform effectively to the

boundaries of their ability and 2) stretching those boundaries by an effective programme of personal development.

As he continues, "the essence of performance management is the development of individuals with competence and commitment, working towards the achievement of shared meaningful objectives within an organisation which supports and encourages that achievement (Lockett,1992 : 20). Thus, individuals will set themselves targets which will come from the objectives of the organisation. Their appraisal will reflect whether they have been able to realise their targets and to establish new targets which are in line with the objectives of the organisation. Part of this process may well be the acquisition of skills through training. In performance management, checklists are not generally used and there is an emphasis on monitoring and counselling of subordinates in the attainment of their agreed upon goals.

Thus, in conclusion, it can be said that the way in which appraisal is to be used will determine how effective it will be. In performance management there seems to be a greater emphasis on forward looking, developmental appraisal systems which look at individuals attaining organisational objectives within their own level of competence and with a continuos monitoring and counselling system assisting the employees. Performance management accepts the interconnectedness and complexity of all the different components of an organisation as it sees appraisal as merely one factor involved in the management of the whole organisation. With all these aspects present it is believed that organisations will become more effective.

CHAPTER 3

THE AIMS OF THE RESEARCH

Over the past twenty years, schools have been concerned with trying to be effective and be seen to make a worthwhile contribution to the development of children. "Schools must increasingly look to improve the service they give to their children and parents." (Bennett, 1993 : 3). They need to find effective ways of motivating and developing their staff who are the fundamental resource required for teaching and learning in schools. "Successful management is very much a process of activating potential and providing space and conditions in which it can be creatively expressed (Dean, 1991 : 27)". This has meant the introduction of certain management systems to assist schools in this endeavour of becoming more effective and accountable for what they profess to be doing. In trying to do this, education has turned to business for assistance and many of the strategies which have been implemented in business have been introduced into school management. These strategies include such things as staff development, performance appraisal and school management and leadership training.

As has been mentioned, England has and is implementing an appraisal system in its government schools in the hope that their education would become more effective (Horne and Pierce, 1996) . At this time in South Africa, proposals have been formulated and performance appraisal is currently being introduced in schools (Mokgalane et al, 1997) . The fundamental question being asked by this research is whether this is the correct course to embark upon due to the research done in business and the recent move in business towards performance management (Spangenberg,1994,

Armstrong,1994 and Lockett, 1992).

Business is generally recognised as a leader in the field of developing management strategies which help to enhance the effectiveness of organisations. A fundamental question which needs to be addressed is whether the concepts and principles which apply in business are transferable to the education sector. If these principles and concepts are transferable then this has implications for performance appraisal in education. As has already been mentioned business has found problems with appraisal which seem to be detracting from the positive outcomes of the process. Thus, an important question being posed by this research is whether educationalists perceive business strategies as being easily transferable to education.

Many Private schools in South Africa, which are to some degree independent from the government, have been able to implement performance appraisal in their schools. Each school has been able to introduce what is believed to be the most appropriate method for that particular school's circumstances without interference and dictates from the government. It is these schools that have implemented an appraisal system which seemed to be the key to eliciting information about the perceptions surrounding the appraisal process.

This research aims to explore the effectiveness of performance appraisal systems which are currently in use in Gauteng Independent schools. There are several questions which will be asked to establish whether appraisal is being effective in those schools where it has been implemented.

1) How pervasive is the performance appraisal system within the independent schools in Gauteng where schools are given some latitude in terms of establishing their own management systems without being regulated by government?

2) What type of appraisal system is being employed in the different schools?

3) What is the intended purpose of the appraisal system in schools?

4) What are the perceived strengths and weaknesses of the performance appraisal system?

5) What factors are viewed as being important for the implementation of an effective appraisal system?

6) How effective is appraisal perceived to be by both heads and teachers.

By establishing whether the systems being currently used are being effective in terms of what they hope to achieve, their strengths and weaknesses and their current way of operating, it is hoped that suggestions can be made in relation to the current implementation of performance appraisal in South African schools. Furthermore, with the research, the debate about what we should be doing in education in terms of managing performance for development can then be further argued.

CHAPTER 4

THE THEORETICAL FRAMEWORK

It is important to underpin our conceptualisations of performance appraisal with a theoretical framework. The theoretical framework can the be used to inform the research on how organisations are perceived and how the different components within organisations interact. During the course of this century, organisations (of which schools are a part) have been conceptualised differently and this impacts on the perceptions of performance appraisal.

Throughout the literature review this issue was eluded to in one form or another. The whole question of whether it was indeed the individual who was viewed as having the greatest influence on the productivity and performance of an organisation or the organisation itself through its particular culture, was broached. It is this issue of how the individuals and the groups within an organisation interact which is the focus of this section. If it is believed that one merely needs to sort out the way the individuals work and perform in an organisation, then appraisal takes on a particular form which concentrates on the individual without looking at the processes involved in the organisation itself. However, if one believes that all the different components which make up an organisation are involved in an interactive process which contributes to making the whole greater than the sum of its parts, then appraisal will be directed at many levels and will look at all the interactive processes of the organisation.

The scientific management model takes a mechanistic view of organisations where

employees are seen as means to an end. The workers work to create a particular product and the job of management is to ensure that there is increased output. The main emphasis is on what the worker can accomplish rather than with the worker being treated as a human being (Lowenberg and Conrad, 1998 : 447). The scientific management model stresses a downward flow of information and command. The managers are seen to be the people who know best and the workers carry out their instructions without interaction. According to this model the only motivating factor for employees is financial gain (Lowenberg and Conrad, 1998 : 448).

This is certainly a very simplistic conceptualisation of the complexities of an organisation. The view here is that the different parts or individuals add up to make what the organisation is but what is being recognised by many theorists is that organisations are made up of many different components with complex interactive processes. One of the complexities of organisations is what is known as the organisational culture and it is this to which we now turn.

4.1 Organisational culture

The organisation as an entity has its own culture and personality which in turn interacts with the individual to modify and control his/her behaviour and motivation. Organisational culture plays an important role in the individual and organisational interface.

Organisational culture is the characteristic spirit and belief of an organisation,

demonstrated, for example, in the norms and values that are generally held about how people should treat each other, the nature of working relationships that should be developed and attitudes to change (Torrington and Weightman, 1993 : 45)

Torrington and Weightman (1993 : 46) maintain that the culture in an organisation is real and powerful and that individuals who try to unwittingly work counter-culturally will find that they up against a metaphorical brick wall. This indicates that the culture of the organisation is bigger than the individuals in the organisation and that the individuals interact with the whole in a reciprocal fashion. Thus, just as an individual may mould the whole so to will the whole mould the individual. What is essential to note is that there is an interconnectedness between all the different facets, groups, teams and individuals in an organisation which develops the personality or culture of the organisation.

4.2. A congruence model of organisational behaviour

Open systems theory is born out of a direct endeavour to overcome the limitations inherent in classical management theory, as depicted above, and it attempts to understand the complex nature of organisations and their differing cultures. There are a number of key principles on which the systems approach is founded. The first principle deals with the concept of an open system. As such, organisations are viewed as living, dynamic systems existing in a continuous exchange with their environment whereby input is taken from the environment and subjected to various transformatior processes which result in output (Nadler, 1979). The second key principle is related to the idea that

organisations comprise of interrelated and interdependent sub-systems (Morgan, 1997). This means that change in one system will result in changes in other parts of the system. Linked to this, is the notion that organisations have the property of equilibrium whereby the system moves to a state of balance or congruence (Nadler and Tushman, 1981). The final principle on which this approach is based, is that organisations, as open systems, need to maintain favourable transactions of input and output with the environment in order to survive over time (Nadler, 1979).

In response to the criticism that systems theory is useful but too abstract a concept to be of any pragmatic worth, Nadler (1979) and Nadler and Tushman (1981) developed their Congruence Model of Organisational Behaviour which is graphically represented in Figure 1. This model, which is based on general systems theory identifies the major 'inputs' to the system of organisational behaviour as: 1) the environment which provides constraints, demands and opportunities; 2) the resources available to the organisation and 3) the history of the organisation. Strategy is seen as the fourth input and is comprised of, "a set of key decisions about the match of the organisation's resources to the opportunities, constraints and demands in the environment within the context of history" (Nadler, 1979 : 1).

The focus in this model is the transformation process involving the four major components, namely, task; individuals; formal organisational arrangements; and informal organisational arrangements (Nadler and Tushman, 1981). 'Task' refers to the work to be done and its critical characteristics; 'individuals' is concerned with the nature of the people available to do the work; 'formal arrangements' refers to the various

structures, processes and systems designed to motivate and facilitate individuals in the performance of tasks; and lastly, 'informal organisational arrangements' is concerned with aspects such as values, patterns of communication and power which are neither planned nor written but which tend to emerge over time and characterise how an organisation actually functions. The 'informal organisational arrangements' represent the culture of the organisation. The 'outputs' of the system are the effectiveness of the organisation's performance and include group performance as well as individual behaviour and affect.

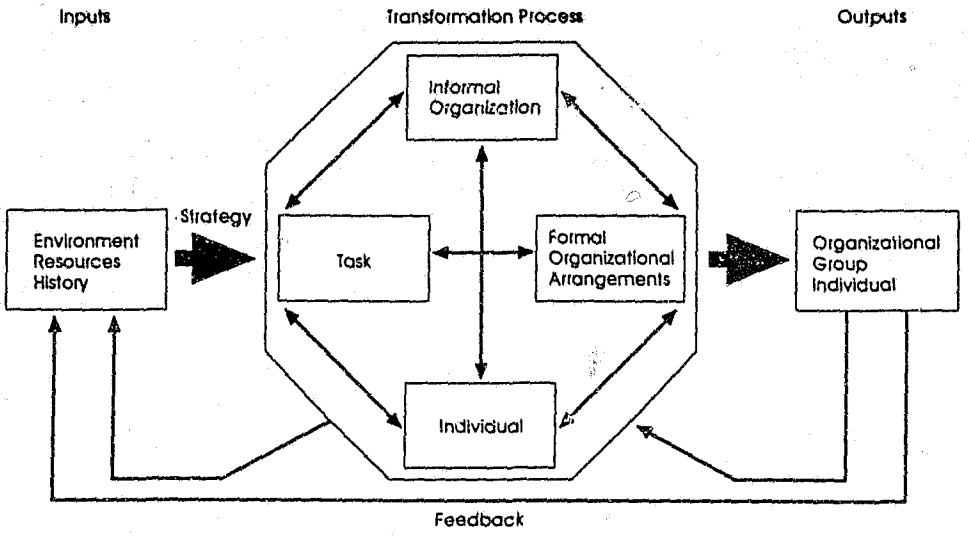


Figure 1

The relationship among the components is the basic dynamic of the model in that between each pair a relative degree of congruence or 'fit' can be identified. The key hypothesis of the model is that organisations will be most effective when their major components are congruent with each other. The model recognises that different patterns

of organisation and management will be most appropriate in different situations and that individuals, tasks, strategies and environments may differ greatly from one organisation to another (Nadler, 1979; Morgan, 1997).

The implication of using this model for the present study is that each school should be viewed as a complex system consisting of many different factors which all add to the effectiveness of the organisation. Thus, it is important to appraise all the different components which make up the whole and not just the individuals within the organisation.

Furthermore, performance appraisal can be viewed as part of the formal organisational arrangements and its effectiveness within a school will be determined not only by the forms and procedures which characterise the process but by the relationships and interaction of the many components in the system. Thus when looking at how effective appraisal is, it is important to look at all the different components within the school and the way that they interact. For example, how the appraisal system is implemented and whether the individuals within the school feel that they have ownership of the system is important for the success of the system. These factors have a great deal to do with other components such as the culture and history of the organisation. Systems are generally resistant to change and therefore the implementation of a new formal arrangement such as appraisal may well be blocked by the organisation even though conceptually it may be great to have. Thus, the effectiveness of appraisal in an organisation should be viewed as being dependant on many different facets and should not be seen in isolation.

CHAPTER 5

METHODOLOGY

5.1 The research method used

The focus of the current research was to explore the perceptions and attitudes of teachers and head-teachers around the whole area of performance appraisal. Kerlinger (1986 : 387) believes that survey research has both practical and theoretical value in the field of education and points out that "survey research is probably best adapted to obtaining personal and social facts, beliefs and attitudes." Thus it was decided that sample survey research was the most appropriate method to use for this type of research. Two similar questionnaires were devised, one for head-teachers and the other for teachers (Appendices A and B) . The questionnaires were drawn up so as to elicit information about people's perceptions of performance appraisal. The information gleaned from the questionnaire used included opinions, beliefs and attitudes.

There are several advantages for doing this type of research. "Survey research has the advantage of wide scope: a great deal of information can be obtained from a large population (Kerlinger, 1986 : 387)". A greater number of respondents can be obtained and questioned about their attitudes to various topics. Interviewing takes much longer and therefore, the study would probably reach fewer respondents. Another advantage of survey research is that the information gathered can be viewed as being fairly accurate (Kerlinger, 1986 : 387). Kerlinger (1986 : 386) also maintains that "survey research seems ideally suited to some of the large controversial issues in the

educational context." Performance appraisal in schools can be seen to be fairly controversial and it is likely to become a focus in the years to come. It thus seems appropriate to have done a survey for this study.

Survey research has various disadvantages associated with it. Firstly, a mail questionnaire which was used in this study has the disadvantage of a lack of response. Kerlinger (1986) suggests that a response rate of 25% on this type of design is acceptable and so the 35% response rate (33 out of 95 for head-teachers and 32 out of 94 for teachers) achieved in the present study is more than adequate.

A further limitation of the current study relates to the voluntary nature of the subjects' participation in the study. Problems related to the use of volunteer samples are documented by Kerlinger (1986). For instance he states that self-selection of subjects allows for the potential influence of extraneous variables to occur on the research variables. Accordingly, there are specific reasons why some respondents will agree to participate, while others decline and it is these reasons that may have an impact on the research variables under investigation. With the head-teachers' questionnaire, it may well be the case that the respondents were those who were interested in performance appraisal and were thus more positively orientated towards the whole issue.

Another weakness of survey research is that the information does not penetrate very deep below the surface (Kerlinger, 1986 : 387). In order to counteract this, it is important to follow a survey up with an interview in order to check out certain responses made and other issues which arise from the survey. In the case of this study, it was felt that the

questions asked were answered sufficiently by the respondents, for the purposes of the study, to not warrant further investigation through a follow-up interview.

A further disadvantage of survey research is that it requires a good deal of research knowledge and sophistication." The competent survey investigator must know sampling, question and schedule construction, interviewing, the analysis of data and other technical aspects of the survey (Kerlinger, 1986 : 387)." A researcher who uses this method therefore needs to be experienced and a great deal of planning and preparation needs to go into the development of the questionnaire to be used.

5.2 Data collection in the present study

There were several steps which were carried out in the collection of the data for the research. There were two different groups who were surveyed, namely, head-teachers and teachers. The following is the process which was undertaken to obtain the data:

5.2.1. Choice of participating schools

The three Preparatory Schools which were chosen for this study were chosen so as to ensure a cross section of schools was included in the study. Thus, an all girls preparatory school, an all boys preparatory school and a co-ed preparatory school were randomly chosen for the study.

5.2.2 Head-teachers' questionnaire

The head-teachers of all the independent schools under the ISC umbrella (95 schools) were sent a mail questionnaire (Appendix A). This questionnaire included various types of items, namely:

a) Fixed-Alternative Items: This type of item offers the respondent the choice of two or more alternatives. (As in Section A question 1)

b) Open-End Items : An open-end question is one in which no restrictions are placed on the respondent's response although the question itself will direct the respondent to elicit a response about a particular topic or area of concern. (As in Section A questions 2, 3, 5, 7, 8, 9 and 10 as well as Section B questions 1, 2, 3 and 4)

c) Scale Items : A scale item is one in which the respondent responds by indicating to what degree he or she agrees or disagrees or some other mode of response which involves a scaled response. (As in Section A question 6)

Information was gathered around the following topics:

a) Factual or biographical information

b) How performance appraisal is characterised by respondents (Fixed-alternative items)

c) The aims of performance appraisal (Open-end items)

d) The transferability of systems developed in business to education (Open-end item)

e) Ownership of appraisal in schools (Open-end item)

f) Effectiveness of appraisal in schools (Scale items)

g) Strengths and weaknesses of appraisal (Open-end items)

h) Vital factors for the successful implementation of appraisal (Open-end item)

i) Suggestions for the future (Open-end items)

Once the questionnaire had been devised it was then sent by mail to the 95 Independent Schools in Gauteng. The questionnaires were sent with a self addressed envelope and a stamp for convenient return.

5.2.3. The teachers' questionnaire

A similar questionnaire to the one devised for the head-teachers was drawn up for the teachers (Appendix B). Questions 1-9 as in Section A of the head-teacher's questionnaire were repeated for the teachers. Section B was omitted entirely due to the

fact that all the teachers surveyed were operating in a school in which appraisal formed a part of their functioning.

Three Preparatory Schools which operate a formalised appraisal system were then chosen. The head-teachers of these schools were then approached and asked whether the research could be conducted in their schools. They all agreed to this. The questionnaire was then delivered to the three schools for completion. The head-teachers of the three schools were asked to encourage the teachers to respond. However, the questionnaire was sent to the schools right at the end of a term and this proved to be problematic in that the end of term at any school is a very busy time for teachers. This meant that the response rate could have been higher than the 35% which was achieved.

For purposes of confidentiality the questionnaires were placed in sealed envelopes and returned to the school secretary from whom they were then collected for analysis.

5.2.4 Analysis of the data

Once all the questionnaires had been returned, the data was then analysed. It was found that the information received from the questionnaires was adequate for this study and it was thus decided not to continue with random interviews with teachers for the purpose of clarifying issues.

The responses in the open-ended questions were categorised into different categories.

The Scale Items (Question 6) were then scored and item averages and t-ratio scores were computed.

5.2.5. Follow-up interviews with the head-teachers

The head-teachers from the three schools were interviewed so as to establish what process and methods they were using in their performance appraisal systems at their schools. During this interview the general results of the study were communicated to them.

CHAPTER 6

RESULTS AND DISCUSSION

This section begins with the biographical data obtained from both the head-teachers and the teachers and then each aspect which was dealt with in the questionnaires is reported on and discussed.

6.1 Biographical Data of head-teachers

The head-teacher's questionnaire was sent to 95 heads who are registered with the Independent Schools Council in Guateng. Replies were received from 33 of these 95 which is a 35% response rate.

The ages of the head-teachers who responded varied between 35 and 65 with an average age of 47.

Highest Qualifications of respondents:

Table 1

Masters Degree	Honours Degree	Degree	Diploma
7	14	9	3

21 of the 33 head-teachers (66%) have a qualification greater than a degree.

The number of full time teachers in the schools:

Males: 194 = 20%

Females: 777 = 80%

The number of pupils in the schools

Total = 13 417 Ave per school = 406

Teacher pupil ratio 1 : 13.82

Type of school

Table 2

Boys only school	8	Girls only school	8	Co-ed	17

Primary school	18	Secondary school	15

This table clearly shows that respondents were evenly distributed between all the different types of school.

6.2 Biographical data of the teachers

Age of Teachers and the number of respondents from each school

Average Ages : School A = 39.38 Number of respondents : School A 13

School B = 42 School B 8

School C = 36.42 School C 11

Average = 38.86 Total = 32

The average age of the teachers is some 9 years lower than that of the head-teachers

Gender

There were two males from School B, the rest of the respondents (30) were females.

Highest Qualifications of respondents:

Table 3

Masters Degree	Honours Degree	Degree	Diploma
0	4	7	22

This table shows that there are only 4 out of 33 teachers (12%) who have qualifications greater than degrees. This is in sharp contrast to the head-teachers.

Positions of the respondents

There was one Head of Department at School A, a Senior Prep Master from School B and two Deputies from School C. The rest of the respondents were class or subject teachers.

Years of experience of the teachers

Averages: School A = 13.6

School B = 12.25

School C = 13.15

The average number of years experience as a teacher was thus 13 years.

6.3 The process of appraisal in the three chosen schools

The head-teachers from the three participating schools were interviewed and asked how they conducted their particular appraisal.

6.3.1 School A

1) The head-teacher meets with the staff members at the beginning of the year on an informal basis and discusses aspirations for the year ahead.

2) The staff were then asked to fill in a self appraisal form.

3) The head-teacher fills in the same form for each member of staff.

4) An interview is then held (once a year) where the appraisal is discussed for about an hour.

6.3.2 School B

1) Appraisal forms are issued a month before the interview.

2) The head of department visits classes on an ongoing basis.

3) Forms are completed by individuals and heads of department.

4) An interview is scheduled and held at which the ratings are discussed.

5) The executive of the school then have input into the forms which were compiled for each individual.

6) The head-teacher will then moderate the assessment if necessary.

7) Then a summary of the of the appraisal goes back to appraisee for their information.

6.3.3 School C

1) A self evaluation form is sent to each individual for completion.

2) At the same time the deputies complete forms which assess each appraisee.

3) Forms then go to the head-teacher for moderation.

4) Interviews are set up and conducted with the head-teacher.

5) Letters are then written to each staff member outlining the interview and what was discussed.

6) Staff appraise deputies and deputies appraise the head-teacher

As is clear from the above, the process is more or less the same for the three schools. Generally, individuals fill in forms which are also filled in by the superiors. An interview is held and feedback is given to the teachers thereafter. The process is only done once a year in all cases. Clearly the focus is on the individual and the improvement of the organisation is seen as being largely dependent on the individual. There is no appraisal evident of teams or groups or the organisation as a whole which would be indicated with a systems congruence model as put forward by Nadler and Tushman (1979).

6.4 Number of schools which operate a performance appraisal system

Questionnaires were sent to 95 head-teachers of Independent schools in Gauteng. Of the 95, 33 of the heads sent back replies which constitutes a 35% response rate. Of the 33 replies received 22 head-teachers reported having a formal appraisal system operational at their school. This figure translates to 67% of the Independent schools in Gauteng seem to operate a formal performance appraisal system. It should be pointed out that this figure of 67% may be misleading in that it could be argued that the schools which have appraisal were more interested in it and therefore would be more likely to involve themselves in this type of research. Furthermore, it is interesting to note that most of the head-teachers (9 out of 11) who did not use an appraisal system, felt that they should and were keen to start one in their schools. There is thus, widespread support for performance appraisal in Gauteng Independent schools.

6.5 How performance appraisal is characterised

The first thing which was looked at in terms of respondents perceptions, was what they felt were the activities which best characterised the performance appraisal system. The results were as follows:

Table 4

	Heads		Teachers	
c) the provision of feedback on performance which intends to motivate employees to improve their performance and productivity	32	97%	26	81%
f) the use of information gathered for making decisions about salary adjustments and promotions	19	58%	13	41%
e) the assessment of individual and group training needs	19	58%	19	59%
b) assessing and recording staff performance using a checklist of laid down criteria and standards	17	52%	19	59%
a) a formal, structured interview usually held annually	15	45%	14	44%
g) rating and ranking employees according to how well they perform	10	30%	10	31%
d) individuals making subjective judgements on how successful an employee is in the execution of a task	5	15%	4	13%

The process is perceived by both head-teachers (97%) and teachers (81%) to be characterised by the provision of feedback which intends to motivate employees to improve their performance and productivity. It is clear from these results that it is the individual who is being expected to improve the effectiveness of the school in that a great deal is concentrated on ensuring that the individuals performance and productivity is improved upon.

There were two statements which were not seen to be characteristic of the process these being:

- The rating and ranking of employees according to how well they perform. (31%)
- Individuals making subjective judgements on how successful an employee is in the execution of a task. (14%)

Respondents thus felt that these two aspects did not seem to generally form part of the process. However, it is significant to note that there were those who felt that the subjective evaluation of employees did in fact form part of the characterisation of the process which seems to indicate that for them this aspect was a problem.

All the other statements were moderately supported i.e. 50%. Thus, about half of the respondents in each group felt that the information gathered was being used for setting salaries, training needs were being assessed by the process, a checklist was used for recording staff performance and a formal interview was held usually once a year.

The following items were mentioned by the respondents in addition to their responses to the table:

- Interviews which are conducted more often than once a year e.g. twice, four times or monthly. There should also be follow-up. (3)
- Self appraisal and peer appraisal. (2)
- An opportunity to provide feedback - both positive and negative, strengths and weaknesses. (2)
- Two way discussion.
- Discussion on : task allocation and expectations
  Time allocation and management
  Performance criteria
  Measurement
  Future goals and ambitions
  Optimization of personal utilization
- Time to express your ideas for changes which could improve the organisation.
- Parental evaluation done by means of a questionnaire.
- Pupil evaluation of teachers.
- Teachers' evaluation of the school leadership.
- It provides an opportunity for teachers to comment on achievements and receive recognition for their efforts.

It is interesting to note that the respondents are eluding to the importance of evaluating all the different parts of the system and having many people involved in the assessment

process. These respondents seem to be concerned about the narrowness of the system at present and are suggesting that the school community is a complex one and as such needs to incorporate evaluations done by many on many.

6.6 The aims of performance appraisal

An important question which was posed by this research was to do with the purposes of performance appraisal. The perceptions of both the teachers and the head-teachers were tested in the survey. The responses were then classified into three groups, namely, focus on the development of the individual, focus on the development of the whole school and a focus on the needs of the client.

Table 5 (Total of all responses)

	Heads		Teachers	
Development of the individual	48	76%	44	92%
Development of the whole school	12	19%	4	8%
Client focus	3	5%	0	0%

It was clear from the results that both groups believed that the main aim of appraisal was to enhance the performance of the individual within the organisation rather than the development of the whole organisation. 76% of the head-teachers responses which were made in connection with the aims of appraisal were directed at the individual rather than the organisation (19%). The teachers responses reflected a 92% response rate for the individual and 8% for the whole organisation. This clearly shows that the

teachers and head-teachers surveyed believe that appraisal is aimed primarily at the individual in an organisation. This finding seems to support Spangenberg's(1994 : 2) point which is that the way appraisal has been developed and run in the past seems to assume that it is primarily the individual who is responsible for the performance of the whole organisation and not the systems involved in the organisation. For example the organisational culture has a great influence on how individuals within the organisation function and this is often overlooked by appraisal. Furthermore, there are not only internal factors at play in the various systems such as organisational politics but there are also the external systems which may well have a bearing on the individuals performance such as his/her family and the state of the country. Nadler and Tushman (1979) would argue that the individual is merely one component of the whole and that there are factors such as the task, the informal organisation i.e. culture, formal organisational arrangements, the history, the available resources and the environment which all play a part and should be appraised in order to produce a more effective organisation. Furthermore, these different factors cannot be assessed in isolation due to the fact that a major component of the whole is the way all the parts interact and so this interactive process also needs to be assessed.

The supporters of performance management (Spangenberg, 1994, Armstrong, 1994, and Lockett, 1992) believe that the emphasis on the individual, as shown in this study, is a large problem with performance appraisal. They believe that there should be a whole organisation focus and that the objectives of the organisation are important to highlight in the process. Furthermore, they believe that teams and groups within the organisation have a part to play in the productivity and performance of the whole

organisation. Furthermore, the interactive process itself is of vital importance in the effectiveness of the organisation.

The aims of appraisal have been classified under three main headings: namely the development of the individual teacher, the development of the whole school and client focus.

6.6.1.Development of the individual teacher

The aims in this section have been further categorised into Kearney's (1977 : 58-59) six categories. These categories include:

Judgemental Purposes

* *Reward purposes* : Performance appraisal assists in the setting of individual pay increases, promotions, demotions etc. It also recognises and affirms the employee.

* *Feedback purposes*: Performance appraisal provides employees with information regarding actual work performance. The feedback may well be obtained by means of an evaluation or an assessment of the work done.

* *Planning purposes:* Provides input into how employees can be best utilised. Sets goals for individuals to attain.

Developmental Purposes

* *Personal development purposes*: Performance appraisal highlights areas for improvement and personal growth. Develops the individual professionally. Provides counselling and guidance for growth.

* *Motivational purposes*: Performance appraisal normally encourages initiative, develops a sense of responsibility and stimulates effort to perform.

* *Communication purposes*: It serves as a forum for discussion of job related issues.

Table 6 (Judgemental purposes)

	Heads		Teachers	
Reward purposes	8	24%	7	22%
Feedback purposes	5	15%	12	38%
Planning purposes	8	24%	3	9%
Total - Judgemental purposes	21	44%	22	50%

The significant aspect in this table is the 38% of the teachers who felt that the aim of appraisal should be for feedback purposes. The teachers did not seem to be convinced that planning was an essential aim of appraisal (9%).

The finding that teachers feel that feedback is important agrees with Natorp's study (1993) in the sense that he found that the provision of developmental information and

support to be seen as most important by his subjects. It can be argued that feedback can be viewed as the provision of developmental information and support. Although the teachers mentioned feedback as important, it is interesting that the head-teachers did not mention this aspect much (15%). For them it would seem that development is more important than evaluation.

Natorp's study(1993) also highlighted mutual goal setting as being viewed as an important aim of appraisal. This was not supported in the present study in that only 21% of the head-teachers and 9% of the teachers surveyed believed that this was important. This may well be the case due to the different sectors being surveyed, in the case of Natorp's study it was members of an auditing firm whereas in the present study it was educationalists who seem to be more concerned about human development rather than the setting of objective targets. The aims or goals of education are far more difficult to establish in concrete terms as they are often fairly abstract.

Table 7 (Developmental purposes)

Personal development purposes	17	52%	8	25%
Motivational purposes	8	24%	13	41%
Communicational purposes	2	6%	1	3%
Total - development purposes	27	56%	22	50%

What is interesting in this table is the 52% of the head-teachers who feel that personal development of the teacher is an important aim of the process while only 25% of the teachers shared these sentiments. It could be argued that the reason for this may be

that the teachers feel that the process does not specifically develop them personally and that it is therefore, not perceived by them as one of the aims of appraisal.

The teachers (41%) seemed to feel that the motivation of people at the work place was an important aim of appraisal. The study also found that both teachers (3%) and head-teachers (6%) did not mention the purpose of communication. This would seem to indicate that the process of interaction is seen as secondary to the functioning of the whole. The systems theoretical framework and Nadler and Tushman's (1979) model in particular emphasises the importance of the interactive processes in an organisation. It is thus argued that it is vital to view the interactive processes in any organisation as being very important and therefore be stressed as an aim in order to ensure congurence between all the different components.

6.6.2.Development of the whole organisation

The Heads mentioned the following in this regard:

- Standard setting for the organisation (2)
- Quality control
- Identify areas where change can be innovated for school improvement (2)
- Improving teaching and learning in the school (2)
- Evaluating school performance
- Reinforcement of mission and vision
- Setting up a school development plan

- Improve team functioning
- Review the year

The teachers mentioned the following:

- To build team spirit
- The sharing of ideas
- For the school to be aware of what the school is doing
- Productivity

These responses indicate a perception by some respondents that the whole organisation should be viewed as being important in terms of the aims of appraisal.

6.6.3.Client focus

Only three of the head- teacher's mentioned the importance of adhering to the needs of the clients of the school.

- Ensuring that parents are getting value for money (3)

6.7 Reasons for the use of performance appraisal in respective schools

Table 8

	Heads		Teachers	
Reward purposes - salary increases	10	48%	15	47%
Feedback purposes - to assess performance	4	19%	3	9%
Planning purposes	1	5%	2	6%
The improvement and growth of the individual	14	67%	6	19%
Motivate employees	6	29%	4	13%
Communication	2	10%	2	6%

When respondents were asked why they thought their particular institution was involved in performance appraisal the results obtained differed from what they believe the aims should be. Both head-teachers (48%) and teachers (47%) now reported that it was being used to look at how to reward the teachers in terms of salary increases. The head-teachers still maintained a high response for personal development (67%) whereas for the teachers there was no other purpose which was perceived to be important. Thus the teachers surveyed seem to believe that the actual objective of performance appraisal was to establish salary increases. This thus implies that there is a difference between what respondents felt the aims should be to what they felt the aims actually are currently in their school.

The implications of these findings for appraisal in schools is that it is important that

schools should identify the aims of performance appraisal and once this has been done, then these aims should be communicated clearly to all the relevant parties. It is also important, as the supporters of performance management maintain, that there should be aims which are directed not only at the individual but at the whole organisation as well as teams within the organisation. If we look at the systems congruence model of organisational behaviour as developed by Nadler and Tushman (1979), then it would be important to be aware of all the factors which contribute to the effectiveness of an organisation. The department of Education and Science in a circular on appraisal (Paragraph 11, of circular 12/91, 1991, have summed this up well by saying:

> Appraisal should be set in the context of the objectives of the school, which will generally be expressed in a school development plan. Appraisal should support development planning and vice versa. The school's objectives in a particular year should be linked with appraisal, so that, for example, professional development targets arising from appraisal may be related to agreed targets and tasks in the development plan. Similarly appraisal targets, when taken together, should provide an important agenda for action for the school as a whole. Targets set during appraisal should therefore meet the needs of the school as well as those of individual appraisees. Setting appraisal within the framework of school development should also ensure that targets are realistic and make the best use of available resources.

A deep understanding of the organisation and how it works is needed in order to set up the aims and objectives of the organisation as well as the objectives of the particular

appraisal system which would be specifically developed for the organisation.

Other reasons for the use of appraisal in respondents schools which were given include:

- Productivity
- Maintaining standards in the school
- Teachers in private schools need to be challenged and threatened
- The board instructed that it should be done
- Marketing the school
- Improve the quality of teaching
- For the improvement of the resources

6.8 The transferability of systems developed in business to education.

Respondents were asked whether they felt that systems which had been developed in business were transferable to schools. One of the potential problems associated with performance appraisal could be the perceived transferability of this system which is essentially one developed in business. If educationalists believe that performance appraisal is a business system and should remain in the business world, this could potentially impact negatively on how performance appraisal is accepted and implemented by teachers. It should be noted that there were 33 head-teachers who responded and 32 teachers. The results obtained were as follows:

Table 9

	Heads		Teachers	
Essentially yes	9	26%	10	31%
Partially	15	45%	4	13%
No	8	26%	13	41%
No answer or do not know	0	0%	5	16%

Only 26% of the head-teachers and 31% of the teachers felt that there was transferability. Furthermore, the head-teachers who felt that there was transferability(5 out of 9 respondents) pointed out that the educational context is different and should therefore be treated differently. This finding is fairly surprising due to the fact that it was found that 67% of the schools tested were using performance appraisal which has originated from business and to add to this nearly all those schools who do not have a system in place were keen to develop one.

There were many respondents (45% of the head-teachers and 13% of the teachers) who believed that systems are transferable to a limited extent. Their main contention being that education is essentially different to business but that if these differences were taken into account and the system changed to suit education then it could be used. What worried most respondents in this category was that business was profit orientated in its approach whereas education was dealing more with the empowerment of people through learning and relationships.

Interestingly, 41% of the teachers surveyed believed that there could be no transferability while only 26% of the head-teachers fell into the same category. On the

other hand 13% of the teachers believed that there was partial transferability as compared to 45% of the head-teachers. This seems to suggest that head-teachers are more open to business systems being transferred to education in order to assist in the leadership and management of schools.

6.8.1 Head-teachers reasons for "essentially yes" responses

Generally respondents felt that the principles used in business are similar to those used in education. However, most of the heads who felt that there is transferability felt that the educational context was different and should be treated differently (5). It was pointed out that teaching is more about growing people and relationships and that it was difficult to measure teacher performance. Other comments which were made included:

- Schools should be treated as businesses as there are similarities (4)
- More private schools should be run along business lines in order to survive

6.8.2 Teachers reasons for "essentially yes" responses

In contrast to the heads, there was only one teacher in this category who believed that the educational context in teaching was different to business. Three respondents felt that a school is a business and should therefore be run as a business. The others tried to show how education is like business by giving examples like:

- Teaching is a profession
- Parents are paying customers
- A clear career path is needed as in business

6.8.3 Reasons for "partially yes" responses

All the respondents in this category felt that teaching and education were different from business, but that systems could be used as long as the differences were accepted and catered for in some way or another. The differences identified included:

- Business has profit orientated goals whereas education deals more with empowerment of people through learning and relationships. As such measurement becomes problematic. (Head-teachers 8, teachers 1)
- Schools are multifaceted and complex institutions (Head)
- Transferability is better in big schools rather than in small schools (Head)
- It depends on the school and its ethos (Teacher)
- Some things are transferable as schools run as businesses (Teachers 2)

6.8.4 Reasons for "no" responses

Those who responded in this category felt that education is different to business in that business is profit orientated and thus far more quantifiable and can be more objectively assessed. Education on the other hand deals with children and not a product or thing. It is therefore, difficult to rate or measure teachers' performance due to these

differences.

The main point which can be deduced from these results is that both head-teachers and teachers are fairly sceptical about how transferable systems which have been developed in business really are as they believe the educational context is different to the business context. The differences which the respondents felt made education unlike business and therefore the main reasons for the lack of transferability included the following:

- In education there is a Christian ethos
- Teachers perform for an audience
- Education is a process
- Education deals with peoples lives
- Schools are multifaceted
- In schools the product is far more intangible
- Education is service orientated
- Schools are places of values
- Teaching is more about relationships and communication and growing people
- Pastoral care, interpersonal relationships and ethos are important
- Teaching is a human activity
- Teaching is a vocation and success cannot be measured by material gain. Fruits of teaching may only be evident much

In support of what the teachers say, Dror (1973, p. 26) points out that in primary education the outputs which are of importance involve things such as knowledge, skills, mental abilities, values and character. He points out that these outputs are very difficult to assess as they occur at different times and

> many of these outputs are intangible and cannot be quantitatively measured; some of them even defy qualitative formulation. Furthermore even if a certain result could be measured, and the specific contribution of the schools, as such, could be identified as their output, the net output still could not be computed, because the input and output could not, in most cases, be stated in commensurable terms.

Thus Dror indicates that evaluation in education is a complex process and one which should be carried out carefully.

However, it should be pointed out that schools are organisations and while their end goals may differ from those of commercial organisations, they have many similar facets. The implications this has for trying to implement a system like performance appraisal within schools is that:

1) The perceptions of education being very different to business would have to be dealt with when implementing performance appraisal which originates from business.

2) The imported system would have to be reviewed carefully in order to ensure that it assimilates well into the educational context.

It would seem that both teachers and head-teachers are not entirely convinced that there is transferability. Only 19 out of the 65 respondents (29%) indicated that there was no problem with transferability. This suggests that teachers and head-teachers generally believe that teaching and education is different to business

6.9 Ownership of the process by the teachers

For any process such as performance appraisal to be effective in organisations it is vital for those concerned to be involved in the development of the process and thus to take ownership of it instead of having it 'handed down from above'. This ownership aspect is even more important when dealing with appraisal. It is a system which is seen to have been developed by business and many educationalists believe that transferability of this type of system is questionable due to the perceived differences between education and business. Thus, for the success of the implementation of such a system into education it is vital that all participants are involved in its development and implementation.

Ownership has a great deal to do with the culture of the organisation and the interaction and interconnectedness of the different components involved in an organisation. If ownership does not take place then congruence between the components will not be achieved.

This research has found that 26 of the 32 teachers surveyed believe that they were not consulted in the process (81%). Of the 6 who felt they had been consulted, three of them hold senior positions in the organisations they are working in. It is interesting to note that the leaders in each of these organisations tested felt that they had consulted widely, but clearly the perception amongst the teachers is that they were not really involved in the process of consultation. This is a crucial element in the implementation of any type of new strategy or system and should not be overlooked.

As Philpott and Sheppard (1992 : 101) point out: The role of the employee in the process should be crystal clear because it is important that employees 'own' and are comfortable with the process."

6.10 Performance appraisal effectiveness scores

In the questionnaire which was sent to all the respondents was a section which required respondents to rate how they felt their school was doing as far as the process is concerned. There were 21 items which were created from the literature on the strengths and weaknesses of appraisal. The results of this section of the research are interesting.

The frequencies of each scale and item can be found in Appendix E. Each item was then scored using the following scoring:

Mostly = 4

Often = 3

Sometimes = 2

Seldom = 1

An item average was arrived at by summing all the scores and dividing by the number of respondents in each category. The item averages can be interpreted as follows:

Scores between 4 and 3.50 reflect a general response of **mostly**.

Scores between 3.49 and 2.50 reflect a general response of **often**.

Scores between 2.49 and 1.50 reflect a general response of **sometimes.**

Scores between 1.49 and 1.00 reflect a general response of **seldom.**

A total item average was also computed which took all the respondents, both head-teachers and teachers, into account.

In order to find whether there were any significant differences in the responses of the head-teachers in comparison to the teachers on the different items, the t-ratio for each item was computed. T-ratio scores are computed in order to ascertain whether the means of the two groups, the head-teachers and the teachers, differ significantly on each item. Firstly., the standard error of the differences between the means is calculated. Then the difference of the means is divided by the standard error of the difference between the means. If the result is greater than 1 it can then be deduced that there is a significant difference between the two groups.

The following formulas were used to compute the t-ratio:

Note: *n* stands for the number of respondents

x are the scores

M_1 and M_2 are the two means for the two different groups

The standard Error of the mean is computed by: $$SE_M = \frac{\sqrt{\sum x^2}}{\sqrt{(n-1)(n)}}$$

$$SE_{M1-M2} = \sqrt{(SE_{M1})^2 + (SE_{M2})^2}$$

Now the t-ratio is computed $$t = \frac{M_1 - M_2}{SE_{M1-M2}}$$

Each item was also given a ranking from 1 to 21 depending on how strongly the two groups supported that particular item. For example, the highest item average for the head-teachers was 3.36, this item would therefore be ranked number 1. The ranking is placed in brackets under the item average.

These were the recorded results on each item.

Table 10

	Heads Item Average	Teachers Item Average	Total Item Average	t-Ratio scores
e) helped teachers to reflect on their own practice	3.36 (1)	3.00 (1)	3.15	0.39
a) helped teachers to be more motivated about teaching	3.32 (2)	2.50 (3)	2.83	0.92
b) improved teachers' overall performance	3.32 (2)	2.28 (5)	2.70	▸1.21
c) helped to identify training needs	3.23 (4)	2.09 (8)	2.55	▸1.36
h) tended to build relationships of trust	3.09 (5)	1.88 (12)	2.37	▸1.53
g) helped in the improvement of classroom practice and methodology	2.95 (6)	1.93 (11)	2.35	▸1.72
r)lead to a broadening of teaching styles	2.73 (7)	1.75 (15)	2.15	▸1.39
k) enhanced teachers career prospects	2.73 (7)	1.75 (15)	2.15	▸1.89
j) improved teachers organisation and time management	2.73 (7)	1.72 (17)	2.13	▸2.06

	Heads Item Average	Teachers Item Average	Total Item Average	t-Ratio scores
m) led to changes in classroom practice	2.64 (10)	1.71 (18)	2.09	▸1.36
t) been used to determine performance related pay increases	2.41 (11)	2.90 (2)	2.70	0.60
d) resulted in training being embarked upon by teachers	2.36 (12)	1.97 (10)	2.13	0.58
o) been used in the drawing-up of the school development plan	2.36 (12)	1.77 (14)	2.01	0.89
q) tended to be a once-off annual event without continuity	1.91 (14)	2.39 (4)	2.19	0.68
p) had problems with raters objectivity and consistency of ratings	1.91 (14)	2.22 (6)	2.09	0.48
i) has been a threatening and negative process for the teachers	1.68 (16)	1.50 (19)	1.57	0.36
l) taken up too much time	1.59 (17)	1.39 (20)	1.47	0.41
n) led to individualism and competition between teachers	1.55 (18)	2.10 (7)	1.88	0.95

	Heads Item Average	Teachers Item Average	Total Item Average	t-Ratio scores
f) not met employees needs	1.55 (19)	1.78 (13)	1.69	0.44
u) been overly bureaucratic and cumbersome	1.45 (20)	2.00 (9)	1.78	▸1.01
s) tended to lead to lowered self esteem and demotivation amongst staff	1.27 (21)	1.22 (21)	1.24	0.13

The most interesting part of the results which were obtained in this study was the large discrepancy found between the responses of the head-teachers and the teachers. Of the 21 items tested there were significant differences (t-ratios of greater than 1) between the item averages of 9 of the items. The following items were recorded as having significant difference between the responses of the two groups, the head-teachers responses were high and those of the teachers were low:

j) Improved teachers' organisation and time management (t-ratio = 2.06)

k) Enhanced teachers career prospects (t-ratio = 1.89)

g) Helped in the improvement of classroom practice and methodology (t-ratio = 1.72)

h) Tended to build relationships of trust (t-ratio = 1.53)

r) lead to a broadening of teaching styles (t-ratio = 1.39)

m) Led to changes in classroom practice (t-ratio = 1.36)

c) Helped to identify training needs (t-ratio = 1.36)

b) Improved teachers overall performance (t-ratio = 1.21)

There were two items which can be commented on where the head-teachers rated the items lower than the teachers. These were:

u) Been overly bureaucratic and cumbersome (t-ratio = 1.01)

n) Led to individualism and competition between teachers (t-ratio = 0.95)

Having established that the two groups perceive the process differently, it is important to establish whether there were any items which were perceived in more or less the same way by both teachers and head-teachers. In the questionnaire given to the head-teachers and the teachers, there were both positive and negative items. To begin with the positive items will be discussed and then the negative items will be dealt with separately.

Firstly, the item which was supported the most by both the head-teachers and the teachers and which stood out above the rest was the reflection on own practice. The combined item average was 3.15 which is well into the "Often" category. Thus, these findings are indicating that the most important perceived outcome of the performance appraisal process is that it makes people think and reflect about what they are doing as teachers. This finding is supported in the literature by Dean (1991) who points out that

there is a greater analysis and reflection of practice and the teachers in her study spoke of the benefits of having to analyse their strengths and weaknesses.

On the next tier down there were three items which received support from the teachers and the head-teachers. These were the following:

a) Helped teachers to be more motivated about teaching. (2.83 = Often)

b) Improved teachers overall performance. (2.70 = Often)

t) Been used to determine performance related pay increases. (2.70 = Often)

c) Helped to identify training needs. (2.55 = Often)

Two of these items were seen as significant when it came to the different responses of the teachers and head-teachers namely, "improved teachers overall performance" and "helped to identify training needs". In both cases the head-teachers perceived these as being very positive while the teachers rated them much lower. However the total average of both items still comes out at the positive end of the spectrum and they should therefore be mentioned.

These results indicate that appraisal seems to be effective in ensuring that teachers reflect on their practice, are more motivated about teaching, improve their overall performance and it identifies training needs.

Interestingly enough, the aspect of salary increases being linked and determined by appraisal is again mentioned as something which happens often. The perception of the

teachers (item average = 2.90) in particular seem to be that this is a vital aspect of the whole process.

In terms of dealing with the negative set items, the item which stated that appraisal tended to lead to lowered self esteem and demotivation amongst staff. (1.24 = Seldom) was perceived as not being a problem at all by both teachers and head-teachers. This seems to be in direct contrast to Spangenberg's (1994) assertion that feedback in appraisal can result in demotivation and lowered self esteem. It can be argued that lowered delf esteem and demotivation is not a general problem but that when negative feedback is given then it may well result in demotivation and lowered self esteem. This item would really have to be tested with subjects who had recently been given negative feedback from their appraisal in order to ascertain whether Spangenberg is correct or not. It would really not be unreasonable to assume that teachers may well become demotivated and negative after receiving feedback.

The other negative items which should be reported on, include the following:

l) Taken up too much time (1.47 = sometimes)

i) Has been a threatening and negative process for the teachers (1.57 = Sometimes)

f) Not met employees needs (1.69 = Sometimes)

u) Been overly bureaucratic and cumbersome (1.78 = Sometimes)

n) Led to individualism and competition between teachers (1.88 = Sometimes)

These results seem to suggest that generally appraisal does not take up too much time, is not a threatening experience for teachers, has met employees needs, not been cumbersome and bureaucratic and has not led to competition between teachers.

The time aspect seems to be in contradiction with Horne and Pierce's (1996) findings which suggest that the time issue was of major concern to teachers. What was not tested by this study was whether the time allocated to appraisal was sufficient and whether it was being carried out thoroughly. It should therefore be noted that the recorded results may have turned up this way due to the fact that appraisal was not being comprehensively covered in the schools.

Although this research seems to suggest that appraisal is generally not a threatening and negative process, other parts of the study refute this. The reason for this contradiction may well be due to the wording of the relevant item. By incorporating two different aspects namely , 'threatening' and 'negative' may have led to ambiguity being experienced by the respondents and they may have either responded to the 'negative' or to the 'threatening' words in the item. Thus the validity of this item is questionable.

The research suggests that appraisal seems to meet employee's needs. This item would have been interesting to test positively i.e. appraisal meets your needs. It could be argued that by doing this in reverse, results may well have been different. The other concern with this item is its very general nature. What is actually meant by a person's needs?

This study finds that the appraisal systems being conducted in Independent Schools in Gauteng are not perceived to be cumbersome and bureaucratic. This is a contrary finding to the arguments put forward by many of the writers on the subject (Spangenberg, (1994), Mokgalane et al, (1997), and Lockett, 1992)) However it should be pointed out that the teachers and the head-teachers perceptions of this item were very different. The teachers ranked this item as 9th out of 21 while the head-teachers ranked it as 20th. Thus the teachers believed that this sometimes happened whereas the head-teachers believed that it seldom happened.

Spangenberg (1994) and McConnell (1995) suggested that the very nature of appraisal means that individuals are compared with each other which leads to competition and a breakdown of teamwork. The present study seems to refute this. This item concerning competition between teachers being developed was generally low suggesting that there is no problem with competition. However, results from another section of this research seems to suggest something different. Furthermore, the teachers' responses to this item were very different to the head-teachers. Thus, although the head-teachers do not believe there is a problem (item ranking of 18 out of 21), the teachers believe that there is a problem in this area (item ranking of 7 out of 21). The perceptions of the teachers seem to support the literature whereas the head-teachers responses refute it.

Table 11

	Heads Item Average	Teachers Item Average	Total Item Average	t-Ratio scores
v) The introduction of appraisal in my school has been	2.90	2.06	2.40	1.07
w) In improving the quality of education for pupils the process has been	2.76	1.97	2.29	1.04
x) In improving the performance of teachers the process has been	2.86	2.21	2.47	0.81
y) As a Head-teacher/teacher, I have found the process	3.33	2.16	2.64	1.33

Generally the head-teachers felt that the the appraisal system at their school had been effective (Averages = 2.90; 2.76; 2.86) while the teachers believed it had only been fairly effective (Averages = 2.06: 1.97; 2.21). Furthermore, the head-teachers report that they found the process useful (average = 3.33) while the teachers only found it fairly useful (Average = 2.16). Once again the difference in the perceptions between the teachers and the head-teachers is very clear. It should be noted that the t-ratio scores for three of the four questions in this section demonstrate significant differences in the responses for the two groups. Thus, the head-teachers are far more positive about the whole process in comparison to the teachers.

6.10.1 Individual Effectiveness scores

In this section of the results, 20 items (a to u without item t) were used and each individual's survey was scored as before. Item t had to do with whether appraisal was linked to salary increases and therefore did not relate directly to how effective the system was perceived. The negative items which included f, i, l, n, p, q, s and u, were scored in reverse. For example:

	Mostly	Often	Sometimes	Seldom
e) helped teachers to reflect on their own practice	4	3	2	1
f) not met employees needs	1	2	3	4

To assist in the interpretation of the scores, the following scale can be used:

Scores of 20 - 35 indicates that appraisal is perceived to have not been effective in the school

Scores of 36 - 50 indicates that appraisal is perceived to have been fairly effective

Scores of 51 - 65 indicates that appraisal is perceived to have been effective

Scores of 66 - 80 indicates that appraisal is perceived to have been very effective

Table 12

Head-Teachers	School A	School B	School C
78	63	60	65
74	62	58	64
72	59	52	63
70	51	44	61
69	48	44	60
69	47	39	56
68	45	39	56
67	40	37	51
65	37		50
64	32		48
62	31		43
62	29		
61	20		
59			
57			
57			
56			
56			
53			
53			
52			
40			
Average	Average	Average	Average
62	43	47	56

The total average for the teachers was 48 while that of the head-teachers was 62.

Clearly there is a great discrepancy between the two averages. The head-teachers seem to view appraisal in a far more positive light to the teachers.

Table 13

	Very Effective 66 - 80	Effective 51 - 65	Fairly Effective 36 - 50	Ineffective 20 - 35
Heads	8	13	1	0
School A	0	4	5	4
School B	0	3	5	0
School C	0	8	3	0

21 out of 22 Head-teachers (95%) felt that the process was either effective or very effective while only 15 of the 32 teachers (47%) fall into the same two categories. Here again the difference in perception between head-teachers and teachers is clearly evident.

These results clearly indicate that those who manage the process seem to perceive the process in a far more positive light to the teachers. This has implications for the process in the sense that it suggests that the head-teachers are not really in touch with what their staff are feeling about the whole process of appraisal and probably acquire different outcomes from the whole process. In other words it is meeting the needs of the one group and not the other. Furthermore, it is suggested that this gap exists because the teachers do not believe that they have been consulted in the process and as a result have not bought into the whole concept. This really underlines the importance of the implementation stage of any new process. It is vital to sell and market the concept very

carefully to all concerned so that they can begin to take ownership of the process and by so doing add positively to it. Another important point to emphasise here is that there should be ongoing monitoring and adaption of the system as the process unfolds and circumstances change.

A clear difference of opinion exists between the perceptions of the head-teachers of the three different schools and their staff. This further indicates the differences of perception of the two groups.

School A - Head score = 53 Staff average = 43

School B - Head score = 65 Staff average = 47

School C - Head score = 68 Staff average = 56

Therefore the perceptions of the head-teachers are far more positive in terms of the whole area of appraisal while the teachers themselves are not as supportive of the system.

Some positive comments made by head-teachers about appraisal:

- It has sharpened teachers' awareness of their own professional expectations.
- The setting of realistic objectives which can be measured in some way

within a time period is a critical aspect of appraisal

- It has been a personal growth instrument which has brought home truths to staff about all aspects of their performance
- It has made me (the Head) focus on many aspects of teaching and staff in my school - Management has been developed
- I believe it has been motivational for the teachers
- All aspects of the school displayed a marked improvement
- Prevented people from slipping through the cracks
- Honest feedback has resulted in improved teaching and better rapport with pupils
- There is a feeling that we are all growing and they are part of a team
- Each year I learn a great deal and refine my approach.
- Teachers appreciate the time spent on this

Some negative comments made by head-teachers about appraisal

- Has been difficult to implement due to 'staffroom laggards'
- It works well with a good staff
- Just do not seem to be able to change attitudes of some of the teachers
- Appraisals are still fairly subjective and depend largely on the observation of the teacher under unnatural circumstances
- May work well in a big school but will not in a small school

6.11 The strengths of the appraisal system in schools

The responses in this section were again categorised using Kearney's six different purposes. Each of the six is described in terms of its use as a strength.

- Reward - Being able to reward and recognise a persons performance is viewed as a strength.

- Feedback - The provision of feedback is seen as a strength.

- Planning - Being able to plan for the future is often seen as a strength.

- Personal Growth - Anything to do with the development of the individual being viewed as a strength is categorised under this heading. Self reflection and evaluation as well as the improvement of performance are things which respondents may mention.

- Motivation - The motivation of staff may be considered as a particular strength of the system.

- Communication - Enhanced communication within the organisation and with the actual performance appraisal can be viewed as a strength.

Table 14

	Heads with appraisal		Teachers	
Rewards and recognition	6	18%	3	9%
Feedback	7	21%	1	3%
Planning	2	6%	1	3%
Personal Growth	17	52%	6	19%
Motivation	3	9%	0	0%
Communication	6	18%	2	6%
Builds relationships and teams	6	18%	0	0%
Other	15	45%	9	28%
Total number of responses	61		22	
Average responses per person	1.85		0.69	
No response	2	6%	10	31%

The responses which were received in terms of the strengths again clearly indicate that the head-teachers and the teachers differ in their perceptions. Firstly the head-teachers had 61 responses from 33 people concerning the strengths of appraisal while there were only 22 responses from the 32 teachers. Also, there were 10 teachers (31%) who did not respond compared to 2 head-teachers (6%). It is clear that the head-teachers are able to find many more strengths in appraisal than are the teachers.

The one strength which dominated in this survey was "personal growth" which involved anything to do with the development of the individual . 17 of the head-teachers (52%)

had responses which fell into this category and 6 of the teachers(19%). Although the teachers' responses in this category were relatively low i.e. 19%, this was the one area which was most supported by the teachers.

It is interesting to note that 6 of the head-teachers (18%) believed that the process of appraisal builds relationships and teams whereas there were no teachers in the same category. Horne and Pierce (1996) found in their research that one of the positive aspects of appraisal was that it tended to build and enhance relationships. This research seems to suggest that a few head-teachers believe that this occurs whereas teachers do not see this happening. With the teachers' perception that there is sometimes competition between people and now with the teachers not seeing relationships being built, it seems as though Spangenberg's (1994) contention that appraisal destroys teamwork is upheld. This supports the proposal for moving away from appraisal being done in isolation and rather moving to performance management where appraisal becomes one of the vehicles used for the development of the whole system.

Other responses which were made include:

Head-Teachers:

- Not too threatening (3)
- Regularity of the process - once a term
- Positively orientated
- Objectivity of the process and the muitiple input

- ❑ Wide range of pointers used in the process
- ❑ Self, peer management assessments are carried out (2)
- ❑ Adopted and adapted appraisal to fit our school
- ❑ Ensuring that the school moves forward
- ❑ To improve the service to clients
- ❑ Ensures leadership in the school
- ❑ Development of the curriculum
- ❑ To Know what is going on

Teachers:

- ❑ School guidelines are set out carefully
- ❑ Confidential process
- ❑ Holistic approach for the child and the school
- ❑ Very positive and helpful (2)
- ❑ Openess and frankness about yourself and your performance
- ❑ Informal - well structured
- ❑ Completed by different parties and then compared
- ❑ Serves to weed out the teachers who should not be employed at the school

6.12 Weaknesses of the system

Table 15

	Heads		Teachers	
Subjective assessments and measurement	10	30%	5	16%
Threatening process for teachers	13	39%	5	16%
Salary increase problems	5	15%	3	9%
Creates competition / destroys teamwork	3	9%	6	19%
Lack of follow up / continuity	3	9%	11	34%
Other	9	27%	3	9%
Total number of responses	43		33	
Average number of responses per person	1.30		1.03	
No responses	3	9%	6	19%

There are two different approaches to viewing the data collected in this section of the research. Firstly, the two groups, teachers and head-teachers, can be compared and secondly the totals of the two groups taken together can be analysed.

It is interesting to note that the total number of positive responses compared to negative responses increased on the part of the teachers from 22 to 33 (an increase of 50%). While, on the other hand in the case of the head-teachers there was a decrease from 61 to 43 (a decrease of 30%). Once again this clearly demonstrates the difference of

perception of the two groups in terms of the appraisal process.

In terms of the individual items there again are a few differences. 13 Headteachers (39%) felt that the process was threatening for the teachers as compared to 5 teachers (16%). This is a rather surprising finding due to the fact that in the fixed-alternative item section both the heads and the teachers did not see the process as threatening. As has already been pointed out this may have been due to the fact that the item was ambiguously worded in that it included the words "negative" as well as 'threatening". The value of obtaining information through different means is clearly illustrated here. It seems that the process is viewed by some to be somewhat threatening for the teachers which supports Dean's (1991) statement that teachers see appraisal as a threat and they may fear humiliation.

This, once more, demonstrates the interaction of the appraisal component of the organisation with other components, namely, informal arrangements and power. The whole superior versus subordinate interplay becomes important in this process.

Subjective assessments and measurement were seen to be a weakness of appraisal by 10 head-teachers (30%) and only 5 teachers (16%). This clearly supports the contention made by Spangenberg, (1994), Gerber (1994), Armstrong (1994), and Lowenberg and Conrad (1998) that there are problems with ratings being subjectively done.

The area which the teachers believed was particular weakness of the system was the lack of follow-up and continuity. 11 teachers (34%) commented on this aspect while only

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The area which the teachers believed was a particular weakness of the system was the lack of follow-up and continuity. 11 teachers (34%) commented on this aspect while only

3 head-teachers (9%) felt that this was a particular problem. This finding is supported to some extent in the fixed-alternative item section where the item average for the teachers for this was 2.39 and that of the head-teachers was only 1.91. The teachers seem to believe that this is a particular weakness of appraisal which supports what Spangenberg (1994) and Lockett (1992) have indicated in their writings thus giving more weight to the performance management argument.

6 of the teachers (19%) commented on the issue of appraisal creating competition between individuals and destroying teamwork while only 3 head-teachers (9%) felt that this was a weakness. This is consistent with the other results found in this study where the teachers were significantly more worried about this issue than were the head-teachers (Item average 2.10 vs 1.55). Some teachers, therefore, seem to feel that this is a problem of appraisal which supports the literature (Spangenberg (1994) and McConnell (1995))

When we look at the total of the two groups taken together, we find that the most prominent weakness is that appraisal is a threatening process for the teachers (18 = 33%). This is followed by the process involving subjective assessments (15 = 28%) and the process lacking follow-up and continuity (14 = 26%). A bit further back are the creation of competition and the destruction of teamwork (9 = 17%) and then salary increase problems (8 = 15%). These 5 weaknesses are the ones which have been highlighted by the respondents in this research and are all weaknesses which have been mentioned in the literature. Therefore, it can be concluded that there are many perceived problems with the way in which appraisal is done at present in Independent

Schools in Gauteng and that it would be advisable to attempt to develop other systems which would address these weaknesses. The performance management alternative seems to be a promising alternative and solution to the present problems being encountered.

Other factors which were mentioned:

- Good teachers extend themselves and give extra, while lazy teachers learn to buck the system
- A sense of failure may be experienced by the teachers if they are not able to improve
- Too much emphasis is placed on quantitative procedures which ignores things like relationships
- Staff could feel vulnerable and inadequate which may lead to de-motivation
- Lack of communication with newer teachers
- Too bureaucratic (2)
- Not really designed for education
- Time consuming (2)
- Lack of ownership
- Staff can talk their way out of any negative situation
- Totally ineffectual
- Has no effect on classroom teaching

6.13 Vital factors which will add to the successful implementation of such a system

Table 16

Trust	11	50%
Honesty	9	41%
Fairness, Objectivity, Integrity	9	41%
Ownership of the system	8	36%
Clear reasons for its introduction	2	9%

It was very interesting to note that the head-teachers who have performance appraisal believed that the very important ingredients for the successful running of appraisal includes trust (11 = 50%), honesty and fairness (9 = 41%), objectivity and integrity (9 = 41%). These values are seen to be very important to cultivate in the staff if the appraisal system is to work effectively. This implies that the success of this type of system is dependent on whether these values are present in an organisation or not. Before one contemplates setting up such a system it is important to cultivate a culture in which these values are present. The question here is whether this is always practical? Surely a by-product of the system should be that it creates these values rather than they should be present initially before this imperfect system can be operated properly. The suggestion here is that the mere fact that the head-teachers report that they feel that these are essential factors for the implementation of the system seems to imply that the system itself, as it is being operated presently in the schools, may be flawed.

The other factor which was reported quite extensively on was the importance of

ownership of the process (8 = 36%). It is interesting that the head-teachers seem to identify the importance of this and yet neglect this when it comes to the actual implementation process as was evident in the section on whether the teachers had felt part of the process. Here again, appraisal is being treated as an isolated component of the whole organisation.

It seems clear from the above that there is a need for a new system which looks at developing all the positive relationship values as well as ensuring that all participants take ownership of the process. The business community is moving towards performance management which is viewed as the route which should be taken as it emphasises the development of the interactive processes between all the components of the organisation.

Other factors which were listed include the following:

- Communication
- Diligence
- Continuity
- Respect

6.14 Advice for those schools who would want to implement appraisal

The following was offered as advice to those schools who would like to introduce performance appraisal in their schools

Table 17

Input and ownership by staff seen as important	7	32%
Need to adapt the system to suit the school	6	27%
Discussion with and advice from experts is essential	5	23%
Communication of goals and ideas is needed	3	14%
Development of trust and transparency	2	9%

The head-teachers felt that it was important that input and ownership of the whole staff should take place (7 = 32%). How such a process is implemented is really important so as to ensure that ownership of the system takes place. If a teacher feels that he/she has been part of the development of the process, it is more likely that he/she will attempt to make the process work. If ownership does not take place it becomes very easy for the teachers to criticise and blame the process when they see it in operation.

Some of the head-teachers believe that it is important for each school to look carefully at what is on offer in terms of appraisal and then in consultation with staff to then develop an appraisal system to suit the particular school and the particular circumstances (6 = 27%). The head-teachers believed that it is important to consult initially with those who have a system operational and who could be viewed as experts in the area (5 = 23%). Here again these two issues, consultation and the development of a system to suit the circumstances, have implications in terms of how schools go about implementing a system. If management takes a system which has been used elsewhere and attempts to implement that system in the school without carefully looking at the culture of the school, the history, the environment, the resources available and

also without consulting the stakeholders, then there is a danger that the system will be undermined by the participants. A person finds it far easier to criticise a system which he/she had nothing to do with. Also, so much has been done in the area of appraisal and there are many systems of appraisal in use that it would be very informative and useful for schools to consult widely before deciding on a particular system. This clearly shows how important the initial preparation, planning and consultation is in the implementation of any new system.

A few head-teachers (3 = 14%) felt that it was not a good idea to link an appraisal system to salary increases. The whole issue of salary increases was written about passionately by some respondents who felt that it negated many of the positive aspects of appraisal and professional development of the teachers. Bussan (1992) argues that remuneration should be linked to the appraisal system and the basis of his argument is that Glueck has shown in research that he did, that employees would like their remuneration linked to their performance. However, as Kelley (1997 : 26) points out

> over the years, efforts have been made to modify the single salary schedule through the creation of individual incentive or 'merit pay' plans. These plans were built on the false assumption that individual teachers controlled the processes necessary to improve student outcomes. In reality effective learning environments are highly collaborative enterprises.

The argument here is that because teaching is a collaborative experience for teachers, individuals should not be rewarded for their performance as this may well result in

negative competitiveness which has been highlighted before. It should be pointed out that competition can produce good results and motivate and encourage people to achieve their best, but the problems arise when the nature of the competition becomes such that productivity and performance of groups and the organisation is hindered. Furthermore, as one of the respondents in this research has pointed out, the whole operation of teaching is not profit based and has very little scope to vary salaries substantially. Therefore, it is difficult to set proper salary incentives for the staff. Mohrman, Mohrman and Odden (1996 : 56) argue for remuneration to be decided on a skills-based approach where pay reflects actual skills in which a person can demonstrate competence, "the underlying assumption is that as employees become proficient and knowledgeable in more aspects of the work, they increase in value to the organisation because they can be used more flexibly." This remains an issue which will continue to provoke much debate in educational circles.

Some teachers (5= 16%) and 2 heads suggested that there should be clear goals and targets set for the teachers. This seems to indicate that their perception is one of not having clear targets set in the appraisal process and that a person is merely evaluated according to what is deemed to be the ideal teacher. The main thrust of the performance management process seems to be in the setting of targets or objectives and the evaluation is done on whether and how the target has been met (Lockett, 1992, Armstrong, 1994, and Spangenberg, 1994). This would seem to be what these few teachers are calling for in this instance.

Teachers also suggest that appraisal should be conducted more often. One of the major

criticisms of the appraisal system as it has operated in the past, which has been brought up by the supporters of performance management, has been that it is a once-off annual event. Performance management on the other hand is seen as an ongoing continuous process which involves performance discussions which relate to the ongoing performance and achievement of agreed upon goals. Here again, it would seem that performance management has a solution to a perceived problem encountered in the appraisal process.

Lastly, the teachers (3= 13%) felt that the appraisal should be done by more than one person. There is no doubt that having more than one appraiser will add to greater objectivity in the process. The concept of 360 degree appraisal, which is just this, has been strongly supported of late in the commercial world (Lowenberg and Conrad, 1998) and furthermore, the new appraisal system being proposed at the moment by the Wits Educational Policy Unit is one in which there is appraisal done by superiors, colleagues and subordinates so as to make the process more democratic. As has already been mentioned there was some concern expressed by respondents about the subjectivity of evaluations being made. This becomes specifically the case when the evaluations being done embrace personality factors and personal strengths and weaknesses.

Other comments which were made include:

- Do not initially link it to money
- Do not link it to salaries
- Do not use a points system or a rank order

- Accentuate the positive
- Utilise the "How good is our school?" approach
- The board should not be using it for salary increments
- Do not fall into the trap of trying to measure everything
- Accept that appraisal measures performance and not personality
- Tread carefully

The following are some changes which the teachers felt were important for improving performance appraisal:

- Appraisal by more than one person was called for which could include peers, parents, pupils and managers (4)
- Evaluations of teams rather than individuals (2)
- There should be clear goals and targets for the teachers to aim for (5)
- Appraisal should be done more often and it should be more consistent (4)
- There should be more honesty in the process
- Strengths and weaknesses should be discussed openly
- There should be basic salary increases with extra percentages being given to those who work hard (3)
- The system has no place in education, do away with it (2)
- There should be more involvement of the Headmaster

6.15 Comments made by the head-teachers who do not have appraisal

Of the 11 Head-teacher respondents who do not have a formal appraisal system operational at their school, 9 of them felt that they would like to implement the system.

Reasons for wanting to do appraisal

Herewith the reasons given by those Heads who felt it was important to have appraisal:

- Staff development and personal growth (5)
- To identify weaknesses on the staff and work on them (2)
- To motivate staff
- For the affirmation of the staff
- For the sharing of knowledge
- To encourage teamwork (3)
- To conduct whole school assessment where the staff, acting as a team, will evaluate the school and its processes.
- To guide and focus energies towards mutually desirable goals and outcomes
- To develop staff so that the curriculum can be developed

Reasons for not wanting appraisal

- Already tried it, it was an absolute disaster

- It would be decisive in a small school, especially if directly related to salary.

6.16 Positive aspects of the present study

For the purpose of this research, which was fundamentally exploratory in nature, the design of the research was sound. The questionnaires which were devised were thorough and included different types of questions. The same issues were tackled by the asking of different questions and it was this that made for the verification of responses. For this reason it was felt that further information which could have been obtained from interviewing teachers was not necessary for this study.

The method of asking the questions was varied and included open-end items, fixed-response items and scale items which made for a more thorough approach. Responses seemed to indicate that the respondents understood what was being asked of them and full answers to the questions were generally given. Respondents wrote a great deal down about how they felt which indicated that the questionnaires were sound.

6.17 Limitations of the present study

One of the limitations of this research is in the construction of the survey items. As has already been mentioned, the construction of a survey requires a great deal of experience. In retrospect, there were items which should have been posed in different ways. Firstly, the fixed-response item at the beginning of the questionnaire which was

looking for those things which characterise the process were often value laden and ambiguous. In number 1a) which read "In my opinion performance appraisal is best characterised by a process which involves a formal, structured, interview usually held annually", there a three different things which are being alluded to, namely, formal, structured and held annually. Item 1d) which reads: "In my opinion..... individuals making subjective judgements on how successful an employee is in the execution of a task", seems to be value laden with the word 'subjective'. It would have been better to ask respondents which method of information gathering and evaluation was being used at their school. Methods such as rating scales, checklists, critical incidents, behaviour observation scales, management by objectives etc. could have been included. Furthermore, respondents should have been asked directly how the process was conducted in their school. These questions would have elicited better data in this section.

A further limitation in the construction of the questionnaire was that there were several items in the effectiveness section where scale items were used which could have been worded better. The item i) "has been a threatening and negative process for the teachers" seemed to suggest two different things and could have caused confusion for the respondents. 'Threatening' and 'negative' are two different concepts which should have been dealt with separately. The item f) "not met employees needs" could well have been answered very differently if it had been positively posed i.e. "Has met employees needs". This is the same for many of the items which were posed negatively. For example it may have been better to pose item p) as "the evaluations done on me were accurate". However, it was essential to have several negative items so as to ensure that

the respondents did not just elect a particular pattern of response for all the items.

Question 7) of the questionnaire brought about a certain amount of duplication in responses due to the fact that many respondents would give strengths and weaknesses in this section and they were then asked to list them in question 8). Some respondents repeated things which they said in question 7) while others made other responses. It would have been better to have left this question out.

The questionnaires which were sent to both the head-teachers and the teachers were sent out at the end of the second term. This is an extremely busy time of the year for teachers and therefore it was not entirely surprising that there was only a 32% return rate on the questionnaires which was rather disappointing. Ideally the questionnaires should have been sent out at a less busy time of the year. It would have been even better if the researcher had taken the questionnaires into the schools at a staff meeting or the like and had got them answered while waiting.

CHAPTER 7

CONCLUSION

The system of performance appraisal has been implemented in many organisations because there is a need to motivate employees and to ensure that their performance is of a high standard so that the organisations can compete with others for the market. It is a system which has been introduced into many Independent Schools in Gauteng and it would seem that those who do not have a formal system in place are interested in implementing one. The South African Education Department is currently in the process of implementing an appraisal system in government schools which moves away from the old inspection system. Thus, there is a demand for appraisal within education. This demand is encouraged by the rapidly changing nature of education and society as well as the emphasis being placed in modern times on professionalism and accountability (Dean, 1991 : 3). Appraisal seems to have become the route to go in order to ensure that the turbulent waters of change are negotiated successfully and that both professionalism and accountability are embraced by the teaching fraternity.

The key objective of this research has been to investigate the head-teachers' and teachers' perceptions of performance appraisal. It has been suggested in the relevant literature and confirmed in the findings of this study that there are problems which are associated with appraisal. Therefore, this research is important for all those who are about to embark on the same course of action. Furthermore, those who are conducting appraisal at present could be informed by the research as to areas which may well require review, attention and development.

7.1 The aims of appraisal

In terms of how the aims of appraisal are viewed by the respondents it was clear that both head-teachers and teachers felt that it was a process which was designed specifically for the development and assessment of the individual. The school's aims and objectives were not really mentioned which implied that these were not incorporated in the whole process. It is argued that motivated employee performance is best achieved by integrating personal goals with those of the school. The appraisal system should be geared around the objectives and goals of the school. In this way the expectations of the school in terms of work behaviour can be effectively communicated to the individual. Thus, the appraisal system should become a vehicle of effective management for the attainment of both individual and school goals. The school development plan should be linked to appraisal as should the policies of recruitment and training.

> Once an individual teacher has been able more effectively to internalise the school's aims, he/she may be more able to see how his/her particular skills and talents can contribute, but also which other skills he/she might acquire to balance that contribution (McConnell, 1995 : 84).

If we use the Nadler and Tushman (1979) model as a theoretical framework then it would be important to look at the many different aspects of a school when doing appraisal. The school would need to assess not only the individuals in the school but also the processes which keep the school functioning. Nadler and Tushman (1979)

contend that the basic hypothesis of their model is that organisations will be most effective when their major components are congruent with each other. This implies that if a school wants to be more effective, then the whole school and all the interactions between the relevant parts of the school need to be appraised.

Furthermore, Nadler and Tushman (1979) maintain that there is an interconnectedness between the different components of their model. Therefore, performance appraisal which can be seen as being part of the formal organisational arrangements will interact with the task on hand, the informal arrangements i.e. the culture, and the individuals within the organisation. How congruently these components interact together will determine how effective the process is for the organisation. Communication here becomes essential. This research identifies a difference between the aims in theory and the aims in practice. The aims in theory involved all the personal growth and development aspects, while the aims in practice focussed on salary increases. This again emphasises the importance of interaction, communication and ultimately congruence between the different organisational components.

7.2 The positive outcomes of appraisal

There are many positive aspects associated with appraisal. This study found that the most important positive aspect reported on by the respondents was reflection on practice. As in other professions there can be a danger of doing things in a repetitive and routine way without thinking about what one is doing.

> Through reflection, one can surface and criticize the tacit understandings that have grown up around the repetitive experiences of a specialised practice, and can make new sense of the situation of uncertainty or uniqueness which one may allow yourself to feel (Argyris and Schon, 1974 : 61).

Appraisal and its feedback to teachers ensures that reflection does take place and this generally has positive consequences.

Other positive outcomes of the appraisal process as identified by the respondents in this research include :

- reported increased teacher motivation
- improved teacher performance
- clearer identification of training needs
- personal growth and development

7.3 The negative aspects reported on

Despite the above mentioned positive aspects, there are, however, problems with the process and it is these problems which need to be attended to in the future in order to ensure that the system of appraisal is more effective. This research has identified a very important factor, namely ownership, which needs a great deal of attention if the implementation of an appraisal system is to be successful. Due to the fact that many teachers and head-teachers reported that they felt that business was different to

education and that transferability is therefore problematic, the whole question of ownership becomes even more important to address. The concept needs to be constructively promoted and the teachers need to feel that they are involved in setting up their system which pertains to their own set of circumstances in their school. Without ownership, teachers feel justified in being negative about the process and may not contribute to its effectiveness in a constructive way. The whole question of ownership implies that the different components of the system are not congruent. It is thus important to ensure that there is congruence between the formal arrangements, the informal arrangements and the individuals before a system like appraisal will be owned by those in the organisation and implemented effectively.

Connected to the whole area of ownership, is the importance of the implementation stage of a system such as appraisal. Nadler and Tushman's (1979) model gives us a clear indication of the importance of understanding the workings of the whole organisation before the implementation of a strategy to improve the school's output is introduced. Factors such as the school environment, the resources which are available and the history of the school are all important to look at. However, it is also important to assess the current tasks, informal arrangements, individuals and formal arrangements of the school and how these interact. By investigating all of this, the school will have a better understanding of its own workings and thus be able to develop a system which is best suited to it. This investigation will also help in the implementation of the system and ensure that all components of the system take ownership of the process.

Another important finding of this research is the difference which was found in the perceptions of the head-teachers as compared to the teachers. The head-teachers were far more positive about the whole process in all aspects. This clearly demonstrates that the perception of management is different to those who are involved at the teacher level. The head-teachers want the system to work because they then believe that it will make their organisation more effective and it is the effectiveness of the school which has a direct bearing on how the community assesses head-teachers. The teacher's , on the other hand, seem to see it as a process of individual evaluation where the superiors involved are able to have some sort of power over them. Thus, appraisal is seen to more effectively meet the needs of the head-teachers than it does the teachers.

This research has also found that there is concern amongst respondents about certain relationship and emotional issues. Firstly, there was a concern about the individualism and competition which seemed to develop due to the nature of the system where people were being evaluated and ranked for salary increase purposes. This has a negative impact on the development of team work and cooperation in schools. It was also felt, mostly by the head-teachers, that the process could be viewed as being threatening for the teachers. Although, the problem of subjective assessments was not wide spread. The teachers were not completely convinced that the process resulted in the building of relationships of trust. Thus, it can be concluded that the way appraisal is being currently conducted seems to create interrelationship problems where there is a certain amount of mistrust and the breakdown of teamwork and cooperation between teachers. Therefore, once again, this emphasises the importance of looking at things systemically to facilitate congruence of the different components of a school for the realisation of

constructive outcomes of performance appraisal.

An issue which many of the teachers mentioned was that of the lack of follow-up and continuity in the process. They felt that it was a once off annual event with little related contact with supervisors apart from the time of the year when it all happened. Instead of this it should be ongoing with both formal and informal meetings of heads of department and teachers to discuss the targets which have been set. It should not have to wait for a particular time of the year and furthermore, the whole process should become part of what the school does on an ongoing basis. The relationships between people should be worked on at all times within the framework of the objectives of the school.

An issue which was raised substantially in this study was the whole issue of appraisal being linked to remuneration decisions. This is clearly a contentious and complicated issue which needs further research and debate. There were opinions that remuneration should not be linked to appraisal and that it should be there mainly for development purposes but this seems to negate the motivational consequences which are often associated with performance based pay. This whole area needs to be investigated and researched further but clearly what is important is that teachers should be consulted and take ownership of any new system which is introduced in this connection.

7.4 Recommendations for the future

Before looking at specific recommendations it is essential to highlight the importance of viewing schools from a framework which incorporates the diversity and complexity of these organisations. A useful framework for this purpose is the one put froward by Nadler and Tushman (1979). Schools are all organisations which have different environments, resources and history. They use different strategies and have various tasks, individuals and formal and informal arrangements which define who they are. It is only once we understand the complexities of our individual schools that we can confidently move forward with the implementation of an appraisal system which will be effective for the whole school. Furthermore, the framework being discussed highlights the importance of appraising the many components involved in the school and their interactive processes. It is not only the individuals in the school who can make the difference in the effectiveness of the school but it is all the various components and their ways of interacting which need to be focussed on in appraisal.

In order to build on the positive aspects of appraisal as recorded in this research and at the same time deal with the negative aspects, it is recommended that schools and Education Departments look seriously at what performance management has to offer. This new approach to the whole area of appraisal has been set up to specifically deal with the problems encountered in this research. "Performance management is potentially the area of human resources management which can make the most significant contribution to organizational performance (Philpott and Sheppard, 1992 : 98)."

In attempting to overcome the problem with the very narrow individual focus of performance appraisal, performance management emphasises the importance of organisational goals in the process. Objective setting for the whole school is the first step in the implementation of such a system. As Philpott and Sheppard (1992) point out the process begins with the organisation's mission statement and then funnels down to values and objectives and eventually to individual targets and goals.

How does performance management attempt to deal with the emotionally charged situation of the evaluation and the possible subjectivity of the assessments made? A fundamental difference between conventional appraisal and performance management is that the criteria for evaluation are not set by the school for all the teachers. Instead the teacher and the appraiser discuss and develop the criteria themselves using some general guidelines. Thus, this takes the individual's competencies and skills into account and avoids the situation where he/she is being evaluated on general criteria used for all staff at that particular level. A contract is drawn up between the teacher and the school where the teacher as well as the supervisor evaluate, and monitor the progress of the individual in attaining these set out targets and goals (Armstrong, 1994). The process therefore becomes far more personal and encourages the development of the relationship between the parties concerned and furthermore, comparisons and potential for mistrust between employees is avoided.

An important issue which is recommended for the future is the concept of 360 degree appraisal. This is a good way of obtaining a clearer picture of the perceived performances of teachers and the whole school. If the teachers and the different

components of the school are assessed by many different people, a truer picture of the relative functioning of the whole school will be obtained.

The process as described above also ensures that there is ongoing feedback, follow-up and assessment of the performance of the individual in his/her attempt to achieve these personal goals which are closely related to the goals of the school. The whole process, therefore, becomes a continuous one in which counselling and managing done by the supervisor is an ongoing activity. "Perhaps one of the most important concepts of performance management is that it is a continuous process which reflects normal good management practices of direction setting, monitoring and measuring performance and taking action accordingly (Armstrong, 1994 : 76)." Performance management needs to be treated as a natural process which all good managers follow (Armstrong, 1994). It is vital that when a new system such as performance management is implemented at a school, that all those involved take ownership of the process.

Thus, in conclusion it can be said that although the current appraisal systems which are being conducted in Independent Schools have some positive aspects to them, there are areas which are seen to be problematic. It is recommended that in order to overcome these areas of difficulty and ensure a better system, performance management be seriously considered and that ownership of any new system become a priority of the schools involved.

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Appendix : A

QUESTIONNAIRE : HEAD-TEACHERS PERCEPTIONS OF PERFORMANCE APPRAISAL IN SCHOOLS

HEAD-TEACHER'S PARTICULARS

Age: ____

Qualifications: _____

Years in present position: _____

THE NUMBER OF FULL TIME TEACHERS IN THE SCHOOL:

Males: _____

Females: _____

TYPE OF SCHOOL (Please tick the appropriate box)

Boys only school		Girls only school		Co-ed	
Primary school		Secondary school		Church school	

Number of pupils in the school _____

SECTION A:

This section initially focusses on performance appraisal in general, regardless of whether your school has a system or not. All respondents should therefore answer questions 1-4 in this section.

1) In my opinion performance appraisal is best characterised by a process which involves: (Tick what **you** feel are the appropriate responses)

a) a formal, structured interview usually held annually	
b) assessing and recording staff performance using a checklist of laid down criteria and standards	
c) the provision of feedback on performance which intends to motivate employees to improve their performance and productivity	
d) individuals making subjective judgements on how successful an employee is in the execution of a task	
e) the assessment of individual and group training needs	
f) the use of information gathered for making decisions about salary adjustments and promotions	
g) rating and ranking employees according to how well they perform	

List any others which **you** feel characterise the process

2) In your opinion, what should the aims of the appraisal process be?

3) In your opinion, are performance management systems which are developed in business, transferable to education and why?

4) Do you have a performance appraisal system at your school? _____

If your answer to the above question was **yes**, proceed with this section.

If your answer to the above question was **no**, proceed to **Section B**

5) Why do you use the performance appraisal system?

6) Please answer all the following questions. Tick the space which best reflects your responses to each statement.

In my own experience, the appraisal process has;

	Mostly	Often	Sometimes	Seldom
a) helped teachers to be more motivated about teaching				
b) improved teachers' overall performance				
c) helped to identify training needs				
d) resulted in training being embarked upon by teachers				
e) helped teachers to reflect on their own practice				
f) not met employees needs				
g) helped in the improvement of classroom practice and methodology				
h) tended to build relationships of trust				
i) has been a threatening and negative process for the teachers				
j) improved teachers organisation and time management				
k) enhanced teachers career prospects				
l) taken up too much time				
m) led to changes in classroom practice				

	Mostly	Often	Sometimes	Seldom
n) led to individualism and competition between teachers				
o) been used in the drawing-up of the school development plan				
p) had problems with raters objectivity and consistency of ratings				
q) tended to be a once-off annual event without continuity				
r)lead to a broadening of teaching styles				
s) tended to lead to lowered self esteem and de motivation amongst staff				
t) been used to determine performance related pay increases				
u) been overly bureaucratic and cumbersome				

	Very effective	Effective	Fairly effective	Ineffective
v) The introduction of appraisal in my school has been				
w) In improving the quality of education for pupils the process has been				
x) In improving the performance of teachers the process has been				
y) As a Head-teacher, I have found the process				

7) Use this space to justify and give reasons for your responses to items v) to y).

8a) What, do you believe, are the strengths of the appraisal system which you are using?

b) What, do you believe, are the weaknesses of the system?

9) What factors do you think are vital for the successful running of appraisal in schools?

10) What would your advice be to schools who want to implement an appraisal system?

SECTION B

Answer this section if you do not have an appraisal system at your school.

1) Would you implement an appraisal system at your school? Yes or No _____

Explain the reason for your response

2) What do you perceive as the strengths of performance appraisal?

3) What do you perceive as the weaknesses of performance appraisal?

4) It would be useful to me if you would make any further comments about performance appraisal which you feel would be relevant for consideration in this research.

Appendix : B

QUESTIONNAIRE : TEACHERS PERCEPTIONS OF PERFORMANCE APPRAISAL IN SCHOOLS

TEACHER'S PARTICULARS

Age: ____

Gender: _____

Qualifications: _____

Present position: _____

Years in present position: _____

Years of experience as a teacher: _____

Please answer the following questions.

1) In my opinion performance appraisal is best characterised by a process which involves: (Tick what **you** feel are the appropriate responses)

a) a formal, structured interview usually held annually	
b) assessing and recording staff performance using a checklist of laid down criteria and standards	
c) the provision of feedback on performance which intends to motivate employees to improve their performance and productivity	
d) individuals making subjective judgements on how successful an employee is in the execution of a task	
e) the assessment of individual and group training needs	
f) the use of information gathered for making decisions about salary adjustments and promotions	
g) rating and ranking employees according to how well they perform	

List any others which **you** feel characterise the process

2) In your opinion, what should the aims of the appraisal process be?

3) In your opinion, are performance management systems which are developed in business, transferable to education and why?

4) Were you in any way involved in the development and implementation of the appraisal system in your school?

5) What, do you believe, are the reasons for the use of the appraisal system at your school?

6) Please answer all the following questions. Tick the space which best reflects your responses to each statement.

In my own experience, the appraisal process has;

	Mostly	Often	Sometimes	Seldom
a) helped me to be more motivated about my teaching				
b) improved my overall performance				
c) helped to identify my training needs				
d) resulted in training being embarked upon by teachers				
e) helped me to reflect on my own practice				
f) not met my needs				
g) helped in the improvement of my classroom practice and methodology				
h) tended to build relationships of trust				
i) has been a threatening and negative process for me				
j) improved my organisation and time management				
k) enhanced my career prospects				
l) taken up too much of my time				
m) led to changes in my classroom practice				

	Mostly	Often	Sometimes	Seldom
n) led to individualism and competition between teachers				
o) been used in the drawing-up of the school development plan				
p) had problems with raters objectivity and consistency of ratings				
q) tended to be a once-off annual event without continuity				
r)lead to a broadening of teaching styles				
s) tended to lead to my lowered self esteem and de-motivation				
t) been used to determine performance related pay increases				
u) been overly bureaucratic and cumbersome				

	Very effective	Effective	Fairly effective	Ineffective
v) Performance appraisal in my school has been				
w) In improving the quality of education for pupils the process has been				
x) In improving my performance the process has been				
	Very useful	Useful	Fairly useful	Not very useful
y) As a teacher, I have found the process				

7) Use this space to justify and give reasons for your responses to items v) to y) where you believe it necessary to do so.

8a) What, do you believe, are the strengths of the appraisal system which you are using?

b) What, do you believe, are the weaknesses of the system?

9) What changes would you like to see made in order to improve the performance appraisal system at your school and why?

10) It would be useful to me if you would make any further comments about performance appraisal which you feel would be relevant for consideration in this research.

Appendix : C

The Ridge School

P/Bag X10

Parkview

2122

8 July 1998

Dear Head-teacher,

RESEARCH ON PERFORMANCE APPRAISAL IN SCHOOLS

I am currently a part-time student at Wits University where I am engaged in a research project for the completion of my Masters Degree in Educational Management.

With all the changes taking place in society and education, as well as the growing calls for accountability, schools are being encouraged to seek management systems and processes which will enhance their perceived effectiveness. Performance appraisal is one such system which was initially developed by business and which is now being used in schools. The Education Department in England has over the years tried to impiement performance appraisal in their government schools and South Africa is now seriously looking at this option for schools in this country.

What this research is trying to ascertain is how effective performance appraisal is in those Independent Schools which are using this process. There is already a great deal of research which has been done on performance appraisal in the business setting, but

not much has been done in education. The fundamental question being asked by this research is whether performance appraisal, in its present form, is the best system of its kind for schools and teachers. It is hoped that this research will be able to contribute in some way in making suggestions and recommendations to a process which will impact positively on schools and ultimately on the pupils we teach.

It is with the aims as outlined above that I would ask you to fill in the questionnaire and return it to me in the addressed envelope before **Wednesday 29 July 1998**.

It should be noted that your anonymity will be maintained and your responses will be treated in the strictest confidence at all times. The completion of this questionnaire is voluntary.

I really appreciate the time you will be spending in completing this questionnaire. If you are interested, I will send you a report of the findings of the research. Please send a Fax to me at The Ridge **(646-5766)** with your details and I will ensure that you receive a summary of the findings.

Thank you so much for your assistance in this matter. I look forward to analysing your responses to this questionnaire.

Yours sincerely

SIMON WEAVER

Appendix : D

The Ridge School

P/Bag X10

Parkview

2122

8 July 1998

Dear Teacher,

RESEARCH ON PERFORMANCE APPRAISAL IN SCHOOLS

I am currently a part-time student at Wits University where I am engaged in a research project for the completion of my Masters Degree in Educational Management.

With all the changes taking place in society and education, as well as the growing calls for accountability, schools are being encouraged to seek management systems and processes which will enhance their perceived effectiveness. Performance appraisal is one such system which was initially developed by business and which is now being used in schools. The Education Department in England has over the years tried to implement performance appraisal in their government schools and South Africa is now seriously looking at this option for schools in this country.

What this research is trying to ascertain is how effective performance appraisal is in those Independent Schools which are using this process. There is already a great deal

of research which has been done on performance appraisal in the business setting, but not much has been done in education. The fundamental question being asked by this research is whether performance appraisal, in its present form, is the best system of its kind for schools and teachers. It is hoped that this research will be able to contribute in some way in making suggestions and recommendations to a process which will impact positively on schools and ultimately on the pupils we teach.

It is with the aims as outlined above that I would ask you to fill in the questionnaire and return it to me your school's secretary in the envelope provided (sealed) before **Wednesday 29 July 1998.**

It should be noted that your anonymity will be maintained and your responses will be treated in the strictest confidence at all times. The completion of this questionnaire is voluntary.

I really appreciate the time you will be spending in completing this questionnaire. A summary of the research findings will be sent to the school for your perusal.

Thank you so much for your assistance in this matter. I look forward to analysing your responses to this questionnaire.

Yours sincerely

SIMON WEAVER

Appendix : E

a) helped teachers to be more motivated about teaching

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	13	3	6	0	3.32
School A	0	4	6	3	2.08
School B	3	1	2	2	2.63
School C	3	4	4	0	2.91
Teacher Total	6	9	12	5	2.50

b) improved teachers' overall performance

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	10	9	3	0	3.32
School A	0	4	4	5	1.92
School B	2	1	2	3	2.25
School C	0	9	1	1	2.72
Teacher Total	2	14	7	9	2.28

c) helped to identify training needs

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	10	7	5	0	3.23
School A	0	2	5	6	1.69
School B	1	1	1	5	1.75
School C	2	6	2	1	2.82
Teacher Total	3	9	8	12	2.09

d) resulted in training being embarked upon by teachers

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	1	8	11	2	2.36
School A	1	0	6	3	1.90
School B	0	0	2	6	1.25
School C	2	3	5	1	2.55
Teacher Total	3	3	13	10	1.97

e) helped teachers to reflect on their own practice

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	10	10	2	0	3.36
School A	4	5	3	1	2.92
School B	3	1	4	0	2.88
School C	3	7	1	0	3.18
Teacher Total	10	13	8	1	3.00

f) not met employees needs

	...ly	Often	Sometimes	Seldom	Item Average
Heads	0	2	8	12	1.55
School A	1	1	5	4	1.91
School B	0	2	3	2	2.00
School C	0	0	4	5	1.44
Teacher Total	1	3	12	11	1.78

g) helped in the improvement of classroom practice and methodology

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	4	13	5	0	2.95
School A	0	1	4	6	1.55
School B	1	1	2	4	1.88
School C	2	1	7	1	2.00
Teacher Total	3	3	13	11	1.93

h) tended to build relationships of trust

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	7	11	3	1	3.09
School A	0	3	2	8	1.62
School B	0	2	2	4	1.75
School C	1	2	7	1	2.27
Teacher Total	1	7	11	13	1.88

i) has been a threatening and negative process for the teachers

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	0	1	13	8	1.68
School A	1	0	4	6	1.64
School B	0	1	3	4	1.63
School C	0	0	3	8	1.27
Teacher Total	1	1	10	18	1.50

j) improved teachers organisation and time management

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	3	10	9	0	2.73
School A	0	4	3	6	1.85
School B	0	0	2	6	1.25
School C	0	2	6	3	1.91
Teacher Total	0	6	11	15	1.72

k) enhanced teachers career prospects

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	6	5	10	1	2.73
School A	0	2	4	7	1.62
School B	1	1	1	5	1.75
School C	1	1	5	4	1.91
Teacher Total	2	4	10	16	1.75

l) taken up too much time

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	1	1	8	12	1.59
School A	2	0	1	9	1.58
School B	0	0	1	7	1.13
School C	0	1	2	8	1.36
Teacher Total	2	1	4	24	1.39

m) led to changes in classroom practice

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	3	8	11	0	2.64
School A	0	1	4	7	1.50
School B	0	1	1	6	1.38
School C	0	3	7	1	2.18
Teacher Total	0	5	12	14	1.71

n) led to individualism and competition between teachers

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	0	2	9	10	1.55
School A	2	2	6	2	2.33
School B	1	1	2	4	1.63
School C	1	2	4	4	2.00
Teacher Total	4	5	12	10	2.10

o) been used in the drawing-up of the school development plan

		Often	Sometimes	Seldom	Item Average
Heads		6	6	6	2.36
School A	0	2	6	4	1.83
School B	0	1	0	7	1.25
School C	0	3	6	2	2.09
Teacher Total	0	6	12	13	1.77

p) had problems with raters objectivity and consistency of ratings

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	0	2	16	4	1.91
School A	1	1	5	3	2.00
School B	4	1	1	2	2.88
School C	1	0	5	3	1.89
Teacher Total	6	2	11	8	2.22

q) tended to be a once-off annual event without continuity

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	1	5	7	9	1.91
School A	8	1	3	1	3.23
School B	4	1	1	2	2.88
School C	1	0	6	3	1.90
Teacher Total	13	2	10	6	2.39

r)lead to a broadening of teaching styles

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	4	8	10	0	2.73
School A	0	2	2	9	1.46
School B	0	0	3	5	1.38
School C	0	5	5	1	2.36
Teacher Total	0	7	10	15	1.75

s) tended to lead to lowered self esteem and de-motivation amongst staff

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	0	1	4	17	1.27
School A	0	0	3	10	1.23
School B	0	0	1	7	1.13
School C	0	1	1	9	1.27
Teacher Total	0	1	5	26	1.22

t) been used to determine performance related pay increases

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	4	7	5	6	2.41
School A	8	1	2	2	3.15
School B	3	1	1	3	2.50
School C	5	1	2	2	2.90
Teacher Total	16	3	5	7	2.90

u) been overly bureaucratic and cumbersome

	Mostly	Often	Sometimes	Seldom	Item Average
Heads	0	3	4	15	1.45
School A	2	1	3	5	2.00
School B	1	1	4	2	2.13
School C	1	1	5	4	1.91
Teacher Total	4	3	12	11	2.00

v) The introduction of appraisal in my school has been

	Very effective	Effective	Fairly Effective	Ineffective	Item Average
Heads	6	7	8	0	2.90
School A	0	1	7	5	1.69
School B	1	1	3	3	2.00
School C	0	7	2	1	2.60
Teacher Total	1	9	12	9	2.06

w) In improving the quality of education for pupils the process has been

	Very effective	Effective	Fairly Effective	Ineffective	Item Average
Head	4	8	9	0	2.76
School A	0	2	2	8	1.50
School B	1	2	1	4	2.00
School C	0	5	5	0	2.50
Teacher Total	1	9	8	12	1.97

x) In improving the performance of teachers the process has been

	Very effective	Effective	Fairly Effective	Ineffective	Item Average
Heads	5	8	8	0	2.86
School A	0	3	4	4	1.91
School B	0	3	2	3	2.00
School C	1	6	2	1	2.70
Teacher Total	1	12	8	8	2.21

y) As a Head-teacher / teacher, I have found the process

	Very useful	Useful	Fairly useful	Not very useful	Item Average
Heads	12	4	5	0	3.33
School A	0	3	5	5	1.85
School B	0	3	1	4	1.88
School C	4	2	3	2	2.73
Teacher Total	4	8	9	11	2.16

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Name of thesis The Preceived Effectiveness Of Performance Appraisal In Gauteng Independent Schools Weaver S 1999

PUBLISHER:
University of the Witwatersrand, Johannesburg
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