

**TEACHER APPRAISAL: AN EVALUATION OF PRACTICES IN
BOTSWANA SECONDARY SCHOOLS**

by

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I declare that:

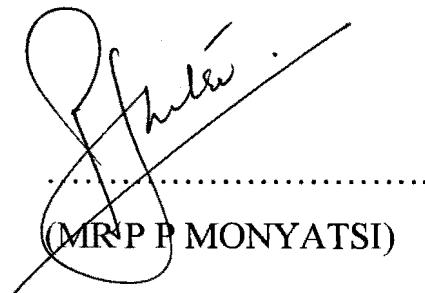
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A handwritten signature in black ink, appearing to read "Monyatsi". Below the signature, the name "(MR P P MONYATSI)" is printed in a smaller, sans-serif font.

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SUMMARY OF THE THESIS

This study is an evaluation of the effectiveness of the current teacher appraisal system as practised in Botswana secondary schools. The study sought to establish *inter alia* the relationship between the current teacher appraisal and the day to day duties of teachers, the extent to which it leads to improvements in the teaching and students' learning process, how it addresses the staff development needs of the teachers, and whether the mechanisms and procedures for the management and implementation of the appraisal system in the schools is adequate.

Teacher appraisal was defined as a process of staff development aimed at the professional development of the teacher through collegial interaction in order to enhance the quality of teaching and students' learning. Other strategies to achieve the effectiveness were also discussed in the thesis.

Chapter One of the thesis provided the orientation of the study, while Chapter Two looked at the international literature on appraisal, including two case studies on the introduction of teacher appraisal in Great Britain and the United States of America. Chapter Three provided the contextual literature for the study. Chapter Four provided the research design of the study. Chapter Five discussed and analysed the research findings and Chapter Six presented the summary, conclusions and recommendations of the study.

A survey questionnaire based on a five items Likert Scale and a semi-structured interview were used to collect data. The study was carried out in

the Southern Region of Botswana in the Lobatse and Kanye Clusters of secondary schools.

From both the literature reviews and the empirical research findings, it became clear that:

- Teacher appraisal is a process and not an event;
- The clarity of the purpose of the appraisal process is fundamental to its effectiveness;
- The training of both the appraisees and appraisers on the appraisal process is crucial to its effectiveness;
- Feedback is a *sine qua non* for the appraisal process to be effective.

Key terms

- Professional development
- Staff development
- Transparency
- Feedback
- Classroom observation
- In-service training
- Collaboration
- Review
- Evaluation
- Accountability

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LIST OF ABBREVIATIONS

BGCSE	Botswana General Certificate of Secondary Education
BOFESETE	Botswana Federation of Secondary School Teachers
BTU	Botswana Teachers' Union
COSC	Cambridge Overseas School Certificate
DSE	Department of Secondary Education
JC	Junior Certificate
JEUT	Job Evaluation Unsatisfied Teachers
NDP	National Development Plan
RNPE	Revised National Policy on Education
SMA	School Management Advisor
SMT	Senior Management Team
TSM	Teaching Service Management
TT & D	Teacher Training and Development
UTS	Unified Teaching Service

CHAPTER ONE

ORIENTATION OF THE STUDY

1.1 INTRODUCTION

The importance of appraisal in any organization cannot be overemphasized. A lot of literature on staff appraisal covering a wide spectrum of fields such as commerce and industry, private and public sectors, including schools, has been produced and it generally identifies three main purposes of appraisal, namely to:

- i) serve as a basis for modifying or changing behaviour towards more effective working habits;
- ii) provide adequate feedback to each employee on his/her performance; and
- iii) provide data to managers with which they may judge future assignments and compensation (Hodgetts & Kuratko 1991:602; Kermally 1997:90; Mullins 1996:640).

Mullins (1996:639) captures the essence of appraisal in managerial context when he declares:

A comprehensive appraisal system can provide the basis for key managerial decisions such as those related to the allocation of duties and responsibilities, pay, delegation, levels of supervision, promotions, training and development needs, and terminations.

Hodgetts and Kuratko (1991:602) identify five main characteristics of a well-designed appraisal system. Firstly, they point out that an effective appraisal system should be tied to the person's job and measure the individual's ability to successfully carry out the requirements of the position. Secondly, it is based on standards of desired performance that were explained to the personnel in advance. Thirdly, it is comprehensive, measuring all of the important aspects of the job rather than just one or two. Fourthly, it is objective, measuring task performance rather than the interpersonal relationship of the rater and the ratee. Finally, it is designed to pinpoint the strong points and shortcomings of the personnel and provide a basis for explaining why these shortcomings exist and what can be done about them.

It can therefore be argued from the above that appraisal is used as a technique to influence and control employee behaviour in order to increase productivity and effectiveness. It also serves to provide accountability for better services to the public.

Although there are similarities in the purposes of appraisal across all organizations, it appears that the nature of the organization dictates the nature of the system of appraisal to be followed. Literature on teacher appraisal shows that it can be very complex as it involves a number of factors that can either impede or support educator effectiveness (Malongwa 1995:153). Williams (1995:74) argues that borrowing slavishly from the economic models of appraisal can be disastrous as educational organizations are never simple closed systems. Furthermore, job descriptions, which are a key element in appraisal, are not devised for individual teachers but for the whole teaching staff.

Education is undergoing major changes and development worldwide. Stoll and Fink (1996:xi) emphasize this point and note that "... school systems throughout the world have come under political attack. Decentralization, market-based reforms and high stakes testing, among other changes, have become accepted practice" and hope that these changes will "...improve the lives of pupils". Bennett, Crawford, Riches and Riches (1992:1) made reference to this trend of changes and developments. They state that "...since the 1980's school and college management throughout the world have had to cope with a set of responsibilities and expectations that have been changing with increasing speed". This, they claim, has led to a debate about the nature of education, its relation to training, and the role and responsibilities of teachers and lecturers. Motswakae (1990:6) contends that governments worldwide are becoming aware of the need to examine carefully and critically the education provided in order to ensure relevance and appropriateness to the needs of the young; and this is to further ensure the effective delivery that is consistent with educational aims.

It can therefore be inferred that educator appraisal is of topical importance as its main objective is to improve individual performance and motivation. It further aims to enhance learning opportunities for all students. Schools, like all public organizations, are being called upon to be accountable, and Whitaker (1998:106) maintains that "... issues of accountability are never far from our minds these days and it is vital to be clear about our responsibilities to share information and explanations with those who are concerned with the school". Darling-Hammond and Ascher (1992:2) emphasize this by pointing out that "... performance indicators...are information for the accountability system; they are not the system itself. Accountability (that is, responsible practice and

responsiveness to clients) occurs only when a useful set of processes exists for interpreting and acting on the information". Bell (1992:126-7) further argues that appraisal has a part to play in making educators accountable to the parents for the education of their children. It also affords parents a further assurance of the quality of teaching which their children receive.

Quality in education can be realized through an appraisal system that is based on the improvement of individual performance, which in turn leads to improved working relationships and development of the individual's career (Everard & Morris 1996:79). Individual performance can be enhanced through the identification of one's strengths and weaknesses. As indicated earlier, one of the main purposes of appraisal is to provide adequate feedback on performance and Poster and Poster (1992:1) take up this conception when they declare that:

If employees are to perform effectively, they must be well motivated, understand what is expected of them and have the ability and skills to fulfil their responsibilities.

Literature search has revealed many definitions of what appraisal is. Goddard and Emerson (1995:11) refer to teacher appraisal as:

...a continuous and systematic process intended to help individual teachers with their professional development and career planning, and to help ensure that the in-service training, and development of teachers matches the complementary needs of individual teachers and the schools.

Goddard and Emerson (1995:11) further argue that the cornerstone of appraisal is the belief that educators wish to improve their performance in order to enhance the education of students. The sentiments expressed in the above definition integrate both the developmental and accountability models of appraisal. It can therefore be concluded that appraisal is a process of staff development aimed at professional development through collegial interaction in order to enhance the quality of teaching and students' learning. This implies involvement in the programmes and does not treat teachers as objects to be developed by experts.

1.2 BRIEF HISTORY OF EDUCATION IN BOTSWANA

Although the history of western education in Botswana dates as far back as the colonial era, this brief will, firstly, only concentrate on developments since the first National Commission on Education which was set up in 1976. It was set up because the Government of Botswana realized that the education system inherited at independence in 1966 was lacking in many respects (Molosi 1993:41). The Botswana Government had realized that the colonial education was less reflective of the social, cultural, political, and economic aspirations of the people of Botswana. The report produced by the first National Commission on Education was set forth in the *Government White Paper No. 1 of 1977: National Policy on Education*, which is also called *Education for Kagisano (Social Harmony)*. It laid down the policy and strategy for educational development that the Government of Botswana intended to pursue (Republic of Botswana 1977b:1). Secondly, only developments in secondary education will be addressed as the study is set in that context.

The first National Commission on Education and the resultant *Government White Paper No. 1 of 1977* proposed reforms that called for rapid and massive expansion in both qualitative and quantitative terms. It called for a total restructuring of the secondary education system from a junior secondary phase of three years and a phase of two years senior secondary to a junior secondary phase of two years and a senior secondary phase of three years (Republic of Botswana 1977b:6).

The aim was to expand basic education from seven to nine years. As shown below, the implications of this expansion were far-reaching. However, due to the world economic recession of the 1980's that also badly affected Botswana, and a seven years spell of drought, full implementation was delayed until the beginning of the National Development Plan (NDP) 6 of 1985-91. Despite these negative economic indicators, some initial steps were taken to lead to the consolidation of programmes and strategies for the new era in the history of education in Botswana (Molosi 1993:44). By 1985, some results of the expansion were already apparent as shown by the increase in student enrolments.

From 1985 onwards, more junior secondary schools were built at an average rate of 15 per year while the senior secondary schools were expanded to cater for junior secondary output (Motswakae 1990:3). According to Molosi (1993:47), at the time the National Commission on Education submitted its report in 1977 there were only 32 secondary schools in Botswana of which 15 offered both junior and senior secondary education; while 17 offered junior secondary education only. At the inception of the National Development Plan 6 in 1985, there were 62 secondary schools, consisting of 23 government and state aided secondary schools and 39 junior secondary schools. At that time, the total

learner enrolment was 32 172 with 1 368 teachers (Republic of Botswana 1985a:139). The National Development Plan 6 further points out that “... the expansion of secondary education makes it a high priority for the Ministry of Education to provide a relevant curriculum and sufficient teachers ...”.

Government Paper No. 1 of 1977 pointed out that “... in the long run there will be a major demand for teachers for the intermediate schools and a need for additional capacity to train teachers for these schools”. Guided by the proposals of the National Commission on Education of 1977, the Government of Botswana adopted strategies to address the problem of shortage of teachers: firstly, untrained staff were recruited from those who completed secondary education; secondly, recruitment from outside Botswana was intensified; and thirdly, two Colleges of Education were built during NDP 6, namely Molepolole College of Education in 1985 and Tonota College of Education in 1990. The two colleges trained for the junior secondary phase only (Republic of Botswana 1991a:321). In addition, the content of the secondary school curriculum was diversified to include among others vocational subjects such as Agricultural Science Education, Design and Technology, and Home Economics.

Before the nine years of basic education fully came into effect, there was a public outcry for return to a phase of three years junior secondary. The government was called upon to take concrete steps to address the perceived falling standards in education as a result of the expansion. As clearly stated in the Report of the National Commission of 1993, “... for the junior secondary sector, a significant achievement is widely perceived as a failure. Some of the problems perceived in relation to junior

secondary education result from flaws in policies and weaknesses of implementation; some are the results of developments that are not clearly understood by members of the public and others involved. The achievement at this level has been to provide a massive expansion of educational opportunity, so that now 95% of primary school leavers go on to secondary education compared to 35% in 1977" (Republic of Botswana 1993:x). It was therefore in response to this perception of falling standards that the Government of Botswana responded by setting up a second National Commission on Education in 1992 in an effort to overhaul the education system. The subsequent *Government White Paper No. 2 of April 1994, the Revised National Policy on Education* brought in ten years of basic education by re-introducing three years of junior secondary education. This ushered in a new ray of hope for success as the reduction of the junior secondary period to two years had led the public to lose confidence in the quality of the products. Very few Junior Certificate holders found employment in the labour market, while entry requirements into training institutions were raised to Cambridge Overseas School Leaving Certificate.

1.3 APPRAISAL IN BOTSWANA SECONDARY SCHOOLS

As a result of the proposed educational reforms enunciated in the *Government White Paper No. 1 of 1977* mentioned earlier, the Botswana education system had to adjust. It was realized that since 1977, there had been many social and economic changes and the education system had grown in size and complexity (Republic of Botswana 1993:v). Schools were called upon to improve their teaching and this called for improved supervision (Hopkin 1997:69). This expansion, coupled with the diversification of the curriculum, mass production of teachers, the

existence of a large number of untrained and expatriate staff, and an increased enrolment of mixed abilities students, could only be expected to make teaching more complex and demanding. Educators were asked to reformulate their educational goals and to be more conversant with the new emerging concepts and strategies. They were expected to be involved in more staff development activities (Motswakae 1990:10).

Envisaging the massive expansion and the resultant implications, the first National Commission on Education of 1976 recommended the strengthening of supervisory roles by maintaining a closer link between teachers in the field and the headquarters of the Ministry of Education (Republic of Botswana 1977b:9). It further recommended more and regular assistance and professional stimulation to teachers in the classroom (Republic of Botswana 1994a:47). The commission recognized the need to improve the conditions of service for teachers in order to improve their morale.

In order to address the above challenges, the Unified Teaching Service (UTS), (a body that employs all teachers for government schools in Botswana), now called Teaching Service Management (TSM), introduced annual confidential reports in 1983 (Motswakae 1990:4). Head teachers completed the confidential reports and the forms were in two categories. Form UTS 3 was for probationers and the contents were not disclosed to the teachers except in extreme cases where the shortcomings were communicated by letter. Form UTS 4 covered all other practitioners who were allowed to see the reports and sign them as acknowledgement. These forms formed the basis for teachers' considerations for promotion, annual increment, and other benefits. They were also used for disciplinary measures if the need arose (Unified Teaching Service (UTS) 1983:1).

According to Motswakae (1990:6) and Molosi (1993:52), the introduction of the confidential report forms should be viewed as a way of making schools accountable as a lot of public funds are involved. For instance, the percentage of the overall central government expenditure on education was 15.8% in the 1984/85 financial year and 16.25% in the 1990/91 financial year. The call for schools to be accountable is not peculiar to Botswana as literature on teacher appraisal in the United Kingdom and the United States of America indicates that "... the accountability movement" started in these countries in the 1960's and 1970's (Poster & Poster 1992:22; Scott 1994:168-171).

In an attempt to strengthen supervisory roles and performance, the Government White Paper on Job Evaluation for Teachers was implemented in 1988 (Republic of Botswana 1994a:47). It stressed the need to subject teachers to some form of continuous assessment to determine whether they were eligible for salary increment and promotion. The White Paper clearly linked performance appraisal with control purposes, with emphasis on reward. This did not augur well with teachers and their associations (Vanqa 1998:206). Poster and Poster (1992:6) warn that appraisal should not be confused with merit rating as this can only lead to a lot of resistance and demotivation on the part of staff.

The teachers, through their unions and associations, spoke vehemently against the annual confidential reports and the implementation of the White Paper on Job Evaluation for Teachers, demanding a fair system of assessment that was not threatening. As a result, a committee chaired by the Deputy Director of the Unified Teaching Service was appointed in 1991 to devise a non-threatening, valid, and comprehensive system which would offer teachers the opportunity to learn in a situation that would

develop the individual and the school (Republic of Botswana 1994a:47). The committee came up with an instrument entitled: 'Teacher Performance Appraisal': Form UTS 3/4 (Republic of Botswana 1991b:1). In the preamble it states that:

The purpose of this appraisal is to assess objectively the performance of the teacher in his/her post. This should indicate whether the performance level justifies:

- a) Some reward or not.*
- b) Specific training that the teacher should receive to improve performance or productivity.*
- c) The appointment of the teacher to a higher position, or the advancement to a higher notch or grade.*

The newly devised instrument was to be piloted in secondary schools from 1991 to 1993 and all concerned were to be trained. It was to be a continuous process involving support or staff development (Republic of Botswana 1994a:48). These aspects of appraisal have been present in the United Kingdom, as indicated by Williams (1995:81) and Horne and Pierce (1996:8).

1.4 SIGNIFICANCE OF THE STUDY

Staff appraisal in Botswana secondary schools has been ongoing for over eight years. It can therefore be assumed that it has had an impact on the performance of schools. The research is designed to evaluate its effectiveness since it was introduced in 1992 and the extent to which it has enhanced individual development and improvements in teaching and

student learning. The study of teacher appraisal becomes of interest in the Botswana education system for a number of reasons:

- i) Since its introduction in 1992, very little empirical research was carried out to establish whether the scheme addresses what it was intended to.
- ii) Recommendation 112 (c) of the Revised National Policy on Education suggested that head teachers should receive continuous management training involving skills of staff performance appraisal (Republic of Botswana 1994b:50). The study is important for the management training referred to.
- iii) It is a statutory requirement that must be carried out in all schools.
- iv) Furthermore, the study is significant as it may provide empirical findings that will make valuable contributions to the improvement of staff appraisal.

1.5 PROBLEM STATEMENT

Teacher appraisal in Botswana secondary schools dates back to 1983 with the introduction of the annual confidential reports (Motswakae 1996:71). Since the introduction of the current teacher appraisal scheme in 1992, very little research has been carried out to determine the extent to which it effectively serves the purposes for which it was introduced.

The main research question of the study is: How effective is the current system of teacher appraisal as practised in Botswana secondary schools? Out of this main research question, the following sub-questions emerge:

- a) How do the purposes of the current system of appraisal relate to the day-to-day duties of teachers?
- b) To what extent does the current system of appraisal lead to improvements in teaching and the students learning process?
- c) To what extent does the current system of appraisal equip teachers with the knowledge, skills and attitudes necessary to perform their duties effectively?
- d) How effective is the current system of staff appraisal in addressing the staff development, in-service training, and career opportunities for teachers in secondary schools?
- e) How adequate are the mechanisms and procedures for the management and implementation of the current system of appraisal in schools?

1.6 OBJECTIVES OF THE STUDY

The study aims to:

- i) identify and discuss the purposes of teacher appraisal as practised in Botswana secondary schools with a view of establishing its relevance and effectiveness.
- ii) assess the effectiveness of appraisal in addressing the professional needs of teachers in respect to staff development, in-service training, and career development.
- iii) find out whether appraisal equips teachers with the knowledge, skills, and attitudes necessary to be more effective in their day-to-day duties.

- iv) examine the link between staff appraisal and the processes of teaching and learning in schools.
- v) ascertain the extent to which the mechanisms and procedures for the management and implementation of the current system are adequate.
- vi) establish teachers' perceptions and opinions about the current system of appraisal with a view to contribute to the development of a model for effective teacher appraisal in Botswana secondary schools.

From the review of the international literature on staff appraisal, several characteristics of the ideal type may emerge, and key patterns and models of interaction may be identified. These will then be used to consider the implications of the Botswana study in the light of the theoretical issues raised in the international literature.

1.7 RESEARCH METHODS AND DESIGN

1.7.1 Research methods

Currently there is an ongoing debate over the most appropriate methods of research inquiry in the social sciences generally, and in educational research in particular. This revolves around the paradigms that guide and inform research in the social sciences, especially data collection methods, research techniques, and the trustworthiness of research findings. The whole debate centres around the dominant methodologies in the quantitative and qualitative traditions which are grounded on different foundations with regards to the nature of social reality, objectivity-subjectivity, the issue of causality, and issues of values (Magagula 1996:5; Denzin & Lincoln 1998:8; Vulliamy, Lewin and Stephens

1990:11). The methodology for this study will be discussed in more detail in Chapter 4.

1.7.2 Data collection techniques

The study adopts a combination of both the quantitative and qualitative approaches to social inquiry. According to Cohen and Manion (1995:233) and Vulliamy, Lewin and Stephens (1990:159), the advantages of integrating the two approaches in one study are manifold. Firstly, it maintains a balance since qualitative data is strong in depth and interprets the specific while quantitative data can be generalized to a larger population. Secondly, integration can serve purposes of triangulation, thus enhancing the trustworthiness of the findings. Thirdly, data from interviews can be viewed as adding flesh to the one collected through the survey questionnaire.

It must further be pointed out that the two methods are not mutually exclusive, but can be complimentary. The research techniques used in this study for data collection are the semi-structured interview and the survey questionnaire. Data collection techniques are discussed in detail in Chapter Four.

1.7.3 Population and sampling procedures

For governance purposes, Botswana is divided into five regions, thereby taking care of the 231 government-aided and government secondary schools. This study focuses on the Southern Region that is also subdivided into seven clusters with a total of 42 secondary schools and 1 151 teachers. The target population for this study are the two clusters: Lobatse and Kanye with a total of 17 schools and 607 teachers.

The sample for the survey questionnaire comprises all the 607 teachers in the 17 schools who have been in the service for more than three months at the time of the survey. The reason for the larger number is to get more background information and add breadth. Because the two clusters are typical of secondary schools in Botswana in terms of staffing, supervision, professional development and training, such typicality increases the external validity of the sample. The two clusters are also chosen because, as the researcher once worked in the region, it would be easier to negotiate for access into the schools.

For the semi-structured interview, purposive sampling is utilized. Patton (1990:184) advises that sample size in qualitative inquiry depends on what you want to know; the purpose of the inquiry; credibility of methods and sources; and information-rich sources. Information-rich sources are cases from which one can learn a great deal about matters of importance. For the in-depth interviews, ten information-rich cases are selected from the 607 teachers in the 17 targeted schools. The researcher carries out all interviews.

The population and sampling procedures is discussed in more details in Chapter Four.

1.8 DEFINITION OF TERMS

Having established the general background and the methodology of the study, the relevant terms: *teacher appraisal*, *evaluation*, and *inspection* are used as follows in the study.

1.8.1 Teacher appraisal

According to Hornby (1989), appraisal means the act of valuing (something). Keitseng (1999:24) concurs when he states that "... appraisal is the ability to form judgement about the value of communication, a fact or data". Poster and Poster (1992:1) and Goddard and Emerson (1995:10) identify two models of appraisal, namely the accountability model and the staff development model. The accountability model checks whether teachers are doing their job properly; it emphasizes the making of judgements about the teacher. On the other hand, the staff development model emphasizes improvements in the knowledge, skills, and attitudes associated with teaching.

Whitaker (1998:107) asserts that appraisal has the potential to be a highly powerful aid to personal and professional development. Trethowan (1991:181) highlights the importance of the professional development model when he suggests that:

...appraisal is a relationship; it is a method of managing and of being managed. It is day-to-day support; it is continuous staff development. It is agreeing high but achievable targets and it is the management of the conditions in which teachers work.

Appraisal means being in and around the teacher's work to catch the teacher "...doing something right". It means being available for advice and support when things go wrong. It means understanding the task which the teacher is undertaking – its purposes, its place in the total education of the child and its peculiar local difficulties. It means that someone, in addition to the teacher is directly, personally and continuously responsible for the teacher's performance.

Teacher appraisal in this study concerns those activities in the teacher's day-to-day duties that may lead to professional development. It is a process that is systematically designed to improve the skills, knowledge, and attitudes of educators through collegial interaction in order to enhance the twin processes of teaching and learning.

Latham and Wexley (1994:6) point out that performance appraisal is the fundamental requirement for improving the productivity of an organization's human resources. In this study, teacher appraisal thus also embraces the positive aspects from the accountability and professional development models.

1.8.2 Evaluation

Leask and Terrell (1997:169) contend that the term *evaluation* is a generic term used to describe any activity where the quality of provision is the subject of systematic study. They further argue that "... evaluation encompasses formative processes (monitoring, appraisal) and summative processes (assessment, review), but it goes beyond these when it is used to describe a more formal process of collecting and analysing data and reporting of findings, ...evaluation is undertaken in order to provide information on which professional judgements are made".

We can infer from the above description that the essential feature of evaluation is to gather information and make professional judgement. This view is implicitly supported by Glover and Law (1996:160) when they assert that "... the evaluation process includes planning based on past experience in meeting needs; achieving aims through a balanced approach to individual and group learning; developing and using

information; and using particular activities to guide future action-planning”.

The above descriptions are appropriate for this study as it aims at gathering information from the teachers on the effectiveness of the current appraisal system in Botswana secondary schools; and the information is used to make professional judgements on the findings. The purpose of evaluation in this study is to get feedback from the teachers so as to have sound evidence on which to base decisions.

1.8.3 Inspection

According to Stoneham (1997:1), *inspection* can be defined as:

...that specific occasion when an educational institution is examined and evaluated as a place of learning in such a way that advice may be given for its improvement.

Office for Standards in Education (Ofsted) (1995:3) maintains that “... the purpose of inspection is to identify strengths and weaknesses in schools in order that they may improve the quality of education offered and raise the standard achieved by their pupils”. A report on the training of inspectors identifies some of the purposes of inspection as to “... check implementation of education policies, identify needs, provide advice to schools, evaluate the performance of teachers and schools, monitor instruction, collect data, encourage change and development, ensure quality by maintaining and improving standards, and provide feedback to the Ministry of Education and other stakeholders” (Hulela 2000:3).

White (1993:10) declares that:

One major function of inspection is to facilitate the flow of ideas, data and information about its nature and quality of education throughout the school system; to practitioners and managers in the field, to policy makers, planners, curriculum developers, and in-service providers. This may be summarized as: gathering, analysing and advising.

For the purposes of this study, inspection is viewed as a process designed to monitor the education system to ensure equity, relevance, effectiveness, efficiency, and cost effectiveness.

1.9 ORGANIZATION OF THE STUDY

This thesis is divided into six chapters. Chapter One serves as the orientation of the study. It sets the background and context of the study. In Chapter Two, theoretical issues related to this study are presented by reviewing available literature on teacher appraisal. Chapter Three deals with issues related to the context of the present study, focusing particularly on teacher appraisal in Botswana secondary schools. Chapter Four discusses the methodology employed in the study, including issues pertaining to data collection, presentation, and analysis. In Chapter Five, research findings from both the survey questionnaire and semi-structured interview are analysed and discussed, while Chapter Six discusses the conclusions and makes recommendations from this study.

1.10 SUMMARY

This chapter set the background to the study by highlighting the concept of appraisal in general, and then focusing briefly on teacher appraisal. It also served to define the problem statement and the reason why teacher appraisal is of topical interest. It described the methods of investigation and defined important concepts.

The next chapter reviews international literature on teacher appraisal.

CHAPTER TWO

LITERATURE REVIEW

2.1 INTRODUCTION

The purpose of this chapter is to provide a theoretical framework for the study. Literature on appraisal ranging from books, journals, dissertations and theses, official documents, including print media and conference papers has been reviewed. The first part reviews the concept of appraisal by looking at the definitions and purposes of performance appraisal in organizations in general. Although the focus of this study is teacher appraisal, the purpose of this discussion is to create a context for subsequent discussions on the various aspects of staff appraisal in education. Interventions such as the school effectiveness movement, school development planning, and inspections, and how they relate to the process of appraisal are discussed. The chapter discusses the advantages and disadvantages of appraisal. The models of appraisal are also reviewed, including how they were implemented in educational settings in various countries. The final part of the chapter provides two case studies of how teacher appraisal was introduced in Great Britain and the United States of America. The case studies help in providing insights of how teacher appraisal was introduced, highlighting the reasons for the need of such an intervention in education in order to inform this study.

2.2 PERFORMANCE APPRAISAL

Throughout the history of mankind, appraisal has always been there as people are always appraising situations, largely in unstructured and informal ways. It has served as an unstructured reflection on experiences

in order to learn from and through those experiences. Whitaker (1998:108) maintains that if structured, the process of appraisal is an aid to professional development. Poster and Poster (1992:1) in their description of appraisal in organizations state that "...it is a means of promoting, through the use of certain techniques and procedures, the organization's ability to accomplish its mission of maintaining and improving what it provides while at the same time seeking to maintain or enhance staff satisfaction and development". Sharing this sentiment is the definition offered by Fisher (1995:11) that it is "... a process of management which entails improving the organization's performance through the enhanced performance of individuals". Hodgetts and Kuratko (1991:602) maintain that it is one of the most common procedures used to control an organization's personnel. They define performance appraisal as "... an evaluation system that provides both managers and subordinates with feedback on the subordinate's performance" (ibid:632).

During the process of appraisal data is gathered by systematic observations, not to only measure current performance, but also to reinforce strengths, identify deficiencies, give feedback and the necessary information for changes in future performance. For appraisal to be effective, it is argued that it should be treated as an ongoing cooperative intervention between supervisor and subordinate; a shared responsibility, not a once-a-year traumatic confrontation. Habangaan (1998:15) asserts that if it is treated as an event, it becomes judgemental, hence detrimental to individual growth and development.

Mullins (1996:640) declares that performance appraisal has its roots in three well-substantiated psychological principles, and he asserts that people work/learn/achieve more when they are given:

- adequate feedback as to how they are performing, in other words, knowledge of results;
- clear attainable goals; and
- involvement in the setting of tasks and goals.

In summary, performance appraisal should be viewed as one of those processes in organizations which aim at enhancing productivity through mutual interaction between the supervisor and the subordinate. The feedback provided during the appraisal process is vital in informing all those involved in the organization about what ought to be done in order to map the way forward. It is therefore important to understand the purposes of an appraisal scheme in any organization if the process is to be effective.

2.3 PURPOSES OF APPRAISAL

As indicated earlier in section 1.1, appraisal serves several purposes in organizations. It has been indicated that performance appraisal programmes can be made considerably more effective if management fits practice to purpose when setting goals and selecting techniques to achieve them. Stronge (1991) in Mo, Corners and McComick (1998:23) emphasizes the importance of purpose by arguing that "... if an appraisal system does not have a clear purpose, it will just be a meaningless exercise".

Studies on performance appraisal show that various authors and researchers have come up with several purposes of appraisal. Kermally (1997:89) contends that employees are one of the key groups of stakeholders involved in any organization. Therefore, apart from

recognizing their interests and expectations, from the perspectives of organizations, it is important to measure their effectiveness in making contribution towards organizational activities and success. After measuring their effectiveness, it is important that they know how they fared. This is where appraisal plays an important role as Taylor (1998:10) notes that “... appraisal involves letting people know what is required and expected of them, assessing how they are doing, reviewing this with them regularly and agreeing with them what happens next”. Appraisal can therefore be viewed as a social relationship characterized by information sharing to avoid conflict and enhance effectiveness. Mullins (1996:639) contends that appraisal is one way in which to review the performance and potential of staff. He points out that an effective appraisal scheme offers a number of potential benefits to both the individual and the organization such as:

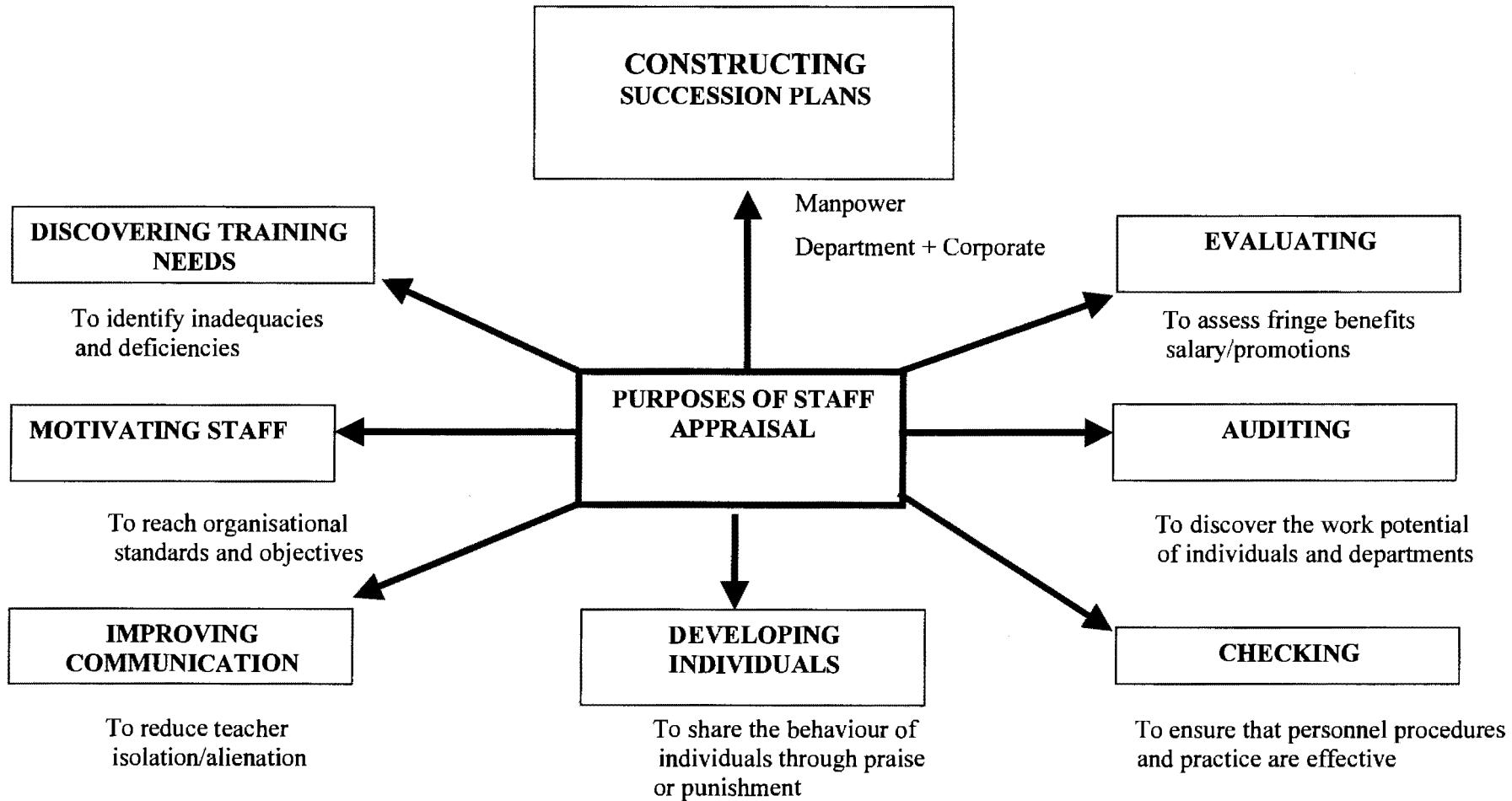
- the identification of individual's strengths and weaknesses, and an indication of how such strengths may best be utilized and weaknesses overcome;
- helping reveal problems which may be restricting progress and causing inefficient work practices;
- developing a greater degree of consistency through regular feedback on performance and discussion about potential which encourages better performance from staff;
- providing information for human resource planning to assist succession planning, determine suitability for promotion and for particular types of employment and training;
- improving communication by giving staff the opportunity to talk about their ideas and expectations and how well they are progressing; and

- improving the quality of working life by increasing mutual understanding between managers and their staff.

Glen (1990:2) offers a more focused purpose of appraisal by declaring that “... it measures progress, differentiates between levels of performance, pinpoints training needs, validates rewards, and identifies promotable employees”. Habangaan (1998:31) makes reference to earlier studies by Randell, Packer and Slater (1984) in which they prefer an examination of the purposes of staff appraisal which they contend vary from “organization-centred” to “individual-centred”. The latter, he asserts, are mainly concerned with regulating the behaviour of people or even changing their behaviour by eight factors as illustrated in Figure 2.1.

Figure 2.1: STAFF APPRAISAL PURPOSES MODEL

(Adapted from Randell *et al.* 1984:13)



It should be pointed out that Randell, Packer and Slater (1984:15) identified seven factors and Habangaan (1998:31) added the eighth one because he is of the view that appraisal improves communication, a point supported by Taylor (1998:10) who defines appraisal as "... the ongoing, two-way process which assesses and reviews capabilities, performance, and needs".

Randell *et al.* (1984), quoted in Motswakae (1990:24) caution that the purposes may overlap and merge, and sometimes even clash with each other. Some of these purposes are discussed below:

- **Discovering training needs.** From the feedback generated through the appraisal process, it becomes easier to identify the strengths and inadequacies of employees and harness them for the benefit of both the individual and the organization. Dunham (1995:103) asserts that "... it is a good organizational resource to link the review or appraisal system to in-service training provision, so that appropriate opportunities are offered for continuing staff development".
- **Motivating staff.** West and Ainscow (1991:33) point out that there is evidence from studies of motivational patterns that individual commitment and satisfaction can be encouraged by some system for identifying individual goals and for giving feedback to the individual on progress towards these goals. Appraisal has the potential to motivate staff as it gives teachers a clearer view of their job, their aims and what is expected of them, and of the aims of the school.
- **Improving communication.** If appraisal is carried out properly in a conducive non-threatening atmosphere, it helps the teachers to

open up and share their experiences with colleagues, thus reducing the traditional isolation and alienation which is generally associated with teaching (Goddard & Emerson 1995:22; Habangaan 1998:31).

- **Developing individuals.** As indicated in section 1.1, one of the main purposes of appraisal is to serve as a basis for modifying or changing behaviour towards more effective working habits. Goddard and Emerson (1995:14) contend that during the appraisal process the teacher's interests are explored and matched against opportunities and challenges in the school. If any weaknesses are identified, the teacher is helped through counselling, coaching, and mentoring.
- **Checking.** Appraisal integrates the individual and the organization by harnessing the unique talents of the individual and coordinating their activities towards the achievement of the organization's objectives by efficient and effective means (Poster & Poster 1992:2).
- **Auditing.** According to Goddard and Emerson 1995:23), appraisal provides the basis for the school audit and review as it brings to light information and judgements on where teachers feel unable to work to their full potential to satisfy the demands of their job descriptions.
- **Evaluating.** There are problems with linking appraisal to pay and promotion, and these include teachers hiding their shortcomings for fear of losing out, the difficulty of establishing criteria to be used to award pay or promotion, and the operation of a performance-related scheme as school budgets do not have surpluses for bonuses. However, Goddard and Emerson (1995:16) maintain that there are good reasons for organizations to reward

those employees who perform well as this motivates them to do more, and those who are lacking in any respect will try to exert more effort to be rewarded when time comes.

- **Constructing succession plans.** Appraisal should be set in the context of the objectives of the school, which will generally be expressed in a school development plan. Targets set during the appraisal process should serve as a basis for constructing future development plans in schools. For instance, feedback from the appraisal process helps inform the school on what to include in the next development plan.

From the above discussion, it is apparent that an appraisal system can be more effective if it takes cognisance of the feelings, views, and perceptions of the people being appraised. In other words, the purposes of appraisal should be contextually focused in order to avoid conflict. It has also been pointed out that although appraisal is as important in education as in business, the purposes are different.

This difference in purpose is clearly illustrated in the following section which looks at the concept of teacher appraisal, and then compares appraisal in teaching to that in commerce and industry.

2.4 TEACHER APPRAISAL

2.4.1 Definition

Goddard and Emerson (1995:11) define teacher appraisal as:

...a continuous and systematic process intended to help individual teachers with their professional development and career planning,

and to help ensure that the in-service training and deployment of teachers matches the complimentary needs of individual teachers and the school.

Teacher appraisal as explicitly described above is an intervention which aims to benefit both the individual and the school in pursuit of quality education. According to Poster and Poster (1992:2), "... appraisal is one of a number of techniques for integrating the individual into the organization". In other words, it helps harness the unique talents of individuals and coordinates their activities towards the achievement of the organization's objectives by efficient and effective means. While Trethewan (1991:181) refers to it as a relationship and being in and around the teacher's work catching the teacher doing something right. Everard and Morris (1996:79) cogently state that it is "... an opportunity for the individual to meet with his or her manager to take stock of their individual and joint achievements. After the meeting, there should be an agreement on action needed to improve the performance of the individual; improve the working relationships; and develop the individual's career".

Teacher appraisal as illustrated in section 1.8.1 should be viewed as one of those interventions which aims at developing the teacher's knowledge, skills, and confidence in order to improve the effectiveness of teaching and students' learning. Teacher appraisal can therefore be defined as a process which enables the professional development of teachers in order to improve the quality of education.

Appraisal in teaching is carried out differently from industry and commerce, and for different reasons as shown below.

2.4.2 Appraisal in teaching versus appraisal in commerce and Industry

Relevant literature suggests that the basic principles underlying appraisal schemes in all organizations are similar (Dunham 1995:94; Goddard & Emerson 1995:4; Wragg, Wikeley, Wragg and Haynes 1996:1). Furthermore, studies on teacher appraisal reflect that the current interest in teacher appraisal is a result of a move to relate education to the forces of competition in the market-place (Spring 1996:33; Hlebowitsh & Tellez 1997:263). This, according to Humphreys and Thompson (1995:134) is based on the misconception that the aims of education and those of the market-place are identical. However, an analysis of teacher appraisal reveals that there are differences in the aims of organizations which also influence the way appraisal should be carried out. However, the nature of education, especially teaching differs from the operations of commercial institutions as indicated in the following analysis.

Literature on the origins of teacher appraisal schemes reflects a diversity in the conception of appraisal in education (Sarros & Sarros 1991:5; Duke 1995b:7-8; Fako 1997:4). A closer analysis reveals that the nature of the duty of the organization determines the manner in which the appraisal schemes are implemented. Williams (1995:74) has cogently argued that "... educational organizations are never simple closed systems" and therefore it would be fatal to borrow slavishly from the economic models of appraisal. This is more so if one considers the fact that teaching is a very complex process and its appraisal involves a number of variables which can either support or impede teacher effectiveness (Mackintosh 1991:62; Malongwa 1995:153). Reference to some of these complex variables in teacher appraisal were made by various authors and researchers such as Poster and Poster (1992);

Goddard and Emerson (1995); Hancock and Settle (1996); Wragg *et al.* (1996); and Habangaan (1998).

Everard and Morris (1996:8) present views held by some educational psychologists and theorists demonstrating that "... schools, with their deep-rooted educational values and academic professionalism" are not similar to other organizations. They argue that the contexts of educational and commercial organizations differ fundamentally in that the latter ignore important moral considerations, whereas to an educational undertaking, morality is central. Centrality of morality in education is succinctly argued by Humphreys and Thompson (1995:134) when they point out that "... commodities have no moral responsibility and education should not be reduced to the notion of a commodity which can be consumed by parents and controlled by central government". They further assert that to do so would be to subordinate the role of the teacher to being a transmitter of the state's version of knowledge, rather than allowing students access to a commonwealth of knowledge and societal responsibility which can be acquired through negotiation and dialogue. All these differences are determined by what Poster and Poster (1992:4) refer to as organizational climate. Trethowan (1991:25) describes organizational climate as expectations, attitudes and behaviour of teachers and students.

It is against this background that the concept of appraisal in educational institutions is compared to schemes found in commercial and industrial organizations. It is hoped that such a discussion will give more insights into some misconceptions usually associated with appraisals in education and why some schemes have met with a lot of resistance from the teachers. In an attempt to illustrate the differences, the following aspects

of appraisal will be briefly discussed: on-task appraisal; outcomes appraisal; pay-linked appraisal; and appraisal according to job-descriptions.

Goddard and Emerson (1995:3) maintain that in teacher appraisal, professionals are **observed in the course of their work**. They point out that this feature distinguishes teacher appraisal from most appraisal schemes used in industry and commerce, which rarely include planned observation of employees in the performance of their duties. As it obtains in industry and commerce, the manager can comment on that performance as occasion arises rather than waiting for a pre-arranged situation.

The work environment of teachers plays a significant role in determining the way appraisal is to be carried out. Marsh and Roche (1997:1187) maintain that researchers and practitioners agree that teaching is a complex activity consisting of multiple dimensions (for example, clarity, teachers interactions with students, organization, enthusiasm, to mention a few) and that formative diagnostic evaluations of teachers should reflect this multidimensionality. Bagwandeen (1994:17) and Wragg *et al.* (1996:5) concur with this multidimensionality of teaching by asserting that teaching is not a single skill but combines knowledge, numerous skills of management and communication, relationships, the manifestation of personal traits, values and attitudes, and intricate patterns of behaviour. This complexity makes teaching difficult to carry out or to appraise. It has also been observed that teaching is by nature (tradition) characterized by isolationism and individuality; and classroom doors often remain shut which does not expose the teacher's work to the same daily scrutiny as in industry and commerce (Habangaan 1998:16).

An impromptu visitor thus finds it very difficult to form rapid impressionistic judgement in teaching.

In industry and commerce, professionals are often **judged on outcome** and end-result variables which reflect the achievements of the organization. Glen (1990:3) declares that private firms are looking toward pay for performance to increase productivity, cut costs, reward top performers, and motivate lacklustre workers. Poster and Poster (1992:42) concur with this by pointing out that "... in business it is becoming increasingly common that managers agree on goals with their subordinates and then allow them to achieve these goals in whatever way they think fit. Instead of spending time appraising style, procedures, and activities, the manager will review the employee's success in achieving goals".

However, in education, it is difficult to assess the processes of teaching and learning by outcome alone. Goddard and Emerson (1995:4) indicate that the complex nature of classroom processes and the subtle interaction of teaching and learning are not easy to measure. It can be argued that emphasis on outcome alone, as in industry and commerce, would mean that the assessment concentrates on pupils only without taking cognisance of the teacher's influence. Mackintosh (1991:63) and Poster and Poster (1992:20) are in agreement that student learning is not limited to the formal teaching situations. It has been pointed out that it is very difficult to isolate the effects of the teacher from the many factors such as school, home, friends, and media. Student progress depends on a host of factors over which the classroom teacher has no control such as home circumstances, previous learning experiences, physical resources, and many others. It should be emphasized that this does not mean that

outcome in education is relegated to the periphery, but that outcome only emerges over a child's lifetime.

It has been indicated that **linking appraisal directly to pay** and promotion has led to teacher resistance (Duke 1995b:7; Kyriacou 1995:116; Patience 1995:384). Habangaan (1998:16) contends that commercial appraisal schemes are universally linked to pay and promotion, and a manager will almost certainly take into account the appraisal report when reviewing salaries. This invariably links performance appraisal to pay. In industry and commerce, employees perceive performance-related pay as perfectly reasonable and fair. This may be because their organizations usually realize profit, a virtual prerequisite for pay increase. However, schools will not be able to generate income for performance-related pay through greater efficiency or productivity.

In teaching, productivity does not generate income or profit, and therefore teachers are often not happy when appraisal is linked to pay. Their attitudes towards the whole process of appraisal may change significantly as they may no longer be interested in exposing their weaknesses. Hiding their shortcomings would militate against one of the main tenets of appraisal which is to identify strengths and work on them to overcome weaknesses. Bennett (1992:2-3) and Goddard and Emerson (1995:16) argue that the difficulty of linking performance appraisal to pay would arise concerning the criteria to be used to award pay, as it has already been intimated that teaching is a complex process and outcome may not be the best measure of performance in education. If targets set were to be the determinant factor, the targets would less likely be addressed to the professional needs of individual teachers and the children in their care.

Earlier reference to job descriptions in section 1.1, illustrated that they play a crucial role in appraisal. In industry and commerce, job descriptions are almost clearly defined and are usually given in detail in advertisements. Poster and Poster (1992:41) cogently assert that "... in private sector appraisal schemes, a clear job specification is provided for each member of staff and the appraisal is made against it". It has been observed that in academic institutions, members of staff have to take on *ad hoc* non-teaching responsibilities which oftentimes are of considerable importance to the schools but do not easily fit into a predetermined job specification. Trethewan (1991:38-39) is of the view that in many schools, there are not enough job descriptions, at all, for teachers and they usually guess what is important and hope that what they do is what the school requires. Williams (1994:74) cautions that job descriptions which are a key element in appraisal are not devised for individual teachers but for the whole teaching staff. During appraisal, teachers are invited to prepare for the interview by self-assessment, that is, to review for themselves under a number of headings the work of the previous year.

This section has indicated that schools are not similar to industrial and commercial organizations in many respects. This calls for a different kind of appraisal scheme, as there may be problems in trying to borrow from schemes in industry. However, the problematic aspects of appraisal should never lead to the abandonment of appraisal in schools. The challenge is to come up with a more focused version which can address the school environment.

For an appraisal system to have an impact, it has to be embedded into the rhythm of the school's day-to-day routines and developmental activities. It should not be carried out in isolation. In educational set-ups such as

schools, there are some interventions which can increase the impact of the appraisal process. These include the application of the findings from the school effectiveness research movement, school development planning, and inspection.

2.4.3 Teacher appraisal and the school effectiveness movement

It was observed earlier on in section 1.1 that appraisal can increase productivity and effectiveness. This observation is supported by Mo *et al.* (1998:23) when they point out that "... a well-planned and carefully implemented teacher appraisal system can have a far-reaching impact on teacher effectiveness, while a poorly planned one can dampen staff morale and have a negative effect on teacher performance". If teachers do not perform effectively, it is obvious that students will not perform well.

Literature on educational reforms is abound with principles that link appraisal with school effectiveness. Bennett (1992:197-8) purports that there is a growing body of knowledge showing that effective schools encourage *inter alia* two-way communication, teacher participation in the decision-making process, and staff development ventures. Staff development is one of the main tenets of teacher appraisal as it is through teacher development that teaching and learning can be enhanced. Horne and Pierce (1996:83) suggest that "... appraisal must be a key part of any school effectiveness programme for both individuals, teams or groups, and the whole school, as a number of consistent factors that emerged from research into school effectiveness have demonstrated that a well-structured appraisal process could be a highly effective way of determining where individuals, teams, and schools are on the journey through school improvement to school effectiveness". This relationship between appraisal and school effectiveness is captured by Stoll and Fink

(1996:177) in their assertion that appraisal is one way of ensuring that teachers improve in their duties through continuous learning. Duke and Stiggins (1990:117-121) argue that systems of appraisal which emphasize development are based on the assumption that teachers have a professional duty to keep abreast of new research and technology; and the purpose of appraisal involves the collection of data to assist those teachers to grow.

The importance of appraisal in enhancing school effectiveness is highlighted by Glover and Law (1996:64) who describe effectiveness as: "... the use of development activities to achieve the aims of the organization (school) in a way which enhances the quality of learning and consequently outcomes". Advocates of the school effectiveness movement (Levine 1992:30; Reynolds 1992:8,9; Mortimore 1993:10-15; Glover & Law 1996:22; Horne & Pierce 1996:85-86; Horne & Brown 1997:14,15) have identified a number of common key characteristics emerging from recent research publications. Following is a collated summary of the characteristics of effective schools and their relationship to the appraisal process.

2.4.3.1 Participatory leadership

Participatory leadership can provide a realistic focus for the appraisal process by providing a firm base for information to be gathered from colleagues (West & Ainscow 1991:34; Horne & Pierce 1996:85). The appraisal process can thus be used as a tool to collect data from teachers in an atmosphere of honesty and trust. If teachers have trust in their leadership that it cares for their professional development, they can open up and show their shortcomings and strengths with the full knowledge

that information given will not be used for anything else that can compromise their careers.

2.4.3.2 Shared vision and goals

Schools with a shared vision and clear challenging goals show unity of purpose and demonstrate consistent practice. Where teachers have been fully involved in the formulation of the vision and goals, there is likelihood of a culture of commitment leading to a strong desire to achieve more (Oldroyd & Hall 1991:15). As Mullins (1996:640) has illustrated, one of the purposes of an appraisal system is to motivate employees so that they can learn and achieve more; and this can be realized by involving them in setting clear and attainable tasks and goals.

2.4.3.3 Teamwork

Dunham (1995:49) argues that teamwork has been identified as the hallmark of effective organizations, and involves shared aims and visions, responsibility and accountability. By the same token, the appraisal process provides a clear confidential mechanism through which each individual can reflect on his/her abilities. Trethewan (1991:181) underscores this when he asserts that "... appraisal is a relationship; it is a method of managing and of being managed". As indicated in section 1.1, appraisal is designed to pinpoint the strong points and shortcomings of the personnel and provides a basis for explaining why shortcomings exist and what can be done about them (not the individual). It can therefore be argued that it is in an atmosphere of teamwork that individuals' shortcomings can be strengthened without much conflict.

2.4.3.4 A learning environment

Reference to schools as effective learning environments was made earlier (Stoll & Fink 1996:171), and appraisal can help enhance this by allowing educators to reflect on their work and aim to achieve more. Murdock (2000:55) also supports this by asserting that “... a modern system of evaluation needs to encourage teachers to be reflective practitioners”. Feedback from a well structured appraisal process can influence the employee to increase productivity and effectiveness.

2.4.3.5 Emphasis on teaching and learning

Research on school effectiveness emphasizes teaching and learning. Literature on teacher appraisal identifies, as one of its main benefits, the enhancement of teaching and learning for all students. Horne and Pierce (1996:87) maintain that teachers have an awareness and willingness to practice a varied and appropriate repertoire of methods, learning, and using new strategies. Goddard and Emerson's (1995:11) assertion that the cornerstone of appraisal is the belief that teachers wish to improve their performance in order to enhance the education of the students supports this view. It can therefore be subsumed that this can be achieved through an atmosphere of support, where there is clarity of purpose in the school.

Appraisal through classroom observation and interview provides the opportunity for two colleagues or more to work closely together to analyse and build on new and existing strategies. The feedback given will be based on observed evidence and not opinion.

2.4.3.6 Explicit high expectations

Appraisal is a way of matching individual and school expectations through target setting and prioritising, and finding ways of meeting such

expectations for both the individual and the school. Poster and Poster (1992:2) give substance to the above by stating that "... appraisal is one of a number of techniques for integrating the individual and the organization. Each individual comes into the organization with unique needs and objectives, preferences for ways of doing things and hopes for wide-ranging satisfactions".

2.4.3.7 Positive reinforcement

Appraisal is a prime mechanism available for all involved in the school to celebrate success, receive and give accurate informed feedback and reinforce ways of forging ahead (Horne & Pierce 1996:87). As a two way process, it should be effective.

2.4.3.8 Monitoring progress

If appraisal is set on the basis of professional development, it ought to be about setting, monitoring, and evaluating success, and laying down further criteria for this to continue. As classroom observation is a mandatory part of the appraisal process, it can provide an opportunity for using a monitoring and inquiry approach (Horne & Pierce 1996:87).

2.4.3.9 Professional development

It has been observed that as a move towards school effectiveness, INSET is working towards continuous professional development. Appraisal comes handy as an opportunity for the appraiser and appraisee developing a critical friend relationship, moving into coaching and mentoring. Appraisal is used as a mechanism of feedback, especially in peer observation. Fullerton (1993:83) gives a model of peer observation whereby colleagues observe each other against a background of agreed criteria followed by constructive feedback and discussion. The aim of the

observation here, it is claimed, is to help improve the skills of the observed; therefore quality feedback is essential. Cosh (1999:24) offers a model she calls “pair mentoring” where two teachers work together, observing each other’s lessons, discussing areas of mutual interest, and planning future strategies. She contends that this is less threatening but very effective. It can be concluded that such strategies may lead to a situation where everybody is a learner and not where some experts impose their own opinions and experiences on others.

2.4.3.10 Teacher collaboration and collegiality

According to McGregor (1992:15), the concepts of collegiality and collaboration are widely emphasized in educational literature, but commonly conflated. She goes on to say that from the point of view of teachers, the terms refer to a situation whereby there is sharing of ideas on what goes down well to collectively planning individual delivery and collectively evaluating and refining. Murdock (2000:56) argues that it is vital for a progressive system of evaluation to build on collaborative relations whereby the supervisor actively make efforts to understand the teacher’s frame of reference on classroom events and engages in continuing dialogue with teachers. He contends that dialogue is vital to successful implementation of all elements of a teacher appraisal system.

2.4.3.11 Home/school partnership

One of the characteristics of effective schools is the recognition of education and learning as partnership of all stakeholders. Appraisal can have its role to play in this, either by teachers using home/school partnerships as a focus or targets being set around the growth of partnerships (Horne & Pierce 1996:88).

In concluding this section, it can be argued that any intervention, which does not lead to improvements and effectiveness of the teaching and learning process, will be deemed irrelevant. The above exposition has revealed that the appraisal process has a crucial role to make schools more effective as it provides vital mechanisms and knowledge to those involved in the management of schools at all levels. Another tenet which is growing in popularity and can be linked to the appraisal process is the school development planning process.

2.4.4 Appraisal and the school development plan

Preedy (1993:188) points out that “... while it is important to distinguish between the appraisal of head teachers and the review or audit of the School Development Plan, there is nevertheless a symbiotic relationship between the two”. She argues that although the school development plan is the joint responsibility of staff, the governing body, and the Local Education Authority (LEA), it has to conform to the conditions set by local and central government and at the same time reflect the distinctive nature of the neighbourhood in which the school physically exists and the community with which it relates and serves. Teacher appraisal therefore should be an integral part of the school development plan.

Horne and Pierce (1996:90) have made an observation that if the school development plan is seen as a backdrop for appraisal, the process becomes less a sideshow and more a main stage event, linking individuals and the organization. In the British context, paragraph 11 of Circular 12/91 (Department of Education and Science 1991:2), one of the documents which contained the details of the national appraisal scheme, states that:

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.

This relationship between appraisal and school development planning is further clarified by assertions made by Glover and Law (1996:147) that “... where appraisal targets and school development plan objectives are clearly related, openly published and evaluated, the prospects for changing the institutional culture appear to be much better”. In other words, this may call for a progression of competence in educational practice to the point where a teacher’s instructional expertise is first enhanced, then fosters growth in others and eventually includes participation in a broad array of whole-school decision making which goes beyond subject area confines.

According to O’Donoghue and Dimmock (1998:108), advocates of school development planning are of the view that school efficiency and effectiveness are enhanced by each school developing its own plan, taking into account system guidelines and priorities, and having local community involvement in the process, rather than basing its worth on plans drawn by bureaucrats who are removed from local conditions. This belief is based on the assumption that this approach will enhance ownership and collaboration, with increased productivity. It has been indicated earlier (see section 2.4.3.2) how these principles relate to appraisal. Murdock (2000:55) argues that this approach to teacher evaluation procedures empowers and motivates teachers as it allows them the opportunity to become actively involved. Furthermore, it can be achieved by allowing teachers to set their own objectives in relation to

those areas of a programme's activities that they are most directly involved with – teaching, tutorial services, materials development and testing, to mention a few. McGregor (1992:287) concurs with this and contends that teachers can review their own achievements and provide feedback on outcomes during performance appraisal interviews. Involvement of teachers makes them possess a full understanding of what they are expected to do and why.

Horne and Brown (1997:114) are of the opinion that in order to maximize the effectiveness of appraisal, it must be linked to whole school development planning, as to the demands of departmental and individual plans. They further suggest that these policies need to be devised in the context of a consultation process that enables all staff to participate and agree in order to feel ownership of policies and strategies. Approached in this way, Horne and Pierce (1996:62) declare that appraisal will be an effective means of reinforcing the teacher's development priorities, improving the quality of education for all students and raising standards. Trethewan (1991:117) on the other hand cogently points out the benefits of school development planning to teachers by suggesting that it goes beyond identifying the potential of individuals, preparing them for promotion and encouraging them along a career path. It includes challenging and stimulating all staff, including those who would not accept promotion, let alone seek it; it sets out to maintain and improve standards of managerial performance, while also supporting the supply of suitably trained and experienced staff to meet the future needs of the school.

This section has succinctly demonstrated that appraisal is, and should be an integral part of school development planning if it is to be successful.

There is a complementary relationship between the two interventions, which needs to be recognized and nurtured for the benefit of individual teachers and schools. This relationship can benefit both the teacher and the school in a number of ways: firstly, it provides a context for appraisal as the school would have been reviewed first; secondly, it helps in improving communication between teachers, as development planning breeds such a spirit; and thirdly, it provides a more powerful strategy for school improvement. Development planning involves items such as resources which are also necessary for successful appraisal, but not always provided for appraisal purposes, for instance funding.

Another intervention which can be linked to appraisal is inspection which aims at maintaining standards through enabling teachers to be more effective.

2.4.5 Appraisal and control processes

Reference to appraisal as a technique to influence and control employee behaviour in order to meet set targets, was made earlier in section 1.1. The word “control” may be interpreted in a number of different ways with varying connotations. It often has an emotive and negative connotation; however, Mullins (1996:592) points out that the process of control helps circumscribe idiosyncratic behaviours and to keep them conformant to the rational plan of the organization. He goes further to assert that: “... organization implies control”.

One of the basic functions of appraisal is to serve as a basis for modifying or changing behaviour toward more effective working habits; and it can be argued that this modification can come about without any use of force. Kermally (1997:89) clarifies this conception of control by suggesting that

as employees are one of the key groups in any organization whose interests and expectations should be recognized, "... it is important to measure their performance to determine their effectiveness in making a contribution towards organizational activities and success". The rationale for measuring employees' performance is to establish congruence between employees' expectations and corporate goals.

This symbiotic relationship between control processes and appraisal is clearly demonstrated by Hodgetts and Kuratko's (1991:62) assertions that "... performance appraisal is one of the most common procedures used to control an organization's personnel as it consists of comparing desired and actual personnel performance". Latham and Wexley (1994:5) concur with the view expressed above by declaring that "... as appraising performance is necessary because it serves as an audit for the organization about the effectiveness of each employee". It becomes more relevant if such a control system is based on key behaviours that serve as standards, enabling a manager to specify what the employee should do. In other words, control systems are concerned with the regulation of behaviour for the benefit of the organization and its employees, including all other stakeholders.

Mullins (1996:593) contends that while many people may not want control systems to be applied to their performance, under certain circumstances they desire control:

- to receive feedback about task performance. People always want to know how they are performing.

- to provide some degree of structure of tasks, definition of how the tasks are to be carried out, and how performance will be measured; and
- where reward systems, for example, pay, are based on performance.

These are also tenets of appraisal systems in all organizations including schools. Feedback and communication had been described as some of the key purposes of teacher appraisal. Mullins (1996:593) identified five essential elements in an organizational control system, namely:

- i) planning what is desired;
- ii) establishing standards of performance;
- iii) monitoring actual performance;
- iv) comparing actual achievement against the planned target; and
- v) rectifying and taking corrective action.

Latham and Wexley (1994:169) point out that successful performance appraisal consists of a system of rules, regulations, procedures, and training necessary for conducting effective appraisals and progress designed to instil the desire for continuously improving one's performance. One of the control measures commonly used in educational settings is inspection.

In 1.8.3, it was pointed out that some of the purposes of inspection include checking implementation of education policies, identifying needs, providing advice to schools, evaluating the performance of teachers and schools, monitoring instruction, collecting data, encouraging change and development, ensuring quality by maintaining and improving standards,

and providing feedback to those responsible for taking action. It can be argued that because governments spend a lot of public funds in sponsoring education, inspection is a means of externally monitoring the effectiveness of schools in meeting the set standards while appraisal is an internal devise to help schools to prepare the mechanisms for maintaining these goals.

Mo *et al.* (1998:20) contend that in Hong Kong supervision and appraisal of school teachers have long been the responsibility of the Advisory Inspectorate Division of the Education Department, and the Inspectorate carried out inspections and school visits the major purposes of which were to monitor and improve the quality of education in the schools. Mpolweni (1998:54) reiterates the same situation when referring to the South African scenario before a new system of appraisal and inspection was negotiated after 1991. In Great Britain prior to 1992, inspections were carried out by Her Majesty's Inspectors (HMI's) on behalf of the then Department of Science and Education; and they fulfilled the role of a field force monitoring and inspecting standards (O'Donoghue & Dimmock 1998:30).

According to Mo *et al.* (1998:30), the education system in Hong Kong was greatly influenced by the British system and the functions of the Inspectorate were thus similar. Scott (1994:92) identifies some of the duties of the Inspectorate under HMI's as:

- to assess standards and trends, and advise the Secretary of State for Education on the national performance of the education system;

- to identify and disseminate good practice and promising developments; and pinpointing weaknesses requiring attention; and
- to provide advice and assistance, via day-to-day contacts, and contributions to training and through its publications, to those with responsibilities for implementation in the system.

However, West-Burnham (1994:161) emphasizes the fact that it was not the duty of HMI's to correct what was wrong but for others to act on its recommendations. The inspectorate served the role of monitoring and informing those who were responsible to act. In other words, it served the needs of an external audience.

Studies on the history of inspection in Great Britain (Levacic 1995:14; Fitz-Gibbon 1999:14) indicate that during the days of HMI's, schools were irregularly inspected and their methods lacked reliability. The critics further point out that by the mid-1980's the HMI system was under increasing pressure because of three concerns: firstly, it was seen to be lacking the resources to complete comprehensive and regular reviews of every school in its orbit; secondly, although its reports were made public, the system failed to produce detailed and specific criteria by which schools would be evaluated and held accountable; and thirdly, as curriculum, managerial, and administrative reforms to schools multiplied, the HMI system found it increasingly difficult to remain relevant.

Referring to the Education Commission's report (1994) in Hong Kong, Mo *et al.* (1998:20) reveal that inspections of schools were irregular and the average inspection frequency of each subject offered between 1988 and 1993 ranged from once in two years to about once in fifteen years.

The process of inspection involved lesson observations, inspection of a sample of marked students work, interviews with teachers on matters related to teaching skills and classroom management, discussions on curriculum content and student assessment. This was also the case with the South African situation before 1995 as Mpolweni (1998:54) indicates that the process of inspection was in many instances conducted by collecting students' books to check on:

- the number of exercises, the amount of classwork, homework, and tests written;
- whether the written work was within the prescribed syllabus; and
- whether the teacher marked the work done by the students.

The teachers' files were also collected to check the following:

- the availability of the syllabus copies;
- a scheme of work for the year;
- tests written and memoranda of question papers; and
- mark schedule.

As indicated in section 1.1, education is undergoing change worldwide leading to governments to introduce reforms to accommodate these reforms. Mpolweni (1998:55) maintains that in 1991 the South African Democratic Teachers' Union (SADTU) embarked on a national defiance campaign against the existing appraisal and inspection systems which resulted in the setting up of the National Teacher Appraisal Project in

1995 which produced a new appraisal instrument for all educators including inspectors and subject advisors.

In Great Britain, HMI's were replaced by the Office for Standards in Education (OFSTED) in 1992 as a result of the reforms introduced by the Education Reform Act of 1988. The main task of OFSTED was to oversee the inspection of every school at least once every four years. Fidler, Early and Davies (1998:258) in their research findings advance claims that OFSTED inspections have generally been accepted as a necessary accountability mechanism by schools and other stakeholders. The nature of the inspection process after 1992 is made quite clear in the Handbook for the Inspection of Schools, Part 3 (OFSTED 1993:17) which states that:

The report is an appraisal of the quality and standards of education in the schools; some descriptive detail is obviously necessary, but the emphasis throughout should be on judgements and evaluation. ... the function of the report is to evaluate, not to prescribe or speculate; reports must be as objective as possible

According to O'Donoghue and Dimmock (1998:31), the structure and functions of OFSTED show some characteristics which distinguish it from HMI; for example:

- it is independent from the Department for Education and Employment;
- it is headed by Her Majesty's Chief Inspector (HMI);
- it identifies schools to be inspected;

- inspections are privatised and carried out by teams of inspectors who tender to OFSTED for the contract to inspect schools for a fee; and
- both professionals and lay members make up the composition of inspections and are led by a registered and trained inspector.

Commenting on OFSTED, Macpherson (1996:67) recognizes that much rests on the reliability of contracted inspectors, the induction training given, and the ability of local communities to come to terms with the criteria and process. Glover and Law (1996:21) and an Organization for Economic Co-operation and Development Report (1995:62) concur that the benefits from the OFSTED system have been the more explicit evaluation criteria and the encouragement of their own evaluation procedures in preparation for inspection.

Fidler *et al.* (1998:261) claim that the classroom observation of teachers on which these reports are based includes an assessment of many variables including teaching quality, response of pupils to the lesson, attainment of pupils in relation to national standards, and progress made. Classroom observation of teachers has earlier been identified as central to any appraisal system.

Although OFSTED brought in some positive approaches to the inspection process as indicated above, Macpherson (1996:67) argues that it has led to a serious debate on the importance of the validity and reliability of data and the concept of *value-added*. Fitz-Gibbon (1999:14) contends that OFSTED judgements are inaccurate since their samples are inadequate and therefore impacting on the reliability and validity of judgements. Furthermore, Fitz-Gibbon (1999:15) is of the view that "... some

academics encouraged OFSTED to believe that the so-called findings of the school effectiveness research were a reliable basis on which to judge schools. School effectiveness research provides correlates of effective schools". Still focusing on the shortcomings of OFSTED, O'Donoghue and Dimmock (1998:36) assert that it concentrates too much on summative and not enough on formative evaluation. However, Fidler *et al.* (1998:250) tend to believe that in order to improve, schools need a combination of pressure and support from external agencies.

One of the innovations brought by OFSTED is offering feedback to each teacher which was not the case under HMI. Fidler *et al.* (1998:269) contend that it causes problems as it leads to much ill feeling as there are difficulties in providing a reliable and valid rating of performance of teachers. This therefore calls for more quality assurance and quality control if the confidence of many educators is not to be undermined.

The above analysis has brought to light some relationships between inspection and appraisal. Examples from the Hong Kong and South African systems of education indicate that at one stage inspection and appraisal were carried out by the same personnel for similar purposes: to monitor standards for accountability. However, with the reforms that were introduced, the two were separated; hence while the inspection process strives to set the required standards in education, the appraisal process can be a very powerful strategy to meet the standards as it focuses on developing the potential of the individual to be effective. In the British system, OFSTED emphasizes effectiveness and efficiency of teaching, learning, and support, elements which are also central to teacher appraisal. As O'Donoghue and Dimmock (1998:36) have indicated, OFSTED requires schools to generate information in preparation for

inspection; appraisal can play a vital role in this regard as it is not as threatening as the former if properly carried out in a conducive atmosphere. Appraisal can also help instil reliability and validity in the data utilized by inspectors if it is based on the agreed procedures. Bell (1992:126-7) declares that the appraisal process serves as a quality assurance to parents that their children are receiving quality education.

However, it should be pointed out that inspection and appraisal are not similar and should be treated as such. Although there is some polarity in the methods used, the purposes can be regarded as polar opposites.

The next section explores the advantages and disadvantages of the appraisal process in organizations.

2.5 ADVANTAGES AND DISADVANTAGES OF TEACHER APPRAISAL

2.5.1 The advantages of teacher appraisal

Literature on formal appraisal systems in both the private sector and public service, including educational institutions shows that it has a lot to offer to both the organization and the individual (Motswakae 1990:31). Corroborating Motswakae's (1990) view, Poster and Poster (1992:6-7) provide a list of sixteen potential benefits of a well run appraisal system but seriously caution that no one system can achieve all the potential benefits because of differences in organizational climates; and the fact that the potential benefits may prove to be incompatible in any given organization. Advancing the essence of teacher appraisal implied above, Mo *et al.* (1998:23) posit that a well-planned and carefully implemented teacher appraisal system can have a far-reaching impact on teacher

effectiveness. This, it can be argued will in turn lead to improvements in the quality of teaching and learning of students.

Sarros and Sarros (1991:6) are of the opinion that the benefits of performance appraisal are fairly clear, and apart from increased employee job satisfaction and organizational productivity, effective appraisal systems enhance consistency between employee actions and organizational goals. This point is echoed by Poster and Poster (1992:2) who declare that appraisal is one of a number of techniques for integrating the individual into the organization. This is done by harnessing the unique talents of individuals and coordinating their activities towards the achievements of the organization's objectives through efficient and effective means.

Kyriacou (1995:115) identifies the usefulness of receiving feedback from others as one benefit to teachers because such feedback indicates that their work is appreciated and valued by others, and this in turn boosts their morale and confidence. Humphreys and Thompson (1995:139) emphasize the importance of feedback and declare that it results in creating a context which enables teachers to collaborate in a focused way to enhance the individual's efforts at development. Furthermore, the involvement of several trusted colleagues in discussing an aspect of their professional development allows each teacher to employ the collective wisdom rather than merely depending on self-appraisal or on one appraiser which is common in most models.

Motswakae (1990:31) asserts that feedback is not only beneficial to the individual teacher but also to the management who ultimately receives informed information on how effective the former is. Sarros and Sarros

(1991:6) contend that appraisal also identifies weaknesses and strengths, and remedy or reward to suit the purpose.

Another benefit to the school as a whole is when appraisal enables coherence in the development plans. Kyriacou (1995:115) claims that appraisal helps teachers to prioritise and set targets which energize them into making efforts to meet these targets, and when they have been achieved, it leads to job satisfaction. This prioritisation and target setting, according to Trethowan (1991:43) encourages the habit of understanding clearly defined tasks in terms of equally clear performance criteria; and some of the benefits to teachers include:

- the opportunity to influence the development of the organization by playing a part in that development. Poster and Poster (1992:7) cogently argue that the discussions which are characteristic of appraisal systems "... provide a mechanism whereby the individual can influence the organization".
- the confirmation that their work is recognized and valued.
- the assurance that work being tackled is the work the organization requires.

On the part of the school, Trethowan (1991:44) asserts that appraisal offers:

- the opportunity to obtain from teachers who are close to the points of implementation their identification of school and staff development needs;
- the opportunity to motivate the teacher when informed praise is given for good performance;

- the opportunity to know accurately which teachers have which weaknesses. Ill-formed personal judgements are replaced by open appraisals; and
- the opportunity to take from the teacher the pressure of not knowing which of the interest groups surrounding the school to please. The basic tasks and targets as agreed with the appraiser are the clear objectives.

Goddard and Emerson (1995:126) emphasize the importance of training for appraisal if it is to be beneficial to all stakeholders, by stating that:

Training is essential if teachers and headteachers are to be able to operate appraisal schemes in a manner which will help to improve the effectiveness of schools. ...Several important points emerged from the (pilot) study, including the need to provide adequate training for appraisees as well as appraisers; the benefits which flow from giving each an insight into the other's role; the benefits of simulated role playing, for example, mock appraisal interviews; and the need to plan training so that it takes place as near to the actual experience of appraisal as possible.

The vital role played by training in making appraisal beneficial is also recognized by Horne and Pierce (1996:101) when they declare that “... for these positive benefits to be reaped, ... it will be essential for schools to develop an effective training strategy and to mount a professional training programme”.

In summary, Motswakae (1990:34) suggests that for appraisal to be viewed as advantageous, two factors apply: firstly, the meanings and purposes associated with the model; and secondly, the extent to which teachers have been involved in deciding the model of appraisal to be implemented.

Although the above discussion has illustrated that appraisal offers a number of benefits to both the individual teacher and the school, it should be succinctly pointed out that it can have some disadvantages as well.

2.5.2 Disadvantages of teacher appraisal

Literature on the introduction of teacher appraisal schemes in the United States of America and Great Britain reveals that it is a problematic issue.

According to Wragg *et al.* (1996:1), the introduction of appraisal was greeted with resistance rather than cooperation, and poorer rather than better performance. Motswakae (1990:34) highlights that appraisal is a sensitive intervention and therefore always has problems. For instance, Goddard and Emerson (1995:7) and McMahon (1995a:155) maintain that in Great Britain teacher appraisal was associated with the insinuations made by the Secretary of State for Education, Sir Keith Joseph that appraisal aims to "... weed out incompetent teachers" and should be linked to pay; while Shinkfield and Stufflebeam (1995:14) assert that in the United States of America the negative influence was associated with the calls for accountability by organizations such as the Business Round Table.

Kyriacou (1995:114) mentions that teachers pointed out that their free periods and afternoons had been used up by both appraisee and appraiser when they could usefully have been doing other things beneficial to

student learning such as preparation and marking of students work. This is exacerbated by the fact that in most cases there is no provision of temporary measures to provide backup for those teachers involved in appraisal. Motswakae (1990:36) believes that this is due to scarce resources, especially finances. Horne and Pierce (1996:11) also identify themselves with the latter view and add that appraisal encroaches into the already meagre resources at the disposal of the school.

Another disadvantage, which mostly leads to staff demotivation, is lack of funds to support the needs emanating from the appraisal process. Teachers begin to question the wisdom of carrying out such an intervention without enough support to see it through. This has been observed by Hopkins, Howard, Johnston, Glover and Woodburn (1991:44) when they assert that “... one of the dangers of the appraisal process is the risk of raising hopes which cannot be satisfied”.

This section has demonstrated that like all other interventions, appraisal has its pros and cons. However, this calls for care to be exercised when implementing the process because the accountability and staff development models can be complementary. The focus of the next section is to discuss the models of appraisal commonly found in organizations, including schools.

2.6 MODELS OF APPRAISAL

In his historical analysis on the progress of appraisal, Bennett (1992:1) states that “... essentially, two quite different routes to appraisal were developing coterminously, each having different starting points and, presumably expecting different outcomes from the appraisal process”.

Poster and Poster (1992:1) emphasize the same point and note that "... in many organizations an annual review of some kind takes place between staff members and their immediate managers. There is very little conformity over what this review is called: staff appraisal, staff development review, performance appraisal, and performance review. We draw a distinction between the two main trends in appraisal: performance appraisal and staff development review". Echoing the above sentiments is Keitseng (1999:25) who states that basically there are two models of appraisal, namely, the accountability model and the professional development model. Studies on the appraisal process predominantly identify the two models in order to show the distinctiveness of the two routes and this is reflected in the number of studies that employed the models mentioned above (Poster & Poster 1992:1; Goddard & Emerson 1995:10; Malongwa 1995:154; Habangaan 1998:21). The two models of appraisal, namely, the accountability and professional models are discussed below.

2.6.1 The accountability model of appraisal

Schools, like all public organizations are being called upon to be accountable. Bollington, Hopkins and West (1990:2) assert that the introduction of appraisal can be said to reflect a climate in education characterized by concern for improved quality, a greater degree of accountability and more efficiency, particularly in terms of resources. Citing the example of the United States of America, Duke (1995b:1) contends that "... the desire to ensure that young people are served by competent teachers led to reforms to rethink teacher preparation and benefits, supervisory practices, and personnel evaluation". As far as Great Britain is concerned, McMahon (1995a:153) points out that the 1977 Green Paper: *Education in Schools: A Consultative Document* established

procedures for the assessment of teacher performance for purposes of accountability.

It is against this background that the concept of accountability in education, particularly in schools is discussed. While Motswakae (1990:18) discusses the nature of accountability under three broad categories: contractual obligation, professional obligation, and moral accountability, Scott (1994:149-162) discusses it under six categories which in principle overlap. Scott's six categories are: the Central Control Model; the Self-Accounting Model; the Consumerist Model; the Chain of Responsibility Model; the Professional Model; and the Partnership Model. A detailed discussion of the above models will illustrate how they are related.

2.6.1.1 The central control model

Scott (1994:149) stresses that teachers as employees with a contract are under the obligation to demonstrate that they are doing what they are paid for. Basically, teachers are to prove to all stakeholders that their work constitutes value for money by producing good results. According to Hlebowitsh and Tellez (1997:163), making reference to the USA scenario, schools should produce people who will put the USA first in the global competition. Motswakae (1990:18) concurs with this view of the contractual obligation of the teacher to give an account to one's employer or someone in authority.

2.6.1.2 The self-accounting model

This model involves schools and teachers monitoring their own activities in an attempt to satisfy the requirements of contracted accountability while holding onto as much professional autonomy as possible. Its

shortcomings, according to Scott (1994:150) and Humphreys and Thompson (1995:137) include lack of credibility which can only be won through the use of external monitoring such as inspection, as indicated in the previous section.

2.6.1.3 The consumerist model

The consumerist model is based on the belief that if schools no longer have a guaranteed clientele, they will have an incentive to compete which will in turn push up educational standards. This market-oriented approach is criticized by Humphreys and Thompson (1995:134) when they declare that "... while reference to quality is relevant to education, it is a different concept from that which can be applied to the market place. It should be borne in mind that commodities have no moral responsibility". Bell (1992:127), however, views appraisal as having a part to play in affording parents assurance of the quality of teaching their children receive so that if they are not satisfied they can choose to opt out to other schools. This accountability to consumers, Motswakae (1990:19) contends, motivates the teacher to be professionally answerable for choosing and implementing an appropriate form of practice.

2.6.1.4 The chain of responsibility model

According to Scott (1994:151), this model is a form of responsive accountability based on the acknowledgement of the complexity of the relationship between employer, practitioner, and client in the field of education. It further acknowledges that different types of educational decisions may reasonably be considered the domain of different groups. The main disadvantage is the possibility of the growth of bureaucracy and power struggles between different groups.

2.6.1.5 The professional model

Scott (1994:153) asserts that this model avoids the problem of hierarchy of interests by leaving educational decisions, except on matters on which they are contractually accountable, to the judgements of the professional educators or school. The professionals, by virtue of their training and expertise; the standards they have explicitly committed themselves to when they joined the service; and the professional autonomy that teachers have traditionally enjoyed, want to make final judgements and to define the boundaries of their own responsibility. According to Motswakae (1990:18) professional accountability "... involves explicit individual and institutional self-evaluation or, rightly expressed, self-appraisal on principles of the professional practice which leads to some kind of a contract with colleagues on what schools might be doing". This conception of professional accountability is taken up by Whitaker (1998:107) who asks whether: "... we evaluate in order to prove to those in authority that we are discharging our responsibilities as intended, or to enable the internal participants to receive information that will enable progress to be made"? Strain (1995:49) contends that the form of accountability appropriate to teaching must be defined in terms of the teacher's personal response to the learners.

Motswakae (1990:19) further proposes that the profession, in a bid to retain its traditional autonomous status, should device codes of conduct, particularly in areas such as classroom conduct, relationship with parents and educational principles, including such matters as concern for the truth, objectivity, rationality, and relevance.

2.6.1.6 The partnership model

Scott (1994:153) point out that this model is based on two main principles: firstly, the responsibility for educational decisions should lie with a partnership of all those affected by a particular decision, or with a legitimate interest in it. Secondly, all parties to the partnership should have a share in decision making, either directly or through their representatives.

Underpinning the models of the nature of accountability in education discussed above is that they are ideal types, and have been oversimplified in an attempt to facilitate understanding (Scott 1994:150). It is a truism that teachers in the schools are being called upon to be accountable for their actions to their colleagues and clients. What has come to light is the fact that this call can be based on varying purposes.

Commenting on the accountability model of appraisal, Keitseng (1999:25) contends that it is "... hierarchical, top-down, aimed at assessing teachers' performance in order to make decisions about dismissal, promotion, or positive merit pay". He further claims that the model is managerial, control-oriented, judgemental, and hierarchical. This judgemental view of the accountability model is reiterated in Sarros and Sarros (1991:50) who define performance appraisal as "... the human resource management activity that is used to determine how effectively an employee is performing the job". Poster and Poster (1992:10) capture this sentiment by pointing out that the accountability model (performance appraisal) focuses on setting achievable, often relatively short-term goals and by giving feedback on task clarification through reaching consensus on an employee's objectives consistent with those of the organization.

Proponents of the accountability model, argues Duke (1995b:4), base their view on the premise of making teachers do their job effectively. This leads to two concerns: the weeding out of incompetent teachers; and the always escalating costs without commensurate gains in student achievements. This idea of weeding out incompetent teachers has the basis for the fear expressed by teachers when performance appraisal was initially proposed in Great Britain and the United States of America.

Goddard and Emerson (1995:15) summarize the essence of the accountability model of appraisal when they state that in its purest form, the accountability model of appraisal would be interested in matters such as:

- identifying incompetent teachers;
- identifying weaknesses in a teacher's performance;
- assessing performance for purposes of pay and promotion;
and
- providing evidence for any disciplinary procedures.

Although appraisal for accountability purposes as illustrated above may be threatening to the teachers, it can be argued that in some situations it is necessary. Firstly, schools, especially teachers' salaries consume a very large share of the taxpayers' money, therefore it is logical that there should be mechanisms in place to hold them accountable; secondly, newly employed teachers need to be inducted into the profession, and the summative evaluation techniques become handy as they are objective in identifying the shortcomings in order to facilitate some remedial action; thirdly, individuals join the organization with hopes of progressing up the ladder, therefore there is a need for criteria for selection as promotional

positions are not in abundance; and fourthly, for organizations to be places of safety and stability, there is need for discipline to be enforced.

However, it appears that teachers and their associations are mostly against the accountability model of appraisal in education. The next section discusses another model of appraisal, namely, the staff development model.

2.6.2 Staff development model

In an attempt to gain insights into the staff development model, a brief discussion and definitions of what staff development entails were deemed necessary. According to Monyatsi (1997:22), “... staff development is a *sine qua non* for any organization to be successful in achieving its aims and objectives. The development of human potential is so valuable to the success of any modern organization that investment towards that goal needs to be directed at identified and proven competencies which lead to superior performance”. Day, Calderhead and Denicolo (1993:88) define staff development as:

... a process designed to foster personal and professional growth of individuals within a respectful, supportive, positive organizational climate, having as its ultimate aim better learning for students and continuous self-renewal for educators and schools.

Whitaker (1998:189) asserts that in a learning school, the professional development of staff assumes equal importance to that of the learning of students, but argues that not much attention has been given to this process of the learning of teachers. However, there is an emerging trend in

teachers becoming life long learning as described in the concept of learning organisations. Glover and Law (1996:31) declare that it involves the development of teachers' professional knowledge, understanding, and skills so as to improve the quality of teaching and learning in the classroom.

Monyatsi (1997:30-1) provides a collated summary of the purposes of staff development from various authors and researchers and these include:

- to provide the necessary structure and support for teachers to fulfil their identified growth needs.
- to improve competencies to do one's job. Competencies, according to Monyatsi (1997:23) refer to the skills, knowledge, attitudes, traits or any individual characteristics that are critical to the effective performance of a job.
- to enhance the individual's clinical skills and academic knowledge.
- to enhance the quality of students' learning.
- to help teachers to keep abreast of new developments.
- to revitalize the teacher in the profession.
- to increase the job satisfaction and develop potential for future work.
- to improve the individual and institutional abilities to identify and meet existing and anticipated student needs.
- to make more effective use of resources in order to implement and achieve the policies of authority and aims of the institution.

- to ensure that the staff implementing any programme are fully aware of the changes and acquired the knowledge, skills and attitudes to accommodate the new ideas.

It is against this background that the staff development model of teacher appraisal is discussed. Glover and Law (1996:40) are of the opinion that appraisal is increasingly used as a way of identifying the professional development needs of individual staff. Whitaker (1998:107) supports this view and declares that appraisal is now part of the professional environment. Explaining this, Bush and West-Burnham (1994:7) say that this model embraces "... activities engaged in by teachers to enhance their knowledge, skills, and attitudes in order to educate children more effectively". Keitseng (1999:25) who notes that the staff development model aims at improvements in the knowledge, skills, and attitudes associated with teaching also supports this approach. These reflect Oldroyd and Hall's (1991:2) definition of staff development:

... planned activities practised both within and outside schools, primarily to develop the professional knowledge, skills, attitudes, and performance of professional staff in schools.

Studies on the staff development model of teacher appraisal reflect common basic characteristics that are to be present for such a model to be effective. Some of these include: reflective practice; teacher empowerment and motivation; collegiality and collaboration; teamwork and dialogue; trust and transparency; and participation (Hayes 2000:138-39; Murdock 2000:54-55; Cosh 1999:26; Mo *et al.* 1998:24; Jantjes 1996:51-53).

Goddard and Emerson (1995:11) offer a summary of the salient features of the staff development model as below:

- It celebrates what the teacher is doing.
- It identifies areas where the teacher may be able to improve.
- It assists the career development of the teacher.
- It integrates the school and individual teacher and identifies areas of mutual interest.
- It identifies the support and in-service training which the teacher requires in order to progress.
- It provides the basis for school audit and review.

Another list, though not exclusively different from the above is provided by Poster and Poster (1992:9), who suggest that the developmental model:

- assumes professional, collegial, and collective authority to lie within the profession;
- is concerned with truth, accuracy, and the maintenance of moral, ethical and professional values;
- recognizes that the appraisals of colleagues are to be made by peers, based on public information;
- assumes self-motivation towards personal and professional development;
- is a bipartite approach towards enabling self-development;
- is designed to provide agreed programmes with a shared responsibility to achieve objectives;

- is concerned with longer-term professional development; and
- is marked by trust, openness and cooperation.

The salient features outlined above are in line with the characteristics mentioned earlier; and a close look ties them to the purposes of staff development identified at the beginning of this section. The question is to what extent the two models described above are compatible.

2.6.3 Critique of the accountability and developmental models

From the analysis of the two models above, two major themes have emerged: firstly, it can be observed that the two models serve dichotomous purposes, summative and formative; and secondly, there is an ongoing debate on whether the two models are polar opposites.

According to Goddard and Emerson (1995:17) the compatibility of the two models will depend upon the attitudes which teachers are likely to adopt in undergoing appraisal in each of them. Although partly in support of the compatibility of the two, Duke (1995b:6) emphasizes that the co-existence is only possible in theory, but in practice too much confusion and role conflict may arise to allow functional blending of purpose. Duke (1995b:6) further argues that growth often entails trust and risk taking, factors which may be undermined by concern for accountability. Jantjes (1996:51) concurs with Duke's (1995b) point of view when he asserts that "... one basic quality for the success of any teacher appraisal scheme is to establish mutual trust between educators". However, Bennett (1992:7) takes an uncompromising view of the integration of the two models by succinctly arguing that "... appraisal schemes fail where they attempt to fulfil more than one purpose; appraisal can be used to assess

performance in order to reward or dismiss; appraisal can be used to support and develop staff and improve the quality of performance in this way, but it cannot be used to do both together”.

Valentine (1992) and Airasian (1993) in Mo *et al.* (1998:22) cogently argue in support of the integration for the following reasons. Firstly, purely formative systems do not address the need to make personnel decisions based on competency of teachers, while purely summative systems very often are based on inadequate performance data and therefore seldom lead to improvements. Secondly, in many ways the summative and formative purposes are complementary because decisions about tenure should be preceded by assessments focused on improvements.

Of late, appraisal for professional development has gained a lot of popularity from both teachers and their organizations, including school managers (Duke & Stiggins 1990:116; Duke 1995b:6). This may be a result of various factors. Firstly, the staff development model is viewed as a genuine two-way process between appraiser and appraisee. Secondly, it takes place in an atmosphere of trust and confidentiality. Reflection is the buzzword (Cosh, 1999:260). Murdock (2000:55) points out that a modern system of evaluation should encourage teachers to become reflective practitioners. Thirdly, it is based on the belief that teachers wish to improve their performance in order to enhance the learning of the students. So the staff collaborate in their activities. Fourthly, the key characteristic of the model is negotiation and the philosophy is the supporting of teaching and managerial development. Teachers are involved and this is supported by Murdock (2000:55) when he declares that participation by staff in initiating and contributing to the instruments

and procedures that are used to evaluate their performance leads to motivation and empowerment as teachers develop a full understanding of the whole programme. Fifthly, it identifies the teacher's potential for career development.

On the other hand, the accountability model has been unpopular with teachers and their unions (Duke 1995b:5) because of the following: firstly, its key characteristic has been seen as imposition and the philosophy being the checking of competence; secondly, it is designed to bring about a better relationship between pay, responsibilities and performance; thirdly, it is judgemental, and teachers have questioned the capabilities of those making judgements, and the validity and reliability of the instruments used; fourthly, the model fosters defensiveness as teachers fight to serve their interests and not those of the clients – students; and fifthly, it provides evidence for disciplinary procedures.

There are some lessons to be deduced from the ongoing debate on the effectiveness of the two models; firstly, the complexity of the teaching process should always be taken into account when deciding on what course to take; and secondly, as Sarros and Sarros (1991:5) point out, performance appraisal is as important in education as in business, but for different purposes. This has been incisively demonstrated during the negotiations in Great Britain and the United States of America where there were no counter views on the introduction of appraisal; nor on that teachers should be held accountable. What emerged were discussions on how it should be carried out in order to help teachers to be more effective. Malongwa (1995:153-4) offers a summary of the characteristics of the two models as presented in Table 2.1 below:

Table 2.1: Characteristics of appraisal models

The Control Model	The Growth Model (Developmental)
Staff appraisal or assessment	► Professional development
External accountability	► Internal accountability
Trainer development roles	► Self-motivation
Subordinates receive appraisal	► Collegiate approach
Values the measurable	► Values the perceptive
Superiors appraise	► Two-way process
Externally imposed	► Institution based
Failure means dismissal	► Weaknesses worked on
Snapshot options	► Continuous appraisal
Appraisal by results	► Related to current performance
Target setting	► Targets negotiated
Hierarchical	► Motivation from professional status
Top down	► Bottom up

The above analysis of the two models of appraisal has demonstrated that appraisal *per se* has a role to play in organizations. Although the models represent dichotomous routes, in the final analysis, the main purpose is the improvement of the quality of the teaching and learning of students. Accountability is a necessary tenet of life and it becomes more important when it involves the preparation of future citizens. Those who are charged with the responsibility of moulding future citizens, who form the base of human resources, should be called upon to be accountable. For them to be accountable they have to be empowered and given the

necessary support. The development of staff is therefore pivotal if they are to perform their duty according to the expectations of their clients. This therefore shows that the two models of appraisal are complementary.

The next section explores and discusses the different phases of the appraisal process.

2.7 THE APPRAISAL PROCESS

This section describes and discusses the implementation of teacher appraisal in an attempt to inform the contextual study in Chapter Three. Figure 2.2 illustrates the components in a biennial cycle that goes through the following stages; the initial meeting, self-appraisal, classroom/task observation, data collection, appraisal interview (discussion), target setting, appraisal statement, follow-up discussions/meeting, and the formal review meeting.

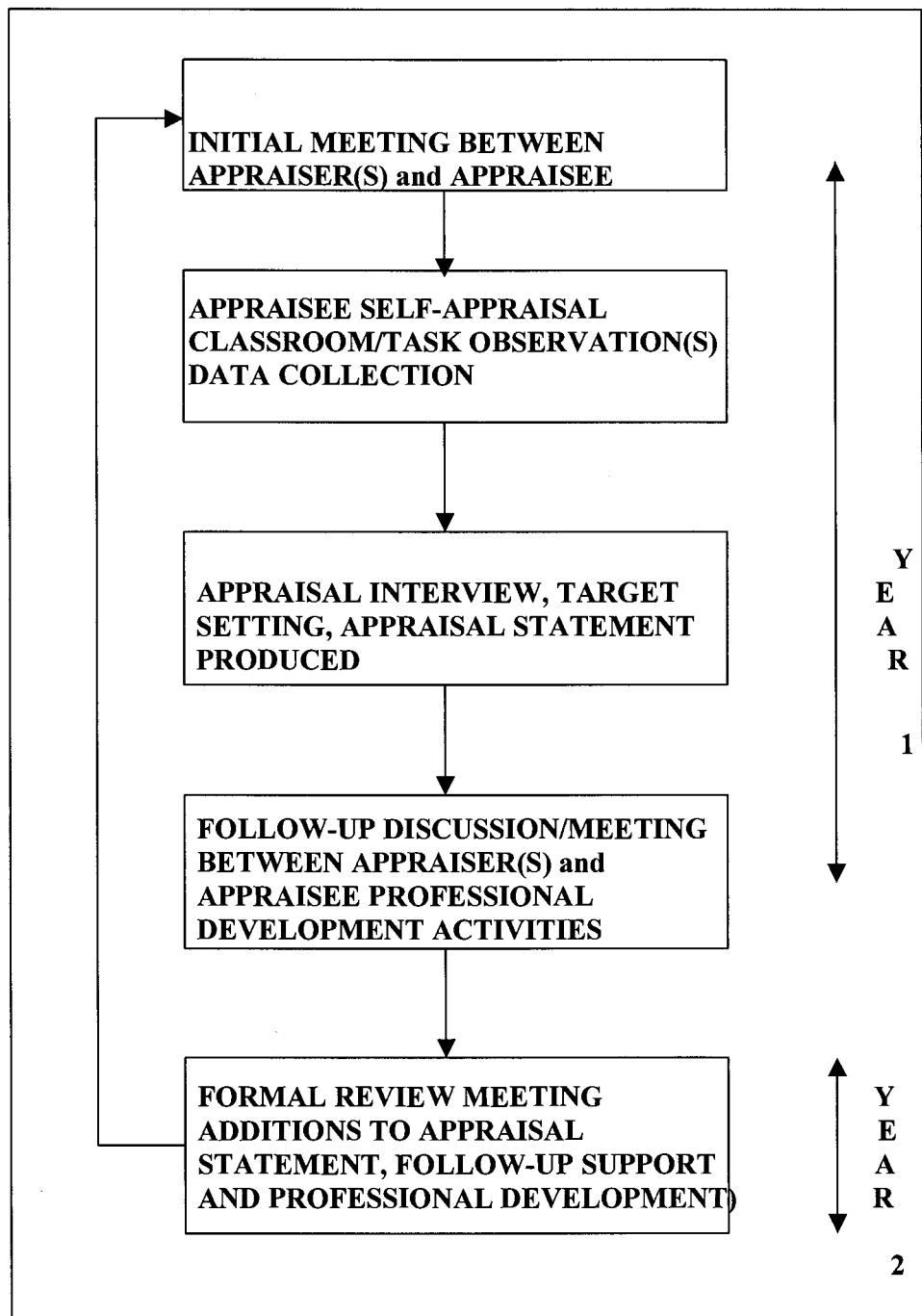


Figure 2.2: Components in the appraisal process: a biennial cycle
(Bennett 1992:14)

2.7.1 The initial meeting

Bennett (1992:13) suggests that prior to the initial meeting, it is important to have the individuals who will form a partnership carefully matched. Horne and Pierce (1996:32), substantiating on this, declare that "... it is important for the success of the appraisal cycle that the appraisee and appraiser have a good professional relationship so that the appraisee feels confident about revealing possible areas of concern without being regarded as a poor teacher". Bennett (1992:14) claims that the meeting is vital in establishing a rapport between the appraiser(s) and appraisee(s). Although Horne and Pierce (1996:32) are in agreement with Wragg *et al.* (1996:39) that it is generally assumed that schools should adopt a line management approach, that is, the immediate supervisor being the appraiser, they caution that this may pose problems. Firstly, it means that responsibility remains within fairly rigidly defined curriculum areas, which fails to allow cross-fertilization of both ideas and methods across the curriculum. Secondly, if the pairing is inappropriate, there may be lack of confidence, or respect, or clash of interests, which may lead to the appraisee not being open and honest or *vice versa*. To solve these problems, some schools have allowed teachers to have a choice, and only impose, though sensitively, the framework proposed if there are problems.

According to Bennett (1992:17), Goddard and Emerson (1995:89) and Horne and Pierce (1996:31), the initial meeting serves *inter alia* the following purposes:

- to confirm the purpose and clarify the context of the appraisal;
- to consider the teacher's job description;

- to agree on the scope of the appraisal process in the context of school or departmental plans;
- to agree on the scope of the appraisal process in identifying areas of the appraisee's job on which the appraisal might usefully focus;
- to agree on the arrangements for, and the scope of specific self-appraisal and its relationships to the other components of the programme;
- to agree on the arrangements for classroom observation, subject to the requirements of the programme;
- to agree on the methods other than classroom observation by which data for the appraisal should be collected, subject to the requirements of the programme;
- to agree on a timetable for the appraisal process;
- to agree on the number and length of classroom observations to be carried out; and
- to agree on who will be involved in providing information.

Goddard and Emerson (1995:89) claim that although the initial meeting may not be compulsory, it plays a crucial role in developing a cooperative spirit, and sets the scene for all that follows. Lowe (1992:195) captures the essence of the initial meeting in the appraisal process by declaring that "... the two key participants, appraiser and appraisee, need to feel at ease with each other, to develop a mutual trust which is based upon notions of genuineness and empathy. It is only when such an ethos has been created that genuine dialogue can take place. The initial meeting is crucial for it pre-facilitates the other key stages", such as self-appraisal which is discussed below.

2.7.2 Self-appraisal

Bennett (1992:18) asserts that self-appraisal is an important element of the appraisal process. Inspite of its importance, in some countries such as Great Britain, it has not been legislated because it is assumed that it may lack integrity, as Humphreys and Thompson (1995:137) caution that:

...it may be extremely difficult for teachers to keep a balanced approach to self-analysis and avoid the extremes of self-glorification and self-denigration. Weak teachers may overestimate their skills and performance whereas the best teachers may equally underrate and undervalue themselves for their standards are likely to be higher.

Evidence of the difficulties with self-appraisal has been highlighted by Humphreys (1992:116) as it became apparent that teachers found that to tackle the process with rigour was potentially a traumatic and frustrating experience because: firstly, it encourages isolation of individuals; secondly, it leads to poorly acclaimed intuitive interpretation of needs; and thirdly, it needs backing up by relevant professional training which the current political climate and organizational pressures are unlikely to sustain.

Studies on self-appraisal have demonstrated that there are indeed benefits accruing from the process (Routledge and Dennison 1990:52; Fidler 1995:261; and McMahon 1995b:23). Trethewan (1991:183) contends that it focuses on the teacher's perceptions of performance and developmental needs related both to present performance and to foreseeable changes. Horne and Pierce (1996:22) argue that self-appraisal should be related to arriving at the focus or focuses of the whole appraisal process. This, they

argue, provides the appraisee with an opportunity to set parts of the agenda so that the process is driven primarily by the appraisee's needs, hopefully within a school context. Supporting the importance of self-appraisal in the whole appraisal cycle, Goddard and Emerson (1995:90) subscribe to the view that self-appraisal provides the teacher with "... time to reflect on successes and failures, strengths and weaknesses, and should be encouraged as a normal part of day-to-day professional life".

If self-appraisal is encouraged and carried out properly, it can benefit the smooth implementation of the appraisal process in the school in many ways. Keitseng (1999:33) identifies some of the benefits as:

- individual teachers take responsibility for their own needs; a point supported by Cosh (1999:23) who declares that it is better than "... teachers being observed, and being told about their teaching";
- teachers are able to identify their most significant dilemmas; and
- teachers get immediate feedback on their performance, through a continuous process of evaluation.

Taylor (1998:109) believes that self-appraisal empowers teachers to reflect upon their own professional needs and interests. For instance, "... teachers may collect data on their own teaching effectiveness and analyze the information to consider improvements to that teaching."

Goddard and Emerson (1995:90) also illustrate the vital role played by self-appraisal when they purport that it benefits the teacher, the appraiser and the school in a number of ways:

- it can assist in making the appraisal a genuine two-way process, particularly in the discussions of the teacher's performance, priorities, and development needs;
- it can enable the teacher to clarify his or her perceptions and priorities;
- it can encourage the teacher to undertake regular reflection about his or her work and career;
- it can lead to greater commitment by the teacher towards the achievement of agreed targets; and
- it can provide solutions to problems which are preventing the teacher from performing effectively.

Horne and Pierce (1996:22) believe that self-appraisal helps the teacher to think about the main elements of the job and to have a voice in the appraisal process, thus developing a sense of ownership which will be crucial to other components of the appraisal process. However, for self-appraisal to be effective, it should be handled properly to generate the spirit of trust and honesty.

Self-appraisal can be regarded as a stage where the appraisees are encouraged to review and reflect on their practice in order to identify any concerns they may have in their duties. This is also a preparatory measure for classroom observation.

2.7.3 Classroom observation and data collection

Studies on teacher appraisal point to the fact that classroom observation should be central to the appraisal process as teaching is central to the business of schools (Bennett, 1992:20; Horne & Pierce, 1996:34; Poster & Poster, 1992:50; Wragg *et al.*, 1996:23). Of all the aspects of the

appraisal process, classroom observation has been the bone of contention for teachers because of various reasons. Firstly, for many years teachers have been able to close their classroom doors, build professional relationships with students and have more or less autonomous professional existence, but classroom observation intrudes on this. Secondly, apart from the perception of losing their autonomy, teachers fear that some form of checklist approach would be introduced and judgements based on it will be made. Thirdly, teachers are always suspicious of the competency of the appraisers in doing a good job.

In order to allay these anxieties, Goddard and Emerson (1995:94) suggest that it is important that both the appraisee and the appraiser are clear about the purpose of the observation; the role that the appraiser will play during the lesson; and the criteria to be used during the observation. Corroborating Goddard and Emerson's (1995) assertions, Horne and Pierce (1996:3) contend that the purpose and nature of the observation and the focus should have been decided and agreed at the initial meeting. Furthermore, "... it is important that the activity to be observed has been agreed and is clear, manageable and realistic."

Before the observation exercise proper, there are some preparatory steps to be followed if the observation is to be effective and successful. The steps to be followed are illustrated in Table 2.3.

Table 2.2: Before the observation (Bennett 1992:45)

The appraiser and appraisee should pay attention to:
<ul style="list-style-type: none">• WHY - Establish the purposes of the process• WHAT- Agree on the focus of the observation• WHO - Agree on the most appropriate observer• WHEN- Negotiate times of visits• HOW - Determine observer role, methods of data collection• REHEARSE - Lesson/session<ul style="list-style-type: none">- Context within which lesson/session occurs- Potential difficulties/constraints

Bennett (1992:44) advises that the appraiser and the appraisee need to agree on the purpose of the observation: the appraiser's job is to look with the appraisee at what is happening in the classroom, not to look for particular strengths and weaknesses as it might be the case if this was a student teacher on teaching practice being assessed. Goddard and Emerson (1995:95) concur and add that the observer should stress that the observation is intended to provide information for the appraisal process rather than to make judgements about the teacher's ability. Horne and Pierce (1996:35); Goddard and Emerson (1995:54); and Wragg *et al.* (1996:48) are all in agreement on the importance of this pre-observation discussion to set the context of the lesson in advance.

Another vital aspect of this discussion is to agree on the focus of the observation as Goddard and Emerson (1995:95) cogently argue that the teacher should be given the opportunity to suggest particular aspects of the lesson to be focused on. However, the appraiser should also have an

input. In Great Britain, Circular 12/91 (DES 1991:4) advises that “... appraisal is likely to be more purposeful if it focuses on specific areas of a school teacher’s work”. Horne and Pierce (1996:35) emphasize that “... it is important that the activity to be observed has been agreed and is clear”.

As indicated in section 2.7.1 above, a contentious issue concerning teacher appraisal is the question of who is to appraise as this differs from one situation to the other. In South Africa, Mpolweni (1998:56) points out that the “... composition of the appraisal panel will be mainly institutionally based. This panel will include the teacher who is appraised (appraisee), a member of the senior management of the school, a peer (colleague), a union member, and an outsider (a person from the district or college/university). In Great Britain, Circular 12/91 (DES 1991:4) succinctly states that:

Wherever possible the appraiser should already have management responsibility for the school teacher. ... where this is not the case the headteacher should appoint as appraiser a person who is in a position by virtue of his or her experience and professional standing to ensure that the appraisal serves the needs of both the school teacher and the school.

According to Mo *et al.* (1998:24), in Hong Kong the importance of the appraiser is recognized as one of those elements, which is central to the success of appraisal. If it is done by someone in a line management position, it is important so that the appraiser should be credible, respected, and skilful in appraising teachers so as to eliminate the fear of misuse of appraisal data.

Wragg *et al.* (1996:42) emphasize that the relationship should not be personal but professional, "... not how the two teachers go on socially, but whether professional trust and respect were present". Bennett (1992:46) specifically cites a scenario where an appraiser is required to appraise a teacher teaching languages but the appraiser not being conversant with the language being taught. This situation is prevalent in Botswana where some senior teachers are expatriates but by virtue of their seniority are expected to appraise those under them.

Given the anxiety that the process of observation may generate, Goddard and Emerson (1995:94) recognize the importance of coming to an agreement on the lesson to be observed. Poster and Poster (1992:57) support this and highlight that "... every class has its Fearsome Freddie (or Freda) who may be cooperative because the observer is present but is just likely to use the occasion to be highly disruptive". The time of the visit is also very important as Bennett (1992:46) points out that it will be beneficial to observe a lesson with which the appraiser feels comfortable.

It has been observed that it is difficult in many classroom situations for the observer to remain unobtrusive (Horne and Pierce, 1996:36). Bennett (1992:46) advises that there should be prior agreement on how the observation is conducted and recorded, as well as how data is collected. One should refrain from the use of any sort of checklist and clipboard as this creates an impression that the teacher is being assessed – a small notebook is recommended as an *aide memoire* of significant aspects of teaching and learning. It should be emphasized that as much as possible, the driving force should be agreement and not imposition, in order to sustain an environment of trust and openness.

2.7.3.1 The observation itself

Studies on the implementation of the appraisal process suggest that the appraiser should approach the observation in as positive a manner as possible and to focus on the teacher doing something right. Table 2.3 shows the suggested elements of the observation activity.

Table 2.3: Elements of the observation (Bennett 1992:47)

The appraiser should:

- keep to the agreed focus.
- observe clinically; interpretation comes later.
- observe with an open mind; detach prejudices and perceptions.
- observe teachers doing something right.

2.7.3.2 Following the observation

It is generally agreed that feedback should be as soon as possible to allay the teacher's anxiety. Goddard and Emerson (1995:100) suggest that the appraiser may provide a summary of what transpired, based on the brief notes taken. The teacher should also be given the opportunity to give his or her impressions of the lesson.

2.7.4 Appraisal discussion, target setting and appraisal statement

2.7.4.1 The appraisal discussion

The phrase “appraisal discussion”, rather than “appraisal interview” (a phrase which denotes a hierarchical setting), is preferred. The essence of the appraisal discussion is clearly captured by Goddard and Emerson (1995:102) in their assertion that:

The appraisal discussion is only one part of the appraisal cycle. It will probably last only for one hour, and yet its success or otherwise will have a vital effect on the whole appraisal process and, beyond that, on the professional relationship between appraiser and teacher.

The pivotal role of the appraisal discussion is also recognized and emphasized by various authors and researchers such as Dean (1992:188); Humphreys and Thompson (1995:142); Kyriacou (1995:113); Mackintosh (1991:72); Waghid (1996:84); and Webb (1994:126). Dean (1992:188) contends that the appraisal discussion offers an opportunity to the appraiser to praise and encourage in a formal setting and to record success, but also to deal with aspects of a person's work which are less than satisfactory. Bennett (1992:26) further asserts that when the discussion is conducted on the basis of mutual professional respect, where the appraiser can convey his or her genuine desire to understand and share responsibility for the appraisee's working circumstances, where the appraisee feels a positive, supportive and appreciative response, where the dialogue is genuinely two-way, then there is a potential for creating sufficient trust for the appraisee to disclose genuine concerns as well as record successes.

Literature on appraisal points to the fact that in order for the discussion to be successful, there is need for thorough planning by both the appraisee and appraiser. Dean (1992:189) and Goddard and Emerson (1995:103) concur that the appraisal discussion demands the application of a wide range of skills from both the teacher and the appraiser. Goddard and Emerson (1995:103) suggest that the discussion should:

- reinforce the mutual confidence and trust between the teacher and appraiser and nothing in the discussion should interfere with these essential aspects of the process;
- be positive and should contain praise for good performance and suggestions for improvements for any areas of unsatisfactory performance;
- focus on behaviour – what the teacher does and achieves and not on personality;
- look forward rather than backwards in order to be more helpful in considering ways in which performance may be improved;
- not be seen as an opportunity to condemn, but where inadequate performance is identified and dealt with in the normal process of management; and
- be carried out in a way which reflects the normal management style between the teacher and appraiser.

The preparation of the appraisal discussion should also take cognizance of the setting. Taking this into consideration, Webb (1994:127) posits that “... physical settings often mirror status and hierarchy”, a situation which compromises the collegiality aspect of appraisal. Highlighting on the importance of the setting, Dean (1992:188) suggests that “... it is important that an appraisal interview is carried out in a comfortable place without interruptions”. This according to Trethowan (1991:193) reinforces to the teacher that the appraiser values the occasion; gives confidence that the climate created for the interview will not be shattered; and avoids the embarrassment of an intrusion into the appraisal room at a critical time. Other suggested aspects include the type of sitting arrangements; types of chairs and tables; and where in the room the discussion will take place.

Some of the skills to be used by both the appraiser and the teacher include providing feedback, listening, questioning, and summarizing.

a) Providing feedback

Goddard and Emerson (1995:107); Kyriacou (1995:113); Trethowan (1991:197); and Waghid (1996:84) all recognize the centrality of giving feedback in the appraisal process. Kyriacou (1995:115) explicitly suggests that teachers value feedback as it provides an opportunity to see oneself as other colleagues see you and this boosts their morale. Goddard and Emerson (1995:107) and Trethowan (1991:199) offer seven general points to be borne in mind when providing feedback.

- 1) Feedback should be given as soon as possible to avoid keeping the teacher in the dark of what transpired and in the process heightening his or her anxiety. It should be done whether it is positive or negative.
- 2) Feedback should be based on evidence. Offer a description of what happened rather than making general and unsubstantiated statements.
- 3) Feedback should be specific, not global; and be descriptive, not evaluative.
- 4) Feedback should not include cosmic judgements. The teacher's own opinion should help inform whatever judgement the appraiser makes.
- 5) Feedback should be fair and honest. The appraisal relationship is based on mutual trust and confidence.
- 6) Avoid gossip. The appraisal discussion feedback must rise above staffroom gossip.

7) The appraiser should be positive when giving feedback; that is, even if feedback is less satisfactory.

b) Active listening

Dean (1992:38); Horne and Pierce (1996:113); and Webb (1994:129) all emphasize active listening for the purposes of successful appraisal discussions. Acknowledging the vital role played by active listening during the discussion, Trethowan (1991:205) contends that good listening emphasizes: respect for the teacher that his or her contributions matter to the appraiser; and that the appraiser wants to help in ways which matter to the teacher.

c) Questioning

The essence of questioning in the appraisal discussion is captured by Goddard and Emerson (1995:110) when they assert that "... as important as listening well is the skill of asking right questions. ... the purpose of the discussion is to increase the amount of information available to the teacher and appraiser; questioning is the skill which will encourage and enable the teacher to reveal information to the appraiser". Horne and Pierce (1996:113) take this further by emphasizing that "... questioning and listening skills are complementary".

d) Funnelling and summarizing

According to Goddard and Emerson (1995:12), a skilful appraiser combines the skills of active listening and the use of various types of questions to shape the discussion and to lead from the general to the specific. This helps to make summarizing easier. Summarizing on the other hand leads to easy target setting. It can also lead to the avoidance of misunderstandings as it provides an opportunity to voice the appraiser's

perceptions of what happened and for the teacher to add his or her own comments. The agreed summary forms the basis of the appraisal statement.

2.7.4.2 Target setting

Bennett (1992:75) in his description of target setting maintains that it "... is about agreeing tasks which are relevant to the appraisee's jobs, which stretch the individuals without putting them on a rack, which are precise enough to allow progress towards them to be measured, which identify the resources which will be required, and which are given a time-limit". Trethowan (1991:215) contends that the role of target setting in the appraisal discussion is to make plans for development and improvement, following the successful use of the other four skills, namely; giving feedback, creating a disclosing climate, listening, and questioning. Corroborating the above two views, Goddard and Emerson (1995:114) are of the contention that "... target-setting can be viewed as establishing an action plan for improving professional practice. The action plan will lay down what it is we wish to achieve, how and when it will be achieved, and how we shall know when it has been achieved". It can then be concluded that target setting integrates the teacher's personal action plans into the whole school to avoid conflict of interests.

Horne and Pierce (1996:40) are of the opinion that targets must be precise and realistic, and it must be possible to monitor whether the targets relate to individual needs or to the needs of the school. They further declare that the targets must be SMART, an acronym for:

- Specific
- Measurable

- Achievable
- Realistic
- Time bound.

From the above, it can be deduced that targets should be related to the needs of the teacher, as well as being linked to the school development plan. They should be based on the available resources to be achievable. There should be an element of flexibility to allow for changes to be made when there is any substantial shift in priorities. If there are any changes in priority, they should also be reflected in the appraisal statement which is discussed in the next section.

2.7.4.3 The appraisal statement

Literature on appraisal recommends that when drawing up the statement, the trust and transparency that underpins the success of any appraisal scheme should be maintained. This sentiment is clearly captured by Bennett's (1992:93) assertions that "... confidentiality must be the keystone of any appraisal scheme" as appraisal should not become the source of rumour or the cause of disclosed confidences.

The mutual relationship between the appraisee and the appraiser should continue even during the drawing up of the statement as reflected in Goddard and Emerson's (1995:45) suggestion that although the appraiser draws up the statement, the teacher "... is entitled to record his or her own comments on the statement" and should possess a copy of the full statement. It is also suggested, for purposes of confidentiality, that all other documents produced during an appraisal should be destroyed once the statement has been produced (Bennett 1992:94; Goddard & Emerson 1995:45). Hickcox and Musella (1992:165) wonder whether any written

record is necessary, or, if one is produced, whether it is necessary to be retained in personal files. Citing the British system of appraisal, Hickcox and Musella (1992:165) contend that The Education Regulations (School Teacher Appraisal) reveal some contradictions which may compromise the confidentiality of teachers' appraisal reports as shown in Regulations 4 and 14. Regulation 4 points out that "... appraisal procedures shall not form part of any disciplinary or dismissal procedures, but the appraisal statement may be used for purposes specified in Regulation 14". On its part, Regulation 14 states that "... relevant information from appraisal records may be taken into account by headteachers, Chief Education Officers in advising those responsible for taking decisions on promotion, dismissal or discipline of school teachers or on the use of any discretion in relation to pay". This has been the bone of contention with teachers and they have always harboured suspicions on the appraisal process.

However, it can be argued that since the appraisal process requires the use of human, time, and financial resources, it would be naïve for teachers to expect that no records are kept; also that those managing the education system as a whole need records to justify actions they need to take. The use of information from appraisal records, it can be argued further, needs trust and confidence on the part of teachers that whatever action is taken is both in the interest of the individual teacher and the school. The appraisal statement should be a simple document as indicated in Table 2.4.

Table 2.4: A sample appraisal statement (Horne & Pierce 1996:42)

Appraisee: _____
Appraiser: _____
Date of Appraisal Discussion: _____
Summary of Appraisal Discussion: (This should include a brief record of the main points discussed, the conclusion reached and the professional development targets agreed.) _____ _____ _____ _____
Signature of appraiser: _____ Date: _____
Comments by appraisee: _____ _____ _____
Signature of appraisee: _____
Signature of appraiser: _____

The appraisal statement should not mark the end of the process, but should be followed by discussions as the next section indicates.

2.7.4.4 Follow-up discussions and training

The argument of this study so far has been that appraisal is a process and should be treated as such if it is to be successful. This therefore means that the target setting and appraisal statement phases are not the end, but part of an ongoing process. Literature search reveals that traditionally, schools had met the professional development needs of individuals by arranging specific training events (Goddard & Emerson, 1995:122). Bartlett (1999:26) observes that training is needed to introduce teachers to the appraisal concept and will be needed again to support teachers' improvement efforts. Hopkins *et al.* (1991:44) concur with this observation and point out that "... one of the dangers of the appraisal process is the risk of raising hopes which cannot be satisfied".

It is therefore recommended that after the appraisal statement has committed both the teacher and the appraiser that the targets set should be achieved, there is need for follow-up discussions between the two parties. Goddard and Emerson (1995:124) and Horne and Pierce (1996:44) are in agreement that this phase helps to check on the progress in achieving the agreed targets, to identify any problems, and to establish what specific support the appraiser or others can provide to help the teacher. The teacher should also keep the appraiser abreast of the developments emanating from the set targets through these follow-up discussions.

2.7.4.5 Formal review meeting

According to Goddard and Emerson (1995:125), the review meeting offers a formal opportunity to exchange information about the progress in achieving the agreed targets in the first year of the appraisal cycle (refer to figure 2.2). Horne and Pierce (1996:44) further contend that the meeting allows time to prepare, and reflect on the next appraisal, being

informed by the progress made from the first cycle. It is pointed out that the following should be added to the statement after the meeting:

- the fact that the meeting took place;
- any agreed modifications to targets; and
- the reasons for such changes.

This section has demonstrated that the first year of the appraisal cycle is very demanding as it involves fragile issues such as setting the tone of the appraisal process by indulging in dialogue with both the appraiser and appraisee. Activities such as gathering data through classroom observations and appraisal discussions are sensitive and it has been pointed out that they need to be approached with great care as they are also central to the whole appraisal process. Another important aspect highlighted in this section is the fact that targets should be achievable but challenging; and they should be agreed upon by both the appraiser and appraisee. The section also touched on some skills that have to be learnt by the two parties and these include provision of feedback, listening, questioning, and funnelling which are vital to the success of the appraisal process. The second year of the appraisal cycle involves follow-ups to the targets set, and these follow-ups should be continuous to accommodate new targets.

The next section traces the history of teacher appraisal in Great Britain and the United States of America, and provides the rationale for this overview.

2.8 HISTORY OF TEACHER APPRAISAL IN GREAT BRITAIN AND THE UNITED STATES OF AMERICA

This section provides a brief discussion of the history of teacher appraisal schemes in Great Britain and the United States of America. Firstly, appraisal schemes in these countries have been in place for some time now and a lot of literature on the subject has been produced. Secondly, a brief discussion of the appraisal schemes of the two countries may give insights into the factors that influenced the introduction of the schemes. Thirdly, this may help shed light on what measures were taken in the two countries to overcome the problems that usually go with the development of appraisal schemes in general. Fourthly, this discussion is relevant due to the fact that the education system of Botswana has a lot in common with the systems in the two countries. This may not be surprising because Botswana is a former British colony, and the country has not severed the relationship as illustrated by the many consultants from Great Britain who help with some government projects such as The Secondary Schools Management Development Project of 1993-96; drafting of the Training Policy of 1995; and the Botswana General Certificate of Education, to mention a few. Furthermore, most of the policy makers in Botswana were trained in those two countries.

2.8.1 Teacher appraisal in Great Britain

According to McMahon (1995a: 152), the origins of the policy for the teacher appraisal scheme in Great Britain seem to have emerged out of a dissatisfaction with the performance of schools and teachers which developed throughout the late 1970s and 1980s. Butroyd (1997:57) points out that it coincided with a desire to strengthen arrangements for

the development of practitioners in the schools; and he further argues that it was influenced by the demand for “value for money”, a notion full of market-oriented connotations.

It is generally believed that appraisal for educators was part of the “... accountability in education movement”. Goddard and Emerson (1995:6); Bennett (1992:1); and McMahon (1995a: 153) are all of the opinion that accountability in education dates back to the now famous Ruskin College Speech of the British Prime Minister, James Callaghan in October 1976. Butroyd (1997:56) claims that this speech marked the beginning of the intense political interest and intervention in education, particularly over the control of the curriculum.

McMahon (1995b:20) asserts that the government had long been determined to introduce teacher appraisal as evidenced by the introduction of enabling legislation. For instance, the first reference to teacher appraisal was contained in the 1977 Green Paper: *Education in Schools: A Consultative Document*, published when a Labour Government was in power and issued by the Secretary of State for Education, Shirley Williams (McMahon (1995a:153). The document emphasized the need to establish procedures for the assessment of teacher performance for purposes of accountability. According to McMahon (1995a:153), the Department of Education and Science (DES) stated that:

The establishment of standard procedures for the assessment of teachers' performance, for advice and, where necessary, warning to teachers whose performance is consistently unsatisfactory, and for all the other steps required by employment protection

legislation, or judged necessary as part of a fair procedure for considering dismissal of staff, are all matters which unquestionably call for the most extensive consultation with the teachers associations.

This document explicitly recognized the need to engage in consultations and dialogue with teacher organizations when dealing with issues pertaining to the introduction of appraisal in schools. It should be borne in mind that consultation and involvement stimulate feelings of ownership.

According to Bollington *et al.* (1990:1), a determined effort to introduce appraisal in British schools was made in the 1980s when some schemes were “home-produced”, some originated from individual heads of schools influenced by management and staff development training, while others were part of official pilot studies. McMahon (1995a:153) believes that one of the main architects of the appraisal scheme in Great Britain was Keith Joseph, the Secretary of State for Education from 1981 to 1986 who saw teacher appraisal as a strategy to “... upgrade the quality of the teacher force”. The government believed that it could manage its teaching force more effectively if it had accurate knowledge of each teacher’s performance. As Goddard and Emerson (1995:6) point out, the information required by the employer could be made available through a formal assessment of teacher performance based on classroom observation by the teacher’s supervisor.

McMahon (1995a:154) concurs with the above by making reference to a DES (1995) *White Paper: Better Schools* which stated that the government was of the view that appraisal could benefit the school

management by providing “... reliable, comprehensive and up-to-date information necessary for the systematic and effective provision of professional support and development, including the deployment of staff to the best advantage”. Secondly, the White Paper further suggested that such an intervention should help teachers to respond to changing demands and realize their full potential by developing their strengths and improving upon their weaknesses. Thirdly, the most promising teachers should be identified for timely promotion, and those with professional difficulties should be identified for counselling, guidance, and support; while those who could not respond positively should be considered for early retirement or dismissal.

Although the White Paper referred to above contained many positive aspects of appraisal which could benefit teachers, Goddard and Emerson (1995:7) and McMahon (1995a:155) argue that it formalized the position of Sir Keith Joseph, the Secretary of State for Education that incompetent teachers should be weeded out and appraisal should be linked to pay. This link between appraisal and pay is explicitly emphasized in paragraph 181 of the 1985 White Paper (McMahon 1995a:155) which states that:

The appraisal of teacher performance has been widely seen as the key instrument for managing this relationship (between pay, responsibilities, and performance), with teachers' professional and career development assisted and salary progression largely determined by reference to periodic assessment of performance.

Goddard and Emerson (1995:7) observe that while LEAs were puzzled by this emphasis of linking appraisal to pay, teachers suspected a ploy to

reduce the number of teachers in line with the falling enrolments then hitting the schools. As far as teachers were concerned, the positive aspects of the scheme for purposes of professional and career development were far outweighed by the prospect of appraisal being used for purposes of advancement, discipline and dismissal.

These legislation policies were a clear indication that the British Government wanted to introduce teacher appraisal to make teachers more accountable and to strengthen the management of teachers. However, as McMahon (1995a:155) points out, the difficulty facing the government implementing these ideas was that day-to-day control of schools was in the hands of local authorities. Routledge and Dennison (1990:52) and Fiddler (1995:266) argue that in an attempt to circumvent these hurdles, government funded a project on teacher management and appraisal in a number of LEAs as a means of developing suitable procedures for appraisal; but this had little effect as teacher associations involved in the negotiations were strongly opposed to any link of appraisal to salary, promotion, and dismissals.

As a result of this resistance from teacher associations, Bollington *et al.* (1990:3) point out that the DES funded another project to survey appraisal schemes in British and German industries, and North American schools. Their findings helped them to make recommendations on the principles and processes appraisal should ideally encompass. During the survey period, negotiations between government and teacher associations continued, with the latter more concerned with the desire to improve arrangements for the professional and career development of teachers. Poster and Poster (1992:12) are of the opinion that one of the results of these protracted negotiations was the publication of the reports entitled

Those Having Torches (1985) and *In Light of Torches* (1987). The recommendations from these publications influenced the Appraisal/Training Working Group which was set up in 1985 during the salary negotiations, and comprised representatives of teacher associations, LEAs, and the DES. The group produced a unanimous report which presented agreed principles which should underpin such an appraisal scheme; and it also considered the steps needed to prepare for the introduction of appraisal which should rest on a “... well planned and well directed pilot project”. Goddard and Emerson (1995:7) declare that in part, the report suggested:

... what the Working Group has in mind is a positive process, intended to raise the quality of education in schools by providing teachers with better job satisfaction, more appropriate in-service training and better planned career development based upon more informed decisions.

The report further suggested that disciplinary procedures should remain separate and it emphasized that appraisal should be piloted before any attempt was made to implement it at national level.

Williams and Mullen (1990:3) assert that central government made it a condition of the settlement of the 1985-86 salaries dispute that teachers accepted a scheme of appraisal through Section 49 of the Education Act (No. 2) of 1986 which gave the Secretary of State for Education powers to make regulations providing for teacher appraisal. The Teachers Pay and Conditions Act, according to Williams and Mullen (1990:3), gave the Secretary of State for Education further powers in that he could require teachers “... to participate in any arrangements within an agreed

national framework for the appraisal of their performance and that of other teachers". It was clear that the teachers had lost their bargaining powers.

As a result of this loss of bargaining powers by teachers, McMahon (1995a:158) observes that the relations between DES and teacher associations became strained; and short strike and walkouts from meetings characterized the period following this development by teacher associations in protest. This scenario of estranged relations had a negative impact on the pilot schemes even though the protest was not directly linked to the introduction of appraisal. McMahon (1995a:159) contends that during the period of non-cooperation from teacher associations, LEA coordinators concentrated on setting the groundwork by raising teachers' awareness of appraisal issues and upon training. This move by LEAs helped the implementation by allowing teachers to raise their concerns and clarify their understanding of the process.

Teacher organizations soon rejoined the negotiations and this helped to bring the debate on teacher appraisal back on track (McMahon 1995a: 159). Firstly, procedures for the implementation of appraisal were trialled in schools. Secondly, workshops on different aspects of the appraisal process were held, with regular reports on the project produced to provide formative feedback about the scheme. Thirdly, national co-ordinators also provided a series of position papers that contained recommendations about the appraisal procedures; and fourthly, consultations through conferences and the media continued. Wragg *et al.* (1996:192) assert that funds for the training of teachers in preparation for the introduction of appraisal were also provided.

Although the stage seemed to be set for the introduction of a national scheme of appraisal, it was not going to be so due to changes taking place in government. McMahon (1995b:20) and Fiddler (1995:97) concur that in October 1989, John McGregor, who had become the new Secretary of State for Education was not enthusiastic about appraisal being introduced immediately because he felt there was a need for more consultations. He further announced that he would not be making regulations on appraisal immediately "... because he recognized that schools were already engaged in a full programme of reforms following the Education Reform Act of 1988, and that some schools did not currently have the capacity to introduce a further innovation as significant as appraisal". Wragg *et al.* (1996:10) point out that after some consultations, McGregor announced that appraisal would be introduced on a voluntary basis and on the following grounds: firstly, appraisal should be introduced at a pace which is realistic and manageable for schools; and secondly, appraisal was essentially a management issue and decisions about the management of schools and teachers should be taken locally.

McGregor's stay in office was short-lived (McMahon 1995a:162), and the man who replaced him, Kenneth Clarke, reversed the policy and announced that appraisal would be mandatory as regular appraisal will help to develop the professionalism of teachers, and so improve the education of their students. According to McMahon (1995a:162), regulations on appraisal were published in July 1991 to take effect in September the same year. The details of the national scheme were contained in two documents: Education (School Teacher) Regulations 1991/1511; and Circular No. 12/91. The Regulations set out those aspects of the scheme which were legally binding, while Circular 12/91

contained more detailed suggestions about how appraisal might be implemented in practice. The appraisal scheme was implemented in September 1991 and was to take place on a two-year cycle for each teacher.

This section has indicated that the introduction of an intervention such as teacher appraisal is not an easy thing due to a number of issues. Firstly, although the politicians may have the political will to govern, the reactions from the teachers and their associations to the accountability model showed that all stakeholders need to be consulted and involved in the whole process. Secondly, it has indicated that if properly organized, the teaching force is a group that can be reckoned with, especially if their professionalism is being tampered with. Thirdly, the spirit in which the negotiations ended illustrates the democratic value of consultation. Fourthly, it has demonstrated that teachers are willing to improve as they favoured a developmental approach to appraisal.

The next section examines the introduction of teacher evaluation in the United States of America.

2.8.2 Teacher evaluation in the United States of America

Literature on teacher appraisal, more usually called teacher evaluation, in the United States of America, indicates that it was introduced in the mid-1970s (Poster & Poster 1992:22; Shinkfield & Stufflebeam 1995:14; Duke 1995b:4). Darling-Hammond and Ascher (1992:18) note that the public has come to believe that the key to educational improvement lies as much in upgrading the quality of teachers as in revamping school programmes and curricula. Shinkfield and Stufflebeam (1995:14) contend that the growing importance of teacher evaluation can partly be

attributable to public demand for accountability in education which had shifted from a teacher's curriculum and programme management to the quality of classroom teaching and students learning. This observation is supported by Sergiovanni and Starratt (1998:308) who declare that "... pressured by state legislatures and state departments of education for greater accountability in their use of tax dollars, school systems have attempted to show that they are being accountable, and are working toward improving student learning by devising teacher assessment systems".

Hlebowitsh and Tellez (1997:163) purport that over the years, schools in the United States of America have been blamed for virtually every perceived failure or decline in the nation's industrial, commercial, military, and technological markets. They cite examples of the government blaming schools for being unable to produce enough scientists, mathematicians, and engineers; thus giving the then Soviet Union a supreme militaristic advantage over America. As a result of this perceived failure of schools, Gitlin and Smyth (1989:vii) declare that this has led to a rush of proposed reforms, which for the most part focused on the alleged inadequacies of teachers who are viewed as being deficient and in need of help. This perception of teachers as being deficient is made eloquently by Smyth (1991:viii) when he argues that:

... when government comes under attack for not being responsive enough to "economic needs" and fiscal crisis creates increasing pressures on the state to make the immediate needs of business and industry its primary goals, the crisis will be exported downwards. That is, rather than attention being directed toward the unequal results and benefits produced by the ways our

economy is currently organized and controlled, schools and teachers will be focused upon as major causes of social dislocation, unemployment, falling standards of work, declining productivity, and so on.

It should be recognized that there are similarities and differences in the educational history, climate and culture of Great Britain and the United States of America. However, while in Great Britain there was a call for a national scheme of appraisal, in the United States of America there could be no federal legislation in matters of this kind as the states themselves enact what they individually deem necessary (Poster & Poster 1992:23); Hlebowitsh & Tellez 1997:97). It has been argued (Duke 1995b:2) that although there is no central control of education in the United States of America, sometimes interactions take place between local and state or national contexts, causing policy intentions at each level to be moderated or compromised. In other words, as the government of the day, the federal government has a political responsibility to be responsive to the activities in the individual entities; hence local developments can at times shape national policies and *vice versa*.

Duke (1995b:5) asserts that the origins of teacher evaluation in the United States of America were based on the desire to make teachers accountable; and he argues that while this demand was based on the fear that incompetent teachers would remain in the classrooms, and there were large sums of the taxpayer's money involved, teacher advocates questioned the validity and reliability of the data collected on which accountability decisions were made. This opened up a debate on what steps to be taken.

Shinkfield and Stufflebeam (1995:23) point out that, as there is no central control of education in the United States of America discussions on the most appropriate and favourable way of introducing teacher evaluation continued between district, state, and teacher unions. Iwanicki and Rindone (1995:65) maintain that in Connecticut State teacher evaluation was focused on the professional growth of teachers and the improvement of student learning, and they identify three main purposes of teacher evaluation as: firstly, to provide information about the quality of instruction; secondly, to provide data regarding teachers' professional growth needs; and thirdly, to provide feedback on the extent to which teachers are successful in fostering valued student outcomes.

On the other hand, Duke, Lyon, Raichle, Randall and Russell (1995:147) posit that the evolution of teacher evaluation in Washington State started with proposals which focused more on accountability and merit pay than professional development because there was more influence from the business community, particularly the Business Roundtable which pressed school systems to adopt private sector practices such as career ladders and merit pay. The pro accountability movement also influenced developments in Louisiana (Baldwin 1995:99-126); and North Carolina (Holdzkom & Brandt 1995:35-64).

The federal government also had a lot of influence on the way teacher evaluation was introduced by enacting legislation which gave some guidelines. For instance, Spring (1996:33) argues that the government and the public felt that it was necessary to transform the teaching profession in order to improve the ability of the United States of America to compete in world markets. Spring (1996:33) further states that one such report from the federal government published in 1986 and which

guided changes in the profession of teaching, was *A Nation Prepared: Teachers for the 21st Century*. This report linked the improvement of schools and the economy with the reform of teaching. The report states that: "... the key to success lies in creating a profession equal to the task – a profession possessed of well-educated teachers prepared to assume new powers and responsibilities to redesign schools for the future". Another very influential policy document issued by the federal government was *A Nation At Risk*, published in 1983 (Duke *et al.* 1995:129), and it centred a great deal on the need to improve teacher performance, the qualifications of those entering the profession, and retention of the best teachers.

Brandt (1995:30) asserts that *A Nation At Risk* favoured "pay for performance", variously known as merit pay, incentive pay, career ladders, these turned out to be the programmes most strongly resisted in the education community, especially by teachers. This is highlighted by Bacharach, Conley and Shedd (1990:136) when they argue that "... the assumption that there has to be a formal link between career levels and job responsibilities represents the primary reason that teachers and their unions have opposed the enactment of most career-ladder legislation".

Shinkfield and Stufflebeam (1995:30) contend that the publication of *A Nation At Risk* gave the American public a heightened awareness that reform in education was essential; and almost overnight, the movement towards increased accountability in education and a close scrutiny of its intentions and outcomes became a matter of national importance. The teachers were not happy with these developments. Their concerns were based on the qualifications of those making judgements and the validity of instruments used to collect data. As a result, various school districts

and states continued with negotiations and searched for appropriate procedures for teacher evaluation. Duke *et al.* (1995:129) points out that teacher evaluation in the state of Washington continued to be debated in many fora, including the state assembly, by politicians, most of whom believed that the existing evaluation system failed "... to assist good teachers and weed out bad teachers". This opened up new debates as teacher associations could not agree with the procedures and purposes favoured by politicians and businessmen until, as Duke *et al.* (1995:137) point out, a compromise was reached whereby the accountability or summative system of evaluation was designated for employment decisions such as promotion and dismissal, while the formative system was reserved for professional growth.

On the other hand, the story of teacher evaluation in Connecticut was completely different from the one of the state of Washington, as Iwanicki and Rindone (1995:77) contend that the Connecticut reforms integrated the processes of professional development, teacher evaluation, and school improvement with a common focus on student learning; and the policy makers were committed to the provision of assistance and support instead of monitoring for accountability.

2.8.3 Lessons learnt from the two case studies

The two case studies have demonstrated that policy makers and educators in Great Britain and the United States of America were in agreement that there was a need to reform the teaching profession in an attempt to improve the quality of teaching which would in turn lead to enhanced student learning in schools. According to Duke (1995a:181), the main focus was the need to change the prevailing appraisal practices which

were deemed ineffective by the public and government, including some educators.

Another interesting lesson from the developments in the two countries was that the initial impetus for changes in teacher appraisal practices came from political rather than professional sources (Butroyd 1997:56; Duke *et al.* 1995:147; Shinkfield & Stufflebeam 1995:14). It has been further revealed that the politicians and the public favoured a pro accountability approach to teacher appraisal which resulted in teachers and their unions resisting the intended changes. Hlebowitsh and Tellez (1997:263) argue that the advocates of the accountability approach were influenced by market-related forces and not by proven educational shortcomings.

In both countries, the tenacity and organization of teacher associations became clear when they pressurized their governments to change from their pro accountability agenda to a developmental approach. Apart from tenacity, Duke (1995b:183) contends that continuity of representation gave teachers an advantage over their contenders since the latter group came and went, for instance the numerous Secretaries of State for Education in Great Britain during the negotiation period.

Consultants, pilot testing, and vanguard districts were involved in policy formulation, for example, South Kitsap District in Washington State (Duke *et al.* 1995:137), and Suffolk Local Education Authority in Great Britain (Fidler 1995:95). South Kitsap District had had its model of growth-oriented teacher evaluation tested before the state's initiative, and other districts felt it was a more realistic and practical one than the one the state wanted to introduce. Suffolk LEA was funded by the

government to carry out surveys of appraisal models in use in North America, Germany, and local private industries. Consultants also played a major role in these developments; for instance, in Great Britain, the University of Bristol's consultants carried out research on behalf of government and contributed favourably to the adoption of formative appraisal (Duke 1995a:185), while in the United States of America, in the state of Connecticut, consultants convinced the State Department of Education to merge teacher evaluation with professional development and school improvement (Duke 1995a:184). The results of all these moves stressed a fervour for professional approaches, and this tended to convince policy makers that growth-oriented teacher appraisal was the most appropriate.

Training was also given prominence as one of the main tenets of a successful appraisal programme (Bridges 1990:156; Hopkins *et al.* 1991:39). All those who were to be involved with the process of teacher appraisal were to receive some training so that skilled and knowledgeable people could smoothly implement the scheme.

Teacher evaluation schemes were ultimately introduced in the two countries, with the developmental model having an upper hand. The framework provided by the developments in the two case studies should inform the study under investigation; however, caution should be exercised by not transplanting the processes into another system as conditions are not similar and the systems are not without weaknesses. The next section offers a summary of the whole chapter.

2.9 CONCLUSION

This chapter has revealed that there are two main approaches to teacher appraisal namely the accountability and professional development models. Although the two models serve different purposes in schools, their ultimate aim is to improve the quality of teaching and student learning.

It is clear from the literature review, particularly from the two case studies from Great Britain and the United States of America, that the introduction of teacher appraisal is not a smooth development as it generates a lot of controversy and debate. Among the most contentious issues are the purposes of teacher appraisal; the most appropriate procedures to be followed during the teacher appraisal process; the relationship between teacher appraisal and pay for performance and disciplinary procedures; and the provision of resources to support teacher appraisal. These issues therefore call for care when planning and implementing a teacher appraisal programme.

The literature review also demonstrated that for teacher appraisal to have an impact on the teaching and learning of students, it should not be introduced in isolation, but ought to be embedded into the rhythm of the school's day to day activities. In other words, it should be carried out in relation to the school development plan, reports from school inspectors, the mission statements, and other school activities.

The two case studies have demonstrated *inter alia* that teachers need to be involved at all stages during the introduction of the appraisal scheme so that they can understand the purposes and procedures of the scheme. Such

an approach may stimulate ownership, which in most cases is a recipe for success. Furthermore, the case studies have demonstrated that teachers are not against teacher appraisal *per se*, but against certain aspects which they feel are not appropriate to their profession, for instance, the validity and reliability of the instruments used to collect data.

The review has also succinctly shown that for any system to be a success, it requires the commitment of resources and the stability of staff; and it needs to take place in a non-threatening atmosphere of trust and honesty where all those involved share the same ultimate aim of improving the learning of students in the classroom.

This study seeks to find out how the current system of teacher appraisal in Botswana secondary schools operates, and whether it achieves its objectives of improving the quality of teaching and student learning. The issues of how the system of appraisal in Botswana was introduced and how it operates are discussed in the next chapter.

CHAPTER THREE

THE EDUCATIONAL SYSTEM AND POLICY CONTEXT OF TEACHER APPRAISAL IN BOTSWANA

3.1 INTRODUCTION

This chapter provides an overview of the educational policy context of this study. Because very little has been published on the Botswana education system, especially with regards to teacher appraisal, the literature review will be based mainly on official documents such as the National Development Plans, reports of National Commissions on Education, circulars from Government Ministries, other policy documents, conference and seminar papers, print media, unpublished dissertations and theses, and the few published books and articles on education in Botswana.

The first part of this chapter briefly reviews educational policy formulation in Botswana since independence from Great Britain in 1966, with particular emphasis on the developments in secondary education, such as teacher demand and supply, the rapid and massive expansion of secondary education system, and how the two impacted on the quality of education offered in the schools. The two aspects of the demand and supply of teachers and the rapid and massive expansion of secondary education are emphasized in relation to their impact on the appraisal process as carried out in Botswana secondary schools.

This chapter then discusses the development of the appraisal process in Botswana secondary schools and how it relates to the context described in Chapter Two. Furthermore, the relevance, strengths and shortcomings of the current appraisal process are discussed in relation to findings from Chapter Two. Some developments in the education system, such as school-based in-service training, parallel progression, and decentralization of some functions of the Ministry of Education are also discussed.

3.2 THE DEVELOPMENT OF SECONDARY EDUCATION IN BOTSWANA SINCE INDEPENDENCE

This section briefly describes the development of secondary education in Botswana since independence in order to highlight issues that have a bearing on the rationale for the introduction of teacher appraisal. It also provides background information to accord the reader the opportunity to understand why events unfolded in certain ways. Finally, the information provided in this section gives a context within which teacher appraisal was introduced in the education system as it could not be done in isolation.

According to the Report of the British Economic Survey Mission, the general state of education in Botswana at independence in 1966 was very poor, and this impacted negatively on the manpower requirements, and the economic, social and cultural development of the country (Republic of Botswana 1966:8; Coles 1986:7). This may not be surprising when one considers the aim of education in the context of colonial rule. According to Galetshoge (1993:76), the aim of the education system during the colonial era was to produce a

limited number of the manpower required for the few available positions of employment in the Colonial Government and Tribal Administration as clerks, interpreters, and low-level nursing and teaching staff, jobs that did not require standards above primary education at that time. Education was designed to produce the calibre of personnel efficient enough to cope with the demands of the work prescribed. This attitude of the colonial masters towards the provision of education for the colonised led to the neglect of secondary education in the colony.

Due to the long neglect of secondary education by the colonial administration, there was an acute shortage of local trained manpower in 1966 when Botswana attained independence (Republic of Botswana 1966:8; Tlou & Campbell 1994:207). For instance, at independence there were only nine secondary schools, with only one Government school, Gaborone Secondary School, which came on stream in 1965. The rest were built by tribal authorities and missionaries (Mautle 1996:104). In 1965, the secondary education system produced only 16 students who were capable of undertaking higher education. The neglect of secondary education also resulted in only forty Batswana holding university degrees in 1966, and only six of these graduates were teachers (Republic of Botswana 1966:34; Mautle 1996:104; Ramorogo, Mapolelo and Mooko 1998:8).

It was therefore not surprising that when Botswana gained its independence in 1966, the new government pledged to give priority to the expansion of secondary education to provide a base for the development of skilled human resources for various sectors of the country's economy (Mautle 1996:107). According to Leburu-Siang'a

& Molobe (2000:7), the thinking behind concentrating on the expansion of secondary education was that a crop of secondary school leavers would be trainable and this would allow the country to train for different needs of the economy including training for the education sector. The primary aim in the field of education was to create in the shortest possible time, a stock of trained local manpower capable of servicing the young economy (Republic of Botswana 1966:33; Coles 1986:7; Vanqa 1998:11).

Since independence, the Government of Botswana has approached the provision of education in a systematic way through a combination of highly focused and consistent policies that are in line with National Development Plans (Leburu-Sianga & Molobe 2000:24). The development of the education system of Botswana has been guided by two policy documents, namely, the Report of the National Commission on Education: *Education for Kagisano* (Social Harmony) of 1977 and the Revised National Policy on Education of 1994. The two policy documents are briefly discussed below.

3.2.1 The first national commission on education: *Education for Kagisano* (social harmony) of 1977

By 1975, the education system of Botswana had made some progress in the development of secondary education as the number of schools had increased from nine to 15 with a trained teaching force of 32% (Republic of Botswana 1977a:119). However, the Government felt that although education might have grown much, it had changed little as it failed to respond to fresh demands in terms of attitudes, skills, and abilities (Republic of Botswana 1977b:1); Molosi 1993:41). There was even a belief among the public that the quality of education had

declined as a result of the expansion. This resulted in a widespread feeling that the time had come to take a new look at the provision of education in the country (Republic of Botswana 1977b:1; 1992:3).

In response to the situation described above, and after lengthy consultations, the first President of Botswana, the late Sir Seretse Khama, established a National Commission on Education in December 1975, and its findings and recommendations were adopted by Parliament in 1977. These formed the basis for the Report of the National Commission on Education, Government Paper No. 1 of 1977: *Education for Kagisano* (Social Harmony) (Molosi 1993:43; Republic of Botswana 1990:2). This policy document was intended to guide the education system of Botswana for the next twenty-five years.

The first National Commission on Education of 1977 proposed among other things reforms which called for the expansion of secondary education in relation to the manpower and social needs and resources available to Government (Republic of Botswana 1985:123; 1991:325; Motswakae 1990:3). The aim of this expansion was to expand basic education from seven to nine years, as clearly stated in Recommendation 35 (Republic of Botswana 1977b:89):

The Commission recommends that over a long term, Botswana should move toward nine years of virtually universal education. The primary cycle should be shortened to six years and should be followed by three years in junior secondary school for all students. Such a system should be feasible by 1990.

As clearly indicated in section 1.2, full implementation of the proposals for the rapid and massive expansion were delayed. However, some projects related to the proposed reforms were carried out, *inter alia*, the increase in secondary schools as illustrated in table 3.1.

Table 3.1: Number of junior and senior secondary schools – 1980 to 1986 (Mautle 1996:109)

Schools	1980	1981	1982	1983	1984	1985	1986
Junior Secondary	16	19	20	20	35	42	50
Senior Secondary	22	22	22	22	23	23	23
Total	38	41	42	42	58	65	73

As from 1984, the expansion of secondary education, especially at the junior level, was accelerated to meet the projections proposed in Recommendation 35 of the 1977 Commission on Education. Table 3.2 shows the continuation rates of students from primary to secondary schools in the period 1984 to 1991 (Republic of Botswana 1991a:323).

Table 3.2: Continuation rates from primary to secondary education, 1984 – 1991

Standard 7 enrolment		Students admitted to Form 1		
Year	Number	Year	Number	% of Std. 7
1984	27 730	1985	10 577	38
1985	30 454	1986	11 090	36
1986	34 324	1987	12 904	38
1987	36 993	1988	16 719	45
1988	36 811	1989	17 983	49
1989	35 977	1990	22 671	63
1990	39 975	1991	25 952	65

It can be argued that the first National Commission on Education's objective of expansion of secondary education in both qualitative and quantitative terms was on track because by 1990 there were 143 junior secondary schools and basic education was at 65 % (Mautle 1996:109). Furthermore, the curriculum had been diversified to include practical subjects such as Design and Technology, Home Economics, and Agriculture; and the number of qualified local teachers in the teaching force had increased from 101 in 1976 to about 2 500 in 1991 (Republic of Botswana 1991a:323).

However, the implementation of the reforms proposed by the 1977 Commission brought with it some problems as illustrated in section 3.2.2 below. The Government, with pressure from the public, felt that there was a need to establish another Commission on Education in order to address these problems.

3.2.2 The Revised National Policy on Education of 1994

The former President of the Republic of Botswana, Sir Ketumile Joni Masire, appointed the second National Commission on Education in April 1992. The Commission was basically required to conduct a broad ranging review of the entire education system, with particular emphasis on universal access to basic education, vocational education and training, preparation and orientation towards the world of work, articulation between the different levels of the educational system and re-examination of the education structure (Republic of Botswana 1993:ii). The report of the Commission was adopted by Government as the Revised National Policy on Education, Government Paper No. 2 of 1994. It spelt out the strategy for the educational development whose long-term aim was to take the education system into the 21st Century.

While recognizing the significant quantitative achievements of the first National Commission on Education of 1977, especially in the large number of secondary schools and the relatively high number of students who enrolled in junior secondary schools (see tables 3.1 and 3.2), the Report of the National Commission on Education of 1993 and the subsequent Government White Paper No. 2 of 1994, the Revised National Policy on Education, laments the fact that the massive expansion has placed the system under enormous strain and “... the result of these developments is that the public is highly critical of the quality of junior secondary education” (Republic of Botswana 1993:ix; 1994b:3). Bartlett (1999:6) contends that one of the aims of the Revised National Commission on Education of 1994 was to instil the element of quality in the education system, a priority pointed out by the commissioners when they declared that:

...the success in quantitative development of the school system has not been adequately matched by qualitative improvements.

... quality assurance measures will be a major priority in the overall development of education (Republic of Botswana 1994b:3).

Among some of the objectives of the Revised National Policy on Education of 1994 were to:

- i) raise the educational standards at all levels;
- ii) achieve efficiency in educational development;
- iii) make further education and training more relevant and available to large numbers of people;
- iv) improve the management and administration of schools to ensure higher learning achievement;
- v) improve the quality of instruction;
- vi) implement broader and balanced curricula geared towards developing qualities and skills needed for the world of work;
- vii) return to the three years of junior certificate course; and
- viii) embark on measures aimed at raising the status and morale of teachers (Republic of Botswana 1994b:5-11; 1997b:8; 1999:16-17).

The implementation of these objectives had far-reaching consequences for the whole education system (Republic of Botswana 1997b:8; 1999:17). Firstly, the expansion of secondary education in order to achieve ten years of basic education which was introduced by the extension of the junior certificate course to three years in 1996 meant

that more students with mixed abilities found their way into the school system; a situation which required teachers to adapt their teaching techniques. Secondly, the diversification of the curriculum to include new subjects demanded more teachers and new techniques to classroom approaches. Thirdly, the expansion did not only strain the economic and administrative structures, but also placed a lot of pressure on the teachers themselves, a situation which needed attention as it could lead to demotivation and less productivity. Fourthly, the achievement of 100% enrolment in basic education resulted in a heightened demand for senior secondary spaces.

Much as the Government of Botswana was committed to a systematic approach to education and spent a sizable amount of the country's financial resources in education, it should be realized that one of the main factors in the attainment of quality education is the calibre of the teachers who play a pivotal role in driving the education system. The supply of qualified teachers has been on the development agenda of the Government of Botswana, a point emphasized by Kedikilwe (1998:8) when quoting a UNESCO official who once said "... education for all cannot be achieved or even approached without the commitment of teachers to search for and find education within the reach of all". Teachers are, therefore, a very important cog in the wheel of quality provision of education, and this is discussed in the next section.

3.2.3 Teacher training and supply

It has been observed that over the past two decades, teachers and teaching have received a fair amount of attention from education policy makers, funding agencies, and educational quality improvement

researchers in developing countries, and in Africa in particular (Marope 1997:3). Governments' interest in education is not peculiar to developing countries alone as illustrated in section 2.8, whereby political intervention in matters of education in Great Britain and the United States of America was highlighted.

Marope (1997:3) identifies three main reasons why governments and other stakeholders the world over have developed such interest in education, particularly in teachers and teaching. Firstly, teachers are the most significant instrument for effecting student learning and this role is even perceived to be higher in developing countries where the culture of the school and that of the home are mostly at variance. The situation is further exacerbated by such hardships as the acute shortage of curriculum and instructional materials, and poor professional support materials.

Secondly, teachers remain the most significant implementers of interventions and reforms intended to improve the quality of education and ultimately student learning. They are, therefore, the gatekeepers between policy reforms, interventions, and students' actual learning experiences. Thirdly, as one of the largest cadres of the civil service, and due to the proportionate expenditure involved, it is proper for the stakeholders to question whether the observed quality of teaching warrants the expenditure on teachers. As in the two case studies of Great Britain and the United States of America in section 2.8, the interest is mainly to make teachers accountable. This point is succinctly made by Kedikilwe (1998:8) referring to the situation in Botswana: "... much as government continues to support the education sector with the necessary resources, including trained and

experienced teachers, it is not evident that there is a commensurate increase in the quality of the product at school level”.

Since Botswana attained independence, the Government recognized the vital role that can be played by teachers in the ultimate goal of students learning; but was concerned with the calibre and supply of teachers. Khan (1997:237) vehemently argues that one of the main concerns of the first Commission on Education of 1977 was the teachers' low level of qualifications. The shortage of qualified teachers was made worse by the rapid and massive expansion of secondary education which forced the Government to increase the proportion of untrained teachers and recruit more expatriate staff (Republic of Botswana 1997b: 18). One of the main disadvantages of the untrained teachers is that they are not equipped with the necessary skills and knowledge to effectively handle the teaching and students' learning processes; while many of the expatriate teachers came from countries with different education systems and had to adapt to the system of Botswana. It was also discovered that many expatriate teachers were not trained to teach (Dadey & Harber 1991:6; Republic of Botswana 1997a: 119; Vanqa 1998:172-3).

In an attempt to solve these problems, the Government of Botswana decided to expand the training programme through two strategies: the expansion of the University; and the opening of two Colleges of Education to train teachers for junior secondary schools only. Unfortunately, the local institutions could not cope with the demands for qualified teachers as the education system continued to expand and this forced the Government to continue with the recruitment of expatriates and untrained teachers. The supply of teachers also

suffered from other factors which militated against effectiveness and efficiency. Firstly, it is not easy to conceptualise and plan a relevant curriculum to cater for the broad range of student abilities and aptitudes found in the rapidly expanding educational system (Rathedi 1993:97). Secondly, the conditions of service in the teaching profession do not attract academically high performers who would be committed to the job of teaching. Thirdly, due to the high demands of teachers caused by the expansion and diversification of the curriculum, entry requirements into the colleges of education were lowered.

The background information has illustrated that secondary education in Botswana has been undergoing a lot of transformation which can impact negatively on the twin processes of teaching and student learning in the schools if stabilizing strategies are not put in place. In order to address the teaching and learning process, one of the strategies adopted was the introduction of teacher appraisal. The next section discusses the introduction of teacher appraisal in Botswana secondary schools, which is the main focus of this study.

3.3 TEACHER APPRAISAL IN BOTSWANA SECONDARY SCHOOLS

This section examines the introduction of teacher appraisal in Botswana secondary schools, with particular emphasis on how and why it was introduced. It first discusses the introduction of the confidential reports as a component of teacher appraisal; then it briefly looks at the Job Evaluation Exercise of 1988 and its effect on teacher appraisal; and finally discusses the current appraisal scheme and how

it relates to the findings from the international literature review in Chapter Two.

3.3.1 The confidential reports

When the Unified Teaching Service (UTS), now Teaching Service Management (TSM), a body that employs all teachers in Government schools, was established by an Act of Parliament in 1975, it was mandated to, *inter alia*, look after the conditions of service for teachers (Motswakae 1996:67; Republic of Botswana 1976:9). In order to facilitate the conditions of service for teachers, UTS produced a policy document entitled Code of Regulations in 1976. Regulations 110 and 111 of the Code of Regulations demanded that the Director of UTS should be furnished with a confidential report on each teacher each year in the interest of the service, and this had to be prepared by the head teacher, supervisory officer or any other authorized person (Republic of Botswana 1976:9). It further states that “... in no circumstances will the report be shown or communicated to the teacher being reported upon”. However, the Director could communicate to the teacher concerned if needs be. The system was characterized by confidentiality.

On its part, the first National Commission on Education of 1976 and its subsequent Government White Paper No. 1 of 1977: *Education for Kagisano* (Social Harmony), called for the following:

Strengthening of the supervisory and in-service training services so as to maintain much closer links between serving teachers and the administration and bring more frequent help and professional stimulation to the teacher in the classroom
(Republic of Botswana 1977b: 164).

The above recommendation was timely when one considers the state of the education system at the time. Firstly, the massive expansion of secondary education resulted in many students of mixed abilities finding their ways into the schools; secondly, the curriculum had been diversified; and thirdly, the expansion resulted in the recruitment of more expatriate teachers from different educational backgrounds and many untrained teachers. It was therefore realistic to strengthen the supervision and in-service training services if the expatriate teachers, untrained teachers, and the young inexperienced teachers were to effectively carry out their duties.

According to Habangaan (1998:8) and Bartlett (1999:29), secondary school head teachers, through the then Headmasters Association, whenever they met always requested for a system which could help them supervise the teachers effectively. As the head teachers of senior secondary schools were already appraising the ancillary staff in their schools using the confidential reporting system of the Botswana Civil Service, they pressed for the implementation of the same procedure for teachers (Habangaan 1998:8). He further argues that the other reason for such a demand was to enhance teacher discipline.

Bartlett (1999:29) and Motswakae (1990:4) concur that the UTS introduced the annual confidential reports for secondary teachers in 1983 in an attempt to address the challenges highlighted above. The instruments introduced were in two categories: Form UTS 3 (Appendix A) for teachers on probation as stipulated in the Code of Regulations, and Form UTS 4 (Appendix B) for permanent and contract teachers.

The introduction of these confidential reports should be viewed as a means of making teachers accountable. Firstly, the proposed reforms which resulted in the massive expansion of secondary education raised concern in relation to the quality of education offered and most people accused the system of offering inferior education in comparison to what was on offer before the expansion (Molake 1998:27; Republic of Botswana 1994b:3). Secondly, as illustrated in section 2.6.1.1, teachers as employees with a contract are under the obligation to demonstrate that they are doing what they are paid for, in other words, the public demands value for money. This contractual obligation of the teacher to give an account to one's employer is particularly relevant to the Botswana situation because education has consistently been allocated more than 20% of the recurrent budget since the first National Development Plan in 1968 (Chiepe 1999:24). For instance, the percentage of government development expenditure on education was 18.4% in 1984/85 financial year and 12% in 1990/91 financial year, while the percentage recurrent expenditures during the same periods were 20,9% and 21.7% respectively (Molosi 1993:52).

Thirdly, in section 2.4.5, it was succinctly illustrated that appraisal can be used to influence and control the behaviour of employees in order to meet set targets. It was also argued that the public desires an assurance that their children are served by competent teachers. It was therefore necessary for the Headmasters Association to call for some instrument to strengthen their supervisory powers. Habangaan (1998:8) contends that the head teachers were concerned about the "... new recruits and their negative attitude to work".

Among the issues addressed by the confidential reports were: the quality of contribution to the school organization and activities, teaching quality, relations with colleagues including administrative staff, serious faults or shortcomings, and potential for promotion to a post of higher responsibility (Republic of Botswana 1983:1).

The confidential reporting system as practised then was biased towards the accountability model of appraisal discussed in section 2.6.1. This is not surprising when one considers the fact that its origins emanated from a desire by the Government to strengthen supervisory powers and the call by the Headmasters Association to control the newly trained teachers whose behaviour and attitude towards work left much to be desired. Furthermore, it is judgemental in the sense that it emphasizes the identification of serious faults or shortcomings of the teacher in order to determine the suitability for promotion or dismissal; and the potential for further education or training of the teacher instead of the needs of the teacher to be trained to overcome the serious faults or shortcomings. The mere fact that the whole exercise of reporting was confidential to the teacher reported on negated the whole essence of the developmental model of appraisal which was illustrated in section 2.6.3. The secrecy can lead to the appraisee losing trust and confidence on the appraisal process, thus not opening up to the appraiser for fear of victimization.

However, it should be recognized that the confidential reporting system served a purpose at the time. Firstly, the centralized nature of the UTS meant that all matters concerning teachers were essentially dealt with at headquarters (Ramorogo *et al.* 1998:16), and therefore there was a need for a mechanism to gather information on each

teacher, a situation emphasized in section 2.6 whereby the accountability model of appraisal helps in providing evidence for disciplinary procedures and for purposes of pay and promotion. Secondly, the expansion of the education system resulted in many untrained teachers, newly qualified teachers, and expatriates who needed a mechanism to induct them into the profession. As illustrated in section 2.6, the summative evaluation techniques of the accountability model of appraisal become handy as they are objective in identifying the shortcomings. Thirdly, the Government was spending a lot of public funds on education, therefore the public had to be assured of value for money by making teachers accountable.

The next section discusses one of the interventions introduced by the Government in order to instil the spirit of productivity in the civil service, including the teaching profession.

3.3.2 The job evaluation exercise of 1988

The Job Evaluation Exercise of 1988 reviewed and defined job contents, levels of responsibility and determined a rational public service pay and staff grading structure (Republic of Botswana 1991a:484). The Government White Paper on Job Evaluation for Teachers stressed the need to subject teachers to continuous assessment in order to determine whether they were eligible for annual increment, promotion from one salary bar to another along the extended scale to the maximum salary point, and to a higher post of responsibility (Bartlett 1999:29; Habangaan 1998:8; Republic of Botswana 1994a: 47).

Job evaluation linked performance appraisal to pay and promotion, and this did not augur well with teachers and their associations (Vanqa 1998:206). As indicated in sections 2.8.1 and 2.8.2, the introduction of a career ladder structure is always resisted by teachers and their associations. The Botswana Teachers Union (BTU), which represented the majority of teachers across all levels, immediately submitted its first memorandum to the Director of UTS expressing the teachers' dissatisfaction with the outcome of the Job Evaluation Exercise. However, due to the bureaucratic delays, some members of the BTU felt that the executive, made up of mainly head teachers of secondary schools, was not exerting enough pressure on the powers that be, and a concerned group of mainly primary school teachers emerged calling itself the Job Evaluation Unsatisfied Teachers (JEUT). The concerned group engaged its own attorney and at the same time put pressure on Government by staging a protest demonstration on the 16th of August 1989 by marching to the Office of the President requesting the president to intervene on their behalf (Republic of Botswana 1989:2). The JEUT also threatened that if their grievances were not addressed timeously, they had decided to engage in a national strike for an indefinite period (Motswakae 1990:11).

When the appeals by the JEUT were not attended to expeditiously, the members of the concerned group engaged in a three weeks strike by boycotting classes (Republic of Botswana 1990b:33; Vanqa 1998:206). The strike may have involved mainly primary school teachers because of various reasons. Firstly, the Botswana Federation of Secondary Teachers (BOFESETE) had just been formed in 1987 and had a lot of problems to contend with such as lack of recognition by the Ministry of Education, lack of funds for mobilization, few

members scattered all over the country, and more seriously, having lost credibility from both Government and the general public for boycotting the marking of the Junior Certificate Examination scripts in December of 1988 (Vanqa 1998:205). It therefore could not physically join the strike, but according to its first President, they managed to support JEUT morally. Secondly, the Headmasters Association did not act, maybe because they benefited financially from the new gradings of the Job Evaluation Exercise by being placed into the super scale salary structure, which also earned them some benefits such as car allowance at 15% of basic salary. Thirdly, the Teacher Training Colleges acted independently as they were against being treated in the same way as secondary schools, but wanted to be placed higher than them; and fourthly, most secondary school teachers did not join for several reasons: the new salary structures favoured them; they feared to lose credibility like the members of the BOFESETE; and according to Vanqa (1998:205), there was a large proportion of expatriate teachers in the secondary schools who, by virtue of their terms of employment, did not wish to be embroiled in local politics as they had been advised against it.

Vanqa (1998:205) contends that "... no amount of persuasion or threats were able to sway the teachers' chosen path". The three weeks strike compelled the Government to set up a task force to reconsider the teachers' salary structure. The task force came up with a list of eleven recommendations, among them, Recommendation 9 which stated that (Republic of Botswana 1989:13): "... *UTS should consider creating graded posts of teachers such as probationer teacher, Teacher Grade 2, Teacher Grade 1, etc.*". With the acceptance of this

recommendation, a career ladder structure of progression was introduced for teachers.

Although the protests described above were not directly linked to the process of appraisal *per se*, it demonstrates that teachers are always concerned when their conditions of service are being tampered with. For instance, the teachers were complaining that the expansion of the education system had placed a lot of pressure on the teaching profession and they needed to be remunerated accordingly if the status of the profession were to be maintained (Republic of Botswana 1989:23). They were challenging the capabilities of those who were making the assessments. They doubted the validity of the instrument used to assess the teacher's job and asserted that "... it should have been inappropriate and deficient" (Republic of Botswana 1989:4). In section 2.8.1, it has been indicated that teacher organizations in Great Britain engaged in strikes and walkouts during the negotiations for the introduction of teacher appraisal, not because of the subject of appraisal as such, but because of loss of bargaining powers by teachers.

Prior to the Job Evaluation Exercise of 1988, teachers' annual increment was automatic while that of the Civil Service had been determined by the outcome of the performance appraisal system introduced in 1984 (Habangaan 1998:8). Job evaluation introduced a system whereby for one to get promotion or increment, there was a need for an assessment to determine eligibility. In the absence of such a mechanism in the case of teachers, UTS had to devise some instrument by which teachers' progression could be determined.

3.3.3 The current teacher appraisal scheme: Form TSM 3/4

In 1991, as a response to the Job Evaluation Exercise, the current system of teacher appraisal was born (Bartlett 1999:30; Habangaan 1998:9; Republic of Botswana 1994a:47). A Ministry of Education Fourth Biennial Report 1992-93 (Republic of Botswana 1994a:47) claims that the following general points were observed when the scheme was introduced:

- i) The appraisal scheme was to be extended to all teachers employed by the Teaching Service Management.
- ii) The appraisal scheme was not to be used as a way to discipline teachers.
- iii) The appraisal scheme was to be accurate, frank, and above all, open to the appraised.
- iv) All appraiser and appraisees were to receive training before they were involved in the appraisal process.
- v) The appraisal scheme was to be seen as a continuous process involving support or staff development.

The general points which were taken into consideration when the current scheme was introduced need to be looked into in relation to the literature in Chapter Two. Firstly, it is claimed that the scheme was to be piloted from 1991 to 1994 in secondary schools only (Republic of Botswana 1994a:47; Bartlett 1999:30). However, it is doubtful whether there was any piloting at all, or whether the piloting phase was effective because according to the Unified Teaching Service Circular No. 1 of 1991 (UTS 1991b:1), the revised teacher performance appraisal Form UTS 3/4 was to be distributed to all concerned for completion by all teachers employed by the Unified

Teaching Service. The circular stressed that "... unlike the previous teacher performance appraisal forms, which were completed by secondary school teachers only, these will be extended to primary and tertiary teachers employed by the Unified Teaching Service".

Piloting is a very important phase in the development of any teacher appraisal system as illustrated in section 2.8.3 as it reveals some shortcomings and strengths of such a system, and allows for amendments to be made before full implementation. It also allows for the involvement of sample groups of those who will be affected by the scheme, a scenario which usually breeds ownership. The fact that by October 1991 the current system operating in Botswana secondary schools was being implemented nationwide to all teachers employed by UTS raises doubts as to the effectiveness of the piloting exercise.

Secondly, one of the purposes of the current teacher appraisal in Botswana secondary schools is to indicate whether the teacher should get some reward or not. However, it can be subsumed that denial of reward is a disciplinary measure; the same applies to lack of promotion.

Thirdly, another crucial factor for an appraisal process to be effective as illustrated in section 2.8.3 is the training of both appraisers and appraisees. The Revised National Policy on Education of 1994 also recognized the importance of training through Recommendation 112c which states that "... heads of schools should receive continuous management training involving skills of staff performance appraisal" (Republic of Botswana 1994b:50). Training allows for the smooth implementation by people who are skilled and knowledgeable.

Concerning the current teacher appraisal scheme in Botswana, it can be argued that there was no formal training except for the information provided during the Headmasters Conferences and the instructions contained in the Unified Teaching Service Circular No. 10 of 1991 (UTS 1991b:1). The effectiveness of such training is questionable when one considers that in a conference scenario, there is very little time for effective presentation and comments, therefore allowing very little opportunity for in-depth discussions. Furthermore, due to the rapid expansion of the education system, many people were promoted to positions of responsibility and new teachers joined the profession; it is likely that these missed the opportunity to be trained but were expected to implement the appraisal scheme.

The instrument to be used in the new appraisal system was called Form TSM 3/4 (Appendix C). Habangaan (1998:9) claims that the committee that devised this appraisal instrument for teachers had among its working documents the staff performance appraisal for the Botswana Civil Service which influenced the committee's document. The new system of teacher appraisal was viewed by its architects as non-threatening, valid and comprehensive, and had the ability to offer teachers the opportunity to learn and develop in a situation that would develop the individual and the school (Dube 1997:82; Republic of Botswana 1994a:47).

3.3.3.1 The appraisal process

The appraisal cycle in the Botswana teacher appraisal system is annual. According to the instructions contained in Form TSM 3/4, the

process should include a pre-appraisal interview between the appraiser and the appraisee where the teacher is given the job description and expectations are sketched. This interview can be taken to be the same as the initial meeting discussed in section 2.7.1.

Form TSM 3/4 is divided into six sections, but the appraisee is allowed to see information in two sections only, sections A and B. Section A is concerned with the demographic information about the teacher and it is completed by the teacher. It involves information such as qualifications, experience, and comments on the job. Section A as in section 2.7.2 is the self appraisal where the teacher considers among other things, his or her situational constraints, hopes, expectations, and ambitions.

Section B of the instrument is the merit assessment which forms the basis of the whole process and is divided into three sub-sections. Subsection B1 is to be completed by the immediate supervisor who should have observed the appraisee on at least three occasions when she/he was teaching. It offers a summary of a number of classroom observations and involves almost all tenets of classroom delivery from lesson preparation to reaction of students in class.

Subsections B2 and B3 assess the appraisee's general school life and are to be completed by the head of the school who should have supervised the appraisee for at least three months. They focus on things such as the teacher's attitude to supervisor's, dress and appearance, punctuality, attitude to work, and example to students. It is stated in the instructions that "... the merit assessment (Section B) should be shown to the teacher and discussed with him/her. The

discussion should relate closely to the previous interview, in which the job description was given and expectations were sketched”. It should focus on “... practical ways of improving the teacher’s performance and productivity of the institution”. After being shown the merit assessment, the teacher acknowledges by making general observations and appending his/her signature. The discussion, as illustrated in section 2.7.4 represents the stage where targets are set and the appraisal statement is formulated. After this stage, the whole exercise is confidential to the appraisee. The head of the school makes overall observations and recommendations. Sections C and D are completed by the head of the school, and the former aims at assessing the appraisee’s training and development needs in order to recommend the appropriate training to improve performance or overcome a known performance gap in the job. The latter section deals with recommendations based on Section B. For instance, it states that based on the merit assessment in section B, the appraisee is recommended for confirmation to the permanent and pensionable service or not; the appointment is terminated; the appraisee is recommended for annual increment or not; and the appraisee is recommended for promotion or not.

On completion, the forms are sent to the Chief Education Officer at Regional level to make his/her assessment basing on the head of the school’s one. The forms are then passed to the Directorate of Teaching Service Management for action.

3.3.3.2 Critique of Form TSM 3/4

Although the current teacher appraisal system is said to serve both the accountability and developmental models of appraisal (Republic of

Botswana 1994a:47; 1997b:42), Bartlett (1999:31) claims that it “... appears to fit very neatly into the first model”. A closer analysis supports the latter assertions.

a) The purpose of Form TSM 3/4

The purpose of the current system of appraisal in use in Botswana schools seeks to indicate whether the performance level of the teacher justifies some reward or not; specific training to improve performance and productivity; and the appointment of the teacher to a higher position, or the advancement to a higher notch/grade. As illustrated in section 2.6.1 and section 3.3.1 above, this approach to teacher appraisal fits the accountability model of appraisal. When one looks at the origins of the current system of teacher appraisal in Botswana, it came mainly as a result of the Job Evaluation Exercise which demanded that teachers should be subjected to continuous assessment to determine whether they are eligible for annual increment. As clearly indicated in one of the biennial reports of the Ministry of Education, “... the objective of the teacher appraisal scheme is to maintain a closer link between teachers in the field and the headquarters of the Ministry of Education. ... annual increments were no longer automatic but be awarded on merit after the appraisal process” (Republic of Botswana 1997b:42). The implication is that appraisal should be used to inform those at headquarters about the teacher in the field for purposes of rewards and promotion.

The appointment of a teacher to a higher position, or the advancement to a higher notch or grade is no longer dependant on the appraisal process alone as another instrument, TSM 5 (Appendix D) was introduced as a result of the implementation of parallel progression for

teachers in April 1996 (TSM 1994:7; 1996:2-3). Parallel progression came about as a result of the acceptance by Government of Recommendation 4.76 of the Presidential Commission on the Review of the Incomes Policy (Republic of Botswana 1990a:26) which states that:

Government must ensure that an enhanced entry salary, as well as parallel progression within the current public salary structure, is developed for artisan, technical and professional personnel to encourage Batswana to enter these areas of relative scarcity of manpower.

Although it can be argued that progression beyond the so-called proficiency bars is no longer part of the appraisal process, as illustrated in section 2.7.4.3, relevant information from the appraisal records may be taken into account by head teachers and Chief Education Officers when advising those responsible for taking decisions on promotion.

Furthermore, Recommendation 117 of the Revised National Commission on Education of 1994 (Republic of Botswana 1994a: 52) stipulates that with respect to decentralization, the Ministry of Education should establish offices at the level of the local authority administrative areas and the district offices should include personnel from all relevant departments and be supervised by an officer of the rank of Chief Education Officer. With effect from January 2001, the promotion of teachers and lecturers up to Senior Teacher Grade 1 and Senior Lecturer Grade 1 was delegated to the supervisory department in the regional office (Department of Secondary Education 2000:1).

By implication, the recommendations for this cadre of officers ends at section E of the current appraisal instrument, and this calls for a reassessment of the duties of the Chief Education Officer in relation to the appraisal process. The assessment of appraisal forms and the recommendations to the Accountant General for annual increment have also been delegated to the regions from headquarters.

On the aspect of training, two instruments, Form TR 1 for Heads of Schools and Deputies (Appendix E), and Form TR 2 for all other teachers from Senior Teacher Grade 1 down to Assistant Teacher (Appendix F), have been introduced to deal with the training of teachers. The instruments have their own criteria for the selection of candidates, however, as with Form TSM 5, information from the appraisal process can be used by the relevant authorities when making their recommendations.

Furthermore, Recommendation 105a of the Revised National Policy on Education of 1994 (Republic of Botswana 1994a:47) changed the traditional approach of in-service training by placing it in the schools. It states that:

The head as an instructional leader, together with the deputy and senior teachers, should take major responsibility for in-service training of teachers within their schools, through regular observation of teachers and organization of workshops, to foster communication between teachers on professional matters and to address weaknesses.

The commitment of Government's support of school-based in-service training in the form of workshops is also emphasized in the National Development Plan 8 (Republic of Botswana 1997a:9) which asserts that "... in view of the acute shortage of in-service education officers, emphasis will be placed on taking in-service training to teachers through school-based staff development programmes". This is supported by Bunnell (1995:17) who claims that the shift towards school-based in-service training has the advantage of the teacher developing in an environment to which he/she is familiar.

According to Tombale (1997:10-12), the change to school-based in-service training has several advantages. Firstly, the model focuses on teaching and student learning as it is driven by the needs of the schools as identified by the school management teams in consultation with the staff, Boards of Governors and possibly the students. Secondly, the model is contextual in the sense that holding workshops in individual schools allows the possibility of management ideas being shaped to the particular needs of the school. Thirdly, the resources for the programme are specifically designed to support the needs identified by the schools, and not provided by an external register of expert trainers or advisors. Fourthly, it encourages the sharing and analysis of ideas on an equal basis in a group in which no one is considered to be the expert. Fifthly, it attempts to balance the upward thrust of school initiative with the downward force of bureaucratic regulation in such a way that neither dominates to the detriment of the other.

From the above discussion, with particular reference to the school-based approach to in-service training, it is evident that there is a

symbiotic relationship with the process of teacher appraisal as illustrated in section 2.4. Information from the school-based in-service training can be used during the appraisal process to determine the kind of training the teacher needs. Furthermore, school-based workshops play a vital role in staff development, a tenet which does not reflect in the current teacher appraisal in Botswana secondary schools.

The above analysis on the purposes of the current appraisal system as practised in Botswana schools has shown the following: firstly, by allowing information from the appraisal records to be used to determine progression, pay, and training opportunities, this may have negative implications in that during the appraisal process, the teachers may not be interested in exposing their weaknesses. As illustrated in section 2.4.2 this may militate against one of the main tenets of appraisal which is to identify strengths and weaknesses. It is further argued that the teachers will no longer set challenging targets, which will impact negatively on the twin processes of teaching and students learning.

Secondly, the numerous interventions such as parallel progression, decentralization, just to mention a few introduced in the education system are a clear indication that the current system of teacher appraisal in Botswana needs reassessment as it has been overtaken by events. This therefore calls for an evaluation of its effectiveness and relevance under the present circumstances.

Thirdly, a closer look at the purposes does not indicate any tenets of the developmental model of teacher appraisal as discussed in section 2.6.2. The purposes spell a managerial, control-oriented, judgemental

and hierarchical approach to appraisal (Keitseng 1999:25; Malongwa 1996:92), which under normal circumstances result in teacher resistance.

Fourthly, because the current system of teacher appraisal was more concerned with annual increment, as clearly illustrated on the reason why it was implemented (to align the teaching profession with the requirements of the Job Evaluation Exercise of 1988), it had no doubt an annual cycle approach. Such an approach does not allow for the setting of long-term goals.

From the literature review in section 2.4.2, it was illustrated that linking the purposes of appraisal to pay and promotion in most cases leads to teacher resistance. However, in the Botswana situation, there has been very little resistance. Firstly, Motswakae (1990:85) observed that the continuation of the formal staff appraisal depended not so much on the degree of acceptance or feeling of ownership on the part of the teachers, but mainly on the bureaucratic procedures of the education system where decisions are taken up the hierarchical structure and communicated down to the subordinates through circulars and directives. Although he was referring to the scenario before the current appraisal system was in place, the same structure still exists as indicated earlier on the training of appraisers and appraisees.

Secondly, in sections 2.8.1 and 2.8.2, the resistance to the accountability model of teacher appraisal was spearheaded by the teacher associations who were united in their actions. In Botswana, teacher organizations, in the exception of the BTU which was founded

in 1937 (Vanqa 1998:5), are still new; and furthermore, they are not united in purpose as they represent the interests of teachers according to levels of operation. The BTU and the Headmasters Association are being accused of being appendages of the Government because they receive annual grants from the Ministry of Education and it may be difficult for them to act vigorously against their mentor.

Thirdly, it can be argued that the lack of resistance to the introduction of the current teacher appraisal may be due to the fact that the majority of the teachers do not understand clearly the different purposes of appraisal as there was very little education on appraisal. They may therefore regard the appraisal process as one of the perfunctory duties to be carried out by the supervisors.

b) The merit assessment

The current appraisal system as practised in Botswana secondary schools adopts a line management approach because it is the immediate supervisor who makes the merit assessment in subsection B1. The merit assessment is made on a set of rating scales based on at least three classroom observations. The implication of the line management approach on the appraisee is that he or she has no choice on who should appraise him or her. However, as illustrated in section 2.7.1, it is very important for the success of the appraisal process that the appraiser and appraisee should have a professional relationship and there should be trust and confidence between the two.

There are some concerns in the merit assessment which need pointing out. Firstly, more than 50%, that is, 14 out of 25 items of the merit assessment in Form TSM 3/4, are concerned with activities that are

not directly linked to classroom activities; some of which may be difficult to assess, for instance, community involvement and the teacher's way of life. The cosmopolitan nature of the teaching force may render the assessment of these aspects sensitive and very difficult as different people have different cultures. The same applies to dress and appearance, as these are personal traits that may not have any bearing on the teaching and learning process, and are very subjective. For instance, what does the appraiser do to a teacher whose voice is naturally not strong? Secondly, the merit assessment assumes that all teachers possess the same skills, knowledge, and responsibilities and should be judged the same. For example, an Assistant Teacher should not be expected to have the same influence and leadership skills as the Deputy Headmaster or Senior Teacher Grade 1. Furthermore, Guidance and Counselling in schools is done by those who specialized in it at college. This treatment of teachers as though they are the same is very unfair when one considers the fact that TSM uses the aggregate when making the final judgement. Thirdly, the merit assessment makes the role of the school head to me more or less similar to that of a policeman in the school, who also intrudes into the private lives of the staff in order to make informed judgements; a scenario which negates the collegial and collaborative relationship of appraisal illustrated in sections 2.4.3.1 and 2.4.3.10.

c) Recommendations

The appraisal process as practised in Botswana secondary schools apparently contradicts the essence of appraisal as described in section 2.7.4.3, namely that appraisal should be open to avoid mistrust and suspicions. The recommendations made at sections C, D, E and F of Form TSM 3/4 are not shown to the appraisee to record his or her observations.

3.4 SUMMARY

This chapter has indicated that the rapid and massive expansion of secondary education in Botswana has led to a number of interventions being introduced in order to instil quality in the education system. Apart from the systematic planning of the education system, the chapter revealed that the Government of Botswana also consistently allocated more than 20% of the national recurrent budget to education.

One of the innovations made by the Government of Botswana in search of quality education was the introduction of teacher appraisal. This chapter has indicated that the model of teacher appraisal in Botswana is biased towards the accountability model for various reasons. Firstly, it emanates from a bureaucratic desire to strengthen supervisory powers in the schools. This may have been influenced by the rapid and massive expansion of the education system which had resulted in many young inexperienced teachers, a large number of untrained teachers and expatriates joining the profession as illustrated in section 3.2.1. Secondly, the Job Evaluation Exercise of 1988 required that teachers should be subjected to some form of assessment before they could be considered for salary increment. Thirdly, Government commits a large portion of the national budget in education. Fourthly, as education is free, the Government feels duty bound to make teachers accountable.

Unlike in sections 2.8.1 and 2.8.2 where the introduction of the accountability model of teacher appraisal was met with a lot of resistance from the teachers and their associations, in Botswana, very little, if any, resistance was shown as illustrated in section 3.3.3.2. It

was also revealed that the piloting of the appraisal instrument and the training of appraisers and appraisees leaves much to be desired. These shortcomings lead to the question of whether teachers are aware of the purposes of the whole process; and whether those who are given the task of appraising possess the skills, knowledge and confidence to do the job well. With the massive expansion described in section 3.2 earlier on, it would be proper to find out whether the schools have put in place the mechanisms to effectively implement the appraisal system, especially in view of the fact that the system has been in operation for almost ten years now.

This chapter has also indicated that new innovations such as decentralization of some of the functions of the Ministry of Education, the introduction of parallel progression, the introduction of Forms TR 1 and TR 2 (see section 3.3.3.2) which are used for the selection of teachers for further training, and the adoption of the school-based in-service training have serious implications for the current teacher appraisal scheme. This calls for an evaluation of the relevance and effectiveness of the system as a whole.

The extent to which the current system of teacher appraisal in the Botswana education system is effective is the focus of the empirical survey. The next chapter deals with the research design of the empirical survey.

CHAPTER FOUR

RESEARCH DESIGN

4.1 INTRODUCTION

This chapter examines the research design employed in this study. In order to focus the discussion, the research questions and the emerging-sub-questions are restated. The chapter then discusses the methodologies in educational research in order to identify the most appropriate to be used in this study. Various data collecting procedures are looked at, highlighting their strengths and shortcomings, in order to help develop the most suitable instruments to be used in the research at hand. Finally, the population, sampling, and analysis procedures are discussed.

4.2 RESTATEMENT OF THE RESEARCH QUESTION

The main research question of the study is: How effective is the current system of teacher appraisal as practised in Botswana secondary schools? Out of this main research question, the following sub questions emerge:

- a) How do the purposes of the current system of appraisal relate to the day- to- day duties of teachers?
- b) To what extent does the current system of staff appraisal lead to improvements in teaching and the students learning process?
- c) To what extent does the current system of appraisal equip teachers with the knowledge, skills and attitudes necessary to perform their duties effectively?

- d) How effective is the current system of staff appraisal in addressing the staff development, in-service training, and career opportunities for teachers in secondary schools?
- e) How adequate are the mechanisms and procedures for the management and implementation of the current system of appraisal in schools?

4.3 AIMS AND OBJECTIVES OF THE STUDY

The main purpose of the study is to evaluate the effectiveness of the current system of teacher appraisal in Botswana secondary schools in order to establish the extent of the impact it had on the teachers since 1992 when it was first introduced.

Furthermore, the study aims at:

- Finding out how the purposes of the current system of teacher appraisal relate to the day to day duties of teachers.
- Finding out the extent to which the current system of appraisal leads to improvements in teaching and the students learning process.
- Establishing the extent to which the current system of appraisal equip teachers with the knowledge, skills and attitudes necessary to perform their duties effectively.
- Investigating the effectiveness of the current system of appraisal in addressing the staff development, in-service training, and career opportunities for teachers in secondary schools.

- Finding out whether the mechanisms and procedures for the management and implementation of the current system of appraisal in the schools are adequate.

4.4 RESEARCH METHODS

As indicated in section 1.7.1, there is an ongoing debate over the most appropriate methods of research inquiry in the social sciences generally, and in educational research in particular. A review of literature points to the fact that the debate centres around the paradigms which guide and inform research in the social sciences, in particular, data collection methods and the trustworthiness of the research findings (Cresswell 1994:4; Garrison 1994:5; Guba & Lincoln 1994:105; Magagula 1996:3). These “paradigm wars”, as Garrison (1994:6) refers to the debate, revolve around the dominant methodologies in the quantitative and qualitative traditions. Capturing the essence of this debate, House (1994:2) claims that for sometime now, the educational research community has been in fervent debate over the proper approach to research. Vulliamy (1990:7) contends that the debate is mainly a distinction between research techniques or methods on the one hand, and paradigms, methodology, or strategy on the other.

The quantitative tradition, also referred to as positivist, relativist, and rationalistic is based on the methodological procedures of the natural sciences, especially the positivist approach to phenomena which concentrates on issues of operational definitions, objectivity, replicability, and causality (Magagula 1996:5). The qualitative approach sometimes referred to as naturalistic, interpretive,

hermeneutical, and humanistic follows the social sciences procedures of research (Magagula 1996:5).

A review of the literature indicates that the quantitative and qualitative traditions differ in that they are grounded on different foundations with regards to the nature of social reality, objectivity-subjectivity, the issue of causality, and issues of values (Denzin & Lincoln 1998:8; Gay & Airasian 2000:9; Guba & Lincoln 1994:105-109; Magagula 1996:6; Vulliamy *et al.* 1990:11).

4.4.1 The nature of social reality

Cresswell (1994:4); Denzin and Lincoln 1998:5); and Neuman (1997:64) concur that the quantitative approach to research contends that there is a reality out there to be studied, captured and understood. In other words, the proponents of the quantitative approach assume that the world and the laws that govern it are relatively stable and predictable, which makes it possible to apply scientific procedures to study it. Gay and Airasian (2000:9) claim that underlying the quantitative approach to research is the belief or assumption that we inhabit a relatively stable, uniform, and coherent world that can be measured, understood, and generalized about. This conception of the quantitative approach to social reality is succinctly captured by Schrag (1992:8) who declares that it seeks to explain reality through an appeal to universal laws that regards measurement as the quintessential means through which reality can be represented. Guba and Lincoln (1994:109) assert that the disciples of the quantitative paradigm believe that reality exists and is apprehensible, it is driven by immutable natural laws, and reality takes a mechanistic form.

Citing Guba (1981), Magagula (1996:6) purports that the disciples of the quantitative tradition believe that there is a single, tangible reality, which can be fragmented into independent variables and processes, any of which can be studied independently of the others. The whole essence of social reality from the point of view of the proponents of the quantitative tradition is summarized by Vulliamy *et al.* (1990:8) who claims that:

... positivists involve the testing of hypotheses in order to uncover social facts and law like generalisations about the social world. Thus, it is assumed that, in principle, at least the subjects of research can be treated as objects similar to objects in the natural world.

On the other hand, Magagula (1996:6) claims that the qualitative tradition:

... assumes that reality is socially constructed through individual or group definitions of a situation. Reality is mind dependent and mind constructed. It does not exist independently of the mind and cannot be known through a neutral set of procedures. Therefore it follows that there are as many multiple, intangible realities and constructions as there are people making them.

Neuman (1997:331) contends that qualitative researchers emphasize the importance of the social context for understanding the social world because they hold that the meaning of a social action or statement depends in an important way, on the context in which it appears. Gay

and Airasian (2000:201) concur with the above sentiments and argue that the qualitative approach to research strives to capture the human meanings of social life as it is lived, experienced, and understood by the participants. They further claim that capturing the context is very crucial because it is assumed by the proponents of the qualitative tradition that each context examined is idiosyncratic.

Emphasizing the relevance of the use of a qualitative approach to research in the social sciences, Thompson (1990:27) argues that the social historical world is not just an object domain that is there to be observed. It is also a subject domain which is made up, in part, of subjects who, in the routine course of their everyday lives are constantly involved in understanding themselves and others, and in interpreting the actions, utterances, and events which take place around them.

Thayer-Bacon (1997:241) underscores this view by asserting that people are contextual social beings as they are affected by the context and setting they are born in. Moss (1996:21) contends that this has significant implications in the qualitative approach in two ways. Firstly, in order for social scientists to understand human action, they should not take the position of an outside observer who sees only the physical manifestations of acts, but they should understand what the actors, from their own points of view mean by their actions. Secondly, the interpretations that social scientists construct can be, and often are reinterpreted and integrated into the lives of the subjects they describe. This approach implies that unlike the practices typical of the positivist tradition, interpretations are more meaningfully constructed in light of particular cases they are intended to represent.

In summary, Thayer-Bacon (1997:242) declares that people make sense of the world because of their contextuality, the social setting and its past. Thompson (1990:280) also asserts that:

... the primary goal of social science is to understand meaning in the context in which it is produced and received.

On their part, Denzin and Lincoln (1998:8) underscore the perspective of social reality by the qualitative tradition by emphatically pointing out that qualitative research stresses the socially constructed nature of reality; the ultimate relationship between the researcher and what is studied; and the situational constraints that shape the inquiry.

4.4.2 Objectivity – subjectivity

Because the quantitative approach to research is based on the assumption that reality exists out there and can be studied independently, it is believed that the investigators have the ability to detach themselves from the object of investigation in order to avoid bias and data contamination (Magagula 1996:7). Furthermore, Cresswell (1994:6) asserts that the quantitative tradition holds that the researcher should remain distant and independent of that being researched; hence the use of surveys and experiments are an attempt to control for bias, select a systematic sample, and be objective in assessing a situation.

However, contesting the objective nature of quantitative research, Hitchcock and Hughes (1995:84) argue that the approach only appears to be objective because it constituted a refusal to look closely at the chaotic patterns of variation and interconnection that permeate human

existence. It is a lens that imposes orderly patterns where the underlying story is really quite different and interesting.

Patton (1990:54) claims that the qualitative approach has been charged with being subjective in large parts because the researcher is the main instrument of both data collection and data interpretation, and because it involves having personal interaction with, and getting close to people and the situation under study. Magagula (1996:7) explains that the investigator in the qualitative approach cannot be detached from the object of investigation because both the investigator, and the object of investigation interact to influence one another. Cresswell (1994:6) and Neuman (1997:69) are of the opinion that in order to understand the lived experience of human beings, the investigator must interact with them.

House (1994:6) argues that human beings are intentional and social, and more responsive to their environment than are physical objects. It is therefore not proper for the human sciences to rely as heavily on research methods such as those favoured by the physical scientists as a way of confirming or falsifying fundamental conceptions. Neuman (1997:69) supports this argument by declaring that in order to know and understand a particular social setting and seeing it from the point of view of those in it, the researcher should not be detached, but part of the whole situation.

Arguing against the issue of subjectivity as a result of the investigator interacting with the subjects under study, Patton (1990:57), questions the validity of the essence of subjectivity in the use of tests and questionnaires by pointing out that these instruments are designed by

human beings and are subject to the intrusion of the researcher's biases. Mckerrow and McKerrow (1991:17) in their effort to clarify the observer effects cite the Heisenberg Uncertainty Principle which is understood to mean essentially that observers by their very presence always change what is observed. In essence, the Heisenberg Uncertainty Principle claims that whatever method is used, there will always be some interference as human beings are always involved. Patton (1990:57) believes that the only way to establish credibility is that the investigator should be committed to understand the world as it is, to be true to the complexities and multiple perspectives as they emerge.

4.4.3 Cause-effect relationship

Literature search reveals that one of the main distinguishing characteristics between the quantitative and qualitative approaches to research is the relationship between cause and effect (Cohen & Manion 1995:155; Magagula (1996:8; Patton 1990:423). It has been observed that the quantitative methodology uses a deductive form of logic where theories and hypotheses are tested in a cause and effect form. The approach uses predetermined hypotheses in order to develop generalizations that contribute to the theory and enable one to predict, explain, and understand some situations. Schrag (1992:5) argues that the positivist paradigm conceptualises "treatments" as causes in much the same way that physicians construe pharmaceutical products as causes, and in this way it reduces human beings to mechanistic systems. Cresswell (1994:7) asserts that:

... concepts, variables and hypotheses are chosen before the study begins and remain fixed throughout the study in a static design, as though everything has stopped.

On the other hand, Cresswell (1994:7) and Gay and Airasian (2000:204) contend that the qualitative approach employs inductive logic where categories emerge from informants rather than being identified *a priori* by the researcher. Such an approach is said to produce rich context bound information leading to patterns or theories that help to explain the situation under study.

4.4.4 Value and beliefs

Another distinguishing feature of the quantitative and qualitative approaches is concerned with the relations of values to inquiry. The quantitative paradigm claims that inquiry should be value-free, and this is attained through the use of objective methodologies (Magagula 1996:8). Shrag (1992:5) argues that the positivist paradigm considers the question of causation to be independent of the question of value; that is, whether an educational practice causes a certain state of affairs is one question, and whether the state of affairs is desirable or not is a different question. Shrag (1992:8) further points out that positivism as a philosophy of science has an attitude towards metaphysics that separates value from fact. Cresswell (1994:6) is of the view that the concept of value-free is accomplished through the omission of statements about values from the written report, using impersonal language, and reporting the “facts”.

On the other hand, Cresswell (1994:6) declares that in the qualitative approach:

... the investigator admits the value-laden nature of the study and actively reports his or her values and biases, as well as the value nature of information gathered from the field.

It can be argued that social inquiry has to be value laden because of its being influenced by various factors such as: the investigator's values, the selected paradigm, the choice of the issues to be studied, the methods used to gather and analyse data, and the interpretation of the findings.

The paradigm debate discussed above reveals issues that are pertinent to any study as their understanding can help researchers to choose the most appropriate methods of research inquiry to be followed in the social sciences. Vulliamy *et al.* (1990:11) contend that the differences between the qualitative and quantitative traditions should be viewed in terms of them being tendencies and not absolutes, as for example, quantitative strategies do not always test preconceived hypotheses, or that the qualitative strategies never test hypotheses.

Whereas some researchers have defined the two approaches as polar opposites, Denzin and Lincoln (1998:xii) and Vulliamy *et al.* (1990:9) view the differences as representing a continuum with rigorous design principles on one end (quantitative method); and emergent, less well-structured directives on the other (qualitative methods). This view of the competing paradigms being regarded as a continuum has the advantage of making it possible to combine the methods and designs in one study in order to harness the strengths of each other.

The use of multi-methods in one study is called triangulation, and it is based on the assumption that any bias in particular data sources, the investigator, and method would be neutralized when used in conjunction with other data sources, investigators, and methods (Cresswell 1994:174). Supporting this combination of research

methods in one study, Denzin and Lincoln (1998:4) claim that such an approach to research secures in-depth understanding of the phenomenon in question as it adds vigour, breadth and depth to any investigation.

Cresswell (1994:175) advances five advantages of combining methods in a single study, namely:

- It helps to converge results.
- It is complimentary in that overlapping and different facets of a phenomenon may emerge.
- It is developmental, in that the first method is used sequentially to help inform on the second method.
- It helps merge contradictions and fresh perspectives; and,
- Mixed methods add scope and breadth to a study.

The combination of research methods in one study is also supported by Salomon (1991:10) who claims that despite the continued defence of the incompatibility between paradigms, educational and other social science researchers have gradually come to accept the combination of research methods in one study, a practice which suggests the legitimate complementarity of paradigms.

The complementary nature of the two approaches is also described by Ragin (1994), quoted in Neuman (1997:14) who states that the key features common to all qualitative methods can be seen when they are contrasted with quantitative methods. Most quantitative data techniques are data condensers that condense data in order to see the big picture. Qualitative methods, by contrast, are best understood as

data enhancers because, when data is enhanced, it is possible to see key aspects of cases more clearly.

Having highlighted the differences of the quantitative and qualitative traditions, and the advantages of combining the two approaches in one study, it was found that a combination of the two in this study would be the most appropriate. The data collection techniques to be used in this study are discussed in the next section.

4.5 DATA COLLECTION TECHNIQUES

Having discussed the various methods of inquiry and highlighted their differences, it was felt that a combination of the qualitative and quantitative approaches be employed in this study. With reference to the literature review on research methods above, Cohen and Manion (1995:242) are of the view that:

... we take it as axiomatic that any one method can be efficient, less efficient, or inefficient depending on the kind of information desired and the context of the research.

It was illustrated earlier (Bell 1993:63) that:

Methods are selected because they provide the data you use to produce a complete piece of research. Decisions have to be made about which methods are best for particular purposes and then data collecting instruments must be designed to do the job.

Gay and Airasian (2000:9) concur with Cohen and Manion (1995:242) that the choice of approaches or methods to be adopted depends on the nature of the research question. Because this study is concerned evaluating the effectiveness of teacher appraisal as practised in Botswana secondary schools, regarding appraisal as a process that involves human interaction and focusing the study on the perceptions of the teachers involved in the programme, the qualitative approach was found to be relevant.

As indicated in section 1.7.2, the choice of methods for research according to Greene (1994:538) must match the information needs of the identified evaluation audiences. In this study, the identified audience refers to those who are involved in the appraisal process. Greene (1994:538) further advises that under such situations, the qualitative methods will suffice.

As already indicated above, this study employs a combination of the quantitative and qualitative methods. Therefore, the research instruments for data collection were the postal survey questionnaire (appendix G) for the quantitative method; and the semi-structured interview (Appendix H) for the qualitative approach. The justification of choosing the two instruments is discussed in the next section.

4.5.1 The research instruments

This section discusses in detail the two instruments of research that were used in this study. The discussion centres on the design process, that is, why the instruments were chosen, highlighting their strengths and weaknesses.

4.5.1.1 The survey questionnaire

Cohen and Manion (1995:83) contend that the most commonly used approach in quantitative educational research is the survey. One of the methods used in this study was the quantitative approach, and as illustrated in section 4.3.2, surveys are suitable particularly in avoiding bias and subjectivity. Cohen and Manion (1995:83) further explain that:

Typically, surveys gather data at a particular point in time with the intention of describing the nature of existing conditions or identifying standards against which existing conditions can be compared, or determining the relationships that exist between specific events.

Although there are different types of surveys, the postal questionnaire was the favoured one because according to Oppenheim (1992:102), the final choice depends on its appropriateness to the purpose and to the means available. As illustrated in section 1.7.2, in this study, one of the purposes of the questionnaire is triangulation.

However, it should be pointed out that the postal questionnaire, like all other instruments of data collection has its advantages and disadvantages.

a) Advantages of postal questionnaires

A literature review reveals that the questionnaire has some advantages over other instruments of data gathering (Cohen & Manion 1995:283; Fowler 1993:66; Hopkins 1993:136; Oppenheim 1992:102).

- It tends to be more reliable than the interview because it avoids face to face interactions, thus reducing bias.
- Because it can be mailed, it has the ability to reach many respondents who live at widely dispersed addresses.
- Because it is anonymous, it encourages greater honesty.
- It is economical in terms of money and time because it needs stamps and envelopes that can cost very little, and there is no need for transportation and accommodation money.
- Respondents have time to give thoughtful answers, to look up records, or to consult with others.

b) Disadvantages of postal questionnaires

The postal questionnaire like any data collecting instrument has its own disadvantages (Cohen & Manion 1995:283; McNiff 1995:77; Oppenheim 1992:102), and some of them are discussed below.

- It requires extensive preparation to get clear and relevant questions.
- It is difficult to get questions that explore in-depth information.
- It is inflexible in that it does not allow ideas or comments to be explored in-depth. It has been argued that this inflexibility can jeopardise the validity of the information gathered if concepts and questions are interpreted differently by respondents.
- There is generally a low response rate.

- There is no control over the order in which questions are answered, or on passing questionnaires to others.

A literature survey and the researcher's experience were used to design the survey questionnaire. The questionnaire consisted mainly of closed questions and three open-ended questions. For the closed questions, the Likert scale was used. Bryman and Cramer (1996:57) and Oppenheim (1992:200) point out that the Likert scale has the following advantages over the other scales such as the Thurstone and the Factorial scales:

- It is less laborious.
- The reliability of the Likert scales tends to be good because of the greater range of answers permitted to the respondents.
- They provide more precise information about the respondent's degree of agreement or disagreement.

Oppenheim (1992:200) further asserts that:

... it becomes possible to include items whose manifest content is not obviously related to the attitude in question, enabling subtler and deeper ramifications of an attitude to be explored.

According to Bryman and Cramer (1996:7), the Likert scale normally has five or seven categories to show strengths of agreement or disagreement, and it is further asserted that the multiple-item scales such as the Likert scale are popular for three reasons. Firstly, a

number of items are more likely to capture the totality of a broad concept than a single question. Secondly, the use of a number of items can help to draw finer distinctions items. Thirdly, if a question is misunderstood by a respondent and only one question is asked, that response will not be appropriately interpreted, whereas if a few questions are asked, a misunderstood question can be offset by those which are properly understood. In this study, only five categories were used, for example: Strongly Agree (SA), Agree (A), No Opinion (N), Disagree (D), and Strongly Disagree (SD).

The open-ended questions were included in order to capture perspectives from a wide range of respondents so that the findings of the qualitative semi-structured interview with its small sample can be enriched. The inclusion of open-ended questions in a questionnaire also served credibility to the findings.

c) The piloting stage

The next very important stage of the questionnaire design was the piloting phase that Bell (1993:84) claims:

... all data gathering instruments should be piloted to test how long it takes recipients to complete them, to check that all questions and instructions are clear and to enable you to remove any items which do not yield usable data.

Bennett, Glatter and Levacic (1994:174) agree with the above and assert that the piloting of a research instrument:

... is one way in which a research instrument can be honed to its particular task. Trying out a schedule on a sample of respondents with similar characteristics to those of the intended survey population, for example, may quickly reveal gaps in the logical sequence of questions, or the incomprehensibility to the respondents of the wording used.

Further literature search reveals that the piloting of research instruments is important for several reasons (Brown 1990:4; Bryman 1989:5; Janesick 1998:42). Firstly, piloting enables a researcher to remove any items which do not yield usable data. Secondly, piloting helps in finding out whether respondents understand and interpret instructions and questions in the same way. Thirdly, piloting is said to help the researcher to have some insight on the time each respondent may take to complete a questionnaire. Fourthly, piloting instils validity in the instrument as shortcomings are identified and then rectified.

Another important aspect is that the piloting exercise should be contextual as Oppenheim (1992:62) points out that in principle, the respondents in piloting studies should be as similar as possible to those in the main inquiry.

As indicated in section 1.7.3, the appraisal process is a statutory requirement for all secondary schools in Botswana, therefore, the piloting exercise was done in a few selected secondary schools in Gaborone City. After the piloting stage, the questionnaires were mailed to the targeted schools for distribution by the school administration.

Most of the disadvantages of the postal questionnaire are a mirror of the advantages of the qualitative interview. The next section discusses the semi-structured interview, which is another instrument used in this study.

4.5.1.2 The semi-structured interview

The essence of the qualitative interview is to capture the perspectives of the respondents through verbal interaction between the interviewer and interviewee (Cohen & Manion 1995:272; Fountana & Frey 1994:361; Harvey 1990:168; Janesick 1998:43; Patton 1990:278). Although there are many types of interview schedules, as indicated in section 1.7.2, for this study, the semi-structured interview was used as one of the two strategies of data collection.

Patton (1990:290) advises that in planning an interview schedule, the researcher has to decide which questions to ask and he offers six categories of questions, namely, experience or behaviour questions, opinion or values questions, feelings questions, knowledge questions, sensory questions, and demographic questions.

Like in the postal questionnaire, it should be pointed out that the semi-structured interview has its advantages and disadvantages.

Some of the advantages of the semi-structured interview are discussed below.

- i) According to Bell (1993:9), the interview as a data-collecting instrument is recommended because:

... a major advantage of the interview is its adaptability. A skilful interviewer can follow up ideas, probe responses and investigate motives and feelings, which a questionnaire cannot do.

This view is supported by Cohen and Manion (1995:273) who argue that the interview may be used to follow up unexpected results by going deeper into the motivations of respondents and their reasons for responding as they do.

- ii) Cohen and Manion (1995:277) claim that including open-ended questions in an interview schedule has the advantage of making the whole exercise flexible. As Patton (1990:290) claims, the flexibility of the qualitative interview is an advantage in that the aim is to understand how programme staff and participants view the programme, to learn their terminology and judgements, and to capture the complexities of their individual perceptions and experiences. In other words, respondents are not forced to fit their knowledge, experiences and feelings into predetermined categories, as is the case with survey questionnaires.
- iii) Cohen and Manion (1995:283) and Oppenheim (1992:81) point out that one of the advantages of interviews is that they can give a more clear and convincing explanation of the purpose of the study than a covering letter accompanying a questionnaire.

There are other advantages of the interview as illustrated in the literature search (Cohen & Manion 1995:272; Oppenheim 1992:81; Patton 1990:288-289).

- There is a high likelihood of increased response rates as there is a face-to-face relationship between the interviewer and the respondent.
- Items for the interview schedule are relatively easy to design compared to questionnaire items.

Cohen and Manion (1995:281) are of the view that there are a number of problems that are usually associated with the use of the interview as a research procedure.

- i) The interview can sometimes be regarded as invalid due to bias that is caused by the characteristics of the interviewer, the characteristics of the respondents, and the substantive context of the questions. Cohen and Manion (1995:282) argue further that sources of the bias include:

... the attitudes and opinions of the interviewer, a tendency for the interviewer to see respondents in his own image, preconceived notions, misperceptions on the part of the interviewer of what the respondent is saying, and misunderstandings on the part of the respondents of what is being asked.

In an attempt to reduce bias, it has been suggested that care should be taken by formulating questions whose meanings are clear; the

interviewer should be made aware of inherent problems through training; and the characteristics of the interviewer should be matched with those of the sample under study.

- ii) Interviews are more costly than the postal questionnaire in terms of money and time (Cohen & Manion 1995:283; Oppenheim 1992:82). It has been pointed out that unlike the postal questionnaire where only paper, ink, stamps, and envelopes are involved, the interview has transport and accommodation costs, including a lot of interviewing and travelling time.
- iii) There is the problem of developing a satisfactory method of recording responses as summarising during the course of the interview may break continuity, while leaving everything until the end may result in forgetting some salient points.

In an attempt to subvert this problem of recording during the course of the interview, the interviews were tape-recorded. Tape recording has the following advantages:

- Tape recorders increase the accuracy of data collection as they capture verbatim responses of the people being interviewed.
- They permit the interviewer to be more attentive to the interviewee, and Patton (1990:351) advises that when a tape-recorder is being used during an interview, notes should consist mainly of key phrases, lists of major points made by the interviewee, and key terms or words.

- Tape-recorded data can become a permanent record to be consulted in future if the need arose.

However, permission was first sought from the interviewee to use a tape recorder and the reasons for its use were given. The interviewee was assured that the information in the tape will only be used for purposes of the study at hand. It was also established beforehand that the tape-recorder was functioning well.

iv) Another disadvantage concerns the analysis and interpretation of data from interviews due to the varied nature of responses to the same question.

Initially, the questions for the semi-structured interview were based on the research question and the sub-questions, the aims and objectives of the study and the contextual literature review in Chapter Three. After the responses from the questionnaires were received, all the three open ended questions were analysed and additional questions were identified for the semi-structured interview. Furthermore, twenty percent of the questionnaires were also analysed to identify more questions for the interviews. The instrument went through the pilot stage for the same reasons as those of the postal questionnaire. After the piloting, which was also done in Gaborone City, the instrument was ready.

As is normal procedure, permission to carry out research was requested from the Office of the President of the Republic of Botswana and was granted (Appendix J). The questionnaires were then sent to the School Heads with a letter requesting for permission

and explaining the purpose of the research and what was expected of the school head (Appendix K). Attached to each questionnaire was a letter to the teacher (respondent) also explaining the purpose of the research and what was expected of him/her (Appendix L).

In this section it has been indicated that the differences inherent in the quantitative and qualitative traditions pervade all aspects of research design, including the research instruments. The combination of two approaches in one study has the advantage of exploiting the assets and neutralizing the liabilities of different methods, thus increasing the credibility of the research findings.

Having discussed the data collection instruments, the next section discusses the population and sampling procedures in this study.

4.6 POPULATION AND SAMPLING PROCEDURES

4.6.1 Population

Bryman and Cramer (1996:94) point out that a population in research is a discrete group of units of analysis such as organizations, schools, and so on. As illustrated in section 1.7.3, the target population for this study were the two clusters of schools in the South Region in Botswana, namely Kanye and Lobatse Clusters with a total of seventeen secondary schools and six hundred and seven qualified teachers (Appendix I) (Republic of Botswana, April 2001).

Of the seventeen schools selected, two of them, Lobatse and Seepapitso are senior schools wholly run by the Ministry of Education of Botswana. Furthermore, a senior secondary school in the Botswana

context offers a curriculum leading to the Botswana General Certificate of Secondary Education (BGCSE) examination, an equivalent of the British Cambridge Overseas School Certificate (COSC) whose duration is two years. The remaining fifteen are community junior secondary schools offering a curriculum leading to Junior Certificate (JC) examination, whose duration is three years. The community junior secondary schools are so called because of the partnership of ownership between the Government of Botswana and the communities where the schools are located, and one has to have passed JC in order to proceed to senior secondary school. In this arrangement, the communities are represented by a Board of Governors, which is elected by the communities at the local *kgotla*, and approved by the Minister of Education.

Whatever differences exist between the two kinds of schools mentioned above, they have many things in common. Firstly, the curricular offered is determined by the Ministry of Education. Secondly, all teachers in the schools are employed by the Department of Teaching Service Management, and supervised by the Department of Secondary Education. Thirdly, the issues of teacher appraisal and training are under the direction of the Department of Secondary Education. Fourthly, all teachers in secondary schools are expected to undergo the same process of appraisal; and the instrument used, Form TSM 3/4 is designed centrally at headquarters and distributed to the schools.

From the above description, it is clear that the two clusters are typical of secondary schools in Botswana in terms of staffing, supervision, professional development and training, and so on. The characteristics

of the two clusters are not markedly dissimilar from other secondary schools in Botswana, and therefore their typicality increases the external validity of the sample.

4.6.2 Sample

a) Postal questionnaire

Having identified the population for this study, the sample for the survey questionnaire was all the 607 trained teachers in the two clusters who have been in the field for not less than three months. They were selected because according to the requirements as stipulated in Form TSM 3/4 all teachers who spend three months in the field should be subjected to the appraisal process. In this study, teacher refers to head of school, deputy head of school, head of department, senior teacher grade 1, senior teacher grade 2, teacher, and assistant teacher; and they should have professional training as teachers. Although heads of schools are not expected to teach, they were targeted in this study because as managers of schools they are supposed to understand the whole process of teacher appraisal, and as indicated in section 3.3, the appraisal process in Botswana secondary schools follows a line management style whereby the school heads should appraise deputies in their schools. Furthermore, heads of schools also complete sections B, C, and D of Form TSM 3/4 and make recommendations to the higher authorities for further considerations and action.

The reason for the large sample was to get more background information and add breadth; and to increase the external validity of the findings. As indicated earlier in section 4.5.1.1, the postal questionnaire can have the disadvantage of high non-response rates,

while some questionnaires may be rejected for various reasons; therefore the large number was to counter those problems.

b) The semi-structured interview

As indicated in section 1.7.3, purposeful sampling was utilized. According to Sells *et al.* (1997:173), purposive sampling is a type of non-probabilistic sampling in which information is collected from a group of respondents chosen because of specific key characteristics. Patton (1990:169) explains that the logic and power of purposeful sampling lies in selecting information-rich cases for study in depth, which also helps in illuminating the questions under study.

Because teacher appraisal in Botswana secondary schools is a statutory requirement that is carried out on an annual basis and as all teachers are supposed to be appraised, they were able to shed some information on the current appraisal system as practised in secondary schools. For this study, the sample for the semi-structured interview was ten information-rich sources selected from the 607 teachers in the targeted 17 schools.

The sample included two heads of schools; two deputy school heads/heads of departments; two senior teachers; two teachers; and two assistant teachers. In the exception of the selection of heads of schools, all other groups were selected with the assistance of the school heads who are in a position to identify those teachers from whom one can learn a great deal about the current teacher appraisal system. The hierarchical nature of the schools and the fact that the appraisal process follows a line management approach necessitated the inclusion of all categories of positions in the schools, and the reasons

are that each category by virtue of its position has a part to play. For instance, in the Botswana context, assistant teachers and teachers are always appraisees; senior teachers, heads of departments, and deputies are both appraisers and appraisees; while heads of schools are always appraisers.

4.7 DATA ANALYSIS

4.7.1 Postal questionnaire

Data analysis for the postal questionnaire was done using a computer package for analysing quantitative data called the Statistical Package for the Social Sciences (SPSS).

However, as the completed questionnaires were returned, Cresswell (1994:123) and Oppenheim (1992:297) advise that before data is fed into the computer, certain things have to be done. Firstly, there was the stage of cleaning the data set, which was an attempt to eliminate some of the more obvious errors that might have crept in during the data collection stage. For instance, it was checked whether all questionnaires were returned; whether all variables had been properly answered; and whether there was consistency in responding to questions. Secondly, the checking of the missing data and the establishment of the reason why it was missing were also important and were done at this stage. It was also of great significance because a decision of whether the missing data would affect the main sample and the results had to be made at that stage of analysis. Having done all the above, the data was then ready for computer analysis.

As the data was collected from all categories of teachers in the schools, variations in the responses to questions were examined. Tables showing *inter alia* descriptive statistics such as frequencies, percentages, response and non-response rates were made and used to present the findings. Relationships between variables were given. For the free-response questions which were included in the survey questionnaire, Bell's (1993:107) and Oppenheim's (1992:266) offer of two alternatives for the analysis of such questions, namely: the drawing up of a coding frame, and verbatim reporting of responses to be included in the main text was taken heed of. As this study combines the quantitative and qualitative approaches, the two alternatives mentioned above were applied.

4.7.2 The semi-structured interview

Literature search reveals that the qualitative data analysis is much more complex and potentially confusing than the quantitative data collection as it involves various processes (Cresswell 1994:166; Huberman & Miles 1994:429; Miller & Crabtree 1994:345; Patton 1990:377). Furthermore, Patton (1990:375) cautions that descriptive analysis should be separated from interpretation as they are different in that the latter is concerned with explaining the findings and giving meaning.

Huberman and Miles (1994:429) define data analysis in qualitative research as containing three linked sub-processes, namely: data reduction, data display, and conclusion drawing and verification. Firstly, in data reduction, all the data collected was reduced into manageable categories, and this helps to focus the analysis process (Cresswell 1994:167; Patton 1990:403). Gay and Airasian (2000:239)

refer to this as the data management stage, that is, organizing the data and checking it for completeness. During this stage, the researcher examines the field notes made during the interviews, and transcriptions from the tape-recorded data.

For this study, data from the interviews was coded by reading through the field notes and making comments that contain notions about what can be done with the different parts of the data. Data from the tape-recorded interviews was also fully transcribed, and the tapes were sent to experts at the University of South Africa to cross check; and this increased the trustworthiness of the data interpretation. From the categories in the first step, patterns and themes were identified and described in an attempt to understand the meanings of these categories from the perspectives of the respondents, with verbatim texts included.

Secondly, data display involves structured summaries and synopses of the reduced data. Patton (1990:408) asserts that after the data has been grouped into meaningful clusters, a delimitation process whereby irrelevant, repetitive, or overlapping data is eliminated. Thirdly, the conclusion drawing and verification stage is where meanings are drawn from the data displayed. This is the interpretation stage where comparisons and contrasts are made, information was condensed, clustered, sorted, and linked.

4.8 TRUSTWORTHINESS OF THE RESEARCH

A review of the literature reveals that different strategies are employed by those who support the quantitative and qualitative paradigms in assessing the trustworthiness of the research findings (Altheide &

Johnson 1994:485; Neuman 1997:66; Vulliamy *et al.* 1990:12). Bell (1993:50) asserts that whatever procedure for collecting data is selected, it should always be examined critically to assess the extent to which it is likely to be reliable and valid.

Magagula (1996:11) points out that some of the ways used by the physical sciences paradigm include reliability, validity, and objectivity. Reliability is the extent to which a test or procedure produces similar results under constant conditions on all occasions (Bell 1993:51; Bryman & Cramer 1996:65). The question of validity draws attention to how far a measure really measures the concept that it purports to measure (Bryman & Cramer 1996:66).

In this study, the reliability of the survey questionnaire was estimated in two ways. Firstly, the questions were checked for ambiguity, precision, language, and type of question to ask by making several attempts at wording. Colleagues in the department were asked to cross-check the questionnaires, while drafts were sent to the study supervisors for comments. Secondly, as indicated in section 4.5, the questionnaire was piloted in some schools in Gaborone City whose characteristics are similar to the main sample.

Magagula (1996:11) claims that the physical sciences paradigm uses internal and external validity in order to instil the credibility and trustworthiness of the research findings. Cohen and Manion (1995:170) declare that internal validity is concerned with whether the experimental treatments make a difference in the specific experiments under scrutiny; while external validity asks the question that given these demonstrable effects, to what populations or settings can they be

generalized. The threats to the validity of the research under study were tackled through piloting and cross-checking of questions as illustrated above.

On the issue of the validity and reliability of the data collected, triangulation was utilized. This view of the use of multiple data sources as a way of enhancing the validity and reliability of data is supported by Sells, Smith and Newfield (1997:177) who claim that such an approach to data collection further increases the trustworthiness of the research findings. The size of the sample in this study and its typicality allow for generalizations to be made. As indicated in section 4.3.2, the quantitative paradigm employs surveys and experiments, and systematically select a sample in order to be objective in their assessments of situations.

However, it has been argued by the followers of the qualitative paradigm that knowledge of human affairs is irreducibly subjective, and therefore cannot be captured by statistical generalizations and causal laws as applied in the physical sciences paradigm (Guba & Lincoln 1982 in Magagula 1996:11). Guba (1981) and Guba and Lincoln (1982,1988) quoted in Magagula (1996:11) proposed a set of approximating credibility and trustworthiness of research findings such as isomorphism, credibility, transferability, dependability, and confirmability. Magagula (1996:11) summarizes these authors' propositions and gives four strategies in which they are exhibited. Firstly, the investigator's statements should accurately reflect the respondent's perceptions. Secondly, the findings should be a function solely of the informants and the conditions of inquiry rather than the biases, motivations, interests, and perceptions of the investigator.

Thirdly, if the inquiry is repeated with the same or similar subjects, the findings should be consistent with those of the first inquiry. Fourthly, the results must be transferable to other similar situations.

In this study, some of the strategies employed in approximating the credibility of the research findings are discussed below.

- Triangulation whereby interviews were conducted with school heads, heads of departments, senior teachers, teachers, and assistant teachers. Field notes collected during interviews were used in conjunction with the lessons learnt from the literature review in Chapters Two and Three. Furthermore, the interviews were tape-recorded, a strategy which increased the credibility of the field notes.
- As indicated in section 4.6, purposeful sampling was utilized, and this had the advantage of targeting those informants who could offer a lot about the programme under evaluation.
- Verbatim quotations from the interviews were included in the text to give more substance to the findings.
- The piloting of the interview schedule in schools with similar characteristics with the main sample also lent credibility to the research findings.

4.9 SUMMARY

This chapter has highlighted the debate over the most appropriate methods of inquiry into the social sciences. It also revealed that all research methods have advantages and disadvantages, and the choice

mainly depends on the research question. In this study a combination of the quantitative and qualitative approaches was used. The chapter also discussed the design of the research instruments and why they were chosen. The population and sample were identified and described in detail, with justifications made.

Finally, data collection strategies were discussed and reasons advanced for choosing them given. The findings from the survey questionnaire are presented in the next chapter.

CHAPTER FIVE

RESEARCH FINDINGS: ANALYSIS AND DISCUSSIONS

5.1 INTRODUCTION

This chapter presents, analyses and discusses the research findings from the survey questionnaire and interviews (see **Appendices G and H**) of this study as described in section 4.5 of the research design.

The results are divided into three sections. The first section deals with biographic and background information of the respondents by looking at gender, age, experience and qualifications. The second section deals with the analysis and discussion of data from the survey questionnaire (both closed and open-ended questions) and data from the interviews. The third section presents a summary of the results.

5.2 DEMOGRAPHIC DATA

In this section, the biographic and background information of the respondents is presented and analysed in order to show the distribution of the respondents by their gender, age, experience, and qualifications. This information is important to the study because it helps the reader to understand some pertinent issues that may have a bearing on the analysis; for instance how the biographic information relates to the appraisal process. The data will be presented in both tabular and text form.

5.2.1 Population of the study

As shown in Table 5.1 below, there were 607 teachers targeted but only 413 responded.

Table 5.1: Respondents by gender

		Frequency	Percentage
Valid	Male	198	47.9
	Female	215	52.1
	Total	413	100.0
Missing		194	
Total		607	

Table 5.1 illustrates the distribution of the survey questionnaire respondents according to gender. It shows that the majority, that is, 215 (52.1%) of the respondents were female, while 198 (47.9%) were male. The fact that there were more women in the sample than men is not by design; and these gender imbalances indicate that there are more female teachers than male in Botswana secondary schools.

5.2.2 Distribution of respondents by age

This section describes the distribution of the respondents according to their ages as illustrated in the table below.

Table 5.2: Respondents by age

	Frequency	Percentage
25 years or less	49	11.9
26 - 34 years	235	56.9
35 -44 years	102	24.7
45 years and older	27	6.5
Total	413	100.0

The above table illustrates that the majority (68.8%) of the teaching force in Botswana secondary schools is relatively young (34 years old and less). This scenario of young teachers, coupled with the qualifications as illustrated in Table 5.3 below calls for an effective teacher appraisal system, because as illustrated in section 2.4.3.6, Poster and Poster (1992:2) contend, "... appraisal is one of a number of techniques for integrating the individual and the organization. Each individual comes into an organization with unique needs and objectives, preferences for ways of doing things and hopes for wide-ranging satisfactions". Harnessing the unique talents of the individual and co-ordinating their activities towards the achievement of the organization's objectives by efficient and effective means, it was argued, can do this. As the majority of the staff is relatively young, there is need for an effective teacher appraisal system which will help mould and integrate the staff into the profession as their age denotes some energy and desire to achieve more, while the qualifications are an asset as they are able to understand issues better due to the knowledge and skills possessed by educated people. Therefore, in the process of *integrating* the young teachers into the organization, the appraisal process through its different tenets such as in-service training, conferencing, and self-appraisal can be very useful.

5.2.3 Distribution of respondents by highest qualifications

The table below illustrates that many of the respondents (50.6%) have a Diploma in Secondary Education (DSE), followed by Bachelors' Degree holders (31.7%). The minority (3.9%) have a teaching certificate.

Table 5.3: Qualifications of respondents

	Frequency	Percentage
Teaching Certificate	16	3.9
Diploma in Education	209	50.6
BA or BED	131	31.7
MA or MED	21	5.1
Other	36	8.7
Total	413	100.0

Because most of the respondents were locals, this illustrates that the Botswana Government has made significant progress in the training of teachers when compared to the scenario that was illustrated in section 3.2.3 where the first Commission on Education of 1977 lamented the poor qualifications of teachers in the schools. It is not surprising that the majority of teachers hold a Diploma qualification as this is the minimum required qualification, although in some special instances a certificate is recognised. As illustrated in section 3.2.2, due to the rapid and massive expansion of secondary education, the Government of Botswana responded by building two Colleges of Education to train teachers for junior secondary schools. It should be clearly emphasized that these colleges only offered diploma courses, hence the large number of diploma holders in the schools. Furthermore, it was indicated in section 3.2.3 that many students gained access into these colleges, not because they qualified but because the entry

requirements were lowered in order to cater for the demand of teachers to man the expanded system.

Table 5.3 shows that 36.8% of the teaching force in Botswana secondary schools hold bachelor's and postgraduate degrees. It can be argued that the Botswana Government believes that an educated teaching force has the capacity to offer quality education to students. This point was supported by Kedikilwe (1998:8) in section 3.2.2 when he lamented the fact that much as the Botswana Government is trying to support the schools with well-educated personnel, there is no evidence of quality trickling down to the teaching and learning of students. He was trying to encourage teachers to put more effort in their duties so that they could be more productive in their teaching and facilitating students' learning. Furthermore, it can also be argued that if properly harnessed, a well-educated teaching force can be of benefit to an appraisal system, which allows teachers to collaborate as they will be able to share their experiences at the same level of understanding unlike in a situation where some teachers are untrained while others possess high qualifications. A well-educated teaching force is very valuable in making schools more effective.

5.2.4 Teaching experiences of respondents

This section provides information on the distribution of respondents by their teaching experience.

Table 5.4: Distribution of respondents by teaching experience

Teaching experience	Frequency	Percentage
2 years or less	75	18.2
3 - 5 years	95	23.0
6 - 9 years	119	28.8
10 - 20 years	88	21.3
21+ years	35	8.5
Missing	1	0.2
Total	413	100.0

From the above table, it is clear that 51.8% of the teachers fall within the bracket of three to nine years teaching experience while 29.8% are quite experienced with more than ten years in the field. However, it should be pointed out that 18.2% is a large number of teachers which possess very little experience, two years or less. This also calls for effective teacher appraisal as indicated in section 2.6.1 where it was stated that: "... newly employed teachers need to be inducted into the profession". Furthermore, an effective teacher appraisal system can play a crucial role by changing and aligning the newly recruited teachers' attitudes into the profession. It can also equip teachers with practical knowledge and skills in teaching. According to Goddard and Emerson (1992:2) in section 2.4.3.6 of this study, "... appraisal is one of a number of techniques for integrating the individual into the organization"; and therefore teacher appraisal provides a basis to integrate the teacher into the school system.

Furthermore, it was indicated in section 3.3.1 that the introduction of teacher appraisal in Botswana was aimed at strengthening supervisory powers "... if the young inexperienced teachers were to effectively carry out their duties" (Habangaan, 1998:8). He had further argued that the headteachers'

association wanted appraisal because they were concerned about the "... new recruits and their negative attitude to work". It is therefore clear that teacher appraisal plays a very crucial role in teaching, especially to the young and inexperienced teaching force such as the one found in Botswana schools. As will be seen in section 5.3.2.1 of this study, the appraisal process also helps to change teachers' attitudes towards teaching; and provides knowledge and skills through collaboration and sharing of experiences and ideas.

5.2.5 Posts of responsibilities of respondents

In this section, data concerning the posts of responsibilities held by the respondents is provided.

Table 5.5: Respondents according to post of responsibility

Responsibility	Frequency	Percentage
Assistant Teacher	145	35.1
Teacher	103	24.9
Senior Teacher 2	53	12.8
Senior Teacher 1	62	15.0
Deputy Head	39	9.4
Head of School	11	2.7
Total	413	100.0

From Table 5.5 above, it is clear that a significant number of the respondents (35.1%) are assistant teachers; followed by 24.9% as teachers; and 12.8% senior teachers Grade 2. These cadres of teachers, constituting 72.8% of all respondents are teachers without posts of responsibilities. If the appraisal process is properly and effectively utilized, it can be very useful in moulding

and integrating these younger and more inexperienced teachers into the teaching profession.

This section has provided a clear picture of the kind of population the researcher dealt with. It has given clear information on the gender, age, qualifications, experience, and responsibility of the respondents. Such data becomes very useful during the analytic process as it informs the researcher of the calibre of the respondents. The next section deals with the analysis based on the research aims and objectives of the study, which were clearly stated in section 4.2.

5.3 ANALYSIS AND DISCUSSION OF RESEARCH FINDINGS

This section focuses on the findings of the study in relation to the research objectives which aim at answering the main research question: How effective is the current system of teacher appraisal as practised in Botswana secondary schools? In other words, does the current teacher appraisal system as practised in Botswana secondary schools achieve its stated objective which is the ultimate improvement of the quality of teaching in the schools? As illustrated in section 4.3, the study combines the qualitative and quantitative approaches, a strategy aimed at serving the purpose of triangulation as illustrated in sections 1.7.2 and 4.5.

In order to answer the main research question of this study, the following issues are discussed: the purposes of teacher appraisal in Botswana secondary schools; the effectiveness of teacher appraisal in Botswana

secondary schools; and the mechanisms and procedures for teacher appraisal.

5.3.1 Purposes of teacher appraisal in Botswana secondary schools

This section discusses the purposes of the current teacher appraisal as practised in Botswana secondary schools in relation to the theoretical and empirical findings of this study. It aims at establishing how the appraisal process as practised in the schools relates to the teachers' day to day duties. The objective is to establish whether the teachers know and clearly understand the purposes of the current teacher appraisal system as practised in Botswana secondary schools. From this knowledge, it is assumed that they would be able to state whether the appraisal system relates effectively to their day to day duties, which mainly include teaching and facilitating students' learning in the schools. As illustrated in section 2.2, if the appraisal system is to be effective in achieving its objectives, it is crucial that the participants should clearly understand the purposes of the process.

The data for this research objective was obtained through items 8, 9, 17 – 24, 34 and 46 of the survey questionnaire (Appendix G); and item 1 of the interview schedule (Appendix H). From the research findings, the purposes of the appraisal process as identified by the respondents can be categorised as follows: monitoring of the teacher's performance; identification of teachers for promotion (career progression); identification of teachers for further training (staff development); identification of teachers for annual increment (pay); for accountability purposes; and miscellaneous.

The following sections discuss the categories identified and link them to the literature reviews in the previous chapters.

5.3.1.1 Monitoring of the teachers' performance

In this section, the respondents were to indicate the degree of their agreement with the statement given. For item 8, as illustrated in Table 5.6 below, one hundred and fifty-five respondents (37.6%) disagreed with the statement that the appraisal process improved their teaching skills. Seventy-one (17.2%) had no opinion. One hundred and eighty-four (44.5%) agreed with the statement. Three (0.7%) were missing. It is clear from the above that quite a considerable number of the respondents (44.5%) agreed that the appraisal process has some positive impact on their teaching compared to 37.6% who disagreed.

Table 5.6: Appraisal improves teacher's performance

	Frequency	Percentage
Strongly disagree	80	19.4
Disagree	75	18.2
No opinion	71	17.2
Agree	153	37.0
Strongly agree	31	7.5
Missing	3	0.7
Total	413	100.0

For item 9, one hundred and thirty-four respondents (32.5%) disagreed with the statement that their attitudes towards teaching were improved as a result of the appraisal process. Seventy-eight (18.9%) had no opinion while one hundred and ninety-six (47.4%) of the respondents believe appraisal meets

its objective of changing the teachers' performance for the better. Five (1.2%) were missing. These are illustrated in Table 5.7 below. Although the results reflect some divided opinion, a significant number of the respondents (47.4%) have indicated that the appraisal process to some extent is effective in helping to improve the teachers' performance in teaching.

Table 5.7: Appraisal improved the teacher's attitude towards teaching

	Frequency	Percentage
Strongly disagree	63	15.3
Disagree	71	17.2
No opinion	78	18.9
Agree	157	38.0
Strongly agree	39	9.4
Missing	5	1.2
Total	413	100.0

In the open-ended section of the questionnaire, in item 46 of Appendix G, one hundred and sixty-five of the respondents (39.9%) stated that the appraisal process in Botswana secondary schools monitors the performance of the teachers in the schools. For instance, one head of school believes that:

... it monitors the processes of teaching and learning; it determines the teacher's strengths and weaknesses; and it also serves purposes of accountability, that is, is the teacher accountable. As one head of department puts it: ... it makes teachers to know their professional progress; whether they are doing well or not so that if they have any weaknesses they may improve for the better. A senior teacher Grade 1 contends that it helps the teachers to improve their teaching skills and attitudes towards teaching. This is further echoed by an assistant teacher who strongly believes that: ... it shows the strong and weak points of the teacher, and allows individuals to

improve where they are weak in order to do better. It also acts as a motivating factor to see the management appreciating your work.

Another assistant teacher observed that it provides basic knowledge about the teacher to the appraisers in order to make informed decisions. *It provides all stakeholders (TSM, DSE, TT&D) with the relevant information on the day to day running of schools and associated problems. It assists the appraisee to develop in order to provide quality service to customers (students) and fit well into the community.* A senior teacher Grade 2 concurs that: ... *it equips teachers with skills and knowledge in order to cope with instructional issues in their schools. It further instils desired attitudes in teachers.*

From the semi-structured interview (Appendix H), all the ten respondents interviewed indicated that teacher appraisal in Botswana secondary schools is aimed at ensuring that teachers do their work well. For instance, one of the heads of schools who was interviewed asserts that: ... *it is used to identify the needs of the staff in order to improve and encourage those with weaknesses to improve them.* Yet the other head of school strongly declares that he/she is: ... *not sure whether it can be used to punish those teachers who are supposed to be performing but are not.* A head of department concurs by asserting that: ... *it is used to groom or train teachers to become efficient in their job through staff development.* On his part, a senior teacher Grade 1 claims that the appraisal process is aimed at: ... *improving the teaching quality of teachers.* Although this is what the respondents viewed as the main purpose of teacher appraisal in Botswana, it does not compare well with the responses to items 9 and 10 that do not indicate such an

overwhelming support. This may be because in an interview scenario, the researcher can probe further and explain the question in detail to the respondent; thus the answer given can be more informative.

However, it is clear from the responses that many teachers view the appraisal process as helping to improve the performance of the teachers' in their day to day duties of teaching and facilitating students' learning. This aspect of teacher appraisal was also illustrated in section 1.3 when referring to the current teacher appraisal process as carried out in Botswana secondary schools where it was clearly stated that: ... *the purpose of this appraisal is to assess objectively the performance of the teacher in his/her post* (Republic of Botswana 1991b:1). Hodgetts and Kuratko (1991:602); Kermally (1997:90); and Mullins (1996:640) in section 1.1 identified one of the purposes of appraisal as: "... to serve as a basis for modifying or changing behaviour towards more effective working habits". That the appraisal process is effective in improving the teachers' performance is not surprising as it was indicated in section 2.4.3.5 where Goddard and Emerson (1996:87) were quoted declaring that: "... the cornerstone of appraisal is the belief that teachers wish to improve their performance in order to enhance the education of the students".

This is also supported by the assertions of Glover and Law (1996:31) in section 2.6.2 that appraisal involves the teacher's professional knowledge, understanding, and skills so as to improve the quality of teaching and students learning in the classroom. The essence of improvement of one's performance is summed up by Hodgetts and Kuratko (1991:602) who declare that an effective appraisal scheme should measure the individual's

ability to successfully carry out the requirements of the position; and it is designed to pinpoint the strong points and shortcomings of the personnel and provide a basis for explaining why these shortcomings exist and what can be done about them; a situation also reflected in the empirical findings.

It can therefore be argued that the process of teacher appraisal should be a means of empowering the teachers in the schools with the skills and knowledge to perform the day to day duties. From the empirical results in this section and the information from the literature reviews in sections 1.3 and 3.3.3.2, it can be deduced that the current teacher appraisal in Botswana secondary schools aims among other things to help the teacher to improve his/her performance in the schools. This is clearly illustrated by responses from item 15 (Table 5.8 below) that sought to establish the extent to which the appraisal process enhanced teacher's performance where a large number of respondents, one hundred and seventy (41.1%), compared to one hundred and forty-five (35.1%) agreed with the statement. Quite a large number of respondents, ninety-one (22%) did not venture their opinion, a situation which causes concern as it is not possible to know the reason why they did not respond.

Table 5.8: Appraisal enhanced teachers' performance

	Frequency	Percentage
Strongly disagree	53	12.8
Disagree	92	22.3
No opinion	91	22.0
Agree	143	34.6
Strongly agree	27	6.5
Missing	7	1.7
Total	413	100.0

From the empirical findings in this section, a significant number of teachers are of the view that the current teacher appraisal system serves among others, the improvement of the teacher's performance in the schools. This conception of the appraisal process playing a crucial role in improving the performance of teacher was also illustrated in sections 1.1, 2.3, and 2.4.1 of this study. Basing on the responses to items 8, 9 and 46 of the survey questionnaire (Appendix G) and item 1 of the semi-structured interview schedule (Appendix H), it can be argued that the current teacher appraisal system as practised in Botswana secondary schools to a larger extent improves the teachers' performance which should enhance the students' learning process.

5.3.1.2 Identification of teachers for promotion (career progression)

Another purpose of the appraisal system identified through the literature review in subsection 2.6.1.6 and the empirical research is to identify those teachers in the service who are eligible for promotion or career progression. Data for this category was gathered through items 11, 20, and 46 of the survey questionnaire (Appendix G); and item 1 of the semi-structured interview schedule (Appendix H).

For item 11, the respondent was supposed to indicate whether the appraisal process enhanced his/her career prospects. As illustrated in Table 5.9 below, it is clear that 42.1% disagreed with the statement that the appraisal process has enhanced their career prospects whilst 37.1% agreed. These results show that the appraisal process to some extent did not help in improving the teachers' career prospects. Responses to item 20 of the survey questionnaire

(Appendix G) which also sought to establish the effectiveness of the appraisal process in enhancing the career prospects of teachers reveal that a significant number of respondents (49.4%) believe that it is ineffective whilst 24.9% are of the opinion that is effective. However, quite a large number of respondents (24.7%) did not express any opinion with regard to this aspect of the appraisal process.

Although for item 11 the difference between those who agree and those who disagree with the effectiveness of the appraisal process in enhancing the career prospects of teachers is small (5%), for item 20, it is quite substantial (24.5%). Based on these findings, it is apparent that to a greater extent, the teacher appraisal system is not very effective in improving the career prospects of the teachers. As for the 24.7% who did not express their opinion, it can be assumed that they may be among those teachers who have just joined the teaching profession or have no idea as to what the appraisal process is all about as illustrated in section 5.3.1.6 below.

Table 5.9: Appraisal enhanced teachers' career prospects

	Frequency	Percentage
Strongly disagree	74	17.9
Disagree	100	24.2
No opinion	96	23.2
Agree	110	26.6
Strongly agree	27	6.5
Missing	6	1.5
Total	413	100.0

In item 46 which aimed at establishing the purposes of the current teacher appraisal as practised in Botswana secondary schools, one hundred and fifty-

three respondents (37%) concurred with the view that the identification of teachers' for promotion is one of the purposes of teacher appraisal as practised in Botswana secondary schools. However, some respondents contend that although it is mostly used for this purpose, it is sometimes overlooked as some undeserving teachers have been promoted. The interviews revealed that a significant number of respondents as illustrated below contend that information from the appraisal process is used by management to determine whether a teacher should be promoted to a higher post or not. As pointed out by one of the senior teachers interviewed, teacher appraisal in Botswana secondary schools: ... *is used to find out whether one can be promoted or not*; however, the same respondent expresses some doubt as to whether it is effectively done because ... *there is insufficient follow-up, checking, and there is no feedback at all.*

That the identification of teachers for promotion is one of the purposes of teacher appraisal schemes was also illustrated in section 2.3 where Glen (1990:2) was quoted as saying that appraisal: "... identifies promotable employees". This view was also expressed in section 2.6.3 that there is a need for criteria for the selection as promotional positions are not in abundance, but individuals join the organization with hopes of progressing up the ladder. This was succinctly illustrated in section 2.8.1 with reference to the introduction of teacher appraisal in the United Kingdom where McMahon (1995a:154) points out that teacher appraisal helped to identify the most promising teachers for timely promotion. He further emphasized that the appraisal process provides reliable, comprehensive and up-to-date information that is used for a number of things including the "... deployment of staff to the best advantage".

However, it is the role of the current teacher appraisal system in Botswana secondary schools to identify teachers for promotion as it was illustrated in section 1.3 that one of the purposes of Form TSM 3/4 is to ... *indicate whether the performance level justifies the appointment of the teacher to a higher position.*

From the above it is clear that information from the appraisal process can be very beneficial to both the appraisee and the school as informed decisions about promotions can be made based on the outcomes of appraisal. If such information is used, this can help allay the rumours of promotions based on favouritism which were pointed out in some of the interviews mentioned in this study. If the right qualified teachers are promoted through the use of a transparent process such as appraisal, it leads to job satisfaction among all teachers as they are not haunted by the essence of nepotism and favouritism. Those who are not promoted do not bear any grudges but put in more effort so that they can be considered next time. If teachers are satisfied with their jobs, they are bound to be more productive and both the schools and students benefit.

5.3.1.3 Identification of teachers' professional development and training needs

For this category, data was collected through items 10, 18, 19, 21, 22, 23, 29, and 46 of the survey questionnaire (Appendix G); and item 1 of the semi-structured interview schedule (Appendix H). In this category, it is assumed that one purpose of teacher appraisal as practised in Botswana is to

identify teachers' professional development needs and also those teachers who are eligible for further training.

Item 10 of the survey questionnaire (Appendix G) wanted to establish whether the respondent is of the opinion that the appraisal process identified teachers' training needs. The results show that 35.8% of the respondents do not agree that the appraisal process identified the training needs of teachers while 42.1% agreed with the statement, a situation that reflects some divided opinion. This is clearly illustrated in table 5.10 below.

Table 5.10: Appraisal identifies teachers' training needs

	Frequency	Percentage
Strongly disagree	67	16.2
Disagree	81	19.6
No opinion	86	20.8
Agree	142	34.4
Strongly agree	32	7.7
Missing	5	1.2
Total	413	100.0

However, from items 18, 19, 21, 22, and 23 of the survey questionnaire (Appendix G), where the respondents were to indicate their degree of agreement with the statements provided, the results show that the current teacher appraisal is to a greater extent not very effective in identifying teachers for further training. For instance, in item 18 (teacher appraisal identified in-service training needs of teachers), 44.6% said it is ineffective while 35.6% said it is; in item 19 (teacher appraisal identified the staff development needs of teachers, 41.4% said it is not while 38% said it is;

item 21 (teacher appraisal equipped teachers with skills to cope with instructional issues in the schools), 45.2% said it is not while 33.2% said it is; item 22 (changing teachers' attitudes in order to cope with instructional issues in schools), 42.4% said it is not while 35.8% said it is; item 23 (equipping teachers with knowledge to cope with instructional issues in the schools), 41.4% said it is not while 34.1% said it is. As for item 29 which wanted to find out how teacher appraisal affected the school-focused staff development that was emphasized in the schools through the Secondary Schools Management Development Programme mentioned in section 3.4, 25.2% disagreed that it had any impact while 44% said it really had an impact.

One hundred and twenty-five of the respondents (30.2%) in item 46 of the survey questionnaire (Appendix G) also agreed with the statement that appraisal plays a role in identifying teachers for training. Item 1 of the semi-structured interview schedule (Appendix H) revealed that a significant number of the interviewees are of the opinion that the appraisal process is also used to identify teachers for further studies or training. This was pointed out by one of the heads who was interviewed, and he/she was supported by a head of department who claims that on top of training teachers through staff development activities, the appraisal process serves as a record to be used to ...*identify teachers for further studies or training*. Echoing this assumption are a senior teacher Grade 1 and an assistant teacher who concur that the information from the appraisal process is used to recommend teachers who are eligible for further studies.

From the above, it is clear that the majority of the respondents do not support the notion that teacher appraisal plays a role in the identification of teachers' training needs. This may be because not many teachers are nominated for further education and the teachers blame the appraisal system when they are not selected. This was clearly demonstrated in section 2.7.4.4 where Hopkins *et al.* (1991:44) pointed out that "... one of the dangers of the appraisal process is the risk of raising hopes which cannot be satisfied". The teachers' responses therefore may be a reaction to how the current teacher appraisal process is carried out in Botswana secondary schools, and not what the process does. Furthermore, a significant number of the respondents (42.1%) expressed the view that the appraisal process is effective. This is further demonstrated by the number of respondents that agree with the idea that teacher appraisal is effective in identifying teachers for training. For instance, section 5.3.1.1 indicates that teachers need to be equipped with new skills and knowledge in order to cope with instructional issues; and it is this part that appraisal does play by identifying weaknesses and strengths, then working on them to empower the teacher. The training process is part of the empowering process.

The empirical findings in this section have indicated that the appraisal process in Botswana secondary schools to some extent helps in identifying those teachers who deserve to get some training. The role of teacher appraisal in staff development was also emphasized in section 2.3 by Dunham (1995:103) who asserts that "... it is good organizational practice to link the appraisal system to in-service training provision so that appropriate opportunities are offered for continuing staff development". This view is supported by instructions in Form TSM 3/4 as illustrated in section 1.3

which clearly states that one of the purposes of the current appraisal system is to indicate whether the performance level justifies specific training that the teacher should receive to improve performance or productivity.

5.3.1.4 Identification of teachers for annual increment

For this category, data was gathered through items 34 and 46 of the survey questionnaire (Appendix G); and item 1 of the semi-structured interview schedule (Appendix H).

Item 34 wanted the respondent to express his/her opinion by indicating the degree of agreement with the following statement: The current appraisal process in Botswana secondary schools is only concerned with teachers' annual increment. As illustrated in Table 5.11 below, 24.7% disagreed with the statement while a significant majority (57.1%) agreed that it was concerned with annual increment. Seventy-two respondents (17.4%) expressed that they had no opinion, and as was illustrated before, it may mean that the respondents had not been trained on the purposes of the appraisal process and genuinely did not know; and/or they are mostly the new teachers in the field who have not been exposed to the process and therefore do not know that the appraisal process is supposed to among others identify those teachers who deserve some annual salary increment.

Table 5.11: Identification of teachers for annual increment

	Frequency	Percentage
Strongly disagree	42	10.2
Disagree	60	14.5
No opinion	72	17.4
Agree	121	29.3
Strongly agree	115	27.8
Missing	3	0.7
Total	413	100.0

The above information is further emphasized in item 46 of the survey questionnaire (Appendix G) where one hundred and twelve respondents (27.1%) claimed that it is used to identify those teachers who deserve and qualify for annual salary increment. Of the seventeen school heads who could have responded, a significant number responded in the affirmative. One of those heads of schools who responded emphatically stressed that ... *it is used to determine some financial rewards or notch advancement or salary increment.* A senior teacher Grade 2 concurs and declares that ... *it is used to fulfil an administrative duty: to determine who should get the annual increment.* Another senior teacher Grade 2 also pointed out that ... *it is used to determine the pay increment on a teachers' salary.*

In item 1 of the semi-structured interview schedule (Appendix H), a substantial majority of the ten interviewees assert that the appraisal process is used to identify those teachers who are eligible to receive annual increment. A head of school posits that *it is an instrument used to give us the conditions for payment and promotion.* Another school head, though not as categorical as the other one says: *I am not sure whether it is used for other*

purposes for which it was intended as in the past I have seen everybody getting annual increment irrespective of whether one has been appraised or not. He/she illustrates this by making reference to teachers who did get their annual increment despite the fact that their forms (TSM 3/4) reached headquarters late; and furthermore, the respondent cites his/her case whereby: ... *although I have never been appraised as a head of school, I have always received my annual increment.*

This idea of linking teacher appraisal to salary increment was also revealed in the literature reviews in Chapters Two and Three. One of the purposes of the current teacher appraisal scheme in Botswana secondary schools as stated in section 1.3 is to justify the advancement of a teacher to a higher notch or grade. As indicated in section 2.3, Goddard and Emerson (1995:16) concur with this by declaring that there are good reasons for organizations to reward those employees who perform well as this motivates them to do more, and encourages those who are lacking to exert more effort. The link between appraisal and pay was also clearly illustrated in section 2.8.1 when discussing the introduction of appraisal in Great Britain. McMahon (1995a:155) states that the appraisal of teacher performance was widely seen as the key instrument for managing the relationship as teachers' salary progression was largely determined by reference to periodic assessments.

In Botswana, as far back as 1988, the Job Evaluation Exercise of 1988 (see section 3.3.2) stressed the need to subject teachers to continuous assessment in order to determine whether they were eligible for annual increment, promotion from one salary bar to another along the extended scale to the maximum salary point, and to a higher post of responsibility. This thinking

was continued in the current system of teacher appraisal as illustrated in section 3.3.3.1 and section D of Form TSM 3/4. Section E also continues with recommendations for salary increase by the Chief Education Officer whereby he/she agrees or disagrees; and section F deals with the verdict by the Director of Teaching Service Management whether increment is granted or not.

However, literature search has also shown that the link between appraisal and pay caused a lot of resistance from teachers and in most cases, the bone of contention is the criteria used (Bennett 1992:2-3; Goddard & Emerson 1995:16; Habangaan 1998:16) as indicated in section 3.3.2. Although the appraisal system in Botswana schools is clearly linked to pay and promotion, there is very little resistance as explained in section 3.3.2. From the empirical findings, it is apparent that a substantial number of teachers are in agreement with the appraisal system being linked to pay as shown by the responses to item 46 of the survey questionnaire (Appendix G). For instance, forty-six respondents are of the opinion that one of the purposes of the current teacher appraisal is to identify those teachers who deserve and qualify for annual salary increment. One respondent declares that: ... *it is used to determine the pay increment on a teacher's salary*; and another one, a senior teacher Grade 2 believes that it is used ... *to fulfil an administrative duty, which is to determine who should get the annual increment*.

From the empirical findings in this section, it can be deduced that most teachers are aware or understand that the current teacher appraisal process in Botswana secondary schools is used to determine who should or should not receive annual salary increment among others. In Botswana schools,

teachers who perform well are supposed to be rewarded for their efforts and appraisal is used as a measure to identify those teachers who qualify. It can be subsumed that because there is no opposition to the use of the process of appraisal as a measure to determine salary increment for teachers, teachers accept it.

5.3.1.5 Appraisal for accountability purposes

The appraisal process serves purposes of accountability, a view supported by one interviewee who declared that “*... it helps teachers to maintain a positive attitude; helps teachers to be prepared all the time knowing that somebody is watching; monitors the behaviour of teachers; and helps supervisors with information on each teacher with regards to communication and relationships.*” The main duty of the SMT’s in schools is to make sure that the teachers do their work effectively. As illustrated in section 2.6.1.1, teachers are under the contractual obligation to give an account to someone in authority or the employer that they are doing a good job. As the appraisal process in Botswana secondary schools follows a line management approach, and the SMT’s are by virtue of their positions in the schools appraisers, the appraisal process is one way which helps the SMT’s to effectively monitor the teachers.

Data for this category was obtained from items 16, 35, and 46 of the survey questionnaire (Appendix G) and item 1 of the semi-structured interview schedule (Appendix H). In item 16 as illustrated in Table 5.12 below, 29.8% of the respondents do not agree with the statement that teacher appraisal is used to serve the interests of the school management teams. However,

40.9% believe that the current teacher appraisal system is used to serve the interests of management, while a large number (27%) had no opinion.

Table 5.12: Appraisal serves the interests of the SMT

	Frequency	Percentage
Strongly disagree	44	10.7
Disagree	79	19.1
No opinion	114	27.6
Agree	103	24.9
Strongly agree	66	16.0
Missing	7	1.7
Total	413	100.0

The idea of the appraisal process being used to serve the interests of the SMT's in Botswana secondary schools is supported by the results from item 35 that required the respondent to show his/her degree of agreement with the statement that the current teacher appraisal process is abused by the school's management teams to oppress teachers. Table 5.13 below indicates that while 31% of the respondents disagree with the statement, 44.1% are in agreement; while 24% had no opinion. From items 35 and forty, it is apparent that a large number of respondents have expressed no opinion to the issues of appraisal being used for the interests of the SMT's and the process being abused by the SMT's. This may be because the respondents are afraid of victimization in case the members of the SMTs' come to know, or as in other cases in this study, they genuinely do not know whether it can be misused.

Table 5.13: Abuse of appraisal by SMT

	Frequency	Percentage
Strongly disagree	50	12.1
Disagree	78	18.9
No opinion	99	24.0
Agree	63	15.3
Strongly agree	119	28.8
Missing	4	1.0
Total	413	100.0

The notion of abuse of the appraisal system was also alluded to in item 46 of the survey questionnaire (Appendix G) where one hundred and fifty-four (37.2%) respondents agree that it is used by SMT and TSM to intimidate junior teachers. Painting a bleak picture concerning the appraisal process, a head of department claims that: ... *it is used by school heads as an axe ready to chop teachers.* This perception is carried further by another head of department who declares that it is used to keep law and order in the schools. From item 46 of the open-ended section of the survey questionnaire (Appendix G), it is very clear that teachers are not very happy with the current appraisal process as is indicated by some of the responses from various respondents quoted below:

- *One of the purposes of teacher appraisal is favouritism. Instead of progression of the teachers' teaching techniques, tactics, etc, the "Yes Sirs" see the brighter side. The hard-workers do not progress.* (Senior Teacher Grade 1)

- *It is a tool used to oppress and suppress teachers. It promotes tendencies of boot-licking and “Yes Baas” which frustrates teachers.* (Assistant teacher)
- *It serves as an intimidation tool to boss around teachers with the threat of not qualifying for that funny 5% increment.* (Assistant teacher)
- *It is used to oppress teachers, reprimand teachers and punish teachers.* (Assistant teacher)

Another teacher claims that as a result, it is a source of quarrels, punishment, ridicule, and victimization rather than developing individuals. Yet another teacher is of the opinion ... *that it acts as a blockage for teachers' progress. Instead of developing teachers by showing them their weaknesses and strengths, it destroys them as the SMT will always give false information about someone who is not their favourite.*

This idea of the appraisal process being abused by those in authority was also revealed in item 1 of the semi-structured interview schedule (Appendix H) when one teacher claims that ... *it is a witch-hunting exercise because the appraiser concentrates much in the areas where one is weak rather than comparing one's weaknesses to the strengths.* A senior teacher grade 1 interviewed contends that the process is there to downgrade teachers as some supervisors use it for different purposes.

As illustrated in sections 1.1 and 2.6.1 of this study, schools as public organizations need to account for the business they do on behalf of governments due to several reasons, one of which is the fact that a lot of

public money is used to fund education. The other thing is that teachers should account that they are doing the right thing. As illustrated by the American example in section 2.8.2, Sergiovanni and Starratt (1998:308) realized this and declared that “... school systems have to show that they are being accountable, and are working toward improving student learning by devising teacher assessment systems”.

Explaining these sentiments of accountability, Hodgetts and Kuratko (1991:62) in section 2.4.5 assert that “... appraisal is one of the most common procedures used to control an organization’s personnel as it consists of comparing desired and actual personnel performance”.

However, to some educators, teacher appraisal as done by those in authority is perceived as being oppressive and very threatening. For instance, a teacher pointed out that it is a tool used by ... *the Senior Management Team, including TSM to oppress and intimidate the juniors*. A senior teacher Grade 2 views the appraisal process as ... *threatening to teachers in order to make them loyal subordinates of the management system, that is, REO, DSE, TSM, SMT, and a fault-finding mission on teachers' performance*.

This section has demonstrated that the appraisal process serves many purposes including those for accountability. As illustrated in section 2.6.1 and 3.3.2, when appraisal is carried out for accountability purposes, many teachers are not happy, and in most cases claim that it is being abused by supervisors. The empirical findings have revealed a lot of emotions from the teachers, some calling it an *axe* ready to chop those who are not favoured. However, it can be argued that due to the amount of public funds involved in

funding education in Botswana as illustrated in section 3.2.3; and the accountability placed on the teachers to mould future citizens, there is a need for measures to find out whether teachers are doing their job well. The appraisal process therefore is among others used for accountability purposes.

5.3.1.6 Miscellaneous

In item 46 of the survey questionnaire (Appendix G), there were some responses which did not fall under any of the categories identified above. These included: no response; no idea; no purpose; and missing.

(i) No response

From most items that have been looked at above, many respondents indicated that they had no opinion or some were missing; while in other instances, especially in item 46, respondents did not write anything. As these unclassified responses occurred in a survey questionnaire (Appendix G), it was very difficult to find out why this happened because as indicated in section 4.5.1.1, survey questionnaires are difficult to follow up. This may mean that teachers in the schools are honestly not aware of these things or it is another way of expressing discontentment among teachers. However, it should be stated that the reasons will not be known unless some other study can be carried out to try and find the answer.

(ii) No idea

Some teachers had no idea as to what the purposes of teacher appraisal as practised in their schools were. This may be a reflection of the responses in items 6 and 7 of the survey questionnaire where the questions sought to establish the number of times the teacher was appraised during the previous

year; and whether the teacher received any training in appraisal respectively. As illustrated in Table 5.14 below, 20.8% were not appraised at all; 49.9% were appraised once; while 17.8% were appraised twice or more.

Table 5.14: Number of times appraised during the previous year

	Frequency	Percentage
None/nil	86	20.8
Once	206	49.9
Twice	75	18.2
Thrice	30	7.3
Four times	2	0.5
Five times	1	0.2
Missing	13	3.1
Total	413	100.0

The results indicate that the appraisal system is relatively successful as almost 80% of the teachers are appraised on a yearly basis. However, it can be argued that though important, the results suggest that the appraisal process seems not to be treated seriously in schools because the statutory requirement as illustrated in section 3.3.3.2(see Appendix C) is that each teacher should have been observed (appraised) at least thrice when teaching during the year. This was supported by an assistant teacher who declared that he/she was not aware of the purposes it serves as he/she is not well informed on this process or exercise. Some of the reasons were that they have never seen the instrument because they have never been appraised. As illustrated in the literature review in section 2.7, for the process to be effective, it should be done regularly. It might also mean that the induction of newly appointed teachers is not thorough as it does not touch on such important matters. The results from item 7 indicate that the training in

appraisal is not enough, hence the lack of knowledge as indicated in Table 5.15 below. Furthermore, because the empirical findings indicated that the process is not done regularly and this may result in some teachers not understanding what the whole process is about. For instance, one teacher summed up the whole sentiment when he/she declared that *it is not effective in that some people are observed during lessons and appraised according to what was observed, while others are not observed but appraised at the same time. ... Some are observed on only one incident which is unpleasant and all the other good things are disregarded.*

Table 5.15: Training in appraisal

	Frequency	Percentage
No training	301	72.9
Some training	98	23.7
Adequate training	13	3.1
Missing	1	0.2
Total	413	100.0

The above table shows that the majority (72.9%) of teachers are not trained on what appraisal is and its importance to their career. One respondent to item 46 of the survey questionnaire (Appendix G) declared that: *My understanding of the system is not adequate, therefore to make a good analysis needs deep information;* the implication being that they have not been trained. Therefore it is not surprising if many respondents did not write anything.

(iii) No purpose

A number of respondents to item 46 of the survey questionnaire (Appendix G) and item 1 of the semi-structured interview schedule (Appendix H) expressed the feeling that the current teacher appraisal as practised in Botswana secondary schools serves no purpose at all. A senior teacher Grade 1 claims that ... *it is a routine which seeks information that is never used thereafter for any purpose whatsoever.* This sentiment is echoed by another assistant teacher who contends that ... *it is not serving any purpose at all. If it was properly used, TSM would be using it as an equipment that could tell them to recommend people for promotion, further studies, etc. But it is not the case. It is just one for formality.* These assertions were also supported by a head of school in the interview schedule by declaring that ... *the system is there just to maybe for TSM to say we have something in place,* but he/she vehemently asserts that it serves no purpose.

As illustrated by the responses to item 40 of the survey questionnaire (Appendix G), 81.3% of the respondents agreed that all those involved in the appraisal process must receive training as opposed to only 7% who disagreed. It is only through such training that the teachers will know the purposes of the appraisal process and how it can benefit them. Such training will also go a long way in making the appraisal process more effective and beneficial to both the individual and the school, including the learning of the students.

These views were also expressed in section 2.2 where it was declared that it is important to understand the purposes of an appraisal scheme in any organization if the process is to be effective. Stronge (1991) in Mo *et al.*

(1998:23) in section 2.3 also purported that “... if an appraisal system does not have a clear purpose, it will just be a meaningless exercise.” It was also alluded to the fact that if teachers are not aware of the purposes of teacher appraisal, they become anxious and suspiscious of the whole process. Goddard and Emerson (1995:94) in section 2.7.3 suggested that it is important for both the appraisee and appraiser to be clear about the purpose of the process; including the role of the appraiser and the criteria that will be used. Supporting these sentiments, Horne and Pierce (1996:3) in section 2.7.3 contend that the purpose and nature of the observation, and the focus should have been decided and agreed by both parties, that is, appraisee and appraiser.

Table 5.16: Training of appraisees and appraisers

	Frequency	Percentage
Strongly disagree	14	3.4
Disagree	15	3.6
No opinion	45	10.9
Agree	148	35.8
Strongly agree	188	45.5
Missing	3	0.7
Total	413	100.0

This section has demonstrated the importance of understanding the purposes of the appraisal process in order for the whole exercise to bear fruits. It has linked information from the literature reviews in 1.3, 2.3 and 3.3.3 to the empirical findings in section 5.3.1. It has shown that in order to facilitate such understanding, it is important for all those people who are going to be involved in the process to undergo some training. However, it became

evident from the empirical findings that the current teacher appraisal system as practised in Botswana secondary schools is wanting in many respects. For instance, not many teachers are aware of the purposes of the process; and the majority, even the appraisers have no training in appraisal. Such lack of knowledge may have led to some teachers thinking that the process is being abused by those in authority.

5.3.2 The effectiveness of teacher appraisal in Botswana secondary schools

In this section, the aim is to find out the extent to which the appraisal process as practised in Botswana secondary schools effectively addresses and impacts on the following: staff development; in-service training; career opportunities for teachers; and teacher motivation. This was based on the assumption that all the teachers who were targeted have been appraised at least once as they had been in the field for at least three months; and the requirement for one to be eligible for appraisal is three months in the service or more. The section answers the research objectives ii), iii) and iv) which are re-stated below:

Research objective ii): To find out the extent to which the current system of teacher appraisal leads to improvements in teaching and students learning.

Research objective iii): To establish the extent to which the current system of teacher appraisal equip teachers with the knowledge, skills, and attitudes necessary to perform their duties effectively.

Research objective iv): To investigate the effectiveness of the current system of appraisal in addressing the staff development, in-service training, and career opportunities for teachers in secondary schools.

As illustrated in the discussions in section 5.3.1, it was established that one of the purposes of the current teacher appraisal process is to effectively improve the twin processes of teaching and students' learning. In this section, the effectiveness of the appraisal process is measured by its impact on the three activities mentioned above, and how it is likely to affect the teaching and learning processes.

5.3.2.1 Staff development and teacher appraisal

Although the empirical findings in section 5.3.1.1, items 8 and 9 of the survey questionnaire (Appendix G) indicate that the appraisal system as practised in Botswana schools is to a greater extent effective in developing teachers, responses to items 19, 21, 22, 23, and 24 of the survey questionnaire (Appendix G) discussed below illustrate that the appraisal process is not very effective in addressing the stated issues. Item 19 sought to indicate the effectiveness of the appraisal process in identifying the staff development needs of teachers and according to Table 5.18 below, the differences between those who agreed and those who disagreed with the statement is not that much. For instance, Table 5.18 below shows that 38% believe it is effective in addressing the staff development needs of teachers while 41.4% say it is ineffective. This means that a sizeable number finds the process effective.

Table 5.17: Identification of development needs of teachers

	Frequency	Percentage
Ineffective	92	22.3
Less effective	79	19.1
No opinion	82	19.9
Effective	126	30.5
Very effective	31	7.5
Missing	2	0.5
Total	413	100.0

The fact that many teachers do not view the appraisal process as very effective is also illustrated in the responses to item 21 where the respondents were to indicate the degree of the effectiveness of the appraisal process in equipping teachers with skills to cope with instructional issues in schools. In response, 45.2% say it is ineffective while 33.2% say it is effective.

In item 22 where respondents were to indicate the effectiveness or non-effectiveness of the appraisal process in changing the teacher's attitudes in order to cope with instructional issues in the schools, 42.4% claim it is not effective while 35.8% say it is. This is illustrated in Table 5.19 below.

Table 5.18: Change of teachers' attitudes

	Frequency	Percentage
Ineffective	87	21.1
Less effective	88	21.3
No opinion	88	21.3
Effective	122	29.5
Very effective	26	6.3
Missing	2	0.5
Total	413	100.0

As in the previous findings, the fact that the difference in opinions is not that much demonstrates that as a result of the appraisal process, the attitudes of the teachers toward their duties changed to the better. It can therefore be posited that teacher appraisal as a process cannot be wholly dismissed as ineffective, but should be viewed as an intervention which should be harnessed and nurtured for the benefit of both students and teachers, and ultimately the schools.

The responses to items 12 and 13 of the survey questionnaire (Appendix G) that are discussed below indicate that the majority of the respondents believe that the appraisal process is effective in influencing the behaviour of the teachers in the schools. As illustrated in Table 5.19 below, the responses to item 12 show that 47.2% agree that the appraisal process enhanced their working relations with colleagues compared to 31.7% who disagreed.

Table 5.19: Enhanced working relations with colleagues

	Frequency	Percentage
Strongly disagree	45	10.9
Disagree	86	20.8
No opinion	85	20.6
Agree	153	37.0
Strongly agree	42	10.2
Missing	2	0.5
Total	413	100.0

The responses to item 13 also show the same trend where respondents agree that the appraisal process enhanced the teacher's working relations with their

superiors as 46.2% agreed while 29.1% disagreed. This was also supported by the responses to item 47 which indicated that the appraisal process as practised in the schools is to a greater extent effective. For example, an assistant teacher contends that the current system of appraisal is effective ... *in that it opens up both the appraiser and appraisee to talk about the strong and weak points and see a way forward, and this is healthy in the teaching profession.* Some respondents argued further that when the weaknesses are identified, they are worked on with the help of immediate supervisors. A head of school interviewed posits that ... *at departmental level, the senior teachers have a responsibility of discussing certain aspects of the appraisal which are related to the teaching profession as this approach helps when one is new in the profession.*

This change of behaviour or attitude as a result of the appraisal process was pointed out in sections 2.2 and 2.3 of this study where it was indicated that there should develop some "... mutual interaction between the supervisor and the subordinate" in order to enhance productivity. As Mullins (1996:639) in section 1.1 claims that on top of identifying the individual's strengths and weaknesses, and how such strengths may best be utilized and weaknesses overcome, appraisal also helps by "... improving the quality of working life by increasing mutual understanding between managers and their staff". This has also been pointed out by Trethowan (1991:181) in section 1.8.1 when he declares that "... appraisal is a relationship".

As illustrated in section 2.4.3, "... staff development is one of the main tenets of teacher appraisal as it is through teacher development that teaching and learning can be enhanced". This was also emphasized by Stoll and Fink

(1996:177) in section 2.4.3 who assert that “... appraisal is one way of ensuring that teachers improve in their duties through continuous learning. This is further supported by Duke and Stiggins (1990:117) who argue that “... systems of appraisal which emphasize development are based on the assumption that teachers have a professional duty to keep abreast of new research and technology”. Furthermore, as illustrated in the definitions of teacher appraisal in sections 1.8.1 and 2.4.1 of this study, it succinctly comes out that staff development is central to an effective appraisal process as “... it is one of those interventions which aim at developing the teacher’s knowledge, skills, and confidence in order to improve the effectiveness of teaching and students’ learning”.

This scenario which reflects collaboration and collegiality was succinctly explained by Murdock (2000:15) in section 2.4.3.10 when she argues that “... it is vital for a progressive system of evaluation to build on collaborative relations whereby the supervisor actively makes efforts to understand the teacher’s frame of reference on classroom events and engages in continuing dialogue with teachers”. In other words, the process of appraisal helps to establish congruence between teachers’ and the School Management Teams’ expectations and educational goals. If teachers are told and understand what they are expected to do, and are given the necessary support and development, they are bound to improve their performance in teaching and the students ultimately benefit in being taught by well developed teachers. This was illustrated above in section 5.3.1.1 when the respondents claim that as a result of being informed through the information from the appraisal process of their strengths and shortcomings, they were able to improve their attitudes and performance.

From the above discussions of the empirical as well as the theoretical findings, it is apparent that the current teacher appraisal system is significantly effective in enhancing the staff development needs of the teachers in the schools. However, as indicated by the findings, there is still a need to enhance the relationship between the appraisal process and staff development. Such an improvement can be achieved by utilizing the appraisal process as a measure to identify the staff development needs of the teachers in the schools.

5.3.2.2 In-service training and teacher appraisal

From the researcher's experience in the teaching profession, teachers attend both school-based and external seminars during the course of the year and it is expected that such in-service training should result in improving the instructional efficiency of the teachers, thus leading to enhanced learning by students. From the empirical findings, especially items 18 and 29 of the survey questionnaire (Appendix G) discussed below, it is clear that there is not much relationship between in-service training and teacher appraisal as practised in Botswana secondary schools. As illustrated in Table 5.20 below, 44.6% of the respondents to item 18 believe that the appraisal process is not effective in the identification of in-service training needs of teachers; 35.6% say it is effective, while a significant number (19.4%) did not express any opinion. These results might mean that some of the teachers are not aware of the role of teacher appraisal in identifying the training needs of the teachers in the schools as this may be the preserve of the SMT; or maybe the appraisal process is not used for that purpose in other schools. However, this does not mean that there is no relationship as the differences between those

who agree and those who do not agree is not that much, a clear sign that there is some relationship.

Table 5.20: Identification of in-service training needs of teachers

	Frequency	Percentage
Ineffective	108	26.2
Less effective	76	18.4
No opinion	80	19.4
Effective	118	28.6
Very effective	29	7.0
Missing	1	0.2
Total	413	100.0

Item 29 of the survey questionnaire (Appendix G) sought to find out how teacher appraisal affected the school-focussed staff development venture which was emphasized in the schools through the Secondary Schools Management Development Programme mentioned in section 3.3.2. From the respondents, (44%) agreed that there was some impact of the school-focused staff development on the appraisal process while 25.2% disagreed; and 30.3% did not express any opinion.

The effectiveness of the appraisal process in promoting in-service training in Botswana secondary schools was also illustrated by the responses from item 47 of the survey questionnaire (Appendix G) which sought to establish the effectiveness of the current system of teacher appraisal in the schools. One hundred and eighteen (28.5%) respondents believe that it is effective. For instance, a senior teacher Grade 1 argues that ... *it is effective because the process is done face to face with the school heads explaining all the*

categories in front of the appraisee and agreeing on the marks to be given. The effectiveness of the appraisal process can be enhanced by holding pre and post observation conferences with the appraisees to discuss and set targets which are aimed at improving the teaching and students learning processes, an aspect that was pointed out in section 2.7.4 by Bennett (1992:46). This is supported by one of the two heads of departments who is of the opinion that ... *the teacher improves his/her teaching skills and methods; that is, after the appraisal process, the teacher varies teaching methods, and sometimes uses teaching aids.* Supporting the effects of the appraisal process on teachers, a head of school declares that ... *it cares for lesson preparation and presentation of content to ensure proper teaching and students learning.* This relationship came out clearly when respondents to item 3(e) of the semi-structured interview (Appendix H), expressed the feeling that ... *the SMA's can help in staff development in the schools through looking at the needs of teachers identified by the appraisal process and then running workshops for them in the schools.* The SMAs can also help schools on how to ... *improve on the identified shortcomings.*

The fact that a relationship exists between in-service training and the appraisal process is supported by Goddard and Emerson (1995:11) in section 1.1 when they contend that teacher appraisal "... can help ensure that the in-service training and the development of teachers match the complementary needs of individual teachers and the schools". The link between teacher appraisal and in-service training was also explained by Dunham (1995:103) in section 2.3 when he declares that "... it is good organizational resource to link the review or appraisal system to in-service training provision, so that appropriate opportunities are offered for continuing staff development". As

illustrated in 3.3.3.2, in-service training is regarded very highly by the Government of Botswana. Recommendation 105a of the Revised National Policy on Education of 1994 emphasizes this by declaring that the School Management Teams "... should take major responsibility for in-service training of teachers within their schools". This means that in-service training was being taken to the schools and the benefits were illustrated by Tombale (1997:10-12) in section 3.3.3.2.

That the empirical findings reveal that there is divided opinion on the relationship between the process of teacher appraisal as practised in Botswana secondary schools and in-service training indicates that the appraisal process is to some extent effective in addressing the in-service needs of teachers in the schools.

5.3.2.3 Career development and teacher appraisal

As illustrated in section 2.6.1, individuals join organizations with the hope of progressing up the career ladder and therefore the appraisal process plays a crucial role as it provides for criteria for selection as promotional positions are not in abundance. Teachers in the schools, it can be argued, also join the teaching profession with the hope of progressing. Under normal circumstances, it is those who are performing well in their duties of teaching and facilitating students learning who progress. The process of appraisal therefore becomes very appropriate in facilitating this by identifying those teachers who deserve to go up the career ladder if it is properly managed as illustrated in section 5.3.1.2 of this study.

From the responses to item 11 of the survey questionnaire (Appendix G) which aimed at finding out whether the appraisal process enhanced the teachers' career prospects; and item 20 which sought to establish the effectiveness of the appraisal process in enhancing the career prospects of teachers, it is clear that the majority of teachers do not believe that the current teacher appraisal system as practised in Botswana secondary schools is effective in facilitating teachers' career prospects. For instance, in item 11, 42.1% do not agree while 37.1% agree; in item 20, 49.4% believe it is ineffective while 24.9% say it is. This is in contrast to the revelations in the literature reviews as illustrated in section 2.6.2 which had emphasized the role played by teacher appraisal in identifying the teachers' potential for career development. However, it should be noted that the differences between those who agree and those who do not agree are not that big, a situation which implies that there is some effect. Therefore one is bound to assume that many people are not aware that promotional and other career prospects are usually not in abundance in any organization. Therefore, if they miss out, they could blame interventions such as teacher appraisal as being ineffective. Therefore this result might be an expression of frustration on the side of those teachers who have not benefited by being promoted to higher posts. Furthermore, unlike in other professions, there are not many positions for teachers to progress to in teaching as illustrated in section 3.3.2 where it was recommended that "... UTS should consider creating graded posts of teachers such as probationer teacher, Teacher Grade 2, Teacher Grade 1, and so on".

Another attempt in Botswana at enforcing a career ladder structure of progression which included all Public Officers, including teachers was the

introduction of Parallel Progression Policy which was discussed in section 3.3.3.2. In item 30 of the survey questionnaire (Appendix G), the respondent was asked to indicate the impact of Parallel Progression on the appraisal process. From the results as illustrated in Table 5.21 below, 42.4% do not agree that it improved the appraisal process while only 19.6% agreed; and 37% had no opinion.

Table 5.21: Parallel progression and teacher appraisal

	Frequency	Percentage
Strongly disagree	121	29.3
Disagree	54	13.1
No opinion	153	37.0
Agree	53	12.8
Strongly agree	28	6.8
Missing	4	1.0
Total	413	100.0

The low number of respondents who agree that the policy improved the appraisal process in the schools may be an indication of its unpopularity. Career ladder systems according to Brandt (1995:30) and Bacharach *et al.* (1990:136) are never popular with teachers as shown in section 2.8.2.

As a result of the introduction of the Parallel Progression Policy measures such as TSM 5, TR 1 and TR 2 came aboard as illustrated in section 3.3.3.2. From the empirical findings, responses to items 25, 26, and 27 indicate that a large number of teachers do not express any opinion as to how the measures mentioned relate to the appraisal process. Although many teachers expressed no opinion concerning the relationship between the innovations and teacher

appraisal, the responses to the semi-structured interview show that there is a marked relationship, especially between TSM 5 and the appraisal process. For example, a very high percentage of those interviewed claim that ... *information from the appraisal process is used to inform those making any decisions about the promotion of teachers*. A head of school contends that when a teacher is recommended to move from one post to the other, those in authority look at the performance of the teacher to determine whether he/she deserves that move or not.

This relationship between teacher appraisal and promotion was illustrated in section 2.7.4.3 when referring to the British system's Regulation 14 of The Education Regulations (School Teacher Appraisal) which states that ... *relevant information from the appraisal records may be taken into account by head teachers and Chief Education Officers in advising those responsible for taking decisions on promotions, dismissal or discipline of school teachers... .* Sharing this perspective is the other head of school interviewed who declares that ... *one has to look at the appraisal and understand (ask) what the strengths and weaknesses of the teacher are when considering recommendations*. Because TSM 5 and TR 1 and 2 are used for promotion purposes, a senior teacher grade 1 believes that ... *if used effectively, the appraisal process can be useful, especially if the process is done regularly and used regularly. Appraisal and TSM 5 are related as one complements the other*. Although an assistant teacher believes that the relationship depends entirely on the type of administration found in the school, he/she asserts that they should be a link: *If you are to progress it should be based on what people have made about you when they assessed you – whether you have limitations, strengths, etc.*

The results further illustrate some divided opinion where some of the respondents believe that there is a relationship between the appraisal process and TR 1 and 2 in the sense that the information from the appraisal process is used to inform decisions that are taken using the two instruments. Furthermore, from the empirical findings discussed in this section, it was illustrated that there is a symbiotic relationship between the appraisal process and the career development of teachers in the schools as the instruments such as TSM 5, TR 1 and 2 have been introduced to facilitate the process of teacher progression. Another issue which causes concern is the large number of people who expressed no opinion, a situation which may be due to the fact that because many teachers (41.2%) in the field as illustrated in section 5.2.4 are five years or less in the service. They have not yet reached a stage where they could be considered for promotion.

5.3.2.4 Motivation and teacher appraisal

As illustrated in sections 2.4.4, 2.5 and 2.6, another purpose of the appraisal process is the motivation of teachers so that they can do their work more effectively. From the empirical findings, a senior teacher Grade 1 declares that *I got motivated when I was told my strengths which I was not aware of.* This sentiment is supported by a teacher who contends that ... *if you are told positive things about yourself, you gain morale, you get motivated.* Though not appraised in their current positions as heads of schools, the two heads who were interviewed all believe that before they were promoted to their present positions they were appraised and it helped them in their duties as teachers. The sentiments are supported by the results of item 14 of the survey questionnaire which sought to establish how the appraisal process

demotivated teachers. The results are shown in Table 5.22 below. From the results, it is clear that the majority (44.7%) of respondents do not agree with the statement that the appraisal process in Botswana secondary schools demotivates teachers; while 27.9% believe it does. What it therefore means is that the appraisal process can support or motivate teachers to improve their duties of facilitating students learning.

Table 5.22: Appraisal and teacher motivation

	Frequency	Percentage
strongly disagree	68	16.5
Disagree	116	28.2
no opinion	109	26.5
Agree	65	15.8
strongly agree	50	12.1
Missing	4	1.0
Total	412	100.0

However, there are some respondents who believe that the current system of teacher appraisal as carried out in Botswana secondary schools demoralizes teachers because it is not carried out properly. From item 2 of the semi-structured interview schedule (Appendix H), some teachers are of the opinion that it demoralizes them while others claim that as a result of the appraisal process they were able to get motivated. One teacher interviewed paints a very bleak picture about the appraisal process when he/she declares that ... *it has no effect as I am still a teacher after nine years, yet from the appraisal process I am doing a very good job. Nothing is done after the appraisal despite the recommendations made.* Another interviewee echoes this sentiment by declaring that ... *to me it is not effective, I am so demoralized. I am not as good as I used to be.* These assertions might be

manifestations of personal frustrations within their schools based mainly on the nature of the management, and therefore not reflective of the teacher appraisal process. However, it can be argued that the assertions represent those instances when it is not properly done.

From all the above, it can be argued that teacher appraisal could be one of those processes in the schools which are aimed at motivating teachers in order to enhance their productivity. As a result, the students benefit because the teachers have been empowered through training/staff development activities. The schools as organizations benefit because they will be able to satisfy the requirements and expectations of the stakeholders, as Bell (1992:127) in section 2.6.1.3 pointed out that appraisal has "... a part to play in affording parents assurance of the quality of teaching their children receive so that if they are not satisfied they can choose to opt out to other schools". This was also shown in section 2.8.3 where the two case studies from Great Britain and the United States of America illustrated that there was a need to reform the teaching profession in an attempt to improve the quality of teaching which in turn will lead to enhanced student learning in schools and teacher appraisal is deemed very crucial.

The role of teacher appraisal in motivating teachers was also emphasized by West and Ainscow (1991:33) in section 2.3 when they claim that appraisal "... gives teachers a clearer view of the job, their aims and what is expected of them, and of the aims of the school". For instance, in section 1.1 Poster and Poster (1992:1) and Morris and Everard (1996:79) concur with this by claiming that the main objective of teacher appraisal is to improve individual performance and motivation in order to enhance the "... learning

opportunities for all students". This was further supported by Goddard and Emerson (1995:11) who view teacher appraisal as a process which is intended to help individuals to develop professionally in order to perform their teaching duties well.

This view is supported by Mullins (1996:640) in section 2.4.3.2 by claiming that "... one of the purposes of an appraisal system is to motivate employees so that they learn and achieve more" in their duties such as teaching and facilitating students learning. Murdock (2000:55) in section 2.4.4 concurs with the above view and explains that because the process involves the teacher through activities such as pre and post conferencing, it empowers and motivates him.

5.3.3 Mechanisms and procedures for teacher appraisal

This section answers research objective v) that sought to find out whether the mechanisms and procedures for the management and implementation of the current system of appraisal in the schools are adequate. This objective is discussed under the following sub headings: consultation and involvement of stakeholders; training of appraisees and appraisers; transparency of the process; and feedback.

5.3.3.1 Training of appraisees and appraisers

The importance of training in appraisal was emphasized by the empirical findings in section 5.3.1.6. Furthermore, in item 48 of the survey questionnaire (Appendix G), one hundred and eighty-one respondents (43.8%) believe that the appraisal system can be improved through the training of both appraisees and appraisers. For instance, an assistant teacher

claims that the training will ... *equip teachers with knowledge of how to appraise or be appraised so that problems are avoided*. It is suggested that the training can be done through workshops in the schools, which are less expensive and contextual, thus very effective. This is where appraisal and school-based approach to in-service training can complement each other very well.

The idea of training was also supported by a respondent (teacher) who contends that the officers in authority (immediate supervisors) need thorough guidance and encouragement on professionalism and positive attitudes towards developing subordinates. Corroborating this point of view is a senior teacher Grade 2 who claims that ... *subject coordinators should be trained on how to observe and make recommendations for teachers in their specialist areas*. According to the respondent, such problems are caused by the fact that some heads of departments are usually not knowledgeable when it comes to supervising and advising in areas where they are not specialised. This is basically caused by the fact that in Botswana, the appraisal follows a line management approach where the immediate supervisor by virtue of his/her position becomes the supervisor. As indicated in section 2.7.3, in Botswana secondary schools, subjects are grouped into areas such as Sciences, Humanities, Languages, etc and this sometimes leads to situations whereby some people without any knowledge of a particular subject become immediate supervisors and appraisers by virtue of their positions of responsibility.

Another thing that needs to be in place for an appraisal system to be effective is that teachers should fully understand the purposes of the

appraisal process. This calls for the training of teachers in what appraisal is and why it is necessary, an area discussed in the findings in section 5.3.1 above. Furthermore, from the empirical findings of this study, there is a high incidence of respondents expressing *no opinion* which might mean that they have not been trained and therefore cannot make any opinion on the issues being asked. The importance of training of teachers in the appraisal process was also pointed out by Latham *et al.* (1994:169) in section 2.4.5 by declaring that “... successful performance appraisal consists of a system of rules, regulations, procedures, and training necessary for conducting effective appraisals designed to instil the desire for continuously improving one’s performance”. These rules, regulations and procedures should be known to the teachers involved with the appraisal system to avoid conflicts and confusion. Goddard and Emerson (1995:126) in section 2.5.1 declare that “... training is essential if teachers and head teachers are to be able to operate appraisal schemes in a manner which will help to improve the effectiveness of schools. If there is adequate training of appraisees and appraisers, there are a lot of benefits which flow from giving each an insight into the other’s role”. This view is further supported by Horne and Pierce (1996:101) who are of the opinion that the benefits of appraisal can be reaped if “... schools develop an effective training strategy and mount professional training programmes” where purposes and procedures are fully shared and explained to all participants.

Still on the issue of training, in item 48 of the survey questionnaire (Appendix G), a teacher suggests that there should be established ... *a permanent appraisal team from secondary department which should be well trained; and moving from one school to the other monitoring the system of*

appraisal to ensure that it is done properly. There should be clear reasons reflected to people why there is a need for appraisal. Another teacher believes that the training of both appraisees and appraisers can improve the current teacher appraisal system practised in Botswana secondary schools. He/she suggests that ... *there should be much more support, training, and re-appraising. More good practise is needed, for instance, setting good teaching examples.* Goddard and Emerson (1995:94) in section 2.7.3 suggest that it is important that both the appraisee and appraiser are clear about the purposes of the observation; the role that the appraiser will play during the lesson; and the criteria to be used during the observation. This can only be possible if there is adequate training. Referring to the case of Great Britain, McMahon (1995a:159) contends that the procedures for the implementation of appraisal were piloted in schools; and workshops on different aspects of the appraisal were held. Some of the issues pertaining to appraisal were discussed during conferences. In short this shows that a lot of groundwork was done to prepare for the smooth management and implementation of the appraisal process.

In the Botswana situation, as illustrated in section 3.3.3, it was claimed that when the system was introduced, all appraisers and appraisees were to receive training before they could be involved in the appraisal process. However, from the researcher's experience as a teacher and administrator in secondary schools for over two decades, there was no formal training in appraisal except information dissemination at conferences and the instructions contained in Form TSM 3/4. Even the piloting which is deemed effective was questionable as it was not given adequate time for effective

feedback to be provided. However, what it means is that the noble idea was there and what is needed is to implement it.

The idea of training of both appraisees and appraisers as a way of empowering them with the necessary knowledge and skills was further emphasized in the British case study where Circular 12/91 clearly states in part that “... wherever possible the appraiser should already have management responsibility ...”. The importance of such a situation was also highlighted by Mo *et al.* (1998:24) who say that in such a case the appraiser will be credible and respected, and may possess the skills to effectively appraise teachers under him/her. A head of department sums up all the opinions expressed by lamenting that there is no training in the appraisal process, and this renders the whole exercise not effective. He/she asserts: ... *in my opinion, what is happening is not appraisal. We all need to be trained so as to understand appraisal in a more positive and meaningful way. Observing someone in class once and filling in the form TSM 3/4 is not appraisal. There is really more to it than it is done now.* This irregularity was highlighted by many respondents as a serious shortcoming of the appraisal system in Botswana secondary schools that needs to be improved.

From the literature review and empirical findings, it is clear that the training of both the appraisers and appraisees in what the appraisal process is all about and how to go about it can go a long way in making it effective. This will help all the stakeholders to be aware of the procedures to be followed when appraising and thus minimize conflict and confusion that was alluded to by some respondents. Furthermore, as was illustrated in the literature review and research findings, the process is very sensitive and therefore in

order to avoid conflict emanating from the process, training will go a long way in solving such a problem. If teachers understand the role and importance of the whole process teacher appraisal will be carried out smoothly and regularly in an atmosphere of honesty and trust.

5.3.3.2 Transparency and feedback in the appraisal process

The work environment in schools should be conducive for effective implementation of any programme including teacher appraisal. A conducive work environment is one where there is collaboration, trust and honesty; and transparency is encouraged. The responses to items 24 and 36 of the survey questionnaire (Appendix G) emphasize the importance of transparency to the effectiveness of the appraisal process. Item 24 wanted to find out whether the appraisal process is effective in creating a collegial environment among the school community. From this, 39% of the respondents believe that it is ineffective while 33.7% say it is effective; and 25.7% had no opinion. However, in item 36, 44% are of the opinion that the work environment in the schools was conducive for the appraisal process while 31.5% disagreed; and 24.2% had no opinion. These results reflect the current mood displayed by many teachers in other sections where teachers are generally divided on the impact and effects of the current teacher appraisal in the schools. It is clear that many teachers lacked opinion as about 25% of the respondents is quite a substantial figure. The aspect of a collaborative and collegial environment which among others encourages dialogue as a recipe for effective teacher appraisal was highlighted by Murdock (2000:56) in section 2.4.3.10 where he asserts that "... dialogue is vital to successful implementation of all elements of a teacher appraisal system".

Furthermore, from the research findings, especially items 43, 44, and 45, it became apparent that there were problems with the Botswana secondary schools' teacher appraisal system. From item 43, 27.4% of the respondents disagree with the statement that the Regional Education Office takes recommendations emanating from the appraisal system seriously, while 17.7% agree; and an overwhelming majority of 54.7% had no opinion. This trend is repeated in items 44 and 45. In item 44, 34.2% of the respondents disagreed with the statement that the Department of Secondary Education takes recommendations emanating from the appraisal process seriously while 18.2% agrees; and 47.5% had no opinion. In item 45, 35.1% of the respondents disagrees with the statement that the Department of Teaching Service Management takes recommendations from the appraisal process seriously while 18.4% agrees; and 46% had no opinion. The fact that on average, 50% of the respondents did not express their opinion may be because there is no feedback from section C of Form TSM 3/4 and teachers are merely saying that they do not know what happens after the appraisal forms are sent to those offices as they never see them as indicated in section 3.3.3.1.

This lack of feedback was also illustrated in item 47 of the survey questionnaire (Appendix G), where the results indicate that the current teacher appraisal system is not very effective because there is lack of transparency. For instance, a teacher claims that the appraisal process is not effective because it is difficult to see the results from the appraisals, that is, even if the head of school can recommend a teacher for further studies, it never happens. Teachers feel that something should be done concerning the confidentiality of the current teacher appraisal system and they made the

following suggestions. Firstly, teachers should sign after the head of school had commented and made recommendations; not before because teachers should know what has been recommended and why. They further suggest that ... *teachers' comments should be considered and if there are any inconsistencies in the teacher's comments then such teachers should be consulted to support or defend their comments.* The teachers feel that the recommendations made by the heads of schools should be made known to the teacher for the sake of transparency. A teacher believes that ... *head teachers' recommendations should not supersede all others as this is subject to abuse.*

From the semi-structured interview schedule (Appendix H), a significant number of those interviewed are of the opinion that the issue of confidentiality in the appraisal system should be done away with. A senior teacher grade 1 argues at length on the issue of confidentiality in the current teacher appraisal. Firstly, he/she believes that the confidentiality of Form TSM 3/4 is not appropriate because the teachers should know what transpired through a series of feedbacks, not only when observed but for the entire job. Secondly, he/she asserts that sometimes one is given the feedback that ... *the performance is good and therefore never corrected, but at the end one is not promoted, sent to school, and so on and one wonders why.* This makes teachers loose confidence and trust in their superiors, including the appraisal system itself.

Another teacher rhetorically posits: ... *why should it be confidential if you have recorded something that is true about the teacher? Is it lack of resources to send one for further training? Or are there no posts of*

responsibility available, or are they not enough? Or is there need for experience? If one has not been attending lessons and has been told about that, why should it be confidential when it comes to TSM 3/4? If one has been good, and it has been written that one has been doing fine in the school, why shouldn't one see that? This is a reflection of the confusion that is created by the mismanagement of the current teacher appraisal system.

From the empirical findings, teachers also suggested that the powers that be such as Teaching Service Management and the Department of Secondary Education including the Regional Education Offices should give feedback promptly as this will go a long way in motivating teachers to do more. For instance, a head of department claims that ...*every appraisee expects some kind of feedback from the powers beyond the school. This will go a long way in teachers taking this serious and looking at it as a mechanism that can help shape their career.*

Responses from teachers are supportive of the literature review that feedback is central to the effectiveness of teacher appraisal. Unfortunately, the empirical findings point to the fact that in the current system, feedback is not adequately given, especially from the powers that be. Teachers do not know what happens to their appraisals after they have signed to acknowledge that they have seen the observations made in section B of Form TSM 3/4. This lack of knowledge breeds mistrust and conflict between the management and teachers; with suspicions bordering on favouritism and nepotism being rampant.

This issue of the appraisal process being transparent is highlighted by Taylor (1998:10) in section 2.3 when he notes that "... appraisal involves letting people know what is required, and expected of them, assessing how they are doing, reviewing this with them regularly and agreeing with them what happens next". This was also supported by Mullins (1996:639) when he declares that an effective appraisal system offers a number of potential benefits to both the individual and the organization such as "... improving communication by giving staff the opportunity to talk about their ideas and expectations and how well they are progressing". Everard and Morris (1996:79) in section 2.4.1 also agree with this by claiming that "... it is an opportunity for the individual to meet with his or her manager to take stock of their individual and joint achievements".

Transparency can be highly conducive to an appraisal system as it can build a very strong base of trust and confidence among members of the school community. For instance, West and Ainscow (1991:34) in section 2.4.3.1 have argued that if teachers have trust in their leadership, they can open up and show their shortcomings and strengths. If the atmosphere is conducive, appraisal provides an opportunity for the appraiser and appraisee developing a critical friend relationship moving into coaching and mentoring, not a master and servant relationship. Summing up the principle of transparency, Murdock (2000:56) in section 2.4.3.10 argues that it is vital for a progressive system of evaluation to build on collaborative relations whereby the supervisor actively makes efforts to understand the teacher's frame of reference on classroom events and engages in continuing dialogue with teachers. The notion of transparency is further supported by McGregor (2000:15) who believes that collaboration and collegiality are important as

there is sharing of ideas on what goes down well to collectively planning individual delivery and collectively evaluating and refining.

Transparency is also associated with the provision of feedback. From the literature review, it became apparent that feedback plays a major role in making the appraisal process effective. Mullins (1996:640) in section 2.1 contends that "... adequate feedback as to how they are performing, that is, knowledge of results" is very important for the effectiveness of an appraisal process. This was also pointed out by Horne and Pierce (1996:87) in section 2.4.3.7 when they declared that "... appraisal is a prime mechanism available for all involved in the school to celebrate success, receive and give accurate informed feedback and reinforce ways of forging ahead". Commenting on the value of feedback, Kyriacou (1995:115) in section 2.5.1 says that receiving feedback is one benefit to teachers because it indicates that their work is appreciated and valued by others, and this boosts the morale and confidence of teachers.

The importance of feedback to teachers was also illustrated in the literature review in section 2.7.4.1 where Dean (1992:188) contends that the post observation discussion "... offers an opportunity to the appraiser to praise and encourage" the appraisee in a formal setting. A number of authors also recognized the centrality of giving feedback in the appraisal process, and Kyriacou (1995:115) asserts that teachers "... value feedback as it provides an opportunity to see oneself as other colleagues see you". It was also suggested that feedback should be "... given as soon as possible" whether it is positive or not.

This section has looked at the structures and mechanisms that exist in the schools which have a bearing towards the effective management and implementation of the appraisal process. It has succinctly demonstrated the importance of training in the appraisal process, as well as the centrality of feedback and transparency in making the appraisal process effective. From the discussions, it became apparent that such structures and mechanisms are insufficient in the current system of teacher appraisal as practised in Botswana secondary schools and therefore there is a need to strengthen them if the process were to be effective.

The section has also presented, analysed and discussed the data from the empirical research findings from the survey questionnaire (Appendix G) and the interview schedule (Appendix H); linking this information to the literature reviews in the previous chapters. From this, it emerged that there were differences and similarities between the theoretical component in the literature reviews and the empirical findings; however, it should be stated that the similarities are quite substantial, indicating that the current teacher appraisal in Botswana secondary schools can be viewed in a positive light, although further improvement is essential.

5.4 SUMMARY

From the analysis and discussions of the empirical findings of this study, it is clear that the current teacher appraisal process as practised in Botswana secondary schools can be deemed reasonably effective. However, as indicated below, the following areas of the appraisal process need to be addressed in order to enhance the effectiveness of the whole process.

Firstly, the findings have indicated that the clarity of purpose plays a crucial role in making the process more effective; but it was revealed that in the current system, there is a need to enhance the clarity through training and collaboration. Secondly, there is a need to improve the mechanisms and procedures for the management and implementation of the appraisal process through training both the appraisees and appraisers; making the whole process transparent by providing feedback to all stakeholders, especially the appraisees; and reviewing the appraisal system.

However, it came out that many teachers viewed the current teacher appraisal system in Botswana as ineffective and threatening to the teachers as it is not done regularly and by competent appraisers. It can be deduced that because the current system of teacher appraisal combines the accountability and developmental models of appraisal as illustrated in section 3.3.3.2, many teachers view the accountability aspect of the appraisal process as threatening, and therefore not acceptable.

The next chapter provides the conclusions and makes recommendations based on the above findings.

CHAPTER SIX

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

This thesis has evaluated the effectiveness of the current teacher appraisal system as practised in Botswana secondary schools. This was done with reference to the aims and objectives of this study as stated in section 1.6.

These were to:

- Identify and discuss the purposes of teacher appraisal as practised in Botswana secondary schools with a view of establishing its relevance and effectiveness.
- Assess the effectiveness of appraisal in addressing the professional needs of teachers in respect of staff development, in-service training, and career development.
- Find out whether appraisal equips teachers with the knowledge, skills, and attitudes necessary to be more effective in their day-to-day duties.
- Examine the link between staff appraisal and the processes of teaching and learning in the schools.
- Ascertain the extent to which the mechanisms and procedures for the management and implementation of the current system are adequate.
- Establish teachers' perceptions and opinions about the current system of appraisal with a view to contribute to the development of a model for effective teacher appraisal in Botswana secondary schools.

On the basis of the theoretical discussions in Chapters Two and Three, and the empirical findings and discussions in Chapter Five, a summary of the findings, the main conclusions and the recommendations are provided in this section.

6.2 SUMMARY

This section provides a summary of the study. Initially, it gives a general overview of what is contained in each chapter. The section then points out and relates the major themes that emerged from the literature reviews and the empirical findings. The aim of the discussion of these themes is to find ways in which the weaknesses that emerged from the study can be addressed. In other words, the objective is to establish how the system of teacher appraisal in Botswana secondary schools can be made more effective in achieving its intended goals.

Chapter One of this thesis set the background of the whole study while Chapter Two reviewed related international literature on teacher appraisal, including two case studies on the introduction of teacher appraisal in Great Britain in section 2.8.1 and teacher evaluation in the United States of America in section 2.8.2. As indicated in section 2.8, the two countries were chosen because among others they have well developed and documented systems of teacher appraisal that could help shed insights into the discussions of the Botswana system. Chapter Three of this thesis provided the educational system and policy context of teacher appraisal in Botswana, showing how developments in the education sector since the attainment of

independence in 1966 affected the process of teacher appraisal. Chapter Four provided the research design of the study; while Chapter Five discussed and analysed the research findings.

The findings given in Chapters Two and Three were the basis for the empirical research which combined both the quantitative and qualitative approaches to research as described in section 4.5. Most of the empirical research questions emanated from the information contained in the two chapters.

From the literature reviews and the empirical findings, it became apparent that teacher appraisal is a human relations approach to management that emphasizes people and their feelings and attitudes. In other words, its effectiveness is dependent on how it addresses the feelings and attitudes of the teachers in the schools. A cursory look at the definitions of teacher appraisal offered by Everard and Morris (1996:79); Goddard and Emerson (1995:11); Poster and Poster (1992:2); and Trethewan (1991:181) in section 2.4.1 support this human relations approach whereby the major aim is to develop the teachers in order to improve their delivery in the schools. It is also based on the assumptions that due to the interactions that are part and parcel of teaching as an activity, there is bound to develop some bond and understanding, which in the end benefits both the individual teacher and the students. The findings from the literature reviews are echoed by the empirical findings in section 5.3.1.5 where it was revealed that the effectiveness of any appraisal system depends on the individual teacher's capability and commitment.

It was revealed in this study that all those who shall be involved in the appraisal process should possess the knowledge and understanding of its purposes if the whole process is to be effective (see section 5.3.1). The purposes inform the individual teacher why and how the process is carried out; and this understanding helps in making the teacher aware of personal benefits as well as those benefits that accrue to the school as an organization. The importance of purpose in making the process effective was illustrated by Kermally (1997:89); Taylor (1998:10); Mullins (1996:639); Mo *et al.* (1998:23) in section 2.3 of this study. If the teachers know and understand the purposes of teacher appraisal, they are bound to be committed and this may improve their performance of the day-to-day duties. The literature reviews in sections 2.8.2 and 3.3.3; and the empirical findings in section 5.3.4.2 have illustrated that such knowledge and understanding can be facilitated through the provision of training in the appraisal process. However, it should be pointed out that such training in appraisal was found to be wanting in the Botswana system and it can be confidently concluded that this is one of the main shortcomings of the current system in Botswana.

The clarity of purpose as a measure of the effectiveness of an appraisal system was emphasized in the literature reviews and empirical findings of this study. It also became apparent that appraisal systems that tend to be multipurpose oriented tend to fail because they lack focus. In section 2.6, it was indicated that there are basically two models of appraisal, namely the accountability model and the staff development model (Bennett 1992:1; Poster and Poster 1992:1; Malongwa 1995:154; Habangaan 1998:21; and Keitseng 1999:25). The compatibility of the two approaches or models has been a subject of debate for some time and it has come out that those

systems that attempt to combine the two models almost always end up in “... too much confusion and role conflict ... to allow functional blending of purpose”. This was categorically stated by Bennett (1992:7) in section 2.6.3 who adopts an uncompromising view that appraisal can either assess in order to “... reward or dismiss” or can be used to support and develop staff and improve the quality of performance; but fails if it attempts to do both. From the empirical findings in sections 5.3.1.5, 5.3.2.1 and 5.3.2.3 of this study, it can be concluded that the Botswana system attempts to follow both the accountability and the staff development models.

Although there are many ways of measuring the effectiveness of any teacher appraisal system, as illustrated in section 5.3.1.1, one way is to determine how it equips teachers with knowledge, skills, and attitudes necessary to improve their performance of their teaching. This improvement of performance was also identified by the majority of respondents as the main purpose of the current teacher appraisal system in Botswana secondary schools. In other words, an effective teacher appraisal system should enable teachers to gain more knowledge and skills so that they can be well empowered and thus confident in their delivery. This, as was illustrated in the literature review in sections 2.7.3.2 and 2.7.4.1 of this study is gained through the sharing of ideas during the pre and post appraisal conferences; being open and honest with each other during the appraisal process; and the appraisal process being done in the right spirit and according to the laid down procedures. Those teachers with experience should help those with less experience to integrate well into the profession.

During classroom observations (see section 2.7.3), the appraiser and appraisee should agree on the purpose of the observation and the focus of the observation. After the classroom observation, the two should sit down and discuss how the lesson went and if possible how it could have been improved, because the aim is to help the appraisee improve. This role of equipping teachers with knowledge and skills necessary for the good performance was highlighted in section 2.7.4 where the centrality of feedback in effective appraisals was shown. As a human relations approach to management, it should take cognisance of teachers' feelings and attitudes if it is to be effective. This can only be realized if adequate and relevant feedback, which is the hallmark of all successful appraisal systems is given.

As illustrated in the analysis of the current instrument of teacher appraisal (Form TSM 3/4) in section 3.3.3.2, it is so confidential that teachers in the schools are not allowed access to whatever transpires after signing that they have seen the merit assessment. For instance, whatever recommendations the head of school makes about the teacher are not communicated to the teacher concerned; and the same applies to the recommendations made by the next level of authority. As indicated in the empirical findings in section 5.4.3.3 it is this confidentiality that has led to many teachers to be suspicious of the fairness and effectiveness of the appraisal process. According to the teachers in section 5.4.3.3, the confidentiality is used to cover up the abuse of the instrument by those in authority.

Such mistrust was also shown in suggestions that head teachers' recommendations should not supersede all others as this is subject to abuse. In the empirical findings in section 5.4.3.3, some teachers are also calling

upon the powers that be such as Department of Secondary Education and the Department of Teaching Service Management to provide written reports to the appraisees concerning the outcome of the appraisal process. This to the teachers will be a sign that their recommendations are being taken seriously. However, what such reactions from teachers manifest is their lack of confidence and trust in the current teacher appraisal, and those who are tasked to carry it out. Some teachers want the appraisal system to be reviewed.

As indicated in the empirical findings in sections 5.3.3 and 5.3.3.1 of this study, another way in which the effectiveness of an appraisal system can be judged is through the assessment of how it addresses staff development, in-service training, and the career development of teachers in the schools. The other theme emerging from section 2.4.3 of this study is that it is a well-developed and trained staff that is effective in teaching and facilitating students' learning. As illustrated in section 3.3.3.2, the main purpose of the current teacher appraisal in Botswana secondary schools is the improvement of the teachers' performance in their day-to-day duties, especially teaching. Whatever the purpose of appraisal, be it motivation, salary increment, promotion, just to mention a few, the ultimate is to lead to improvements in the teaching and learning of students.

Because the educational environment is always undergoing some changes as illustrated in section 1.1, in-service training can play a crucial role in keeping the teachers abreast with such changes. The appraisal process, if properly handled, is capable of identifying teachers' strengths and shortcomings, and further helps as a mechanism of identifying those teachers

who should receive in-service training according to their needs. The strength of a well-developed in-service training programme in the development of teachers in the schools was shown in sections 2.4 and 3.3.3.2. For instance, in an attempt to develop a contextually based in-service training programme, Recommendation 105a of the Revised National Policy on Education of 1994 in Botswana placed in-service training into the schools. In the Botswana situation, it can be concluded that in-service training, as a component of school focussed staff development is regarded highly by the powers that be. This was further illustrated in section 3.3.3.2 in works by Bunnell (1995:17); Tombale (1997:10-12); and in Republic of Botswana (1997:9). This shows that an effective teacher appraisal system should be concerned with staff development in order to create an enabling environment for performance improvement. It can therefore be concluded that there is a symbiotic relationship between staff development and the appraisal process as one complements the other.

From the empirical findings in section 5.3.3.2, the appraisal process can be used to identify teachers for in-service training programmes; and furthermore, the needs can be identified using the appraisal process. School-based workshops can then be held to address the findings of the appraisal process; and those who need further training can be sent to formal training institutions to overcome the "... training gap". Another advantage of such an approach to management where the appraisal process complements in-service training was illustrated in section 5.3.3.2 is that it can bring about commitment and ownership from the teachers. Furthermore, because it is contextual as indicated in section 3.3.3.2, the staff understands the purposes

well and see themselves as part of the whole programme. In other words, it is not viewed as something alien, which was imposed by management.

It can also be deduced from the theoretical and empirical findings that an effective teacher appraisal system should establish regular dialogue and lead to improvements in the relationship between the teachers and the SMT's, including those authorities in the Regions and Ministry of Education headquarters. Such power-sharing endeavours should be both constructive and co-operative, and be based on input from both the teachers and their supervisors, in other words there must be collaboration. Furthermore, it can be argued that the most fundamental reason for an effective teacher appraisal system should be to improve both the individual teacher's and school's performance so that the students are effectively taught and their learning is enhanced. When the staff have developed and possess new knowledge and skills, and positive attitudes towards the profession, they need to progress up the professional ladder. Appraisal plays the role of identifying those with such potential. If appraisal is used to identify those who are eligible for promotion, and this is done in a transparent way, teachers get satisfied and motivated, as they do not suspect any nepotism and favouritism.

This study has demonstrated the importance of an effective teacher appraisal system to both the development of teachers and the enhancement of the win processes of teaching and learning in the schools. However, more research on the relationship between teacher appraisal and other tenets such as quality assurance measures like inspection can be carried out in future because although alluded to in the literature review, the empirical study did not look

into that area. The conclusions drawn from this study are presented in the next section.

6.3 CONCLUSIONS

The conclusions derived from the study are:

- The current teacher appraisal system as practised in Botswana secondary schools to a large extent enhances the performance of the teachers in their day to day duties in the schools, particularly the twin processes of teaching and students' learning was clearly illustrated in section 5.3.1 of this study.
- Some teachers do not understand the purposes of the current teacher appraisal because they were never given any training on the appraisal process (see section 5.3.1.6).
- As a result of the appraisal process, teachers can gain more knowledge and skills which ultimately enhance their performance in their day to day duties in the schools (see section 5.3.1.1).
- The appraisal process plays a crucial role in moulding the behaviour of the teachers so that they can effectively perform their daily duties in the schools (see section 5.3.2).
- The current teacher appraisal system in Botswana secondary schools does not effectively inform decisions about the staff development and in-service training needs of teachers in the schools. However, it became clear in sections 5.3.1.2 and 5.3.1.3 that information from the

appraisal process is used to identify those teachers who are qualified to undertake further training.

- In Botswana, teachers are not against the information from the appraisal process being used to identify those who are eligible for further training, promotions and annual increment. What they favour is that it should be done in a transparent and fair manner to avoid being abused by those in authority such as SMTs, DSE, and TSM (see sections 5.3.1.2 and 5.3.1.4).
- The school environment often has no adequate mechanisms and procedures for the effective management and implementation of teacher appraisal as was illustrated in section 5.3.4.
- Teacher appraisal is not done in the same manner and with the same impetus in all schools as illustrated in some of the responses in section 5.3.1.5.

In the final analysis, from the empirical and the theoretical findings of this study, the current teacher appraisal system as practised in Botswana secondary schools has considerable strengths, but also has many weaknesses as illustrated above. There is therefore a need to review the whole system, taking into consideration some of the changes that might have taken place in the education system and which have an effect on the appraisal process.

6.4 RECOMMENDATIONS

This section looks at the recommendations that can be made to the stakeholders such as: Ministry of Education and its departments, schools, and individual teachers so that the effectiveness of the appraisal system can

be enhanced. In light of the findings of this study, the following recommendations are made for the purpose of trying to enhance the effectiveness of the teacher appraisal process in Botswana secondary schools. The recommendations are also guided by the aims and objectives of this study as stated in section 1.6.

6.4.1 Decisions about staff development should be informed by the appraisal process.

If teachers are to have confidence in the appraisal process as taking care of their staff development needs, such decisions should mainly if not only be informed by the outcomes of the appraisal process and not other criteria such as age, experience because such criteria lead to a lot of disharmony and mistrust as illustrated in sections 5.3.3.1 and 5.3.3.2 of this study.

6.4.2 The appraisal process must be a compulsory management activity in all schools and should be carried out according to the procedures stipulated.

There must be laid down procedures on how the process should be managed and implemented as indicated in section 5.3.4. It is therefore recommended that these should be followed by everybody in the system and should not vary from school to school where it is clear that in some schools it is taken seriously and carried out regularly according to stipulated regulations while in others it is just a routine process.

6.4.3 Teacher appraisal must be a continuous process rather than being based on irregular and infrequent classroom observations.

As illustrated in section 5.3.1.6 of this study, teacher appraisal should not be based on the classroom observations by the immediate supervisor alone but should truly be a two way process whereby both the appraiser and appraisee mutually interact and share ideas in order to improve their day to day duties of teaching and facilitating students learning. Classroom observations should be regular and shared by all parties. The teacher's professional life should clearly be part of the appraisal process and there should be no other motives apart from improving the professional outlook of the teacher. This can be achieved through the teacher's knowledge of why the appraisal process is carried out. In other words, the process should allow the teacher to be an active participant who is empowered to take and influence decisions, not one on whom appraisal is being done.

6.4.4 Teachers should participate fully in the review of the appraisal system.

As illustrated in section 5.3.3.1, participation is highly likely to enhance the teacher's commitment and understanding of the whole process. Furthermore, it should be emphasized that during the review process, if the teachers participate, they gain a lot of insights on why and how certain decisions were made. In short, such participation in the review of the appraisal system should be viewed as a learning experience.

6.4.5 The Department of Teaching Service Management should review the current system of teacher appraisal to take cognisance of the changes taking place in the education system.

The appraisal process should be dynamic. As innovations such as Parallel Progression, Performance Management Systems, Levels of Operation and others are introduced, there is need to align the processes such as teacher appraisal with them so that the confusion and conflicts that resulted from the aforementioned innovations could be avoided. With policies such as parallel progression and levels of operation in place, the appraisal process should be used in the assessment of the suitability or otherwise of the teacher to move from one level of operation to the other or from one post of responsibility to the other. This will provide the transparency that is sought by the teachers and the resultant fairness. This is in direct opposition to the current practise where everything depends on school heads and officers at the Regions and Ministry of Education headquarters. Sometimes, as illustrated by the responses from the empirical research in section 5.3.3.3, the progression of teachers depends on the personal relationships between the appraiser and appraisee which is professionally wrong.

6.4.6 The Department of Teaching Service Management as the employer of the teachers should come up with a compulsory training programme in the appraisal process for both the appraisees and appraisers in the schools.

The purposes of the appraisal process should be made very clear to all stakeholders if the process is to be effective in achieving its main goals of

improving the teachers performance in order to enhance the twin processes of teaching and students' learning. As illustrated by the arguments in section 5.3.1.6, such understanding of the purposes can be enhanced through the training of both appraisers and appraisees on what the process entails and how it is done.

The importance of training for the sake of understanding as indicated in section 1.4 is a policy decision which was recognized by Recommendation 112 (c) of the Revised National Policy on Education of 1994 which called for the training of head teachers in the skills involving the management of staff performance appraisals. However, from this study, it is apparent that the training should not be for head teachers alone but for all the teachers in the schools as they are involved and affected by the appraisal process. This recommendation is based on the assumption that if all the stakeholders are trained in the appraisal process, there is bound to be trust and confidence as a result of the understanding. If the teachers understand the appraisal process, there is bound to be commitment which should lead to effectiveness.

6.4.7 The training in the appraisal process should be done by the School Management Advisors.

Because appraisal is a management duty, it is recommended that the School Management Advisors who are responsible for staff development activities and in-service training of teachers in the schools should be mandated to train teachers through activities such as school-based workshops as illustrated in

the arguments in section 5.3.3.2. Such training should also be part of an induction programme so that all newly appointed teachers are covered.

6.4.8 The School Management Teams in their Regions should ensure that the appraisal process is carried out in a transparent manner by offering thorough training on what appraisal is all about.

In order for the appraisal process to be effective, the whole process should be transparent so that all those who are involved are aware of what is happening and why it is happening. As illustrated in the literature reviews and the empirical findings (see section 5.3.4), transparency plays a crucial role in creating an atmosphere of trust and confidence which in a way may lead to effectiveness. It is therefore very important that the teachers concerned should be informed of the impending appraisal process; what it will entail and who will be involved, and about the outcomes immediately. It is recommended that teachers should be informed and be given a chance to discuss with the appraiser any decisions taken with regards to the appraisal process at each level. In other words, there should be feedback by the immediate supervisor, then the school head, and then the Chief Education Officer. Furthermore, it is recommended that all the feedback should be documented and kept in the teacher's files at each level, with the teacher keeping a copy from each level. As indicated in section 5.3.3.3 of this study, some teachers felt that accompanying the feedback should be clear reasons why certain decisions were taken or not.

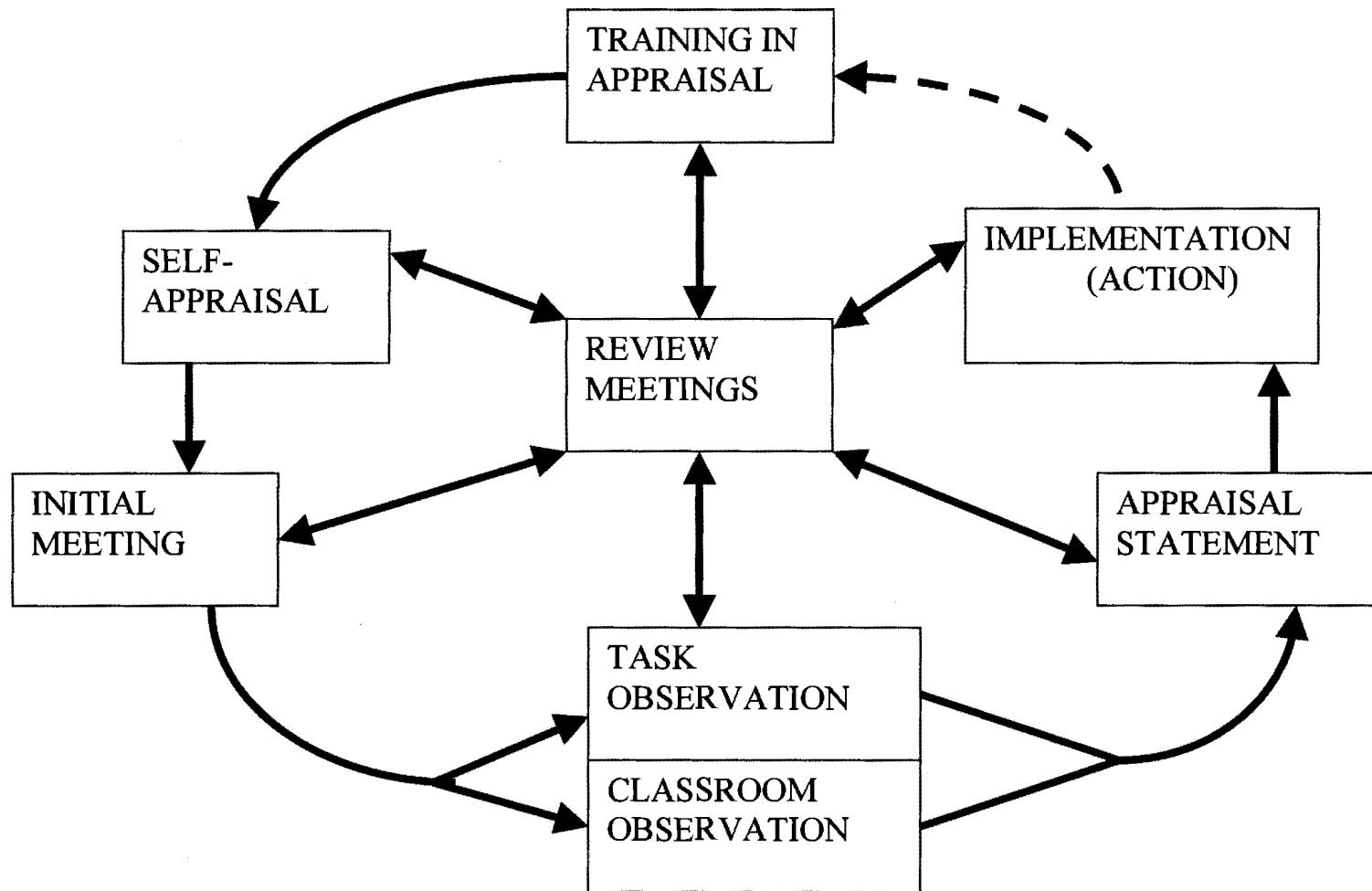
6.4.9 The Department of Teaching Service Management should develop a new model of teacher appraisal for secondary schools and the steps in figure 6.1 below are proposed.

From this study, it is clear that there is need for a new model of teacher appraisal in Botswana secondary schools in order to address the shortcomings of the current one. First of all the model should aim at fulfilling a multitude of purposes, both developmental and for accountability. Such a multipurpose and differentiated model of teacher appraisal is being suggested whereby items such as reward are a cumulative result of a number of observations and discussions between the appraiser and appraisee over a period of two years. The first cycle of two years in a given post should be focused more on the developmental approach rather than the accountability one. This phase prepares the individual for a higher post or salary increase or any reward. This is so because if the teachers understand why the appraisal process is carried out the way it is done, there is bound to be minimal problems. Coupled with the principles of transparency and participation indicated in section 5.3.1.3, most of the current problems regarding the way teacher appraisal is carried out and its outcomes may be solved.

Secondly, after being developed and armed with new knowledge and skills in the present job, teachers should understand that in any job situation there is need for accountability, and therefore this phase of the model should focus on the teacher's accountability to other stakeholders, including the teaching profession. Thirdly, the new model should be well balanced between the accountability and developmental models. Because issues such as discipline

and identification for further studies to mention just a few are dealt with through separate structures, they should not be directly linked to the appraisal process to avoid confusion and conflict. However, it should be made succinctly clear that information from the appraisal process **may** be used to inform such decisions. It should also be made clear that after each meeting and discussions, a written report about the proceedings and agreements should be produced and a copy be given to the appraisee and the other kept in the file for future reference, such as during the drawing up of the appraisal statement. The proposed model should follow the following steps: training in appraisal, self-appraisal, initial meeting, classroom observation and task observation, drawing up the appraisal statement, and action/implementation, review meetings, and professional development.

FIGURE 6.1: PROPOSED TEACHER APPRAISAL MODEL FOR BOTSWANA SECONDARY SCHOOLS



6.4.9.1 Training in the appraisal process

As illustrated in section 5.3.3.1 above, training is crucial for the success of the appraisal process. The training should involve both the appraisee and the appraiser, and it should also be linked to the job description of the teacher which should be provided and discussed. The training should be based on what teacher appraisal is all about (why it is important?) and how it is done.

6.4.9.2 Self-appraisal

Armed with the knowledge and skills from the training process, the appraisee engages in self-appraisal whereby he/she clearly states his/her duties, level of performance, needs, ambitions and other issues concerning his/her job of teaching. The appraisal process should as far as possible be based mainly on the job description provided and discussed earlier during the training. The teacher reflects on his/her performance. The teacher then sets his/her targets for the cycle period in preparation for the next stage; and they are then given to the appraiser.

6.4.9.3 The initial meeting

A date for the initial meeting is arranged and agreed by the appraisee and appraiser, and the purpose of the meeting is agreed upon. The teacher then meets with the appraiser to discuss the self-appraisal targets in relation to the job descriptions. As illustrated in section 2.7.1, it is during the initial meeting that the scope of the appraisal process is considered and agreed upon. Targets are set and they should focus on both the classroom observations and other aspects of the job that are related to the professional development of the teacher. The meeting should also aim at establishing

rappor between the appraisee and appraiser without compromising the quality of the process.

6.4.9.4 Classroom observation and task observation

One of the targets set during the initial meeting should be concerned with the observation of the appraisee teaching. This as was illustrated in section is central to the teacher's job and therefore should form the basis for the appraisal process. The lesson(s) to be observed, day and time of the observation, will have been agreed by the two parties; and therefore the appraiser should visit the class to observe the appraisee. After the observation, the appraiser and the appraisee should meet as soon as possible to discuss the lesson in relation to what was agreed upon before the lesson as constituting the focus of the observation. From the discussions where the appraisee is given feedback on the lesson, new targets are set for future observations.

Apart from classroom teaching, teachers are engaged in other tasks which are very important to both their career and the students' learning in the schools. It is therefore very important that they should be part of the appraisal process and the teacher should be aware of this. Such tasks include belonging to subject panels, clubs, representing the school in the community and many others. Other issues covered here include the relationship between the teacher and students; with other colleagues; and the community at large. Because some targets should have been set during the initial meeting that related to these aspects of the teacher's way of life in the school, they should also be discussed, resulting in new ones being set.

These steps should be done at least once per term, and three times per annum before the next step that is discussed below.

6.4.9.5 The appraisal statement

After at least three classroom observations and meetings between the appraisee and appraiser to discuss the feedback, the appraisee and the appraiser, plus members of the appraisal panel should meet and discuss the previous reports and come up with a concerted report that will constitute the appraisal statement. It is suggested that the appraisal panel should be made up of the school head (chairperson), the deputy school head and/or one head of department, a senior teacher responsible for the teaching subject (appraiser), and the teacher (appraisee). The constitution of the panel will depend on the position of the appraisee, for instance, if the appraisee is a deputy head, then a head of department who is nearer in position to the deputy should be co-opted.

The appraisal statement should include recommendations to the following: the teacher (appraisee), the school, and the region.

6.4.9.6 Implementation/action

The recommendations should have a time frame indicating when action on the recommendations from the appraisal statement should have been taken so that the feedback should be ready by the beginning of the next cycle of the appraisal process to allow for continuity. After the appraisal statement has been discussed and agreed upon, and the targets have been set, each party should take action. For instance, if it was agreed that the teacher should undergo some in-service training, preparations for the activity should

be put in place by the school, and if there is need for more resources, they should be sought. The recommendations made to the Regional Office which should have been shown to the teacher are then sent there. Whatever comes from that level should be communicated to the teacher concerned through the usual review meetings and action taken accordingly.

At the end of the appraisal cycle, there is need for both the appraisee and appraiser to update their knowledge and skills, especially if there had been any new innovations. Such update should be done before the next cycle begins and the stage is represented by the dotted lines in figure 6.1. For new members joining the teaching service in Botswana for the first time, they should undergo training in appraisal. New targets should be set for the next cycle.

The new cycle should be a continuation of the previous appraisal process. In other words, after the update stage described above, the appraisee engages in self-appraisal or reflection on previous performance. If he/she has been promoted to a new post, the process of self-appraisal will be based mostly on the job description of the new post.

6.4.9.7 Review meetings

As illustrated in sections 2.7.4.5 and 5.4.3.3, feedback is very important for the effectiveness of the appraisal process and should be provided promptly. It should also be provided at each phase and level through the review meetings so that the appraisee is kept abreast of what is happening. The review meetings should be held to exchange information about the progress in achieving the agreed targets (The double-headed arrows in figure 6.1

indicate that there are discussions taking place in such meetings between the appraisee and appraiser).

This is regarded as a new model because it has included the following stages which were not in the current system. In the current system of teacher appraisal in Botswana secondary schools, there was no appraisal panel but decisions were made by the immediate supervisor alone at each level. This did not augur well with the appraisees as they felt there was no fairness in most cases. The panel also enhances the principles of collaboration and transparency. On top of the panel, the model proposes that transparency should be achieved by providing feedback at each stage which should also be communicated to the teacher concerned through review meetings, and the outcomes should be placed in the teacher's file, copied to him/her. The other new aspect is the focus on the teacher's way of life outside the classroom. Whatever is observed concerning this aspect of the teacher should be discussed with the teacher. Another aspect which is new is that the appraisal process should be biennial. Although not new, the proposed model calls for some improvements by emphasizing the training of both appraisees and appraisers on all aspects of the appraisal process. It also proposes that it should be done regularly, at least once a term. All in all, the model favours a collaborative approach where the teacher is a participant through the review meetings, not an object on which appraisal is being done.

The new model should be piloted. The piloting exercise should take time, for instance three years to allow for feedback and other follow-ups. The literature review in sections 2.8.3 and 3.3.3 has indicated that the piloting of such a venture goes a long way in enhancing its effectiveness and

acceptability. The piloting will also help in the modification of the model if necessary due to the feedback given.

6.5 RECOMMENDATIONS FOR FURTHER RESEARCH

Although the study has attempted to address the question of the effectiveness of the current teacher appraisal as practised in Botswana secondary schools, some issues could not be looked into. It is therefore felt that future research can take them into consideration, as follows:

6.5.1 In order to broaden the scope of the population, future researchers should also target the officers at the Regions and those at the Ministry of Education headquarters who deal with human resources development, especially the teachers'. Their input in the effectiveness of the appraisal system in the development of teachers as a resource will help in the improvement of the appraisal process. Their involvement may provide the much needed answer to what really happens to the Form TSM 3/4 forms when they reach the Regional Offices and the Department of Teaching Service Management as section 5.4.3.3 of this study has indicated that there is not much feedback from those offices.

6.5.2 Future studies can also enhance the findings by making a comparison of the appraisal practices between Botswana and other developing countries.

6.5.3 Although this study has referred to *inter alia* the relationship between the current teacher appraisal system with the students' learning process, future research should concentrate on the variable of the effects on the

students' learning process. This will require the researchers to include students in the sample so that their views are taken into consideration.

6.6 CONCLUDING REMARK

This thesis has identified and described a particular cornerstone of teacher appraisal, namely that it is a process and not an event, and therefore for it to be effective it has to be treated as such. The main purpose of teacher appraisal is to help the teacher to improve in his/her day-to-day duties of teaching and the facilitation of the students' learning. It is premised on the belief that a well developed teacher performs his/her duties effectively and efficiently.

Several pertinent issues on the importance of teacher appraisal came out very clearly from this thesis, and some of them are given below.

- The backbone of effective teacher appraisal is transparency, trust and honesty. In other words, there should be collaboration between the appraisee and appraiser, with regular meetings between the concerned parties to discuss and agree on issues to be looked into. From these meetings, achievable and realistic targets that are within the job description of the teacher should be discussed and agreed upon at each stage of the appraisal process. It is therefore very clear that teacher appraisal should recognize teachers as partners in the process and not objects to be developed by experts. This view of teacher appraisal is succinctly highlighted by Goddard and Emerson (1995:11) who declare that:

Teacher appraisal is a continuous and systematic process intended to help individual teachers with their professional development and career planning, and to help ensure that the in-service training, and development of teachers matches the complementary needs of individual teachers and the schools.

- The other very important component of teacher appraisal is that of accountability. Teachers have to be called upon to be accountable for their job because of various reasons, but most importantly because governments the world over spend a lot of public funds in sponsoring education and therefore the principle of value for money should be implemented. Furthermore, teachers by virtue of their job have an obligation to mould responsible future citizens and therefore there should be measures to ensure that they are competent to effectively do that.
- From both the literature reviews and the empirical findings, it emerged that participation, which basically is a democratic value is vital for the effectiveness of the appraisal process. In other words, both the appraisees and appraisers should be participants in the appraisal process instead of one being a benefactor while the other plays the role of an expert. Therefore, in a democratic country such as Botswana, it should be necessary to nurture such a principle among the people who are tasked with the human resources development, and teacher appraisal can play a crucial role because it is based on collaboration.

Finally, the evaluation of the current teacher appraisal with its conclusions and recommendations should help those who are responsible for managing teachers and the schools with very valuable data.

APPENDIX A

UNIFIED TEACHING SERVICE CONFIDENTIAL REPORT

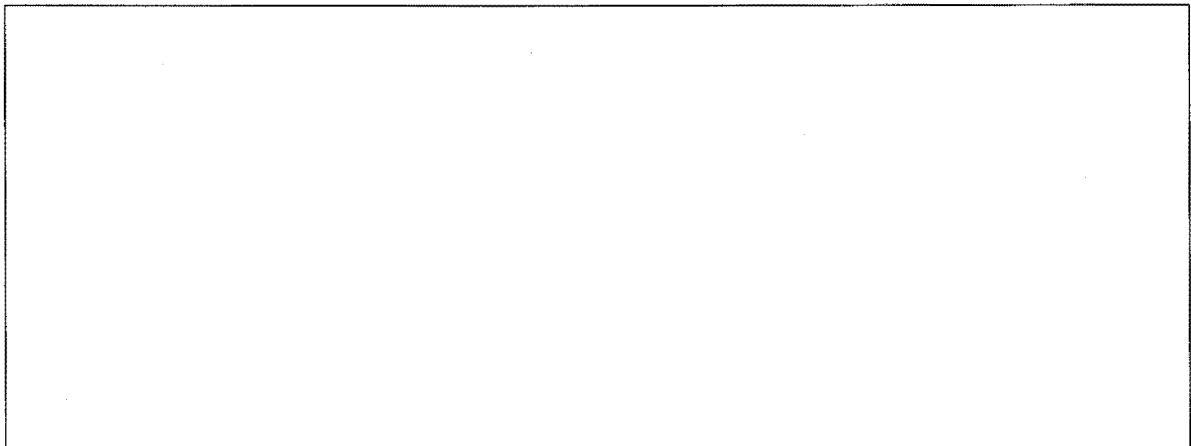
FORM UTS 3

Cor 110, 111

TEACHER (PROBATIONARY) Issue in 2 copies.

School	Teacher's surname
Headteacher's name	Teacher's first name(s)
Head of Department's name	UTS No.
Name of Department	Appointment to UTS on
	Joined this school on
	Post of responsibility held
Part 1 To be completed by the teacher	
Teaching subjects studied at University/College	
Subjects, number of periods, and classes taught at present	
Extra mural school activities engaged in	
Other community and social activities	
Workshops and courses attended this school year	
Indicate any further education or training you would like to follow	
Indicate professional area in which you would like to specialise	
Views on your present teaching post	
Signature: _____ Date: _____	
Part 11 To be completed by Head of Department	
Knowledge of subject taught	
Preparation	
Classroom organization and control	
Attention to pupils' work and marking	
Quality of teaching in Department	

Co-operation with colleagues	
Dress and general demeanour	
Other comments	
Signature:	Date:
Part 1II To be completed by Headteacher	
Teaching ability	
Quality of contribution to school organization and activities	
Relations with colleagues including administrative staff	
Personal qualities and characteristics	
Suitability for further education and training	
Indicate any serious faults or shortcomings brought to the teacher's notice	
Other comments and recommendations	
Signature:	Date:
Part 1V To be completed by Chief Education Officer/Education Officer	
Comments and recommendations	
Signature:	Date:
Part V Unified Teaching Service use	



APPENDIX B

UNIFIED TEACHING SERVICE CONFIDENTIAL REPORT FORM UTS 4

Cor 111 TEACHER (PERMANENT/CONTRACT)

Issue in 2 copies

School	Teacher's surname
Headteacher's name	Teacher's first name(s)
Head of Department's name	UTS No.
Name of Department	Appointed to UTS on
	Joined this school on
	Post of responsibility held

To be completed by teacher

Teaching subjects studied at University/College

Subjects, number of periods, and classes taught at present

Extra mural school activities engaged in

Other community and social activities

Workshops and courses attended this school year

Indicate any further education or training you would like to specialise

Views on your present teaching post

Signature:

Date:

Part 11 To be completed by Head of Department

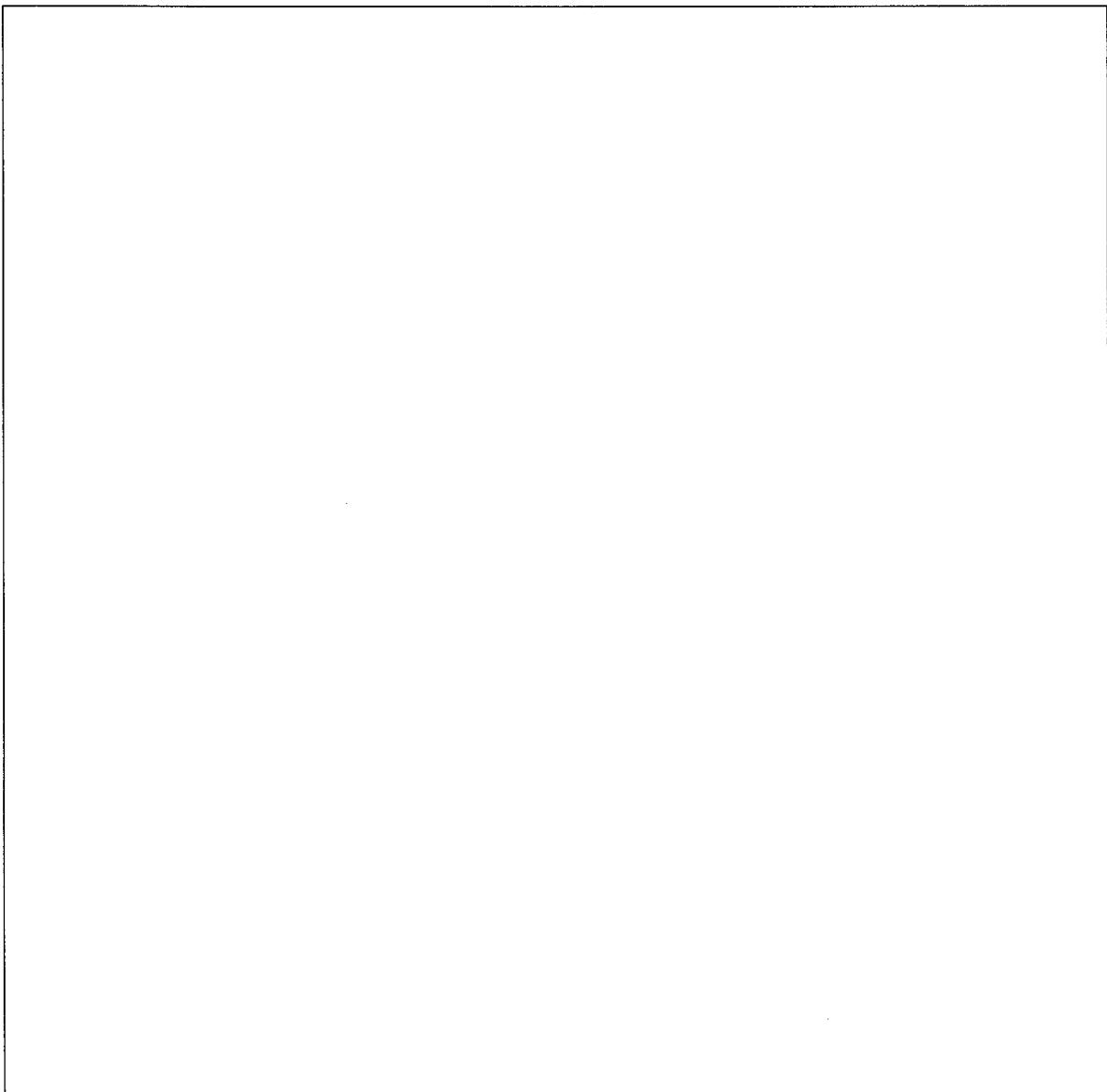
Knowledge of subject taught

Quality of Teaching in Department

Co-operation with colleagues

Other comments

Signature:	Date:
Part 111 To be completed by Headteacher	
Teaching ability	
Quality of contribution to school organization and activities	
Relations with colleagues including administrative staff	
Personal qualities and characteristics	
Administrative and supervisory abilities	
Present suitability for further education or training	
Potential for promotion to post of higher responsibility	
Other comments and recommendations	
Signature: Date:	
Part 1V To be completed by teacher:	
I have seen this report.	
Signature: Date:	
Part V To be completed by Chief Education Officer/Education Officer	
Comments and recommendations:	
Signature: Date:	
Part V1 Unified Teaching Service use	



APPENDIX C

CONFIDENTIAL
REPUBLIC OF BOTSWANA

**FORM TSM 3/4 (Revised
1994)**

TSM No.
Job Code No.

TEACHING SERVICE MANAGEMENT TEACHER PERFORMANCE APPRAISAL (COR 110 & 111)

Reporting period from _____ to _____

GENERAL GUIDELINES TO THE SUPERVISOR:

The purpose of this appraisal is to assess objectively the performance of the Teacher in his/her post. This should indicate whether the performance level justifies:

- a) Some reward or not.
- b) Specific training that the teacher should receive to improve performance and productivity.
- c) The appointment of the Teacher to a higher position, or the advancement to a higher notch/grade.

It is assumed that the Reporting Supervisor;

- a) Thoroughly knows the Teacher being appraised.
- b) Has full understanding of the job content of the appraisee.
- c) Should have known and supervised the Appraisee for a period of at least three months.

The merit assessment (Section B) should be shown to the Teacher and discussed with him/her. The discussion should relate closely to the previous interview, in which the job description was given and expectations sketched. It should, too, focus on practical ways of improving the Teacher's performance and the productivity of the institution.

This appraisal should be used for all Teachers under the Teaching Service Management and should objectively reflect the strengths and weaknesses observed during the period (one year).

Section A: General Information. (To be completed by the Teacher).

PARTICULARS OF TEACHER

Ministry:	Department:	School/Institution:	Salary Scale:	Notch: P
-----------	-------------	---------------------	---------------	-------------

Job Title: _____

Name: _____

MARITAL STATUS: Married: Single: Widowed: Divorced:

DATE OF BIRTH: Day Month Year

QUALIFICATIONS: a) Academic: _____
b) Professional: _____

TOTAL YEARS TEACHING EXPERIENCE:

- a) In Botswana: _____
- b) Elsewhere: _____

TERMS OF SERVICE: Probation Permanent: Temporary: Contract:

Standards/Forms: _____

Subject(s) Taught: _____

Comments on the Job (Teacher's views on the job situation, covering specific aspects, such as:

Any noteworthy contribution made, special training, situational constraints, hopes, expectations, ambitions):

B. 1 MERIT ASSESSMENT

Section B in classroom (To be completed by the immediate supervisor, who should have observed the Appraisee on at least three occasions when he/she was teaching. This is a summary of a number of observations.)

<u>Lesson Preparation</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Is this adequate and clear?	Very thorough	Good	Fair	Sketchy	Inadequate	

<u>Voice Projection</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Is the Teacher clearly heard? Diction	Strong and clear	Highly audible	Audible	Scarcely audible	Inaudible	

<u>Presentation of Material</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Subject Matter	Easily Understood	Logical	Fair	Too Fast	Difficult to follow	

<u>Use of Teaching Aids</u>	10 9	8 7	6 5	4 3	2 1	Comment:
	Excellent	Good	Occasional	Not Successful	Not Used	

<u>Classroom Management</u>	10 9	8 7	6 5	4 3	2 1	Comments:
Is the Teacher able to control pupils/students?	Easy Control	Good	Relaxed	Too harsh	No Control	

Mannerisms	10 9	8 7	6 5	4 3	2 1	Comments:
Does the Teacher display any distracting behaviour?	None	Some, but not important	Some	Too much to be accepted	Extremely distracting	

<u>Marking and Correction</u>	10 9	8 7	6 5	4 3	2 1	Comments:
Does the Teacher mark pupil's work regularly and indicate mistakes?	Neat, very regular and constructive	Very regular	Fair	Occasional, untidy	Unsatisfactory	

<u>Knowledge of Subject Taught</u>	10 9	8 7	6 5	4 3	2 1	Comment:
How well does the Teacher know the subject?	Very thorough	Good	Fair	Weak	Unsatisfactory	

<u>Methods</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Does the Teacher use appropriate, effective methods?	Very enterprising	Well planned	Satisfactory	Poor	Ineffective	

<u>Meeting of Individual Needs</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Does the Teacher help individual pupils?	Very concerned	Concerned	Makes some effort	Shows little care	Does nothing	

<u>Reaction of class</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Are pupils showing interest in the lesson?	Eager Participation	Interested	Accepting	Inattentive	Bored	

Signature of Appraiser: _____

B.2 General school life. (To be completed by the Head of the School/Institution, who should have supervised the Appraisee for at least three months).

<u>Extra-curricular Activities</u>	10 9	8 7	6 5	4 3	2 1	Comment:
How often and how enthusiastically is the Teacher engaged in these activities?	Actively involved; successful	Useful	Fair	Helps when asked to	Unwilling	

<u>Attitude to Supervisors</u>	10 9	8 7	6 5	4 3	2 1	Comments:
Is the Teacher positive and understanding?	Supportive	Good	Accepts	Resentful	Causes discontent	

<u>Discretion in Confidential Matters</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Does the Teacher exercise reasonable care in what information to disclose?	Absolute	Usually Good	Fair	Tends to talk	Not to be trusted	

<u>Example to Pupils</u>	10 9	8 7	6 5	4 3	2 1	Comments:
Does the Teacher set the desired example to pupils?	Outstanding	Good	Fair	Poor	Very bad	

<u>Dress and Appearance</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Does he/she dress as required? Is she/he neat and tidy?	Neat and tidy	Good	Sometimes good	Casual	Untidy	

<u>Relationship with all staff members</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Does he/she get on well with all co-workers?	Excellent	Good	Fair	Poor	Unpleasant	

<u>Punctuality</u>	10 9	8 7	6 5	4 3	2 1	Comment:
How often does he/she observe time?	Always on time	Usually on time	Fairly good	Seldom on time	Never on time	

<u>Relationship with pupils</u>	10 9	8 7	6 5	4 3	2 1	Comment:
How does the Teacher relate professionally with pupils?	Excellent	Very good	Good	Fair	Too familiar/not approachable	

<u>Response to Request /Meeting of Deadlines</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Readiness to volunteer help. Does the Teacher hand in assignments on time?	Excellent	Very good	Satisfactory	Reacts slowly	No reaction	

<u>Attitude to Work</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Is it positive? Is he/she motivated?	Seeks additional work	Prepares assigned work regularly	Needs occasional prodding	Needs constant pressure	Seldom works, even under pressure	

<u>Influence and leadership</u>	10 9	8 7	6 5	4 3	2 1	Comment:
Does he/she take initiative and encourage others to work?	Judgement respected	Leads in important affairs	Sometimes in minor affairs	Passive	Negative	

<u>Guidance and Counselling</u>	10 9	8 7	6 5	4 3	2 1	Comment:
How active is the Teacher in pursuing student's problems outside the classroom?	Shows much involvement	Fruitful effort made	Usually involved	Sees the need but does little	Shows no concern	

Section B.3 Outside the School. (To be completed by the Head of the School/Institution, who should have supervised the Appraisee for at least three months).

Community Involvement.	10 9	8 7	6 5	4 3	2 1	Comment:
How much does the Teacher participate in the life of the community?	Very involved	Active	Helps when asked	Little involvement	Does nothing/does too much	

Does the Teacher's Way of Life Bring Credit to the School and the Profession?	10 9	8 7	6 5	4 3	2 1	Comment:
	Highly respected	Respected	Neutral	Not highly regarded	Brings discredit	

General Observation by the Teacher Being Appraised.	Overall Observations and Recommendations by the Head.
----- ----- ----- -----	----- ----- ----- -----
Date: ----- Signature of ----- Appraisee.	Date: ----- Signature of ----- Head.

C. Training and Development Assessment. (To be completed by the Head of the School/Institution.)

Performance Improvement Training In order to improve the Teacher's performance or overcome a known performance gap in the present job, the following training is recommended: ----- ----- Signature of Head:
--

D: Assessment of Pensionable Service. (Please place a tick in the appropriate block.)

In view of the merit assessment in Section B:	
1. a) The Teacher is recommended for appointment to the Permanent and Pensionable Service ----- <input type="checkbox"/>	
b) The Teacher is not recommended for appointment to the Permanent and Pensionable Service ----- <input type="checkbox"/>	
The Probationary period should be extended for a further period of months ----- <input type="checkbox"/>	
c) It is recommended that the appointment should be terminated ----- <input type="checkbox"/>	
2. a) The Teacher is recommended for receipt of the annual increment ----- <input type="checkbox"/>	
b) The Teacher is not recommended for receipt of the annual increment ----- <input type="checkbox"/>	
3. a) The Teacher is recommended for promotion beyond the Proficiency Bar ----- <input type="checkbox"/>	
b) The Teacher is not recommended for promotion beyond the Proficiency Bar ----- <input type="checkbox"/>	
4. Other:	
5. Additional Comment:	
Date: -----	Signature of Head: -----

E: Comments by the Chief Education Officer.

1. I agree/disagree with the merit assessment and the recommendation for increment. (Comments, if any): _____
2. I agree/disagree with the recommendation on appointment to Pensionable Service. (Comments, if any): _____
3. I agree/disagree with the recommendation on Training and Development Needs. (Comment, if any): _____
4. I agree/disagree with the recommendation on promotion beyond the Proficiency Bar of the Teacher. (Comments, if any): _____
5. General Comments by the Chief Education Officer: _____

Date:

Signature:

Name in Block Letters:

F: Action by the Directorate of Teaching Service Management.

1. Action on Increment:

- a) Increment granted/not granted _____
- b) Accountant General informed through letter ref. _____
Date: _____
- c) The Teacher informed (if applicable) through letter ref. _____
Date: _____

Action Officer's Initials:

Date:

2. Action on Probationary/Pensionable Services:

- a) Appointment to Pensionable Service effected through letter ref. _____
Date: _____
- b) Probationary Period/Appointment effected through letter ref. _____
Date: _____
- c) Probationary Period/Appointment discontinued. Teacher informed by letter ref. _____
Date: _____

3. Action on Training and Development:

Information on training and development needs to be communicated to/extracted by the Training Division for follow-up action.

Action

Officer's

Initials:

Date:

4. Action on Progression:

- a) Recommendation on advancement from _____ to _____ accepted/not accepted
- b) Recommendation on promotion accepted/not accepted. Ministry informed through letter ref. - _____
Date: _____
- c) Promotion exercise carried out and result communicated through letter ref. _____
Date: _____

Action Officer's Initials: _____ Date: _____

APPENDIX D
CONFIDENTIAL REPUBLIC OF BOTSWANA FORM TSM 5
TEACHING SERVICE MANAGEMENT
IMPLEMENTATION OF PARALLEL PROGRESSION FOR TEACHERS.
RECOMMENDATION FOR PROMOTION/PROGRESSION

1. TO BE COMPLETED BY THE HEADS OF INSTITUTIONS

- a) Name of Teacher:.....
- b) TSM Number:
- c) Academic & Professional Qualification (please give accurate information)
.....
- d) Terms of Employment:
- e) Years of Teaching Experience:
i) In Botswana:ii) Elsewhere:
- f) Current post held:
- g) Date Appointed to Current Post:
- h) Standard of Performance in Present Grade/Post:
.....
.....
.....
- i) Ability to Support and Counsel Colleagues (where applicable). Please Specify.
.....
.....
.....
- j) Willingness to assist in Extra-Curricula activities or special duties:
.....
.....
- k) Any noteworthy professional conduct in the present grade/post:
.....
.....
- l) Assessment for promotion:
i) The officer is now suitable for promotion to the post of
.....
.....at grade but in the normal turn.
- m) The teacher is suitable for accelerated promotion to the post of
.....at grade (for job content and specifications of this post refer to schemes of service.) The Term "Accelerated Promotion" means the teacher is exceptionally capable in all respects and should be considered for promotion to a higher grade before he/she completes three years in the current grade.

Date:.....

Print Name:

Signature:

2. TO BE COMPLETED BY THE REGIONAL EDUCATION OFFICER

- a) I agree/disagree with the merit assessment and recommendation for promotion/progression

COMMENTS:.....

.....

Date:

Signature:

Print Name:

3. COMMENTS BY DIRECTOR OF SECONDARY EDUCATION/PRIMARY EDUCATION/ TEACHER TRAINING AND DEVELOPMENT

Date: Signature:
Print Name:

4. ACTION BY THE DIRECTORATE OF TEACHING SERVICE MANAGEMENT

- a) Recommendation on advancement from to accepted/not accepted. State reasons for non-acceptance:

.....

Action-Offspring-Initials

Re-siting

Action Officer's Initials
Date:

- Date:
b) Promotion exercise carried out and result communicated through letter reference dated.....

Action Officer's Initials _____ Position _____

Action Officer's initials
Date:

APPENDIX E
REPUBLIC OF BOTSWANA
DEPARTMENT OF SECONDARY EDUCATION
MINISTRY OF EDUCATION
PRIVATE BAG 00297
GABORONE

(MANAGEMENT AND TRAINING SECTION)

FORM : TR1

TRAINING REGISTER (Educational management)

PRESENT POST:[Head or Deputy]

- N.B.**
- (I) For completion by School Heads or Deputies with **two years or more** in the job as a Head or as a Deputy
 - (ii) Only citizens of Botswana may be considered for award bearing further training.
 - (iii) The following are to be used as criteria for selection:
 - Confirmation in the post
 - Experience at present level
 - Value and relevance of the proposed qualification to Education Service
 - Quality of personal statement
 - Job performance and contribution to the whole education service
 - Professional conduct
 - (iv) if this form does not reach the Secondary Department by the deadline stated, it cannot be considered

APPLICATIONS FOR FURTHER TRAINING WHICH BY-PASS THIS FORM WILL NOT BE CONSIDERED. THIS FORM WILL ALSO BE USED IN CONSIDERING POSSIBLE CANDIDATES FOR SHORT COURSES.

PERSONAL DETAILS:

Title: (Mr, Mrs, Ms)

Surname: _____ Date of Birth: _____

First Names: _____

Teaching Service Management (TSM) Number: _____ Confirmation date: _____

(Current Position)

Present School and Address: _____

Botswana National Identity Number (Omang?): _____

Qualification and Experience:

1 Present highest qualification e g DSE, B Ed, M Ed, MA, or Other _____

Year obtained: _____ Pass level: _____

2 Attendance at short courses of more than one day:

Name of course	Place	Date
1. _____		
2. _____		
3. _____		
4. _____		
5. _____		
6. _____		

Schools in which you have worked up to present:-

Name of School	From	To	Post held
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____

Total number of years in your current post as Head/Deputy _____

Teaching Subjects Major: _____ Minor: _____

Qualification sought: e g Bed, MA, M Ed, etc _____

Personal statement in support of application for this application. (Not more than 200 words). It should include sentences on what evidence you can give of your work in management inside and outside your school, how you and the education service would benefit by your study, and what you hope to do if you obtain the qualification. This must be typed in the space provided below:

Signature of post holder: _____ Date: _____

____ / ____ / _____

Day Month Year

COMMENTS BY THE HEAD [FOR A DEPUTY]

Signature: ----- Date:-----

COMMENTS BY THE SMA

Signature: ----- **Date:** -----

COMMENTS BY THE REO

Priority in this region for the candidate: (Please put 1 for your first choice, 2 for your second choice, 3 for your third choice, etc. That is, each individual candidate should be put in numerical order ranked with others in the space provided below).

Rank order: -----
(Signature of REO)

Date: -----

Heads are asked to send this form to the Regional Education Officer (REO) UFS School Management Advisor (SMA).

To reach Secondary Department NOT later than 10th March of every year.

The REO to send this form to the Director (secondary)

ATTENTION: SMA Co-ordinator

**Address: Secondary Department
Private bag 00297
Ministry of Education
GABORONE**

**PLEASE COMPLETE THIS SLIP SO THAT IT MAY BE RETURNED TO YOU TO
CONFIRM THE RECEIPT OF THE TR1**

Your first name(s) _____ Your surname _____
Your address _____

We acknowledge receipt of your TR1 form from your School Head.

Signed: _____ Date: _____

APPENDIX F
REPUBLIC OF BOTSWANA
DEPARTMENT OF SECONDARY EDUCATION
MINISTRY OF EDUCATION
PRIVATE BAG 00297
GABORONE

(MANAGEMENT AND TRAINING SECTION)

FORM: TR2
TRAINING REGISTER (SUBJECT SPECIFIC)

SUBJECT:

(Please insert major subject taught)

Qualification sought (e.g. BA, B.Ed, MA, MEd, etc.)

N.B. (1) FOR COMPLETION ONLY BY TEACHERS WITH FOUR YEARS OR MORE IN THE JOB AS A TEACHER

(2) ONLY CITIZENS OF BOTSWANA CAN BE CONSIDERED FOR FURTHER TRAINING

(3) THE FOLLOWING ARE USED AS CRITERIA FOR SELECTION:

- Confirmation in the post
- Experience at present level
- Value and relevance of the proposed qualification to education service
- Quality of personal statement
- Job performance and contribution to the whole education service
- Professional conduct

**(4) FOR CONFIRMATION THAT YOUR TR2 HAS BEEN RECEIVED
FILL IN THE TEAR-OFF SLIP AT THE END OF THIS FORM. IT WILL BE RETURNED TO YOU.**

(5) CHECK WITH YOUR SCHOOL HEAD FOR UB ENTRY REQUIREMENTS FOR COURSES.

PERSONAL DETAILS:

Please Complete in BLOCK CAPITALS

Title: (Mr, Mrs, Ms)

Surname: Date of Birth

First names

Teaching Service Management (TSM) Number: Confirmation date:.....
(Current position)

Botswana National Identity Number (Omang?)

Present Highest Qualification (e.g. DSE, B.Ed, M.Ed, MA or other)

Pass Level Year Obtained

Present school and address
.....

Schools in which you have worked up to present:-

	Name of School	From	To	Post held
1			
2			
3			
4			
5			

Teaching subjects:

MAJOR: MINOR:

Personal statement in support of application for this qualification. It should include sentences on what evidence you can give of your work already in the field you wish to study, how you and the education service will benefit by your study and what you hope to do if you obtain the qualification. The statement must be written below; it must be of not more than **200 words**.

Signature: Date:

Comments by the School Head

Signature: Date:

Comments by the relevant Principal Education Officer (PEO)

Priority in this region for the candidate: (Please put 1 for your first choice, 2 for your second choice, etc. That is, each individual candidate should be put in numerical order in comparison with all other candidates)

..... (1 or 2 or 3 etc.)

Signature:

Name in Block Capitals:

Date:

Signature by PEO (Management and Training) Date:

Comments by the relevant Principal Education Officer (PEO) at Secondary Headquarters.

Priority nationally for the candidate: (please put 1 for your first choice, 2 for your second choice etc. That is, each individual candidate should be put in numerical order in comparison with all other candidates).

..... (1 or 2 or 3 etc.)

Signature:

Name in BLOCK CAPITALS:

Date:

6. Heads are asked to send this form to the Chief Education Officer (CEO) Attention: PEO (Management and Training).
7. To reach Secondary Department (Regional Office) NOT later than 15 February of every year.
8. The CEO to send this form to the Director (Secondary) Attention: PEO (Management and Training) not later than 31st May of every year.

**N.B.: ANY FORM THAT ARRIVES AFTER THE DEADLINE CANNOT BE
CONSIDERED.**

PLEASE COMPLETE THIS SLIP SO THAT IT MAY BE RETURNED TO YOU TO
CONFIRM THE RECEIPT OF THE TR2.

Your first name(s) Your surname

Your address

We acknowledge receipt of your TR2 form from your School Head.

Signed: Date:

APPENDIX G

QUESTIONNAIRE ON TEACHER APPRAISAL

For office use

For each question, please indicate your answer by putting the appropriate number in the block.

Record no.

--	--	--

1 - 3

PLEASE ANSWER ALL QUESTIONS.

USE INK ONLY.

1. Gender: Male = 1 Female = 2

.....

4

2. Age: 25 years or less = 1

26 -34 years = 2

35 - 44 years = 3

45 years and older = 4

.....

5

3. Highest qualifications:

Teaching Certificate = 1

Diploma in Education = 2

BA or B. Ed degree = 3

MA or M.Ed. = 4

Other = 5

.....

6

4. Years of teaching experience:

2 years or less = 1

3 - 5 years = 2

6 - 9 years = 3

10 - 20 years = 4

21+ years = 5

.....

7

5. Post of responsibility:

Assistant Teacher	= 1
Teacher	= 2
Senior Teacher Grade 2	= 3
Senior Teacher Grade 1	= 4
Deputy Head or HOD	= 5
Head of School	= 6

8

6. Number of times appraised last year by immediate supervisor:

9

7. Did you receive any training in appraisal?

Key:

No training= 1; some training= 2; adequate training =3

10

For items 8 – 16, indicate the degree of your agreement with the following statements.

Key:

1 = strongly disagree; 2 = disagree; 3 = have no opinion;

4 = agree; 5 = strongly agree.

In my own experience, the appraisal process has:

8. Improved my skills in teaching.

11

9. Improved my attitude towards teaching.

12

10. Identified my training needs.

13

11. Enhanced my career prospects.

14

12. Enhanced my working relations with colleagues.

15

13. Enhanced working relations with superiors.

16

14. Demotivated teachers.

17

15. Enhanced teachers' performance	<input type="checkbox"/>	18
.....		
16. Been used to serve the interests of the school management.	<input type="checkbox"/>	19
.....		
For items 17 – 24 indicate your opinion on the effectiveness of the appraisal process in addressing the following issues.		
Key:		
1 = ineffective; 2 = less effective; 3 = no opinion; 4 = effective; and 5 = very effective.		
17. Identification of issues to be involved in the school development plan.	<input type="checkbox"/>	20
.....		
18. Identification of in-service training needs of teachers.	<input type="checkbox"/>	21
.....		
19. Identification of staff development needs of teachers.	<input type="checkbox"/>	22
.....		
20. Enhancement of career prospects of teachers.	<input type="checkbox"/>	23
.....		
21. Equipping teachers with skills to cope with instructional issues in the schools.	<input type="checkbox"/>	24
.....		
22. Changing teachers' attitudes in order to cope with instructional issues in the schools.	<input type="checkbox"/>	25
.....		
23. Equipping teachers with knowledge to cope with instructional issues in the schools.	<input type="checkbox"/>	26
.....		
24. Creating a collegial environment among the school community.	<input type="checkbox"/>	27
.....		
For items 25 – 33, indicate the degree of your agreement concerning the following statements.		
Key:		
1 = strongly disagree; 2 = disagree; 3 = no opinion;		
4 = agree; 5 = strongly agree.		
The introduction of the following measures has improved the appraisal process in our school.		
25. Form TSM 5.	<input type="checkbox"/>	28
.....		

26. Form TR 1.	<input type="checkbox"/>	29
.....		
27. Form TR 2.	<input type="checkbox"/>	30
.....		
28. Decentralization of some of the powers and duties of the Ministry of Education to the Regions and schools.	<input type="checkbox"/>	31
.....		
29. School-focused staff development.	<input type="checkbox"/>	32
.....		
30. Parallel progression policy.	<input type="checkbox"/>	33
.....		
31. Levels of operation.	<input type="checkbox"/>	34
.....		
32. School management development programme.	<input type="checkbox"/>	35
.....		
33. Performance management system (PMS).	<input type="checkbox"/>	36
.....		

For items 34 – 45, express your opinion by indicating your degree of agreement with the following statements.

Key:

**1 = strongly disagree; 2 = disagree; 3 = no opinion;
4 = agree; 5 = strongly agree.**

34. The current appraisal process in Botswana secondary schools is only concerned with teachers' annual increment.	<input type="checkbox"/>	37
.....		
35. The current appraisal process is abused by schools' management teams to oppress teachers.	<input type="checkbox"/>	38
.....		
36. In our school, the work environment is conducive for the appraisal process.	<input type="checkbox"/>	39
.....		

37. The school management team is adequately prepared for the current teacher appraisal process.	<input type="checkbox"/>	40
.....		
38. The appraisal process is taken seriously in our school.	<input type="checkbox"/>	41
.....		
39. The appraisal process supports school development planning.	<input type="checkbox"/>	42
.....		
40. All those involved in the appraisal process must receive training.	<input type="checkbox"/>	43
.....		
41. There is a need to review the current appraisal system.	<input type="checkbox"/>	44
.....		
42. In our school, the matching of appraisers and appraisees is appropriate.	<input type="checkbox"/>	45
.....		
43. The Regional Education Office takes recommendations emanating from the appraisal process seriously.	<input type="checkbox"/>	46
.....		
44. The Department of Secondary Education takes recommendations from the appraisal process seriously.	<input type="checkbox"/>	47
.....		
45. The Department of Teaching Service Management takes recommendations from the appraisal process seriously.	<input type="checkbox"/>	48
.....		

Please answer the following questions briefly in the spaces provided.

46. In my understanding, the current appraisal system used in Botswana secondary schools serves the following purpose:

- 47 How effective is the current teacher appraisal system as practiced in your school?

48. How can the current appraisal system be improved?

THANK YOU FOR COOPERATION!!

(LE KA MOSO)

APPENDIX H

INTERVIEW SCHEDULE: TEACHER APPRAISAL

1. In your opinion, what are the aims of the current teacher appraisal system as practised in Botswana secondary schools?
2. What do you think were the effects of the appraisal process in your professional life?
3. Please, comment on the following innovations concerning teacher appraisal:
 - (a) TSM 5
 - (b) TR 1 & 2
 - (c) Decentralization of some of the duties of the Ministry of Education to the Regions and the schools.
 - (d) Parallel progression
 - (e) School Management Development Programme
4. Describe in detail the appraisal cycle in your school.
5. In what ways do you think the current appraisal system should be improved? Give reasons for your answer.

THANK YOU FOR YOUR COOPERATION.

APPENDIX I

POPULATION: NAMES OF SCHOOLS AND NUMBER OF QUALIFIED TEACHERS BY GENDER IN THE KANYE AND LOBATSE CLUSTERS OF THE SOUTH REGION. (Source: Regional Education Office, April 2001).

Schools in Kanye Cluster	No. of qualified teachers	
	Male	Female
Seepapitso Senior Secondary School	46	31
Bathoen CJS School	21	18
Maraka CJS School	13	11
Mathiba CJS School	14	16
Mmathethethe CJS School	17	13
Mookami CJS School	15	14
Ngwaketsi CJS School	17	15
Ntebogang CJS School	18	12
Tlhomo CJS School	12	17
SUB TOTALS	173	143
Schools in Lobatse Cluster	No. of qualified teachers	
	Male	Female
Lobatse Senior Secondary	52	41
Montshiwa CJS School	19	15
Chichi Hill CJS School	12	13
Emang CJS School	8	12
Ipelegeng CJS School	16	14
Letsopa CJS School	14	15
Pitikwe CJS School	17	19
Itireleng CJS School	14	10
SUB TOTALS	152	139
<u>GRAND TOTALS</u>	<u>607 QUALIFIED TEACHERS</u>	

APPENDIX J
REPUBLIC OF BOTSWANA
OFFICE OF THE PRESIDENT
PRIVATE BAG BAG 001
GABORONE

OP 46/1 X (80)

08 August 2001

Mr Pedzani P. Monyatsi
Faculty of Education
University of Botswana
Private Bag UB 00702
Gaborone

Dear Sir,

Re: GRANT OF A RESEARCH PERMIT: MR P P MONYATSI

Your application for a permit refers.

We are pleased to inform you that you have been granted permission to conduct a study entitled "Teacher Appraisal: An Evaluation of the Current Practices in Botswana Secondary Schools." The study will be undertaken at Lobatse and Southern District.

The permit is valid for a period not exceeding eight (8) months effective the 8th August 2001.

The permit is granted subject to the following conditions conditions:

1. Copies of any papers/reports written as a result of the study are directly deposited with the Office of the President, Ministry of Education, National Assembly, National Conservation Strategy Agency, National archives, National Library Service, National Institute for Research and University of Botswana Library.
2. You conduct the study according to the particulars furnished in the application.

3. The permit does not give authority to enter any premises, private establishment or protected area. Permission for such entry should be negotiated with those concerned.

Yours faithfully

J Mosweu

For/PERMANENT SECRETARY TO THE PRESIDENT

Cc: Permanent Secretary, Ministry of Education
 Clerk of the National Assembly
 Executive Secretary, National Conservation Strategy Agency
 Director, National Archives
 Director, National Library Service
 Director, National Institute for Research
 Librarian, University of Botswana Library
 District Commissioner/Town Clerk/Council Secretary
 - Lobatse
 - Southern District
Landboard Secretary, Ngwaketse Landboard

APPENDIX K

REQUEST FOR PERMIT FROM SCHOOL HEAD

Dear School Head

I hereby request permission to conduct a questionnaire survey in your school. The data collected will be used in my thesis for a doctorate degree in education. The title of the thesis is: **Teacher appraisal: an evaluation of the current practices in Botswana secondary schools.** Permission to do the survey has been granted by the office of the president of the Republic of Botswana.

The attached questionnaires should be completed by all members of your teaching staff who have been in the service for three months or more, inclusive of yourself, deputy head, heads of departments. I may ask your permission to come back to your school to interview you, and/or some of your teachers, as a follow up.

The batch of completed questionnaires from your school should be sent to the address below before 21 September 2001, please. Please remind your staff **NOT** to send the questionnaires back individually.

I would like to assure you that all information gathered will be utilized for the purposes of this survey only.

I would like to thank you for your cooperation.

**The University of Botswana
Faculty of Education
Private Bag UB 00702
GABORONE
Tel: 3552399**

Yours faithfully

Pedzani Perci Monyatsi

APPENDIX L

Dear Colleague

Please find attached a questionnaire for your attention. The purpose of this questionnaire is to gather data on opinions and perceptions on the teacher appraisal process as practised in Botswana secondary schools. The data gathered will be used in my thesis for a doctoral degree in education. Permission to do the survey has been granted by the Office of the President of the Republic of Botswana.

Your participation in the survey is of crucial importance in ensuring the trustworthiness of the research. Completing the questionnaire will not take long, and your responses will remain confidential. After completing the questionnaire, please, hand them to the school head. I may come back later to interview you as a follow up.

I would like to take this opportunity to thank you for your time and assistance. Your efforts are greatly appreciated.

Yours faithfully

Pedzani Perci Monyatsi

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