

**DEVELOPMENT OF A SCHOOL-BASED PERFORMANCE MANAGEMENT
FRAMEWORK FOR SELF-MANAGING SCHOOLS IN SOUTH AFRICA**

by

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is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

I further declare that I have not previously submitted this work, or part of it, for examination at Unisa for another qualification or at any other higher education institution.

(The thesis will not be examined unless this statement has been submitted.)

Signed



10-10-2018

Date

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ABSTRACT

With education at the centre of the South African government's National Development Plan for 2030, an effective schooling system is not negotiable. A review of the literature showed that public schools in South Africa are self-managing. The performance of most of these schools are unsatisfactory with specific reference to academic performance, infrastructure, finances and resources. The review further revealed severe shortcomings with the use of the Integrated Quality Management System (IQMS) for school-based performance management. This included that the IQMS is insufficient, that its application is ineffective and that it does not support school-based performance management. It is a compliance system and does not allow schools' stakeholders the freedom to take part in designing their own strategy for the school. The researcher argues that self-managing schools link to the Participatory Democracy Theory that ensures the involvement of stakeholders. The IQMS however, links to Managerialism, rejecting stakeholders' independence of self-management and decision-making. Therefore, this study aimed to develop a school-based performance management framework for public schools in South Africa.

Specific attention was given to the Balanced Scorecard (BSC) as a theoretical framework for its flexibility to accommodate diverse organisations. The BSC was placed in the Evolutionist theories under the Resource-Based View (RBV) approach, focussing on the uniqueness of organisations' tangible or intangible resources. The researcher argued that a combination of the IQMS and the BSC might close the theoretical gap and contribute to school-based performance management in self-managing public schools.

A qualitative research paradigm, embedded in the interpretivism philosophy, guided this study. A Design-Based Research (DBR) method was followed to develop the framework. The first phase was to develop a preliminary framework, using the IQMS and BSC as existing theoretical frameworks. The second phase consisted of two iterative cycles of testing and refinement of the framework in practice. For both cycles, the researcher conducted semi-structured interviews with the school's principal, one member of the school's governing body and one member of the school's management team of the four selected schools. The third phase was a reflection on the design process to enhance the application of the framework.

Key terms: School-based performance management, Self-managing schools, Performance management, Design-based research, Integrated Quality Management System, Whole School Evaluation System, Balanced Scorecard, Schools' management teams, Schools' governing bodies.

OPSOMMING

Onderwys is die kern van die Suid-Afrikaanse regering se Nasionale Ontwikkelingsplan vir 2030. 'n Doeltreffende skoolstelsel is derhalwe ononderhandelbaar. 'n Literatuuroorsig het getoon dat staatskole in Suid-Afrika selfbesturend is. Die meeste van hierdie skole se prestasie, met spesifieke verwysing na akademiese prestasie, infrastruktuur, finansies en hulpbronne, is onbevredigend. Die oorsig het verder gedui op ernstige tekortkominge wat die toepassing van die Geïntegreerde Kwaliteitsbestuurstelsel (GKBS) (*Integrated Quality Management System (IQMS)*) vir skoolgebaseerde prestasiebestuur betref. Hierdie tekortkominge sluit in dat die GKBS ontoereikend is, dat dit ondoeltreffend toegepas word en dat dit nie skoolgebaseerde prestasiebestuur steun nie. Dit is 'n nakomingstelsel wat skole se belanghebbers nie die vryheid bied om hulle eie strategie vir die skole te formuleer nie. Die navorser voer aan dat selfbesturende skole met die Teorie van Deelnemende Demokrasie (*Participatory Democracy Theory*), wat die deelname van belanghebbers voorstaan, verbind kan word. Die GKBS, aan die ander kant, kan met bestuurdersheerskappy (*Managerialism*) verbind word en negeer belanghebbers se onafhanklikheid wat selfbestuur en besluitneming betref. Hierdie studie was derhalwe daarop gemik om 'n skoolgebaseerde prestasiebestuursraamwerk vir staatskole in Suid-Afrika te ontwikkel.

Spesifieke aandag is aan die Gebalanseerde Telkaart (GTK) (*Balanced Scorecard (BSC)*) as 'n teoretiese raamwerk gegee omdat dit plooibaar is en derhalwe in uiteenlopende organisasies gebruik kan word. Die GTK is in die evolusionistiese teorieë onder die benadering van die Hulpbrongebaseerde Siening (HGS) (*Resource-Based View (RBV)*) geposisioneer, met die klem op die uniekheid van organisasies se tasbare of ontasbare hulpbronne. Die navorser het aangevoer dat 'n kombinasie van die GKBS en die GTK moontlik die teoretiese gaping kan oorbrug en 'n bydrae tot skoolgebaseerde prestasiebestuur in selfbesturende staatskole kan lewer.

'n Kwalitatiewe navorsingsparadigma veranker in interpretivisme het die studie gerig. 'n Metode van ontwerpgebaseerde navorsing (OGN) (*Design-Based Research (DBR)*) is gebruik om die raamwerk op te stel. Tydens die eerste fase is 'n voorlopige raamwerk opgestel deur van die GKBS en die GTK as bestaande teoretiese raamwerke gebruik te maak. Die tweede fase het twee iteratiewe siklusse van toetsing

en verfyning van die raamwerk in die praktyk behels. Die navorser het vir albei siklusse semigestruktureerde onderhoude met die hoof, een beheerliggaamlid en een bestuurspanlid van die vier geselekteerde skole gevoer. Tydens die derde fase is nabetragting oor die ontwerpproses gehou om die toepassing van die raamwerk te verstewig.

SLEUTELTERME:

skoolgebaseerde prestasiebestuur, selfbesturende skole, prestasiebestuur, ontwerpgebaseerde navorsing, Geïntegreerde Gehaltebestuurstelsel, Heelskool-evalueringstelsel, Gebalanseerde Telkaart, skoolbestuurspanne, skoolbeheerliggame

ISIFINYEZO ESISUKETHE UMONGO WOCWANINGO

Ngenxa yokuthi udaba lwemfundo lubaluleke kakhulu kwiPlani Kazwelonke yezeNtuthuko, iNational Development Plan 2030, kufanele ukuthi kube nenqubo yezikole esebenza kahle. Ukubuyekezwa kwemibhalo kubonise ukuthi izikole zikahulumeni eNingizimu Afrika ziyaziphatha. Ukusebenza kweningi lalezi zikole akugculisi, ikakhulukazi ukusebenza kwazo emkhakheni wezemfundo, izingqalazizinda, ezezimali kanye nemithombo yosizo. Ukubuyekezwa kwemibhalo kuveze nokuthi kukhona ukungasebenzi kahle kwenqubo ehlangane yokuphatha iqophelo, ebizwa ngegama lokuthi yi-Integrated Quality Management System (IQMS), ukubhekana nenqubo yokuphatha ukusebenza kahle esekelwe ezikoleni. Lokhu kubandakanye nokuthi i-IQMS ayenele, okusho ukuthi ukusebenza kwayo akusebenzi kahle ngendlela efanele, kanti futhi ayisekeli ukuziphatha kwezikole okusekelwe ezikoleni. Yinqubo yokulandelwa nje kwemigomo kanti futhi ayivumeli ukuthi ababandakanyekayo ezikoleni bakhululeke ukubamba iqhaza ekwenzeni amasu abo ezikoleni. Umchwani ubeka ukuthi izikole eziziphethe lokhu kuxhumana nethiyori yokubamba iqhaza kwidimokhrasi eyaziwa ngokuthi yi-Participatory Democracy Theory eqinisekisa ukubamba iqhaza kwababandakanyekayo. Kodwa i-IQMS yona ixhumane nenqubo yokuphatha komininjela noma abaphathi, kanti iphikisana nenqubo yokuzimela kwababandakanyekayo kwezokuziphatha kanye nasekuthatheni izinqumo. Ngakho-ke, lolu cwaningo lunenhloso yokwenza uhloko lwenqubo yokuphatha ukusebenza kwezikole esekelwe ezikoleni kwizikole zikahulumeni eNingizimu Afrika.

Kuye kwabonelela kakhulu inqubo yamakhadi okufakela amaphuzu ebonelela zonke izinhlangathi eyaziwa ngokuthi yi-Balanced Scorecard (BSC) njengohlaka lwethiyori ngokuguqu-guquka kwayo ukusetshenziswa zinhlangano ezihlukene. I-BSC yafakelwa ngaphansi kwamathiyori e-Evolutionist, ngaphansi kwenqubo yombono wemithombo eyaziwa ngokuthi yi-Resourced-Based View (RBV), egxila kwizinhlobo-nhlobo zezinhlangano ezehlukile, ngemithombo ebambekayo kanye nengabambeki. Umchwani ubeka ukuthi ukuhlanganisa inqubo ye-IQMS kanye ne-BSC kungavala igebe kwezethiyori kanye nokufaka esivivaneni kwinqubo egxile ezikoleni yokuphatha ukusebenza kwezikole, ekuziphatheni kwezikole zikahulumeni.

Inqubo yocwaningo eyaziwa ngokuthi yi-qualitative research paradigm, esekelwe ngaphansi kwefilosofi ebizwa ngokuthi yi-interpretivism philosophy, yiyo ebe yisikhokhelo noma umkhombandlela kulolu cwaningo. Inqubo yocwaningo lwe-Design-Based Research (DBR) kulandelwe yona ekwenzeni uhlaka. Isigaba sokuqala bekuwukwenza uhlaka lokuqala, ngokusebenzisa i-IQMS kanye ne-BSC njengezinhlaka zethiyori ezikhona. Isigaba sesibili besiqukethe imizungezo emibili yokuhlola kanye nokuhlela kahle uhlaka ngokusebenza kwalo. Kwimizungezo yomibili, umcwaningi wenze ama-interview ahlelekile kodwa angavalekile kakhulu, noprinsipali noma uthishanhloko wesikole, ilunga elilodwa lesigungu esilawula isikole, kanye nelungu elilodwa lethimu yabaphathi besikole, kwizikole ezine ezikhethiwe. Isigaba sesithathu, kube ukubuyekeza inqubo yedizayini ukuthuthukisa ukusetshenziswa kohlaka.

AMATHEMU ABALULEKILE:

School-based performance management (inqubo yokuphatha ukusebenza esekelwe ezikoleni), Self-managing schools (izikole eziziphethe), Performance management (Ukuphatha inqubo yokusebenza), Design-based research (ucwaningo olusekelwe kwidizayini), Integrated Quality Management System (inqubo ehlangene yokuphatha iqophelo), Whole School Evaluation System (Uhlolo lwenqubo yesikole ngokuphelele), Balanced Scorecard (ikhadi lokubeka amaphuzu ngokuhlelekile nokubonelela nhlangothi zonke), Schools' management teams (amathimu okuphatha ezikoleni), Schools' governing bodies (izigungu zokulawula ezikoleni).

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LIST OF ABBREVIATIONS

BSC	Balanced scorecard
CSF	Critical success factors
DBE	Department of Basic Education
DBR	Design-Based Research
DHET	Department of Higher Education and Training
DSG	Development support group
IQMS	Integrated quality management system
KPI	Key performance indicators
MEC	Member of the executive council
RBV	Resource-based view
SDT	Staff development team
SGB	Schools' governing body
SMT	School's management teams
UK	United Kingdom
UNICEF	United Nations Children's Fund
USA	United States of America
WSE	Whole school evaluation

CHAPTER 1

INTRODUCTION AND PROBLEM ORIENTATION

1.1 LAYOUT OF THE CHAPTER

Figure 1.1 illustrates the layout of Chapter 1.

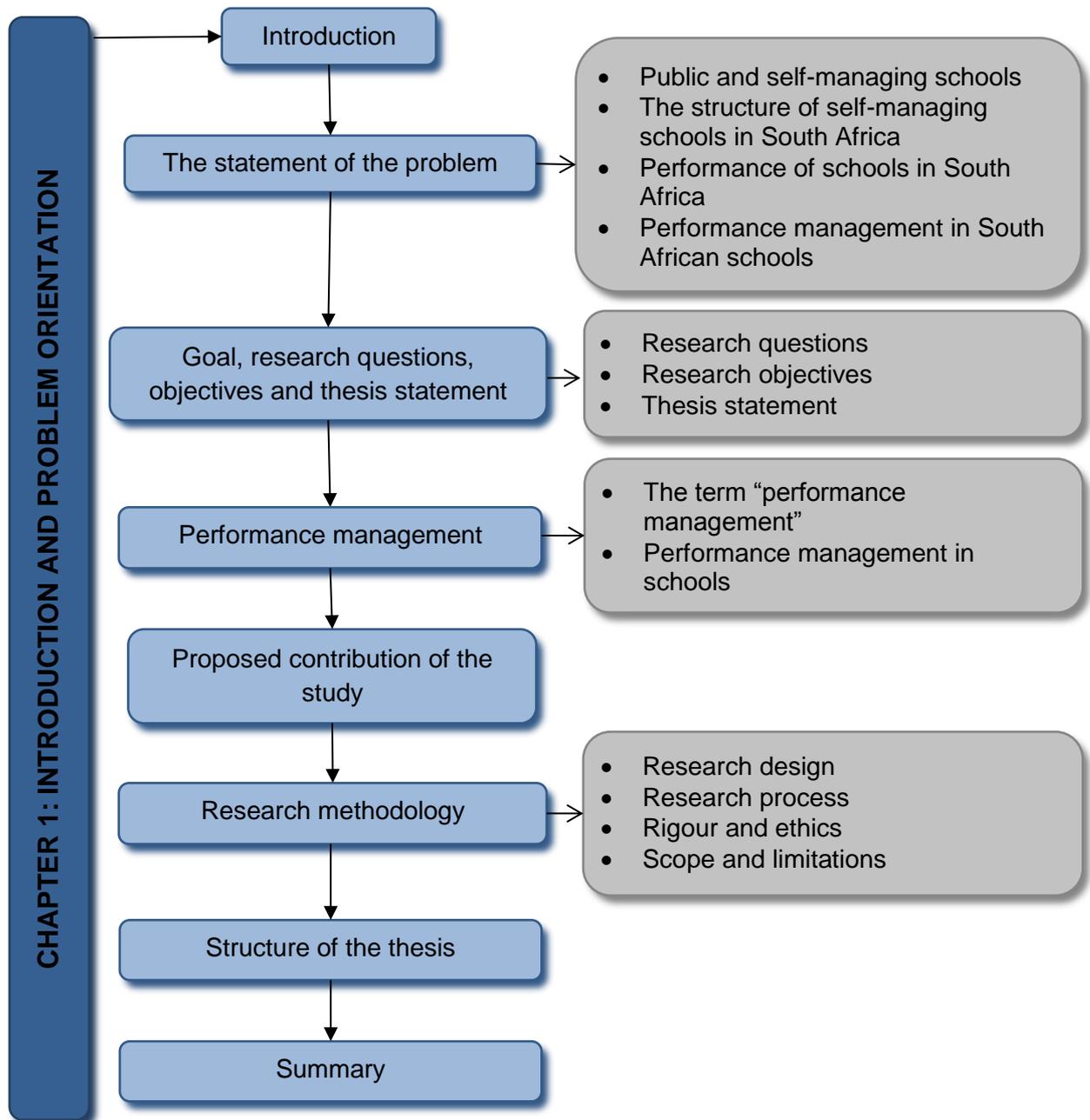


Figure 1.1: Layout of Chapter 1

Source: Own observation

1.2 INTRODUCTION

The South African government has identified education as one of the cornerstones of the National Development Plan for 2030. For this reason, it has listed basic education (Grade R to Grade 12 school education) as a top priority in the Medium-Term Strategic Framework for 2014-2019 (Department of Basic Education, 2017a:4). In 2013, the Minister of Basic Education, Mrs Angie Motshekga, gave the assurance that all future approaches and strategies will conform to the declarations in the National Development Plan and Medium-Term Strategic Framework (Department of Basic Education, 2017a:4). This emphasises the Government's commitment to a transformed basic education system.

Although there were many progressive changes since 1994, the beginning of the new democratic dispensation in South Africa, the legacy of inadequate, poor education in historically disadvantaged schools persists. This places a huge burden on the education system's capacity to deliver a way out of poverty for learners of poor households (National Planning Commission, 2011:269). To overcome these vital challenges, the Department of Basic Education (DBE) prioritised several aspects, namely (i) better quality of teaching and learning; (ii) increased ability of the state to provide quality education; (iii) increased accountability for improved learning; (iv) improved personnel development and management of schools; and (v) infrastructure to support effective learning (Department of Basic Education, 2017a:4). This highlights the importance of the effective management of public schools in South Africa and the development of instruments to support management in their duties. Bayraktar and Girgin (2017:287) stated that school-based management emphasises the empowerment of stakeholders in the schools' communities, to participate in the management of their schools. During the 1990s, the management of all public schools in South Africa was decentralised resulting in a trend towards self-managing of schools and their resources (South Africa, 1996b). The school's management team is responsible for the effective and economical management of all the resources in these schools.

Therefore, the school's management needs an appropriate performance management framework to manage and improve the overall financial, academic and extra-curricular performance of the schools. For the duration of this study, a reference to schools refers to public schools.

The focus of this research was on performance management in schools to develop a school-based performance management framework. The application was limited to secondary self-managing schools in South Africa. The researcher anticipated to contribute to the potential uplifting of under-performing schools and improving their performance and productivity by introducing them to an effective performance management framework.

The researcher reviews the literature to describe the real-world problem that formed the background to the study, in the following section. Section 1.4 outlines the goal, research questions and objectives that emerged from the real-world problem (see Figure 1.2). The relationship between the research questions and objectives is demonstrated in Figure 1.3. In Section 1.5, a preliminary literature review was conducted to introduce performance management and the application thereof in schools. Specific focus was on the application of the Balanced Scorecard (BSC) and the Integrated Quality Management System (IQMS) already used by the South African DBE. This is followed by the proposed contribution of the study in Section 1.6. In the final sections, the proposed research methodology is summarised. The structure of the thesis concludes this chapter.

1.3 THE STATEMENT OF THE PROBLEM

There have been major educational transformation trends throughout the world during the past two to three decades. According to Soga (2004:22), one trend that stood out was a shift towards self-managing schools. This section explores the background of self-managing schools, while the structure and performance of South-African schools were reviewed to reveal the real-world problem that formed the basis of this study. Figure 1.2 illustrates the identification of the real-world problem for this study.

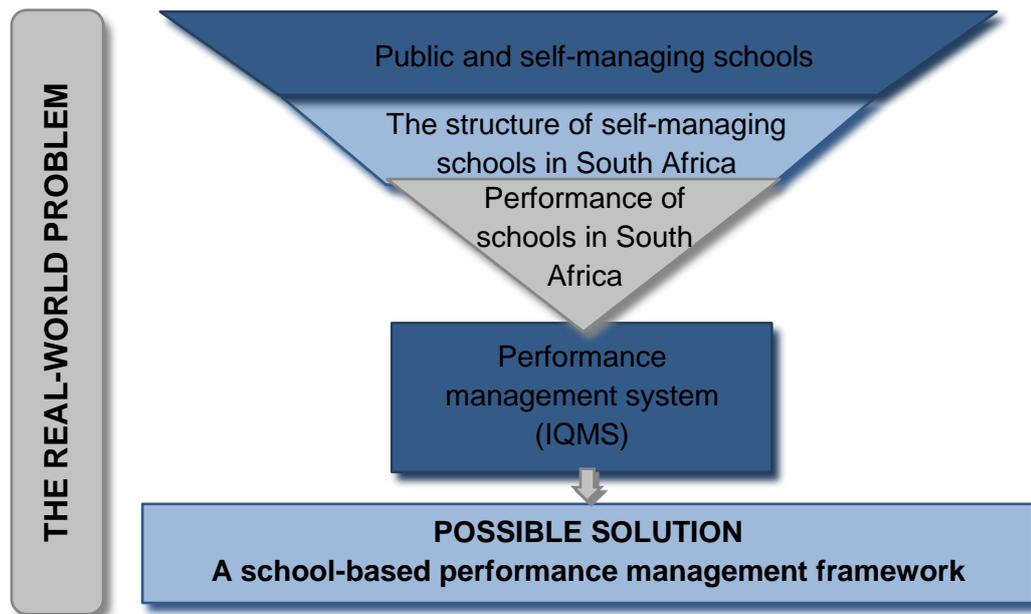


Figure 1.2: Layout of the real-world problem

Source: Own observation

The problem statement, as reviewed in this section, is based on the layout as demonstrated in Figure 1.2. The review starts with the world trend to move towards self-managing schools, a trend also influencing the South African schooling system. A review of the performance of South African schools follows while a review of the current performance management systems used by schools concludes the section.

1.3.1. Public and Self-Managing Schools

For decades, scholars linked public schools to the Institutional Theory (Coburn, 2016:465; Burch & Spillane, 2004:53), which highlighted rational isomorphism, myths, and legitimacy (Scott, 2013:13). Isomorphism referred to the correspondences between the policies of organisations in similar environments (Burch, 2007:85). The Institutional Theory emphasised the formally controlled structure of public sector organisations (Kraft & Scott, 2017:390). Coburn (2016:468), however, referred to the fact that a community's culture forms a school, resulting in schools with diverse foundations and needs. The researcher argues that self-managing schools instead fit in the Participatory Democracy Theory. The Participatory Democracy Theory allowed for freedom of involvement of all stakeholders in matters concerning them (Lemmer & Van Wyk, 2004:273).

Self-managing schools are referred to as independent units that involve the dissemination of decision-making power through which improvements might be inspired and sustained (Soga, 2004:1). The South African manual on self-managing schools (South Africa, 2000:7) highlighted specific aspects, namely (i) power is shared by the school governing bodies (SGBs) and school management teams (SMTs); (ii) schools are responsible for their own learning programmes within national guidelines; (iii) schools design their own vision and mission statements and draw up their own action plans; (iv) schools are responsible for the management of their own finances that satisfy their needs; and (v) schools must manage, motivate and develop their own staff. Specific decisions on budgets, resources and personnel were also mentioned in some descriptions of self-managing schools (Mohrman, Wohlstetter & Associates, 1994:56). For this study, self-managing schools are referred to as schools with management structures with authority to make their own decisions on specific aspects of the school like finance, personnel and other resources.

The concept of self-managing schools is not new. According to Soga (2004:1), the concept was already mentioned in the 1960s. The change towards self-managing schools, however recently became a worldwide focus in education. Literature revealed that the United Kingdom (UK), Australia, the United States of America (USA) and New Zealand were the leading countries on self-managing schools (Soga, 2004:22; Williams, Harold, Robertson & Southworth, 1997:627; Bullock & Thomas, 1997:57; Caldwell & Spinks, 1988:1).

South Africa followed this trend in the early 1990s, but more specifically after the first democratic election of 1994. Soga (2004:1) summarised this process as moving away from centralised, bureaucratic control of education towards the self-managing schools in South Africa. Section 3.1 of the South African Schools Act (84/1996) (South Africa 1996b) also referred to the democratic governance of schools and school-based decision-making. This Act (84/1996) emphasises the importance of effective school-based management of the schools' resources.

In instances where the management of schools has been decentralised, Brown (2010:2) stated that it is vital for management to focus on their missions, establish accountability, link their strategy to their vision, mission and budgets and measure their results. This notion to measure results and link it to strategy and budget was supported by the developers of the BSC, Kaplan and Norton (1996:24). Niven (2008:7), and other

authors are of the opinion that the BSC provides a framework and process to enable this link between measures, strategy and budget (Brown, 2010:2; Archer, 2007:3; Lee, 2006:51). It is therefore clear that the BSC could contribute to the school-based management and the link between vision, mission, budget and strategy.

1.3.2. The Structure of Self-Managing Schools in South Africa

It is imperative to review the structure of South Africa's education system and the governance of self-managing schools. It will provide a better understanding of the need for a framework to support schools with the management of resources and decision-making. The self-management of all South African public schools are constituted in terms of Sections 20 and 21 of the South African Schools Act (84/1996) (South Africa, 1996b) and the Education Laws Amendment Act (24/2005). Section 20 of the Act (84/1996) delegates financial decisions, control and policy making to SGBs. In addition to these responsibilities, schools under Section 21 of the Act (84/1996) are also given extra functions to control their own finances (South Africa, 1996b). The Education Laws Amendment Act (24/2005) further provides for No-fee schools to ensure access to schools for learners from poor communities (South Africa, 2006:2). The delegation of these responsibilities to schools' management demonstrates South Africa's movement towards self-management of public schools. It further emphasises the significance of a suitable school-based performance management framework to enhance schools' management.

The governance within self-managing schools is also laid out in the Act (84/1996). Section 2A of the Act (84/1996) (South Africa, 1996b) legally authorises the SGBs of all schools to manage their schools. The Act (84/1996) further states that the school's principal is a member of the SGB and the other democratically elected members consist of teacher, parent and learner representatives. In addition, the day-to-day management of the school is assigned to the SMT that functions as managers of the school and must ensure the effective use of all the school's resources (Pillay, 1998:60). Therefore, this shared accountability of the SGB and SMT stresses the significance of applying effective school-based-management and performance management. The next section reviews the performance of the South African school system and reveals the real problem that motivates this study.

1.3.3. Performance of Schools in South-Africa

South Africa's education system has been highlighted by Jansen (2011:100) as one of the most ineffective education systems in Southern Africa. Jansen (2011:101) criticised the comparison of Grade 12 results regarding learners' performance with results from previous years. He stated that when Grade 12 results are used as an absolute measure of annual performance, it reveals a massive underperformance of schools in South Africa. The researcher also reviewed the report on the National Senior Certificate Examination for 2016 (Department of Basic Education, 2017b:44) and the National development plan (National Planning Commission, 2011:269). Both reports exposed the same poor academic performance.

One of the main challenges that adds to this poor performance of schools and learners are the inadequate infrastructure of schools, highlighting the poor management of resources. A report on the infrastructure management system issued by the DBE in 2014, underlined this unfortunate situation. According to the report (Department of Basic Education, 2014b) more than 15% of all schools had no, or unreliable, electricity supply and nearly 22% had no, or unreliable water. Nearly 33% had pit toilets or no ablution facilities. The report (Department of Basic Education, 2014b) also concluded that 25% do not have any fences and more than 42% do not have any sports facilities. In 2017, the Annual Report 2016/17 (Department of Basic Education, 2017b:11) stated that although some progress has been made, poor school infrastructure remains a significant problem for the delivery of effective education. The poor academic performance and a lack of infrastructure management highlight the fact that these schools need effective management.

As mentioned earlier, the Section 20 and 21 schools' infrastructures are mainly the responsibility of the schools' management and links directly to the financial management of the school. For SGBs and SMTs to comply with these responsibilities, they require progressive financial skills. In a study on financial management in public schools in the Gauteng Province in South Africa, Naidoo (2010:105) concluded that even though parents need to approve a school's budget in a parent meeting, 20% of parents did not agree that it was done. He also indicated that 19% of schools' management did not consult the parents before increasing the school fees. The review of Naidoo's (2010:109) study also established that most South African schools in rural areas did not comply with regulations due to a lack of skilled management. Khuzwayo

(2009:76) confirmed this in his study on the role of parent governors in schools' financial decision-making in Ndwedwe rural schools. The ability of SGB members to manage resources can be seen as a significant challenge to improve the performances of schools in South Africa.

1.3.4. Performance Management in South-African Schools

The IQMS, a formal performance management instrument used by the DBE, was introduced in 2003 by the Education Ministry of South Africa as part of the unified quality improvement plan. The IQMS consists of three programmes:

- *Developmental Appraisal*: A clear assessment of teachers to determine strengths and weaknesses and to support them with development programmes.
- *Performance measurement*: The focus is on assessment of teachers regarding salary progression, grade progression, confirmation of appointments and rewards and incentives.
- *Whole School Evaluation (WSE)*: This refers to the assessment of the effectiveness of the school as a whole, including the quality of teaching and learning.

(Education Labour Relations Council, 2003:1)

Dhlamini (2009: v) stated that the IQMS was meant to measure and improve the quality of teaching and learning. A review of studies in this regard revealed that many authors agree that the IQMS does not serve its purpose and is insufficient for school-based management (Thobela & Oliver, 2014:12; Booyse, 2013:99; Dhlamini, 2009:194). The researcher revealed in his study (Booyse, 2013:99) that schools' management view the IQMS as an instrument implemented and used by the DBE.

Furthermore, the schools almost never use the IQMS measurements to enhance their schools' strategy and management. Thobela and Oliver (2014:13) added that the IQMS is a vital instrument used by the DBE to monitor the schools, but many factors hamper it. It was also found by the researcher (Booyse, 2013:101) that good performing schools usually implement their own performance management system to improve their performance and productivity, although these systems are mostly not fully implemented and inadequate.

Amongst these challenges associated with the IQMS, the abandoning of the involvement of stakeholders and communities demonstrates that the IQMS does not fit the Participatory Democracy Theory. The researcher, therefore, argues that the IQMS belongs to Managerialism. Managerialism management establishes itself in the organisation and community and ignores the freedom of self-management (Klikauer, 2013:2). Consequently, the IQMS is a compulsory instrument with many shortcomings. Schools do need a more comprehensive instrument to meet all their requirements.

In synthesis, when self-management of public schools were constituted in the South African Schools Act (84/1996), South Africa followed the world trend towards decentralisation and school-based management. This places an enormous responsibility on the SGBs and SMTs who, in many instances, lack the required skills and experience to manage these schools. The IQMS, as the only formal performance management system, has many shortcomings and the schools' management does not use it to measure performance and enhance their schools' strategy. Although some of the good performing schools made some effort to implement their own systems, it also came with vital shortcomings. This stresses the dire need for a school-based performance management framework to enhance school-based management. A detailed explanation of self-managing schools and South Africa's school education is provided in Chapter 2.

1.4 GOAL, RESEARCH QUESTIONS, OBJECTIVES AND THESIS STATEMENT

The real-world problem introduced in the previous section gave rise to the research goal, research questions, research objectives and thesis statement. The goal of this study is to develop a school-based performance management framework for self-managing schools in South Africa. This framework will endeavour to support schools' management in their responsibilities to manage schools effectively. Furthermore, the framework will provide the DBE with the required information to monitor the performance of schools. Figure 1.3 demonstrates the link between the goal, the research question and objectives.

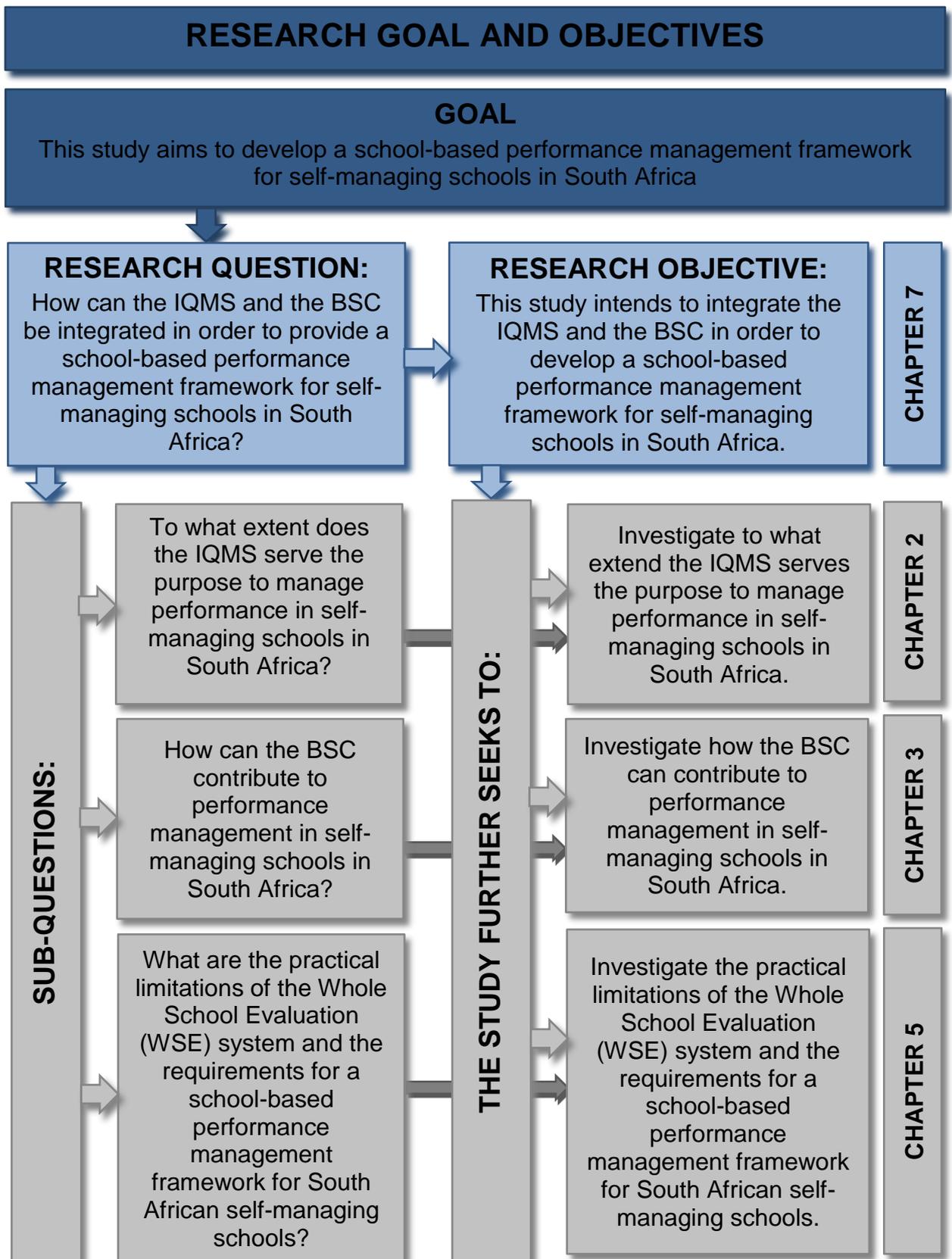


Figure 1.3: Link between goal, research questions and objectives

Source: Own observation

1.4.1. Research Question

The following primary research question was formulated to achieve the objective of this study:

How can the IQMS and the BSC be integrated to provide a school-based performance management framework for self-managing schools in South Africa?

Using the research question as the centre of this study, the researcher identified the following three sub-questions:

1. To what extent does the IQMS serve the purpose to manage performance in self-managing schools in South Africa?
2. How can the BSC contribute to performance management in self-managing schools in South Africa?
3. What are the practical limitations of the WSE system and the requirements for a school-based performance management framework for South African self-managing schools?

1.4.2. Research Objectives

The main objective of this study is to integrate the IQMS and BSC to develop a school-based performance management framework for self-managing schools in South Africa.

Furthermore, the objective tends to:

1. Investigate to what extent the IQMS serves the purpose to manage performance in self-managing schools in South Africa.
2. Investigate how the BSC can contribute to performance management in self-managing schools in South Africa.
3. Investigate the practical limitations of the WSE system and the requirements for a school-based performance management framework for South African self-managing schools.

The thesis statement in the next section provides the scope for this and guides the entire study.

1.4.3. Thesis Statement

Integrating the IQMS and the BSC into one framework offers a school-based performance management framework for self-managing schools in South Africa.

The research questions, objectives and thesis statement guided the preliminary literature perspective in Section 1.5 and informed the research design and methodology in Section 1.7.

1.5 PERFORMANCE MANAGEMENT

Performance management has become a valuable tool to improve education and to increase the accountability of teachers in many countries (Ozga, 2003:1). This first literature perspective provides a short theoretical overview on the concept of performance management, where after performance management in schools are discussed. Section 1.5.3 provides some insight into the BSC as a performance management system and the application thereof in schools. The literature perspective is concluded by providing an overview of the IQMS currently used by the DBE.

1.5.1. The Term 'Performance Management'

Some authors use the term *performance management* as a substitute for traditional assessment or evaluation systems (Heathfield, 2018). For this study the researcher, however, refers to it in a broader system setting. According to Bouckaert and Halligan (2008:15), performance management refers to a sequence of procedures and recognised activities, while Heathfield (2018) stated that it is not only a measuring instrument and do not consist of annual appraising meetings only. Heathfield (2018) further added that performance management should define all interactions with employees and should change interaction occasions into learning experiences.

According to Ross (2011:4), performance management is about defining whether objectives have been achieved and understanding where the organisations' stakeholders' energy is being employed. Performance management focuses on improving performance by identifying clear objectives and by determining training and growth requirements (Blackman, West, O'Flynn, Buick and O'Donnell, 2015:80). Heathfield (2018) added that performance management reduces the need for

performance evaluation and employees' assessment and that it creates a milieu in which people are enabled and motivated to maximise their performance.

Performance management is a process that uses performance information to enable, enhance and motivate improved performance in an organisation (Bouckaert & Halligan, 2008:15; Amaratunga & Baldry, 2002:218). According to Cheng, Dainty and Moore, (2007:15) it referred to a practice that combines performance, strategy and objectives. Performance management can be summarised as a structured process of acting towards the improvement of the organisation's performance. This could also be true for schools. Therefore, the next section highlights the importance of the application of performance management and emphasises the extensive use of performance information in self-managing schools.

1.5.2. Performance Management in Schools

Performance management was used for the first time in the early 1990s in some countries in Europe and New Zealand (Molefhi, 2015:33; Franke, 2013:22; Bartlett, 2010:24). Due to the effectiveness of performance management in western countries, performance management also emerged in African countries (Waal, 2007:70). Although it was stated in Section 1.3.1 that countries started to move towards self-managing schooling systems in the early 1990s, authors clearly stated that these performance management efforts were initiated and implemented by government authorities and not by schools (Molefhi, 2015; Waal, 2007; Bartlett, 2010; Franke, 2013). The IQMS, as reviewed in Section 1.3.4 is such a system implemented by the government.

Inadequate performance in the public sector, including schools, has been of great concern over the past 20 years. The methods used to measure and manage performance were highlighted again (Kerley, 2008:214). A review of the literature revealed some possible reasons for the failure of efforts to implement performance management in schools. In most instances, performance management systems and objectives were developed without consulting all stakeholders (Witte & López-Torres, 2017:344; Atamtürk, Aksal, Gazi & Atamtürk, 2011:38; Taticchi & Balachandran, 2008:149). Another reason mentioned by authors is that the measurement of spending is not an adequate measurement of performance and more need to be done to measure outputs (De Witte & López-Torres, 2017:352; Sarrico, Rosa, & Manatos,

2012:272; Maddocks, Novkovic & Smith, 2011:46; Ross, 2011:9). Performance measurement based only on the performance of learners is insufficient for schools. Subsequently, the identification of appropriate performance measures is usually a problem (Forrester, 2011:6). A balanced method that do not only focus on academic performance, but also assesses the complete spectrum of a school's management, is required (De Witte & López-Torresl, 2017:352). Another factor hampering the success of performance management in schools is the incomplete application thereof. Schools almost never use the performance measurement information to develop strategy and to improve the school's performance (Sarrico *et al.*, 2012:274; Bouckaert & Halligan, 2008:39). These reasons, therefore, indicate the importance to develop a school-based performance management framework for school-based management to ensure the effective use of information in decision-making and strategy development.

1.5.3. The BSC and IQMS

Revision of the literature on the educational situation in South Africa and the performance of South African schools highlighted the importance of more effective performance management in schools. This, together with the evaluation of the current school-based performance management, emphasise that there might be a need for a school-based performance management framework for the management of schools in South Africa.

Although there are various performance management systems, many authors concluded that the BSC is one of the most suitable performance management instruments for schools' management (Brown, Wohlstetter & Liu, 2008:396; Education, 2007; Storey, 2002:337). Schools in several districts in the USA with the highest performance and growth on the National Assessment of Education Progress implemented the BSC. These schools included Atlanta Public Schools, Charlotte-Mecklenburg Schools and Austin Independent Schools (Education, 2007). This demonstrates that among all performance management systems, the BSC positively influenced performance. Storey (2002:337) agreed that the BSC is very useful in the school context. Brown (2010:200) concluded that the use of the BSC in urban secondary schools in the USA has significantly contributed to their success rate. In a research study done by Brown *et al.* (2008:396), the BSC was identified as the most appropriate framework for the development of an indicator system for schools in

California. No evidence where the BSC were used in South African public schools could be found in the literature.

This study also indemnified the BSC, together with the current IQMS, as a basis to develop a school-based performance management framework for self-managing schools in South Africa. An overview of the BSC and IQMS are provided in the next section.

1.5.3.1. The BSC

Robert Kaplan and David Norton introduced the concept of the BSC at the enterprise level in 1990. The central principle is that organisations' performance evaluation should not be limited to financial indicators and should include non-financial measures such as customer satisfaction, internal processes and the ability to transform (Kaplan & Norton, 2007:2; Kaplan & Norton, 2001a:88; Kaplan & Norton, 1996:2). The BSC is based on four perspectives, which are financial and non-financial, and include customer satisfaction, internal business processes, learning and growth, and financial resources (Kaplan & Norton, 2007:159; Kaplan & Norton, 2001a:89; Kaplan & Norton, 1996:1).

Kaplan & Norton (2007:160) added that the BSC intended to promote a balance between short- and long-term objectives, financial and non-financial measures, lagging and leading indicators, and between external and internal performance perspectives. The BSC was developed as the central framework for essential management processes, namely (i) planning, (ii) individual and team goal setting, (iii) compensation, (iv) resource allocation, (v) budgeting, and (vi) strategic feedback and learning (Kaplan & Norton, 2007:152).

The clarification and translation of the vision and strategy of an organisation encourage a joint vision for the entire organisation. According to Quesado, Guzmán and Rodrigues (2017:196), and Kaplan and Norton (2007:161) the use of measurement as a language helps to interpret complex and frequently unclear concepts into a more specific form that can improve communication and agreement amongst management. They added that the objectives reflect mutual accountability amongst management teams and a framework for management processes.

The organisation's objectives, according to Brown (2010:14), need to be connected to the organisation's training and to direct the investments in people, systems and procedures to promote a shared model to which everybody has contributed and bought into. Already in the 1960s, Kaplan and Norton (1996:3) stated that the BSC assists the communication and relationship between strategic objectives and measures. They (Kaplan & Norton, 1996:5–13) added that the BSC enables all employees to see how they fit into the organisation and to establish local objectives that support the global strategy.

The impact of the BSC framework was summarised by Kaplan and Norton (1996:15) as follows:

“It mobilises all individuals into actions directed at attaining organisational objectives. The emphasis on cause and effect in constructing a scorecard introduces dynamic systems thinking. It enables individuals in various parts of an organisation to understand how the pieces fit together, how their role influences others and, eventually, the entire organisation.”

The performance strategy provides detailed, measurable goals for the organisation through a balanced set of outcomes and performance drivers (Quesado *et al.*, 2017:196; Kaplan & Norton, 1996:15). According to Brown (2010:16), the BSC drives change in organisations and provides focus, incorporate constant improvement, front-end justification, reengineering, and transformation. Quesado *et al.* (2017:193) also highlighted the BSC's ability to enable organisations to link their strategic plans with their budget and to enhance feedback. In this regard, Kaplan and Norton (2006:2) referred to double-loop learning and stated that it requires management to query their underlying assumptions. Furthermore, management have to reflect on whether the strategy is viable and valid and whether the current evidence, observations, and experience are consistent with the theory under which they were operating. According to Quesado *et al.* (2017:195), the BSC empowers management to observe and adjust the implementation of the organisation's strategy and if required, to make essential changes to it.

Kaplan and Norton (1996:19) referred to the main benefits of the BSC as the transformation from a measurement system to a management system. They emphasised various aspects, namely (i) the enhancement to clarify and improve

agreement about strategy, (ii) communicate strategy through the organisation, (iii) align goals to the strategy, (iv) link strategic goals to targets and budgets, (v) identify and align strategic initiatives, (vi) perform strategic reviews, and (vii) obtain feedback to improve strategy. The BSC is, therefore, an effective and complete instrument and might be the ideal framework to use for the development of a school-based performance management framework for South African schools.

The Application of the Balanced Scorecard in Schools

The BSC was implemented in many schools around the world with high success rates. The implementation of the BSC in large public schools started in the USA in Fulton County in 2001 (Kaplan & Miyake, 2010:11). After that various public-school districts in the USA, including Charlotte-Mecklenburg Schools, Austin Independent Schools, and Atlanta Public Schools, have demonstrated prominent progress in student achievement since the implementation of the BSC (Kaplan & Lee, 2007). After a period of low and weakening learner achievement, discouraged teachers, crumbling infrastructure and disillusioned parents, the situation was turned over. The entire district was focusing concurrently on providing short-term results and promoting their long-term strategy (Kaplan & Miyake, 2010:10). Many authors also concluded that the implementation of the BSC in Excel Public Schools in the USA was very positive (Olson, 2007; Kaplan & Norton, 2006:8; Jones, 2004:586). Brown (2010:182), amongst others, concluded that the BSC makes schools' management and stakeholders' actions effective by providing them with an efficient framework for clarity of objectives, communication of objectives and assessment of performance (measured against objectives). Evidence of the successes of the BSC in schools supports the decision to use the BSC together with the IQMS to develop a school-based performance management framework for schools in South Africa.

The literature reviewed in this section provides evidence of the application of the BSC in schools from developed countries. Regarding developing countries, there was scant evidence found in the literature for the use of the BSC to evaluate schools' management (Jones & Müller, 2013:130). However, no specific evidence was found on the use of the BSC by schools' management to manage schools or to combine the BSC with the IQMS in South Africa or any other developing country.

1.5.3.2. IQMS

IQMS is a performance management instrument for educators and schools, developed for the assessment of schools' performance and individuals' performance to improve the performance of schools (SADTU, 2013:6). It was mentioned in Section 1.3.4 that the IQMS consists of Developmental Appraisal, Performance measurement and WSE.

Purpose of the IQMS

The objectives of the IQMS are to determine educators' competence and to evaluate strengths and development areas (Department of Education, 2002b:3). As stated in the training document (Education Labour Relations Council, 2003:1), the IQMS intends to identify the needs of teachers and schools to support them and enhance their development and continuous growth. It furthermore encourages accountability, observes schools' overall effectiveness and assesses the teachers' performance (Department of Education, 2002b:2; Education Labour Relations Council, 2003:1). Mahlaela (2011:2), however, concluded that most schools' management and teachers are of the opinion that the purpose of the IQMS is to determine salary progression and exercise control. They also view the IQMS as an instrument used by the DBE and of no benefit to schools' internal management.

Implementation principles for the IQMS

The document "*Your integrated quality management system*" (Department of Education, 2002b:3) stipulated that all the members of staff should elect a Staff Development Team (SDT) and by-elections should be held to fill vacant positions. Subsequently, the school principal had to initiate this process. The school's principal and SMT must develop an implementation plan in consultation with staff members. This implementation plan must clearly state when evaluation should take place and who should be evaluated by whom (Department of Education, 2002b:3).

The process must be clear from any sanction against any stakeholder, subjectivity needs to be minimised through transparency and open discussion, and the instrument should be used professionally and consistently (Education Labour Relations Council, 2003:1). Although this seems to be a useful overall tool, self-managing schools need an instrument that is flexible and also serve the needs of their SGBs and SMTs.

1.6 PROPOSED CONTRIBUTION OF THE STUDY

This research may potentially influence the policies of education departments and schools in South Africa, by facilitating the employment of school-based performance management strategies. The development of a flexible performance management framework may individually contribute towards performance management of self-managing schools, allowing the communities the freedom to influence a strategy and performance to fit their needs best. Due to the diversity of schools in South Africa, a flexible system might ensure a more accurate evaluation of schools and provide the DBE with more reliable information.

The application of a formal performance management system for school-based management might include certain advantages, namely (i) help schools' management to make informed decisions, (ii) ensure the effective use of resources and enhance service delivery. Involving all stakeholders when identifying objectives and setting targets may contribute to a positive attitude of stakeholders towards performance management and improve stakeholders involved in the school.

1.7 RESEARCH METHODOLOGY

The nature of this study is explorative because the researcher relied mostly on the perceptions and views of participants to develop a framework. Therefore, the researcher decided on a qualitative approach. A research approach can be quantitative, qualitative or a combination of the two. According to Blumberg, Cooper and Schindler (2008:20), quantitative studies focus on the quantifications of data while qualitative studies provide freedom for new factors to arise. A qualitative approach is ideal for exploratory studies (Blumberg *et al.*, 2008:200) and highlights occurrences in ordinary situations without seeking to quantify data (Eisner, 2017:5).

1.7.1. Research Design

One of the qualitative designs identified by Plomp (2010:11) was action research. The problem statement of this study revealed a practical problem with school-based performance management in self-managing schools. Thus, a problem in a real-world context. According to Plomp (2010:12), the function of action research is to develop solutions to practical problems. In Action research, the researcher collaborates closely

with the organisations and its activities to develop a solution to the problem (Coughlan & Coughlan, 2002:220).

The development of a framework refers to the development of knowledge that can contribute to the solution of the problem at state. One of the sub-designs of action research is Design-Based Research (DBR) with the specific aim to create knowledge that can be used to resolve practical, complex, real-world problems (Plomp, 2010:12; Herrington, McKenney, Reeves & Oliver, 2007:4089; Van Aken, 2007:68). The researcher, therefore, used DBR as the research design to answer the main research question.

Amiel and Reeves (2008:34) identified the following four phases in DBR:

- Problem identification phase.
- Preliminary phase, developing a preliminary solution, based on current frameworks.
- Prototyping phase, refining and testing the solution based on the opinions of practitioners.
- An assessment phase, reflecting on the development process and the solution to identify design principles.

These four phases guided the research process.

1.7.2. Research Process

Existing frameworks, namely the IQMS system and BSC, were used in combination with the development of a preliminary framework during Phase 1. Phase 2 consists of two interactive cycles. For Cycle 1 the preliminary framework was presented, and semi-structured interviews were conducted with one practitioner from each of the four selected schools to confirm the practical problem with the usability of the IQMS and to refine the preliminary framework. For Cycle 2 the practitioners were three stakeholders from each school. A reflection on the processes followed to identify design principals during Phase 3.

The researcher identified four self-managing schools in the Tshwane region in South Africa from communities with different backgrounds for data collection during Phase 2. In agreement with Maree (2010:178), purposive sampling was used to identify the four schools. Purposive sampling focuses on pre-set criteria related to the experiences or

characteristics of participants when selecting them (Maree, 2010:78; Cooper & Schindler, 2008:167). According to Cooper and Schindler (2008:168), samples for qualitative studies can be small and should be just large enough to ensure the gathering of new knowledge and understanding.

It was already stated that the researcher decided on individual semi-structured interviews as the data collection method. Accordance with Cooper and Schindler (2008:92), interviews are one of the qualitative data collection methods. For semi-structured interviews, a small number of open-ended interview questions are used to organise the interview, while participants still have the opportunity to freely express and share their views (Maree 2010:87). Open-ended questions provide participants with the opportunity to state their opinions in their own words (Cooper & Schindler, 2008:339). For this study, this enhanced the exploration of participants' opinions on the internal usability of the WSE system and possible inclusions to the frameworks. The interviews were audio-recorded to simplify the data collection process (Maree, 2010:89). Permission to record the interviews were obtained from all participants (Blumberg *et al.*, 2008:288). Individual semi-structured interviews were used to give all participants the opportunity to share their ideas and views (Maree, 2010:91). The questions for the semi-structured interviews for Phase 2 are provided in Chapter 6.

The data collected through interviews is not quantifiable and therefore the researcher relied on content analysis. Content analysis entails sorting information into new or existing categories associated with the research questions (Bowen, 2009:32). The data was coded by reading the transcribed interviews and then divided it into categories (Maree, 2010:105; Cooper & Schindler, 2008:165). The analysed data from Phase 2, Cycle 1, was used to confirm the practical problem and to contribute to the refinement of the preliminary framework. The data from Phase 2, Cycle 2, was already collected in categories based on the preliminary framework. The data was, however, divided into sub-categories to identify possible suggested objectives that might guide the school to select their own objectives. This analysed data was used to refine and finalise the framework. In both rounds of data analysis, a second coder was used to enhance dependability (Morse, 2015:1217). Chapter 4 provides a detailed report on the research methodology and reasons for the researcher's choices.

1.7.3. Rigour and Ethics

The rigour and ethical considerations, which informed this study, are shortly discussed in this section.

1.7.3.1. Rigour

The method applied to create integrity, competency, legitimacy and trustworthiness of the research process (Tobin & Begley, 2004:390) for this study were based on Guba's framework (Krefting, 1991:218). In his framework, Guba identified credibility, transferability, dependability, and conformability as processes to ensure the trustworthiness in qualitative research (Krefting, 1991:218).

Participants' anonymity was guaranteed to improve 'credibility' for this study. The researcher also used probing during the interviews and member checking after transcribing of the interviews to ensure credibility (Maree, 2010:115). Hadi and Closs (2016:643) highlighted this as an essential method to guarantee credibility.

For 'transferability', readers are provided with the independence to draw their own free conclusions, based on direct quotations from the transcribed interviews (Hadi & Closs, 2016:643; Visagie, 2012:8). Therefore, direct quotations were included in the reports on data analysis in Chapters 5 and 6 when considered necessary.

The transcribed interviews were returned to the specific participants for final validation to improve the dependability of the data. The researcher coded the data and a second coder coded randomly selected transcripts. Morse (2015:1217) argued that coding is dependable when duplication appears between the first and second coders. Peer experts were used to interpret at least one dataset from each cycle (Visagie, 2012:8). Hadi and Closs (2016:643) also identified peer-review as an essential method to ensure that the outcome of the study is dependable.

'Conformability' refers to methods to prevent bias (Visagie, 2012:8). The researcher did self-consideration to prevent or minimise bias (Hadi & Closs, 2016:643) by recognising the possibility that his possible subjectivity might bias the research outcome.

Although not part of Guba's framework, the researcher also added methods to ensure 'authenticity'. The researcher conducted individual interviews, allowing all participants

to, freely share their opinions, to add fairness and objectivity to the study (Visagie, 2012:10).

1.7.3.2. Ethics

The ethical considerations for this study were based on The Belmont Report. It refers to respect for people, beneficence and justice (Kivell, Evans & Paterson, 2017:471). The researcher also obtained ethical clearance from the University of South Africa by the policy of the university. See Appendix C

Respect for people, according to Kivell *et al.* (2017:471) means that people have a right to participate in research, to not participate in research, or to stop participating at any time (Kivell *et al.*, 2017:471). The researcher, therefore, highlighted participants' freedom to stop their participation at any time. Participants were provided with a letter of consent and permission for the study was gained from Gauteng's DBE. See Appendices A and B. Regarding *beneficence*, the researcher continuously throughout the data collection process tried to recognise and resolve any possible risk, distress and uncertainty for participants (Kivell *et al.*, 2017:473). The researcher used purposive sampling, ensuring that participants were selected without bias regarding class or type (Amdur, 2011:26). The selection of participants was based on their role and experience in the schools' structures. More detail on the ethical considerations is provided in Chapter 4.

1.7.4. Scope and Limitations

The methodology for this investigation was designed to explore the experiences of principals, parent representatives of the SGBs and members of the SMTs of schools on performance management. This study was limited to four secondary public schools in a single urban district. Therefore, the ability to generalise the findings from this research project may be narrowed. In agreement with qualitative research, the intention of this study was not to generalise the findings (Cooper & Schindler, 2008:168). Furthermore, the study aimed to develop a flexible framework that endeavoured to enhance effective school-based management that might be helpful to many schools in South Africa.

Semi-structured interviews were used to collect data from a purposeful sample of principals, parent representatives and members of the SMTs, based on their experience and involvement in performance management and the IQMS of their schools. All participants were full-time staff members of the participating school or SGB members of the school. This might have put a strain on the available time to conduct interviews, and therefore could have hampered the in-depth discussions on vital issues.

1.8 STRUCTURE OF THE THESIS

Figure 1.4 illustrates the layout of the chapters of the study and the interrelationship between the chapters.

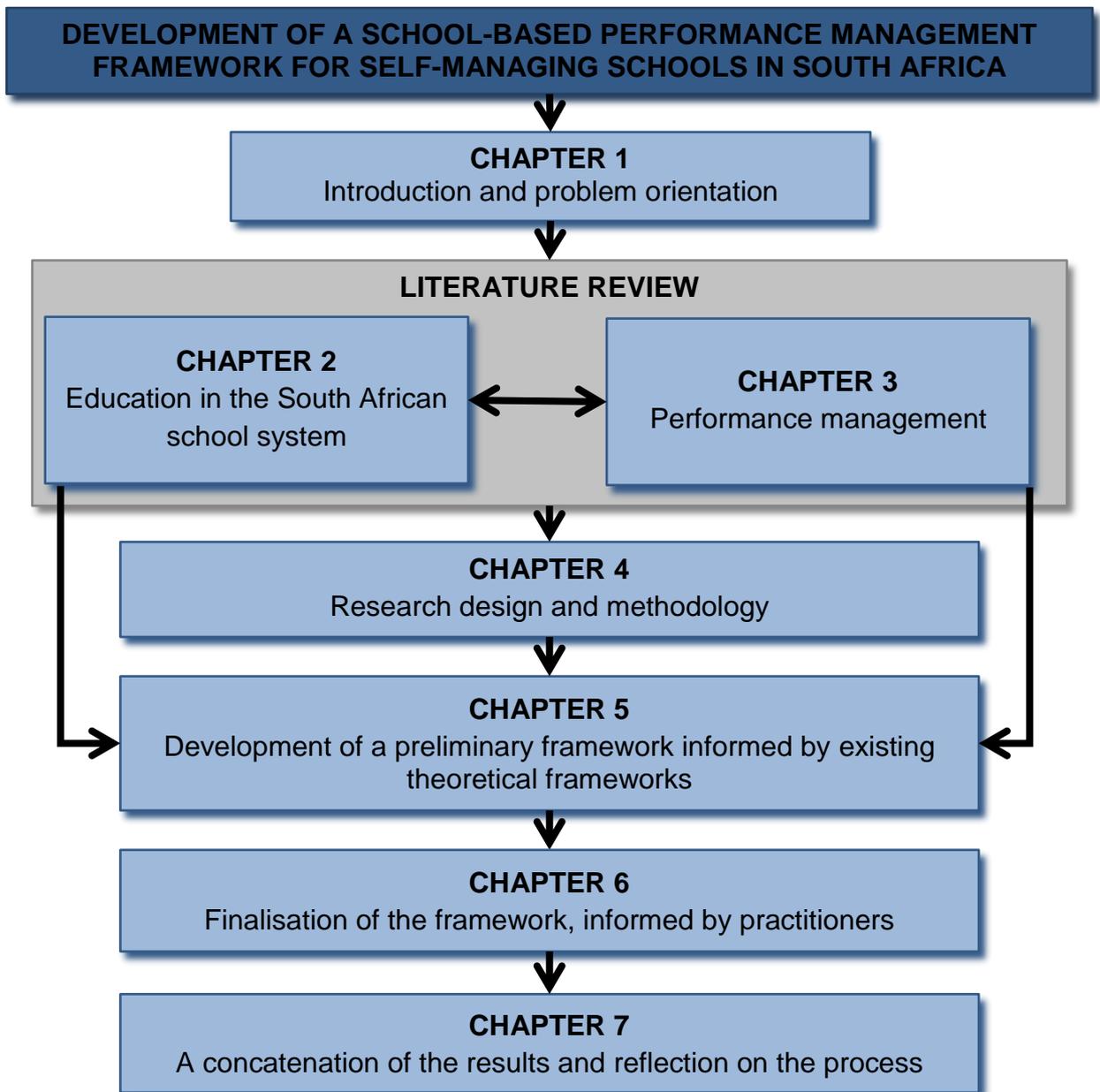


Figure 1.4: Layout of the chapters of the study

Source: Own observation

As seen in Figure 1.4, the study is structured according to the following chapter outlay:

CHAPTER 1: Introduction and problem orientation

This chapter will introduce the research topic and explain the background and the research problem. It will also provide a preliminary literature perspective, highlight the objectives of the study and explain the significance of the study.

CHAPTER 2: Education in the South African school system

This chapter will review the structure of education in South Africa. It will focus on self-managing schools (Section 20 and 21) and discuss the role of SGBs and SMTs. It will also provide an overview of the existing literature and research on schools' performance and financial management.

CHAPTER 3: Performance management

This chapter will discuss the available theoretical framework on performance management in the public sector and non-profit organisations, with a specific focus on schools. It will also review the development and implementation of performance management systems. A comprehensive review of the IQMS and BSC will be provided.

CHAPTER 4: Research design and methodology

This chapter focus on the strategy used to conduct the research. The population of the study, the sampling method and techniques, the data collection methods, the data analysis techniques and rigour will be explained.

CHAPTER 5: Development of a preliminary framework informed by existing theoretical frameworks

This chapter will contain the reports on Phase 1, the development of the preliminary framework informed by the literature review of the IQMS and BSC.

CHAPTER 6: Finalisation of the framework, informed practitioners

In this chapter, the analysed data from Phase 2 of the research process will be presented, and the interpretations and findings will be used to refine the framework and to produce the final framework.

CHAPTER 7: A concatenation of the results and reflection on the process

This chapter will summarise the study and reflect on the process. The chapter will conclude with final remarks and recommendations for further studies.

1.9 SUMMARY

All public schools in South Africa are self-managing schools where the management of the school is vested in the SGB, elected by parents of the school. This places these schools in the Participatory Democracy Theory, allowing for the participation of parents and communities in the management of the school. Although the DBE implemented the IQMS to improve the poor performance of most public schools in the country, it seems that the poor performance of schools persists. It also appears that the IQMS is a one-fits-all, compliance system, used by the DBE as a control tool and schools do not use it for school-based management. This places the IQMS in the Managerialism theory with non-to-little flexibility and participation of stakeholders. The researcher argues that this gap should be bridged by developing a flexible performance management framework, using the IQMS and the BSC.

In this chapter, a literature review of the schooling system in South Africa provided insight into the background, structure and performance of the schools, revealing the real-world problem. This gave rise to the goal, research questions and objectives of the study. The preliminary review of performance management literature focused on performance management in schools, the IQMS and the BSC. A short explanation of the research methodology focused on DBR and the DBR processes that were followed to develop a school-based performance management framework. This Chapter concludes with a structure of the thesis, giving an overview of the two literature chapters, the research methodology chapter and Chapters 5, 6 and 7 based on the DBR process.

CHAPTER 2

EDUCATION IN THE SOUTH AFRICAN SCHOOL SYSTEM

2.1 LAYOUT OF THE CHAPTER

Figure 2.1 illustrates the layout of Chapter 2.

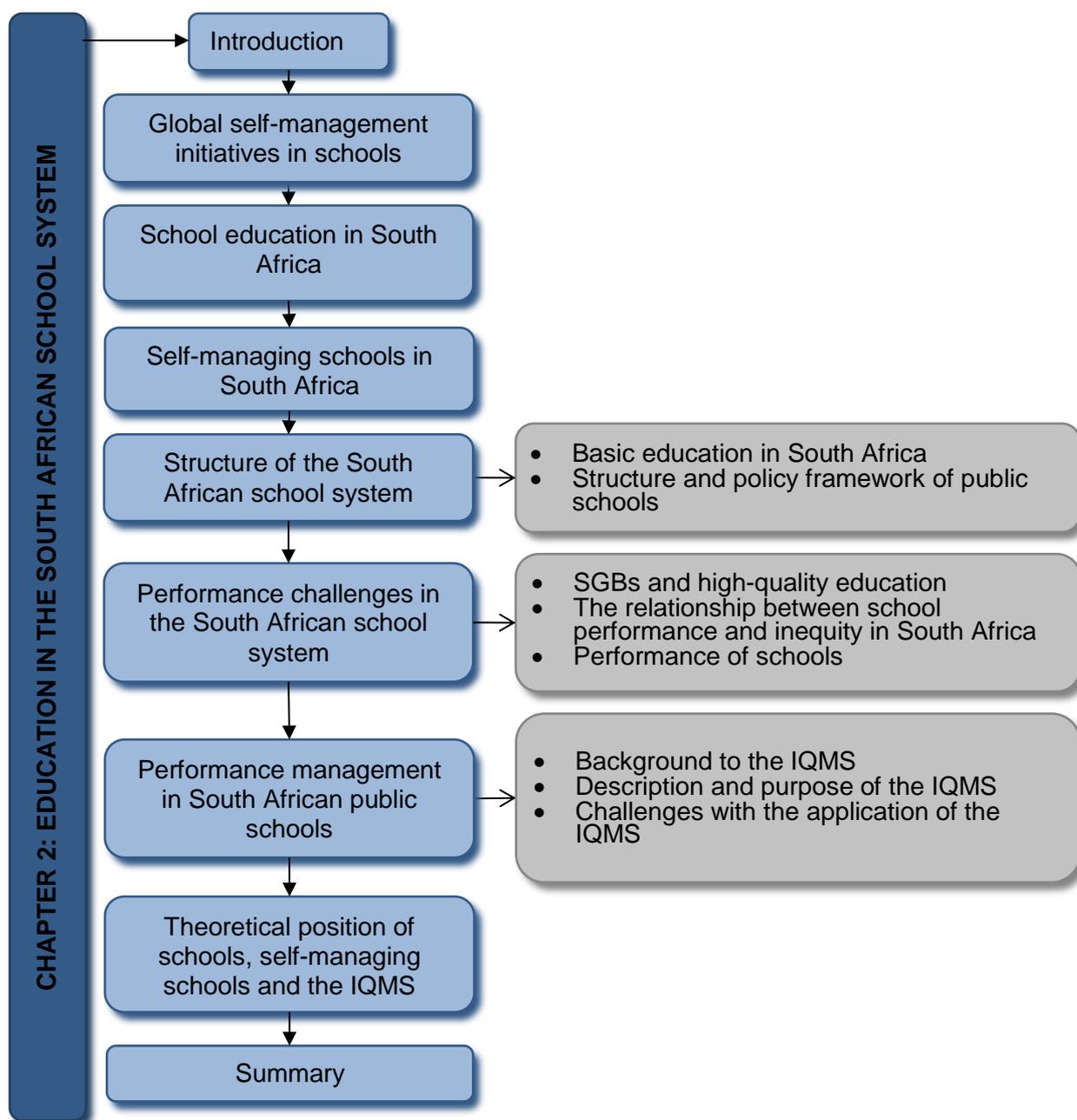


Figure 2.1: Layout of Chapter 2

Source: Own observation

2.2 INTRODUCTION

Education is a complex, but essential process without which the development of humankind and our search for a better life for all cannot be realised (Moloi, 2014:264). In the South African context, Ndlovu-Gatsheni (2013:8) stated that education is a complicated process, arbitrated by rules of exclusion and inclusion, the politics, and cultural and social cataloguing in a democratic South Africa (Moloi, 2014:264). However, Moloi (2014:264) is of the opinion that education is a site of continuous fighting and that today's schools still recreate cultural and economic inequalities, given that schools are part of the public sector and are regulated by the government. Chapter 1 mentioned the National Development Plan 2030. Through the National Development Plan 2030, the government set the improvement of the quality of education as its main priority (National Planning Commission, 2011:4). To achieve this, the National Planning Commission (2011:4) identified various areas for improvement, namely (i) the communities' involvement in schools, (ii) public and school's services, (iii) a better unity that endorses teamwork between sectors to improve education, and (vi) support in economic growth and job creation.

This chapter firstly explores a worldwide trend to move from state-controlled schools to self-managing school systems. It then discusses the background to education in South Africa and the introduction of self-managing schools in South Africa. The chapter further provides an overview of the structure of the South African school system. The uniqueness of school education in South Africa also requires a review of the management challenges and performance of schools, learners and teachers. With the focus of this study in mind, a review of performance management in South African public schools was done. The background and challenges of the IQMS, as the current performance management system, was reviewed in this section. However, the structure of the IQMS is reviewed in Chapter 5 because it forms a vital part of the Preliminary phase of the study.

2.3 GLOBAL SELF-MANAGEMENT INITIATIVES IN SCHOOLS

Research on decentralisation of management in schools revealed the application of different forms of decentralisation in a wide range of countries (Mwinjuma, Kadir, Hamzah & Basri, 2015; Soga, 2004; Caldwell & Spinks, 1988). However, in this study, these different forms of decentralisation in the world were not reviewed, because the

focus of the study was not on decentralisation of management in schools, but on performance management in self-management schools.

There are evidence in Europe, particularly in Wales, England and Canada, on how decentralisation of schools' management enabled schools to become more focused on effective and purposeful management (Mwinjuma *et al.*, 2015:35). The main part of legislation in the Education Reform Act of 1988 of the UK encompassed the delegation of financial management to SGBs (Williams *et al.*, 1997:627). According to Soga (2004:15), schools' management predominantly comprise of parents and trustees. Soga (2004:15) also mentioned that England refers to this decentralised process as the local management of schools. According to Mwinjuma *et al.* (2015:35), there are evidence that the schools' management and principals are more accountable for effectively managing the school than any other stakeholders. Therefore, they maintained that principals would feel more accountable when school funds are decentralised to them.

During this same era (1988), a change towards decentralisation of schools' management was also a trend in Australia. Moradi, Beidokhti and Fathi (2016:192) stated that, together with England, the USA and New Zealand, several states in Australia were pioneers in moving schools towards self-management. Caldwell and Spinks (1988:12) specifically mention 1987 as the date when plans were made for substantial decentralisation of responsibilities of schools in Australia.

Signs of decentralisation emanated during the 1980s in the USA. The main focus during the 80s was on the delegation of curriculum and mandated evaluation of personnel (Moradi *et al.*, 2016:192; Candoli, 1995: xi). The 1990s showed an apparent shift of responsibilities to school-site level, while Bullock and Thomas (1997:57) stated that some forms of self-managing schools were already dominant in the USA during 1997.

The literature revealed the same trend in New Zealand during the early 1990s. Soga (2004:22) mentioned the Picot Report of 1988 on *Administering for Excellence: Effective Administration in Education*, which is evidence of this decentralised management trend. According to Bullock and Thomas (1997:53), this report served as the starting point of a radical devolution of power in New Zealand's school system. In their study, Moradi *et al.* (2016:197) concluded that developed counties enhanced

school management by decentralised management and authority to schools and communities, and brought together all participants in the decision-making process.

China, Hong Kong and Singapore were also highlighted by Mwinjuma *et al.* (2015:36) as countries where the authority to manage schools were given to principals and school committees. Mwinjuma *et al.* (2015:36) stressed that this offered improved independence in the management and administration of schools in these countries.

Some educational reformation was also found in Africa. According to Makongo and Mbilinyi (2003:6), Tanzania is an example of school management devolved to the local communities. They explained that Tanzania mostly manages the schools' resources through school committees by distributing funds to schools, from the central government through local government. In their study, Mwinjuma *et al.* (2015:35) highlighted the community involvement of school committee members elected democratically in Tanzania and referred to their responsibility to plan, implement and supervise the schools' development activities. Manara and Mwombela (2012:10) added that it is the responsibility of the principal to prepare a report on the utilisation of school funds. The principal is partly responsible for keeping the financial records up to date. Therefore, Mwinjuma *et al.* (2015:36) concluded that the principals in Tanzania are more responsible for the management of school funds while these principals act as an advisor to the school committee with relation to other management and administrative responsibilities.

In Soga's (2004:26) study on challenges and opportunities for school-based managers in Gauteng, South Africa, similarities about self-managing schools in different countries in the world were identified. The creation of school-site councils, boards or bodies where the principal, educators, administration staff, parents and learners are represented was one of the first steps in most countries to move to self-managing school systems (Moradi *et al.*, 2016:193; Soga, 2004:26). They (Moradi *et al.*, 2016:194; Soga, 2004:26) also mentioned that the devolution of responsibilities to manage the schools' finances and to approve the budget within a framework of state policies, is one of the main focusses investigated in all these countries.

School bodies further manage the finances and set priorities to meet the needs of the local communities. Moradi *et al.* (2016:192) also revealed that self-managing schools in most counties suggest participative management and decision-making. This

resulted in the involvement of parents in decision-making, the distribution of resources, and personnel and facilities forming an integral part of the self-management of schools. The schools furthermore had substantial control over employment, budgets, policies and day-to-day operation of the school (Soga, 2004:26).

2.4 SCHOOL EDUCATION IN SOUTH AFRICA

For more than 100 years, long before South Africa's first democratic election in 1994, the country's education system was categorised by inequality and racism (Moloi, 2014:265). Education was separated into different education systems adjusted for the various race groups (Naidoo, 2010:1). Reitzes (2009:9) referred to inequality through race, which largely overlapped with class. Reitzes further mentioned inequality through the geographical configuration of the country because of the homeland policy. This homeland policy referred to independent territorial and administrative units that resulted into a complete segmented education system, consisting of nineteen education departments in South Africa (Moloi, 2014:267; Christie, 1998:284). According to Moloi (2014:267), discrepancies in the racially segregated provision of education in South Africa continued into the 1990s. This demonstrates the complexity of South Africa's education system before 1994 and the uphill road to reconstruction thereafter.

Since the first democratic election in South Africa in 1994, the government was committed to the reconstruction of the education systems and to work consistently and confidently in order to find new strategies that will bring the department closer to the desired position of basic education in South Africa (Department of Basic Education, 2017a:4). They committed to discontinue the past system of education, based on racial disparity and exclusion; and replace it with a new national education system, which will promote equity, offers education of high quality and sets a solid basis for the development of all learners (South Africa, 1996b). Equity refers to equal school learning outcomes for all residents of the country irrespective of cultural, gender or ethnic backgrounds (Portes, 2005:11).

Government's focus was to improve democratic transformation of society, fight all forms of unfair discrimination, contribute to the abolition of poverty, defend and develop South Africa's diverse culture, defend the rights of all learners, parents and educators, and encourage parents' acceptance of responsibility to govern and fund schools in

partnership with the government (South Africa, 1996b). According to Portes (2005:11), the transformation of education in South Africa has been one of the most significant challenges for the new elected ruling party.

It became clear that continuous change was inevitable if the government was to overcome these challenges. A new constitution and the South African Schools Act (84/1996) resulted from these changes and education is now constituted as a human right in the Constitution of South Africa (South Africa, 1996b). The South African Schools Act (84/1996) is a legal document and applies to all schools in South Africa. The post-1994 Department of Education developed some policies for planning and effective management in the education system, representing a shift towards a single curriculum document for education in the whole of South Africa (Department of Education, 1997). The National Policy Act (27/1996) contained that the Minister of Education shall determine national policy for the planning, endowment, financing, organisation, governance, evaluation and well-being of the education system (South Africa, 1996a). To address the inequalities of the apartheid era, the Act (27/1996) states that legislation needs to be adopted to assist the democratic transformation of the education system into one that serves the needs and interest of all people of South Africa (South Africa, 1996a).

According to Moloi (2014:267), the National Education Act (27/1996) and the South African Schools Act (20/1997), together with the provincial legislation and policy documents, directed South Africa's education to self-managing school-based education. These legislative documents aim to decentralise as much authority as possible to schools' management, resulting in self-managing schools (South Africa, 1996a). This provide a framework for the reconstruction of education in South Africa and constitute the right of communities to manage their schools within this framework.

2.5 SELF-MANAGING SCHOOLS IN SOUTH AFRICA

Self-management of public schools in South Africa has emerged from two main periods namely: the apartheid period and the post-apartheid period (Soga, 2004:13). The principles of self-management in South African schools was first introduced at previously white schools only in 1990, and according to Heystek (2011:457), the force behind this move towards self-management might have been politically motivated. These schools were given the authority to appoint educators and non-educating staff,

to determine the enrolment of learners, to take ownership of the school's buildings and facilities, and other related policies (Heystek, 2011:457).

A school fee, payable by the parents, was introduced to these schools (Heystek, 2011:457). Webber (2002:618) further highlighted that non-white communities were not given any form of authority to manage their own schools and parents' involvement was limited. The parents of these non-white schools played a significant role during the struggle against apartheid, which consequently contributed to the inclusion of parents and learners in the schools' management of the non-white schools after 1994 (Heystek, 2011:458).

This struggle of non-white communities to gain the power to manage their own schools intensified in all forms. The *National Education Coordinating Committee*, the *Parent-Teacher-Student Associations* (in almost all non-white secondary schools), and the *Parent-Teacher Associations* (in almost all non-white primary schools) were established to drive the move that all key stakeholders participated in the schools' management (Fleisch & Smith, 1999:100). These associations were referred to by Soga (2004: 14) as the unauthorised structures. They were established to oppose the apartheid education system and can be regarded as an essential formation that provided solid manifestation of the involvement of parents in the formulation. These associations furthermore provided for the implementation of education policies which led to self-management. This rearranged the landscape for negotiations that led to the new South African Schools legislation after 1994.

After 1994, in the post-apartheid era, the *Hunter Report of 1995* and the *White Paper 2 of 1996* highlighted the importance of stakeholders' involvement in schools' management (Fleisch & Smith, 1999:100). The purpose of the *Hunter Report* was to evaluate the management and funding of schools (Fleisch & Smith, 1999:101). Although the introduction of governing bodies had financial advantages for government, according to Christie (2006:374) it was mainly done because of the political drive towards democratic participation. Soga (2004:15) stated that the School Education Act (6/1995) was an important piece of legislation to introduce a new self-management approach to govern all public schools. The South African Schools' Act (84/1996) divested financial control and policy-making to SGBs and consolidated the self-management of public schools in South Africa (South Africa, 1996b). The next

section reviews the structure of the South African schooling system to develop a conceptual understanding of self-managing schools in South Africa.

2.6 STRUCTURE OF THE SOUTH AFRICAN SCHOOL SYSTEM

For this study, it is essential to start by exploring the national governance of education in South Africa. Two national departments of education are responsible for the governance of education in South Africa namely, the DBE, and the Department of Higher Education and Training (DHET) (South African Government, 2014). The DBE is responsible for all schools in South Africa and all adult learning programmes (South African Government, 2014). On the other hand, the responsibility of the DHET is the governance of tertiary education and occupational training and includes education and training colleges, adult basic education and training centres, and higher education institutions (South African Government, 2014). The Minister of Basic Education and the Minister of Higher Education and Training are the heads of these departments respectively (South African Government, 2014). Before 10 May 2009, these two departments were represented in a single Department of Education (South African Government, 2014). The South African Schools Act (84/1996) states that, at the provincial level, each province has its own education department, responsible for the implementation of policies of the national department and other local issues (South Africa, 1996b). The focus of this study, however, was in the segment of public schools in South Africa, which falls under the DBE.

2.6.1 Basic Education in South Africa

Basic education in South Africa refers to all public and private schools from Grade R to Grade 12. This includes early childhood development centres and special needs schools, and all adult learning programmes in which all learners have access to lifelong learning (South African Government, 2014). The DBE describes their vision as a South Africa where everybody will have access to lifelong learning, education and training opportunities to improve the quality of life and build a peaceful democratic South Africa (Department of Basic Education, 2014c:6). In the 2014 Service charter of the DBE, the mission highlights that they want to deliver leadership in the creation of a South African education system for the 21st century (Department of Basic Education, 2014c:6).

2.6.1.1 The Structure of Basic Education in South Africa

Section 12 of the South African Schools Act (84/1996) defines public schools as schools that are made available from funds provided by the provincial legislature by a member of the executive council (MEC), for the education of learners (South Africa, 1996b). The Act (84/1996) also frames the independent rights of schools' management to make decisions and manage their own schools, where Section 16(1) states that the governance of every public school is vested in the SGB (South Africa, 1996b). Hence, within the structure provided by the South African Schools Act (84/1996), the SGBs of public schools are mainly responsible for the management of their schools.

Chapter 1 (see Section 1.3.2) mentioned that the movement towards decentralisation of power to public schools is consolidated in Section 20 and 21 of the South African Schools Act (84/1996). It is further stated in Section 1.3.2 that the law differentiates between schools with Section 20 status and schools with Section 21 status. These schools with Section 21 status were assigned additional functions as specified in Section 21 of the act (84/1996). Section 1.3.2 revealed that the South African Schools Act (84/1996) assigns the power to manage public schools to the SGBs and it makes provision for education authorities to delegate some responsibilities to schools. The Act (84/1996) referred explicitly to certain responsibilities, namely (South Africa, 1996b):

- adoption of a constitution;
- development of the mission statement of the school and a code of conduct for the school and learners;
- development of policies;
- support to the personnel in the performance of their duties;
- administration and control of the schools' properties; and
- recommendation of the appointment of educators, employment of additional educators, and paying salaries out of school funds.

The Act (84/1996) further authorised the SGBs to allow the use of the schools' facilities for any school, community or social purposes (South Africa, 1996b). Section 21 of the act (84/1996) provides opportunities for SGBs to take more responsibilities regarding maintenance and improvement of school's property and buildings, purchasing learning equipment for the school, and paying for additional services to the school (South Africa, 1996b). A change in policy on school fees in 2006 permits the DBE to proclaim schools

in poor societies as No-fee schools (South Africa, 2006:2). The South African Schools Act (84/1996) was revised by the Education Laws Amendment Act (24/2005), which authorises the declaration of schools in poor communities as No-fee schools. The Education Laws Amendment Act (31/2007) clarifies the roles and responsibilities of school principals in these schools (South African Government, 2014).

No-fee schools are also self-managing, but are not permitted to charge school fees. The establishment of No-fee schools was an effort to improve access to education for learners from poor communities (Department of Basic Education, 2014a:9). The No-fee schools' effort started to pay off as the percentage of learners who paid no tuition fees increased from 0.8% in 2002 to 56.8% in 2012. The Limpopo province was at 88.8% the highest proportion of non-payers, followed by the Eastern Cape at 73.5% (South African Government, 2014). Therefore, the socio-economic context of schools' communities cannot be ignored as it might have an impact on the management of performance in these schools.

2.6.1.2 Socio-economic Context and School Governance in South Africa

The demography and population of South Africa and the number of schools involved in the move towards self-management for all schools highlights the importance and complexity of the task to ensure that all schools have functional governing bodies that can manage performance in their schools.

A review of Table 2.1 below revealed that 23 719 public schools served approximately 12,3 million learners during 2016 and 381 394 educators. Independent or private schools had 590 352 learners served by 1 855 schools and 37 219 educators. The enrolment of learners in South Africa improved dramatically between 2003 and 2016. Grade R enrolment has more than doubled, from 300 000 in 2003 (South African Government, 2014) to 813 044 in 2014 (Department of Education, 2014b:2). It is encouraging that enrolment is well on track to meet government's target of achieving 100% coverage for Grade R learners, more learners are completing grades 9 and 12, and the percentage of Grade 12 learners who qualify for Bachelor's degree studies increase (South African Government, 2014). Almost 95% (12 342 213 / 12 932 565) of all learners in South Africa attended public schools during 2016, as shown in Table 2.1. Consequently, the need for effective management of these schools to enhance education is exposed.

Table 2.1: Number of learners, teachers and schools in the ordinary sector in 2016

Province	Public schools			Independent schools		
	Learners	Teachers	Schools	Learners	Teachers	Schools
Eastern Cape	1 898 723	58 372	5 469	62 824	3 257	207
Free State	671 712	22 465	1 214	16 637	1 058	68
Gauteng	2 048 558	63 092	2 083	278 026	18 986	730
KwaZulu-Natal	2 808 137	84 810	5 895	69 407	4 989	247
Limpopo	1 706 725	51 650	3 867	58 830	2 768	151
Mpumalanga	1 046 234	34 034	1 725	28 118	370	122
Northern Cape	287 435	8 841	545	4 080	295	30
North West	811 340	24 876	1 471	19 207	1232	63
Western Cape	1 063 349	33 254	1 450	53 223	4 264	273
South Africa	12 342 213	381 394	23 719	590 352	37 219	1 855

Source: Department of Basic Education (2016:1)

A review of the National budget of South Africa also revealed the extent of education and the impact thereof on the countries' socio-economic sphere. Figure 2.2 illustrates the percentage expenditure allocated to the sectors in the National budget, while Figure 2.3 illustrates the detailed percentage allocated to the different education sectors.

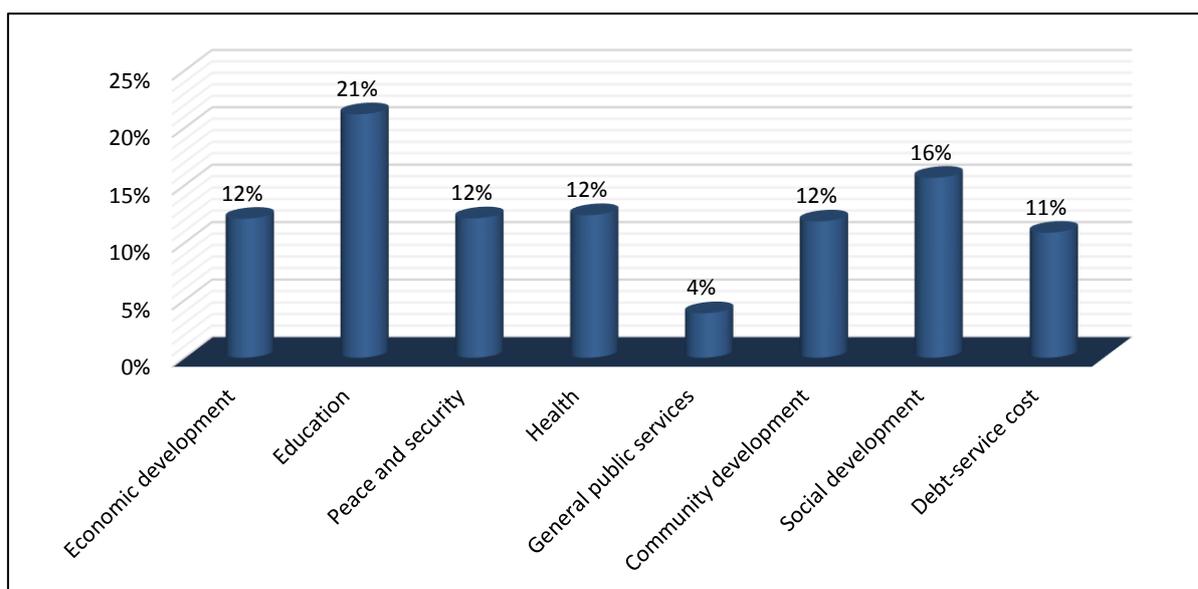


Figure 2.2: National budget allocation 2018

Source: South Africa (2018:1)

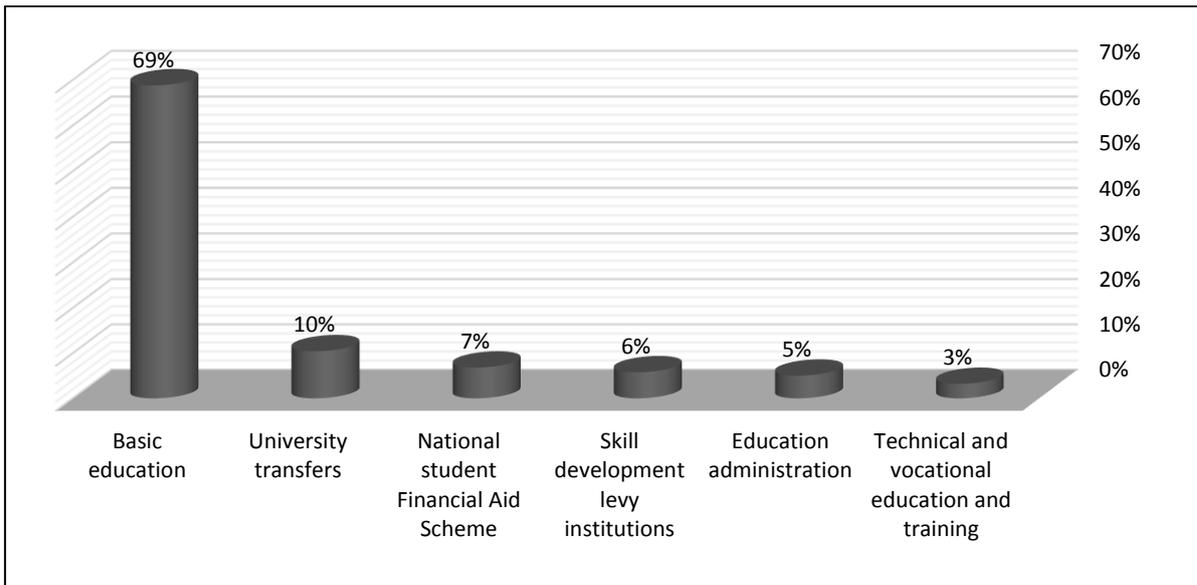


Figure 2.3: Education budget allocation 2018

Source: Source: South Africa (2018:1)

The minister of finance allocated R351,1 billion to education in South Africa's national budget for 2018/2019. Figure 2.2 illustrates that it was 21% of the total budget in South Africa. It is further clear from Figure 2.3 that 70% (R230,4 billion) of the education budget was allocated to the DBE. This demonstrates that 14% (1 657,1bn/230,4bn) of the total budget of South Africa was allocated for basic education in 2018. This places the focus on the importance of effective management of schools and the effective use of resources.

Although education absorbs a significant portion of the budget, the education problem persists due to the long history of inequity. According to Heystek (2011:458), the formerly white schools in South Africa are still located in the better socio-economic areas and still offer higher quality education with better-educated parents in their communities than the non-white schools in the poor communities. Heystek (2011:458) further stated that this situation has a significant impact on the ability of parents to serve on the SGB and to perform their expected management duties. While parents in the poor communities are unable to pay school fees, the infrastructure and facilities in the formerly white schools are better.

Khuzwayo (2009:90) added that previously advantaged schools have better academic results and most of them can call on skilled parents to serve on the SGB and enhance the management of the school. An enormous number of the South African population is not sufficiently educated to meet the requirements of reading and writing (Statistics

South Africa, 2011). A review of the statistics from Statistics South Africa (2011) exposed an unequal distribution of literacy between the different ethnic groups in South Africa. Therefore, it might be clear that education in the poor communities still struggle to keep up and the children in these communities are still unprivileged. The relationship between schools' performance and inequality in South Africa are reviewed in Section 2.7.2.

In synthesis, the South African Schools Act (84/1996) provides for public schools in South Africa to be categorised as Section 21, Section 20 and No-fee schools. Section 20 and Section 21 schools refer to the section in the South African Schools Act (84/1996) which define the different functions delegated to SGBs that act on behalf of their schools. SGBs are responsible for the management of all public schools. However, members of SGBs in poor communities might lack the competency and literacy for the task delegated to them.

The management of Section 21 schools is given more responsibilities to control the school's finance and resources than the SGB of other schools. This study, however, focused on Section 21 and No-fee schools to ensure that the full range of diversity of public schools in South Africa were included.

2.6.2 Structure and Policy Framework for Public Schools

A review of South Africa's education system indicated that it was questionable that any chosen idea for the management of South Africa's public schools would have been acceptable for all stakeholders, taken in account the disruptive and challenging history of education in South Africa. Roos (2009:57) mentioned that legislation, which delegated essential decision-making authorities regarding admission policies, school fees and appointment of staff to bodies outside the control of the DBE, could never be tolerable to all. However, it is embedded in the partnership that is replicated in the South African Schools Act (84/1996). The Act (84/1996) refers to a joint responsibility of a partnership that involves the state, learners, parents and teachers to govern schools (South Africa, 1996b).

Roos (2009:58) mentioned that regardless of the complexity of the partnership as previously mentioned; some fundamental principles provide a useful policy framework within which to operate. He stated that all public schools are juristic persons and

therefore allowed to exercise some essential functions where the SGBs act on behalf of the schools. Roos (2009:58) highlighted that these functions are not merely delegated to SGBs, but are legalised by the South African Schools Act (84/1996). Therefore, it cannot be taken away by political office bearers or officials.

The elected members of the SGBs are all equal managers of the school with the responsibility to manage the schools within the framework and not to represent the interest of the sector from which they were elected (Roos, 2009:58). Finally, Roos (2009:58) also referred to the importance of differentiation between schools' governance and professional management. School governance is the responsibility of the SGBs and professional management the duty of the school principals and teachers. These guidelines provide a clear framework for a workable relationship between the DBE, the SGBs and the SMT.

As previously mentioned, Section 21 schools are legally framed around the functions that are allocated to SGBs of public schools by the Head of the DBE (South Africa, 1996b). These functions separate Section 21 schools from Section 20 schools and are explored in more detail. Schools management are given the control over financial decisions to ensure effective management of regular spending. This includes improvement and maintenance of property, buying educational material, and making direct payments to service providers (South Africa, 1996b). However, Khuzwayo (2009:17) emphasised that the head of the Department of Education may decide to draw back the Section 21 status when schools' management do not comply with regulations to submit their financial documents in time and to keep an accurate record of the spending. Thus, it implies that the governing bodies of schools with Section 21 status are more in control and accountable regarding the effective management of regular spending. Therefore, suitable skills for Section 21 SGBs are required.

The South African Schools Act (84/1996) Section 24, states that the principals of all public schools, in their official capacity, are ex officio a member of the SGB and they have to act in tandem (South Africa, 1996b). Section 24 (South Africa, 1996b) also constitute the following:

- the other members elected are parent members elected by parents;
- teacher members elected by teachers of the school;

- learner members elected by learners of the school (in secondary schools only);
and
- non-teacher members elected by non-teacher employees of the school.

These SGB members are elected every three years. The chairperson of the SGB must be one of the parent representatives, and the parent representatives must be one more than all the other members, together (South Africa, 1996b Sec. 24). This gives parents the majority in the SGB. The South African Schools Act (84/1996) defines a parent as (i) the parent or guardian of a learner of the school; (ii) the person legally entitled to custody of the learner; (iii) or the person who undertakes to fulfil the obligations of a parent towards the learner's education at the school. The election of a parent member by parents of the learners in the school gives rise to the democratic governance of the school by the communities.

Section 1.3.2 in Chapter 1 referred to the joint responsibility of the SGBs and SMTs to manage their schools. The importance of differentiation between the two parties was emphasised earlier in this section. Naidoo (1999:43) stated that the SMT usually involves the principal, deputy principal(s) and heads of departments of the school. Pillay (1998:60) added that one of the vital duties of the SMT is to ensure a teaching and learning atmosphere. Brunton (2003:C-64) highlighted the SMT's and SGB's responsibilities to ensure the effective use of funds for the benefit of the learners. Although the day-to-day management of a school is the responsibility of the SMT, the SMT members are also staff members and their appointment is mainly vested in the power of the SGB. This also stresses the democratic rights of parents and communities to manage their schools.

2.7 PERFORMANCE CHALLENGES IN THE SOUTH AFRICAN SCHOOL SYSTEM

The core impediment to high-quality education and equity in education is the inability to understand the complex nature of how social inequality is organised and preserved (Portes, 2005:3). Despite the reallocation of resources to schools in poor communities since 1994, extensive educational discrepancies persist. Even though South Africa has spent more than 20% of its annual budget on education, education available to the majority remains in a poor state (Modisaotsile, 2012:2; National Planning Commission. 2011:3). The education system of South Africa is one of the most ineffective education

systems in Southern Africa (Jansen, 2011:100). It is important to review the relationship between school performance and inequality in South Africa to develop a school-based performance management framework that will be flexible to suit all public schools.

2.7.1 School Governing Bodies and High-Quality Education

It is debatably that the composition of SGBs, the functions allocated to them and most of all their ability to perform their duties are essential in the assessment of the effectiveness of schools' governance in South Africa's educational context (Heystek, 2011:459). Finally, Heystek (2011:465) concluded that the selection cycle of three years might not allow enough time for parent SGB members to play an important role in providing high-quality education. The influence of the SGBs on the quality of education is also affected by the differentiation between schools' governance and professional management, previously mentioned in Section 2.6.2. Heystek (2011:459) also referred to this differentiation and stated that the distinction between governance and management is not clear in the South African Schools Act (84/1996). Literature regularly referred to the conflict between parent representatives and principals about this grey area (Mncube, 2009:85; Tsoetsi, Van Wyk & Lemmer, 2008:386; Grant Lewis & Naidoo, 2006:421; Ngidi, 2004:261). However, training of SGB members should solve some of these problems.

Section 19 of the South African Schools Act (84/1996) (South Africa, 1996b) makes provision for the training of SGB members by the head of the DBE. However, according to Heystek (2011:459), this training is not on a sufficient standard and the principals then need to carry the load of training SGB members. Mncube (2009:86) and Ngidi (2004:262) both referred to this training by principals and highlighted that the relationship between the principal and the SGB influence the determination of the principal to train them. Heystek (2011:459) further added that competent SGB members manage only a small percentage of public schools in South Africa and that most SGBs found it problematic to govern schools towards high-quality education. Despite this, as previously mentioned, one of the main aims of the South African Schools Act (84/1996) is to provide high-quality education for all. Therefore, it might be clear that schools' lack of competent SGB members, who have to face the

challenges in the South African schooling system, as reviewed in the next section, might hamper the achievement of the aim for high-quality education.

2.7.2 The Relationship Between School Performance and Inequality in South Africa

As pointed out in the introduction of Chapter 1, the effects of segregation of people in South Africa under apartheid are still observable in the highly unequal education system in the country today. Coetzee (2014:5) agreed and added that the quality and outcomes of education in South Africa correlates with socio-economic status, race and geographical location. It was further revealed in Section 2.4 that the South African government has gone to great lengths to eliminate the consequences of apartheid, ensure more proper dissemination of resources and increase the education funding. Van der Berg, (2009:101) mentioned that in 2009 the most underprivileged 40% of households received 49% of the education spending. However, according to Coetzee (2014:5), the elimination of racial boundaries in South Africa and the reallocation of funds towards the most underprivileged did not proclaim the end of the quality gap between the former white and former black segments of the education system.

This quality gap led to the fact that research describes the South African education system as bimodal, implicating that the data gathered from these schools should be treated separately (Taylor, 2011:41; Fleisch, 2008:121; Van der Berg, 2008:11). According to Coetzee (2014:6), black learners in historically black schools underperform significantly, while black learners in the historically white schools perform better. Spaul (2014:2) also referred to the two public schooling systems in South Africa. One which covers approximately 25% of public schools and which is efficient, wealthy and competent to educate students, and the other one that covers 75% of public schools which is poor, inefficient and incompetent to provide students with the required knowledge and expertise they need in their schooling career. The consequences of this inequality extend into the labour market and capture those who were unfortunate enough to attend schools in the wrong segment of the schooling system in a poverty trap (Shepherd, 2011:1; Van der Berg, 2008:13). Spaul (2014:2) agreed that schools in disadvantaged communities are still underdeveloped with poor self-images, still suffer under economic depression, unemployment and crime, and that

most black learners continue to attend schools that dooms them to poverty and unemployment.

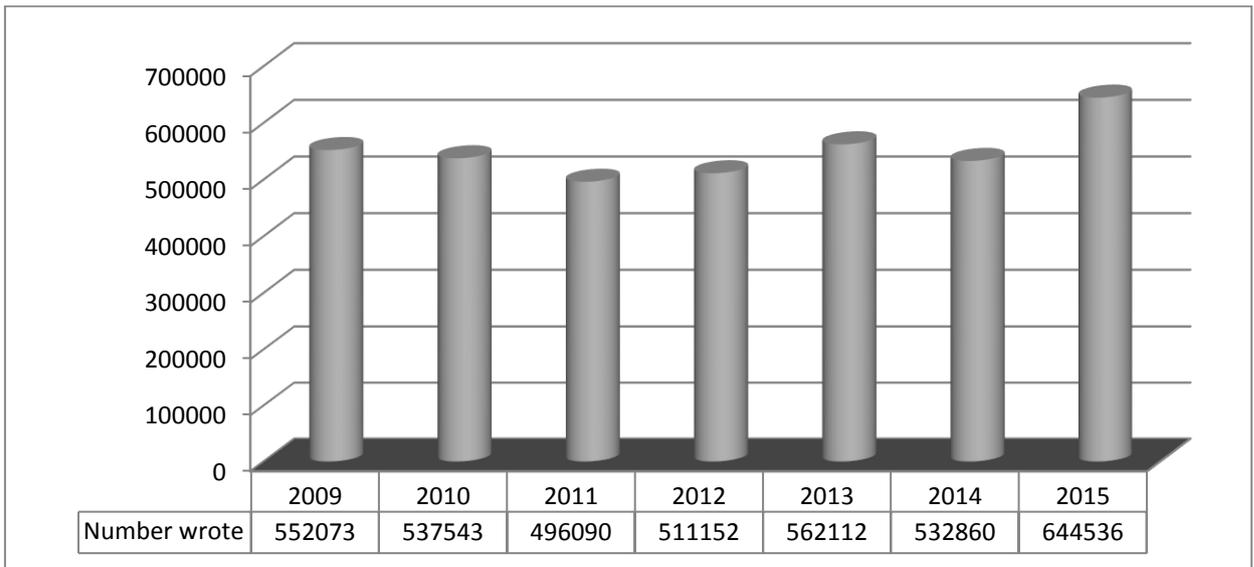
However, Coetzee (2014:6) also mentioned that the reasons for this inequality in the quality of education are not easy to identify and resolve. He referred to the number of learners per teacher as 33 in the formerly black schools, and 22 in the formerly white schools. Furthermore, the level of motivation of teachers is higher in the formerly white schools. Taylor (2011:42) added to this by concluding that more than 75% of the teachers in the formerly white schools have dealt with the prescribed curriculum, while only approximately 26% of the teachers in the formerly black schools dealt with the curriculum in 2013. The performance of teachers and learners are therefore reviewed in more detail in the following section.

2.7.3 Performance of Schools

By using the BSC and the IQMS, this study aims to develop a school-based performance management framework that suits all public schools. This framework must be flexible enough to be effective in all the different public schools, and still meets the requirements of the DBE. It is therefore vital to review the performance of the public schools in South Africa.

2.7.3.1 Academic Performance of Learners

Figure 2.4 demonstrates the number of candidates who have written the National Senior Certificate from 2009 to 2015 while Figure 2.5 demonstrates the pass rate in the same period.



**Figure 2.4: Number of candidates who have written the National Senior Certificate:
2009 – 2015**

Source: Mweli (2016:44)

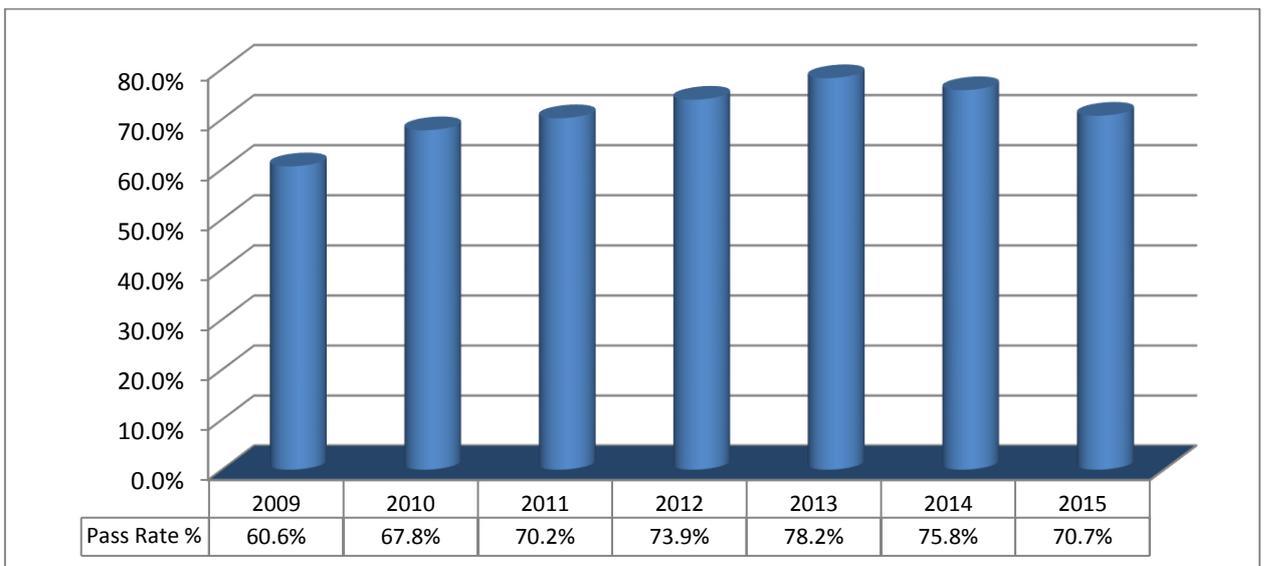


Figure 2.5: National Senior Certificate pass rate: 2009 – 2015

Source: Mweli (2016:52)

Chapter 1 highlighted that grade 12 results shows a poor picture when used as an absolute measure of annual performance and that a comparison of the results with previous years might be misleading. The pass rate in 2013 for the National Senior Certificate examination was 78.2%, which was the highest since 1994 (Department of Basic Education, 2014:39). However, a review of Figure 2.5 revealed that the pass rate dropped back to 75.8% in 2014, and 70.2% in 2015 (Mweli, 2016:52; Department of

Basic Education, 2015:40). A total of 644 536 candidates wrote the 2015 examination (see Figure 2.4). Approximately 455 700 candidates passed, and 166 263 obtained university entrance passes (Mweli, 2016:59). The document (Mweli, 2016:75) further revealed that the number of Grade 12 learners who passed mathematics has declined as follows:

- 59.1% in 2013
- 53.5% in 2014
- 49.1% in 2015

Only 3% obtained distinctions in this critical subject in 2015.

Physical Science pass rate also declined as follows:

- 67.4% in 2013
- 61.5% in 2014
- 58.6% in 2015

Only 3.1% of the grade 12 learners achieved distinctions (Mweli, 2016:75).

When splitting the pass rate into the different districts, it became clear that 8 of the 81 districts in the country achieved pass rates below 50%. These districts were among the most impoverished disadvantaged communities in the country (Mweli, 2016:84). According to Bayat, Louw and Rena (2014a:41), an underperforming school in South Africa is defined as a school failing to achieve a Grade 12 pass rate of more than 60%.

In line with this poor performance, literature also referred to grade repetition as an essential issue. Figure 2.6 demonstrates this for 2009 to 2014.

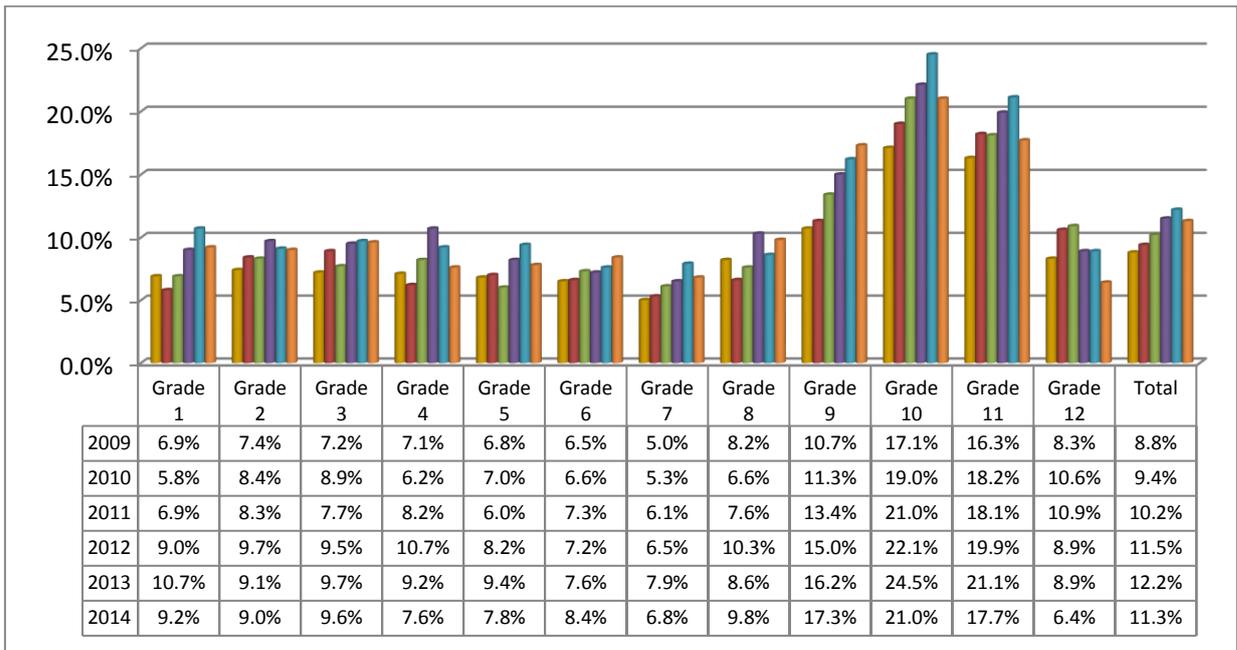


Figure 2.6: Repeat percentage per grade 2009 - 2014

Source: Mveli (2016:33)

Different studies (Bayat *et al.*, 2014a:41; Bayat, Louw, & Rena. 2014b:189; Fleisch, 2008:123) also showed an underperformance of schools in South Africa and that schools face continuing problems with poor performance which frequently leads to high rates of grade repetition. Figure 2.6 illustrates that the repetition rate increases dramatically in Grade 9, Grade 10 and 11. Up to 21% of Grade 10 learners repeated their Grade in 2014.

2.7.3.2 Dropouts and Repetition Rates

The Report on Dropout and Learner Retention Strategy to the Portfolio Committee on Education defines ‘dropout’ as the number of learners exiting the schooling system before completing Grade 12 and the effect this have on the success of the South African education system (Department of Basic Education, 2011:2). It is the objective of the Department of Education to implement complete education at all levels of the system by 2020 (Department of Basic Education, 2014:25). The document explains that the system will facilitate the inclusion of disadvantaged learners and reduce the barricades to learning through support structures that will increase the throughput levels of learners in schools focusing on learners who are likely to drop out (Department of Basic Education, 2014:25).

Jansen (2011:100) identified dropout rates, grade repetition and enrolment as effectiveness measures for schools. He (Jansen, 2011:101) further concluded that this reveals a picture of poor performance in South Africa as fewer than 50% of all Grade 1 learners in 2000 had made it to Grade 12.

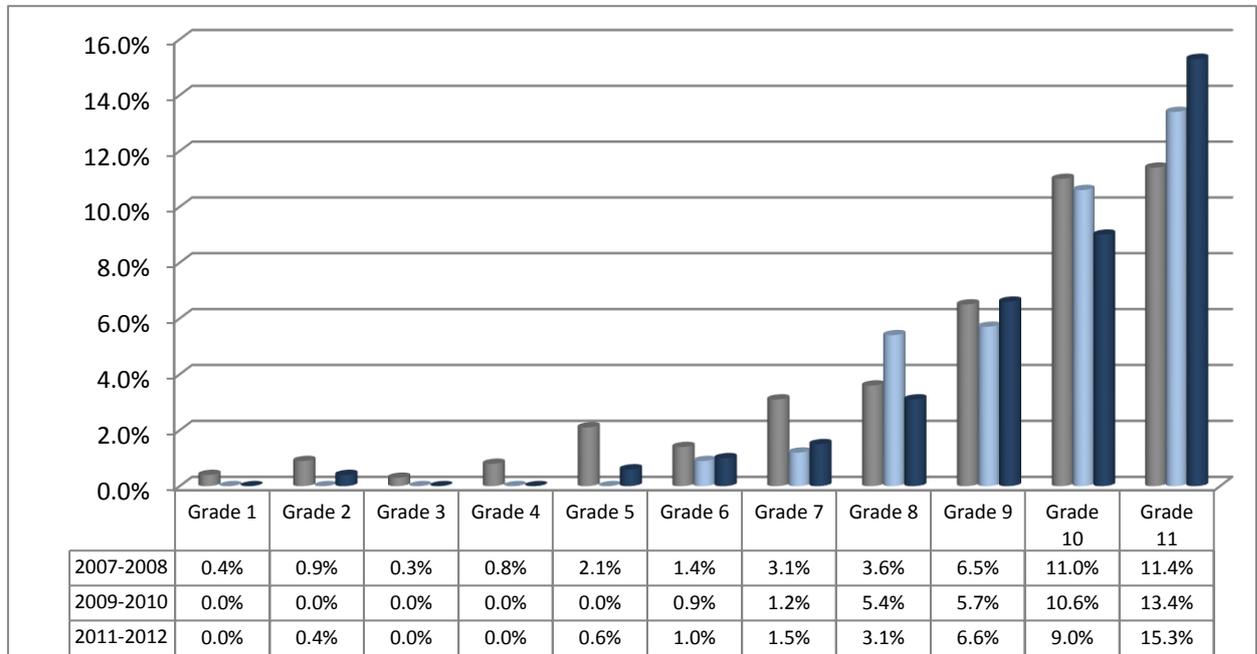


Figure 2.7: Dropout rates per grade 2007 - 2012

Source: Mwelil (2016:34)

Figure 2.7 shows that for learners in the primary sector the dropout figures per grade fluctuated between 0% and 4%. The dropout rate per grade increased and fluctuated between 3% to almost 16% for learners in the secondary sector (Mweli, 2016:84). The highest dropout rate was for Grade 10 and 11.

Some of the core reasons for high dropout rates were teenage pregnancy, lack of motivation, poverty, family structures and support in schools (Department of Basic Education, 2011:3). Some other major contributing factors to non-enrolment, school dropout and non-completion identified were violence and unsafe schools that prevented reasonable access to education (Department of Basic Education, 2014:166; Modisaotsile, 2012:3). This, however, might be part of the reasons why academic standards are lowered as reviewed in the next section.

2.7.3.3 Lowering Academic Standards

The South African government spends more on education than on any other sector. It was mentioned in Section 2.6.1 that about 20% of total state expenditure goes to education. According to Moloji (2014:270), this makes the country's public investment in education one of the highest in the world. Despite this, Modisaotsile (2012:2) stated that many learners struggle to progress and to advance to tertiary education and training, due to a lack of a suitable base in literacy and numeracy. Moloji (2014:270) was of the opinion that bad performance and pass rates undermine the country's return on investment. Moloji (2014:264) expressed his concern about the standards of education in South African schools and stated that the pass rate of 40% in three subjects and 35% in another three subjects, means that Grade 12 learners might obtain a Grade 12 certificate by only scoring 35% in the Grade 12 examination.

On the other hand, any of South African universities requires a learner to obtain at least 50%, and this is not guaranteed to all students who received a school-leaving certificate (Moloji, 2014:264). Most South African universities needed to amend admission requirements, as Grade 12 results are not dependable anymore (Jansen, 2011:102). This might be why the fundamental critical literacy and numeracy skills are not up to standard and are criticised by researchers (Modisaotsile, 2012:2). It also puts the focus on the performance of teachers.

2.7.3.4 Teacher Performance

Teacher excellence and the lack of effort by teachers are often cited as significant drivers of South Africa's education crisis. A lack of discipline and focus of teachers in most black schools were highlighted by Mrs Motshekga, the former Minister of Basic Education, as one of the main reasons for the crisis of the education of black children in South Africa (Modisaotsile, 2012:5). According to Moloji (2014:265), the quality of teaching in South Africa is inferior, particularly in the previously black schools. Armstrong (2014:1) added that South African teachers are unable to guarantee high-quality education either because they are unable to, or refuse. Remedial action should focus on changing behaviour or on improving and enhancing the knowledge base of teachers respectively.

Armstrong (2014:1) was of the opinion that the lack of energy amongst teachers is the main burden to the development of learners' skills in South Africa. He suggested that the policy should be focused on designing attractive incentives for teachers. Zulu, Urbani, van der Merwe and van der Walt (2004:172) concluded that up to 76% of their respondents are witnesses of violent attacks on learners. Modisaotsile (2012:5) highlighted sexual harassment as one of the major problems in South African schools and specifically mentioned the involvement of teachers. He was of the opinion that many teachers create an unsafe environment for learners. Violence on teachers by learners however also create significant burdens for the effectiveness of teachers (Zulu *et al.*, 2004:172). Makhasane and Khanare (2018:22) concluded that violence on teachers increased and result in an unproductive learning culture in schools. However, Saunders (2011:1) referred to substantial evidence that some schools from the poor communities achieve decent results due to strong leadership by principals who ensure good discipline of teachers. Some main problems mentioned explicitly by Modisaotsile (2012:5) are late coming of teachers, teachers not doing what they are supposed to do, and alcohol abuse at school by teachers. Lack of interest in the progress of learners, poor day-to-day preparation, absenteeism from school and classrooms were also identified as key role-players in the poor performance of teachers in South Africa (Armstrong, 2014:1).

Some possible reasons for the poor performance and lack of motivation by teachers were identified as poor salaries, heavy workloads, few opportunities for career advancements, unworkable policies, uninvolved parents, poor student discipline and continuous changes in the education system (Dehaloo & Schulze, 2013:226). Poor infrastructure, poor race relations, unsatisfactory appointment and promotion processes, and poor relations between management and staff were also identified as contributing factors to the poor performance and motivation of teachers (Dehaloo & Schulze, 2013:226). The next section shows that teaching in rural areas in South Africa is particularly challenging due to poor infrastructure.

2.7.3.5 The Infrastructure of Public Schools

A study by The United Nations Children's Fund (UNICEF) in 2000 in India concluded that the learning environment strongly correlates with pupils' achievements and that the infrastructure has a strong influence on the quality of teaching (Unicef, 2000:24).

Some main challenges, related to poor infrastructure faced by schools in rural areas, include (i) a lack of clean water, (ii) lack of proper sanitation, (iii) overcrowding in classrooms, and (iv) inadequate resources (Dehaloo & Schulze, 2013:227). After years of democracy, a significant number of South African schools still do not have access to vital learning resources (Modisaotsile, 2012:4). These shortages vary from libraries, laboratory material and books and are a massive contributor to the decline of standards and quality of education (Modisaotsile, 2012:4).

A review of the 2014 report on the infrastructure of public schools in South Africa (Department of Basic Education, 2014b), issued by the DBE, confirmed the poor state of infrastructure of many public schools in South Africa (see Figure 2.8). The review revealed that a significant number of schools from the 23 740 public schools used in the report were unable to deliver the basic needs of learners.

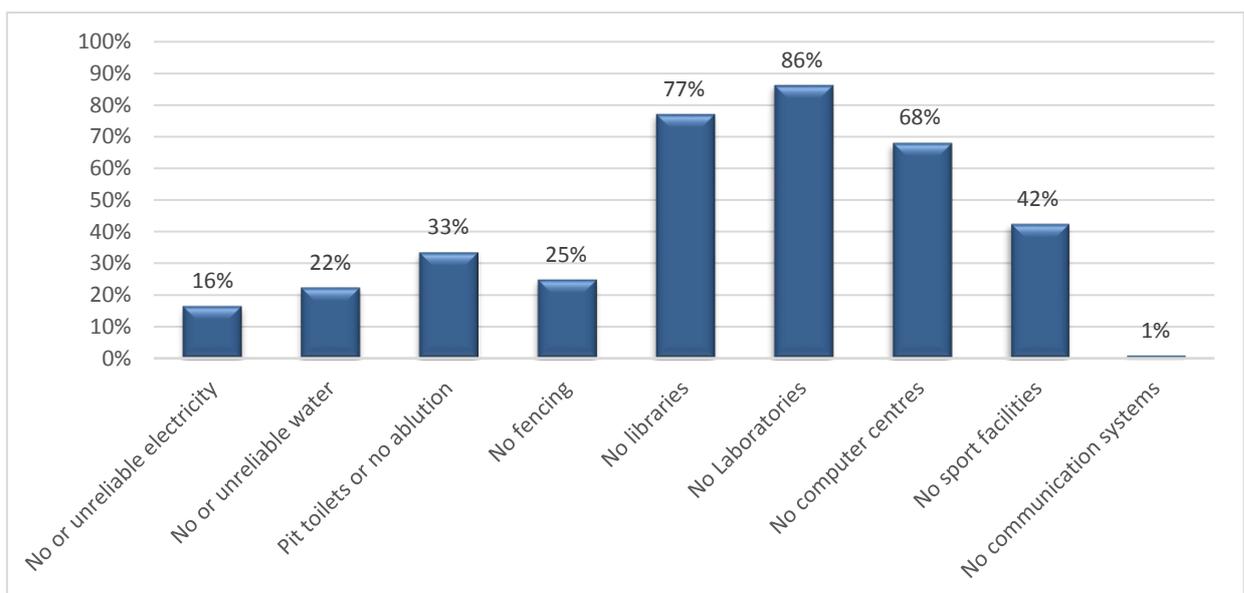


Figure 2.8: National Infrastructure Management System Report 2014

Source: Department of Basic Education (2014b)

A small percentage of schools do not even meet the basic needs like water and ablution facilities. In 2014, almost 22% had no or unreliable access to water, while 33% had pit toilets or no ablution facilities at all. Approximately 16% of these schools had no or unreliable electricity. The report (Department of Basic Education. 2014b) also exposed that 42% of these schools had no sports facilities and 25% had no fences (see Figure 2.8). Poor academic facilities also jeopardised the academic performance. From these schools, 86% had no laboratories, and more than 77% had no libraries. Approximately 68% had no computer centres. This might reveal that the DBE and the

SGBs do not succeed in managing the resources or supply the needed infrastructure to schools to ensure high-quality education. According to the Annual report of the DBE for 2016/2017 (Department of Basic Education, 2017b), 179 advanced schools were built and handed over to communities, while sixteen were completed during 2016 since the start of the Accelerated School Infrastructure Delivery Initiative. It was already stated that the management of the schools' resources is vested in the SGBs. The next section, therefore, reviews the financial management of schools. The possibility exists that SGBs of these schools do not have the competence to manage the schools.

2.7.3.6 Financial Management in Public Schools

The responsibilities of SGBs, as stipulated by the South African Schools Act (84/1996) (see Sections 36, 37 & 38 of the South African Schools Act (84/1996) have been defined in Section 2.6.1. The SGBs requires advanced financial skills to meet these responsibilities. Bayat *et al.* (2014b:47) also highlighted the importance of the impact of the SGBs when stating that leadership have a substantial effect on the quality of teaching and learning at schools.

Naidoo's (2010:105) research study on financial management in Gauteng's primary schools established that 20% of parents disagreed that the school's budget was annually approved by them. Approximately 19% of parents pointed out that the school's management did not consult them before increasing the school fees. Studies also established that most schools in rural communities did not have a strategy or did not link their budget with their strategy (Naidoo, 2010:109; Khuzwayo, 2009:76). A key challenge, according to Modisaotsile (2012:4) was the lack of financial knowledge and skills among SGB members. They were unable to develop practical solutions to practical problems.

This was also the conclusion of Mouton, Louw and Strydom (2013:36) who stated that members of the SGBs were incapable of performing their duties and were frequently absent from meetings and training. This led to severe consequences for the schools. They (Mouton *et al.*, 2013:36) added that these SGBs are merely manipulated, leaving space for corruption and nepotism. Xaba (2011:103) also referred to these challenges of SGBs, especially in poor communities. Bayat *et al.* (2014b:54) concluded that the impact of the SGB on the performance of schools was limited, while they potentially should make meaningful contributions. Many schools might, therefore, struggle to

conform to regulations. Consequently, the SGBs might not have the financial knowledge to manage finances effectively.

In synthesis, education has been listed as a top priority in the National Development Plan. However, a review of the performance of schools exposed many challenges and shortcomings. It revealed that most schools' academic performance, dropout rates, and repetition rates are not acceptable. Academic standards are lowered and the poor performance of teachers contributes to the problem. Also, the infrastructure of schools in poor communities is not adequate. Many researchers highlighted the incompetency of schools' SGB members to perform their duties and to manage the school and its resources. These performance problems and poor management in schools refer to performance management problems and therefore the next section reviews performance management in South African schools.

2.8 PERFORMANCE MANAGEMENT IN SOUTH-AFRICAN PUBLIC SCHOOLS

Section 1.3.4 in Chapter 1 exposed that the IQMS, as the formal performance management system, consists of Developmental Appraisal, Performance Measurement and WSE. This section reviews the IQMS in detail to develop a school-based performance management framework. This section also reports on the first sub-research question:

To what extent does the IQMS serve the purpose to manage performance in self-managing schools in South Africa?

2.8.1 Background to the IQMS

It was already mentioned that there were more than one education systems before 1994 and therefore more than one type of evaluation system was in use. However, according to Mosoge and Pilane (2014:2), all these evaluation systems were traditional performance evaluation approaches. It was the sole responsibility of inspectors to evaluate the performance of teachers. The two main areas of evaluation were administration and classroom management. Criticisms of these traditional inspectors' approach raises issues, namely (i) the dominance of political unfairness, (ii) the unchecked authority, (iii) incompetence of inspectors, (iv) worthlessness of some evaluation criteria, (v) the lack of circumstantial factors, and (vi) that evaluation was

used as a disciplinary measure rather than a developmental measure (Ntombela, Mpehle & Penciliah 2010:362). They (Ntombela *et al.*, 2010:361) also stated that the performance management policies had to be revised to reflect democratic values through which teachers could be assessed, to stay in line with the transformational requirements of the country. However, according to Odhiambo (2005:403), there was a paradigm shift from a judgmental system towards a developmental performance evaluation approach for teachers to continuously develop teachers since 1994. Odhiambo (2005:403) highlighted the importance of a suitable evaluation system that enhances performance development for teachers and contributes to the improvement of the quality of education.

Teachers and teachers' unions also made higher demands for a change of the teachers' evaluation and development system (De Clercq, 2007:99). In 1998, the Development Appraisal System was introduced by the Department of Education, followed by the WSE system in 2001. However, according to De Clercq (2007:99), the Department of Education came across serious difficulties and conflicts when implementing these systems. Some objections mentioned by De Clercq (2007:99) included (i) that educators and teachers' unions raised frustration about the introduction of these systems in schools, (ii) that these systems are still mainly considered as subjective and judgmental, and (iii) that it does not include the opportunities for development of teachers. Teachers' unions also believed that supervisors continued to accept the same judgemental approach as was the case with inspectors before 1994. This was ineffective since teachers' development was not prioritised and provinces were incapable of implementing the systems effectively (Hamilton, 2015:2). Therefore, as part of the unified quality improvement plan, the IQMS was introduced by the Education Ministry of South Africa in 2003 to measure and improve the quality of schools' management and teaching and learning (Dhlamini, 2009: v). The IQMS, according to Hamilton (2015:2) intended to incorporate and reinforce the different modules of Developmental Appraisal, Performance Measurement and WSE. The implementation and application framework of the IQMS, however, is constituted by the IQMS policy document and is reviewed in the next section.

2.8.2 Description and Purpose of the IQMS

The IQMS brings together different forms of monitoring and assessment in the hope that the new integrated system overcomes obstacles in the previous South African education system. Various authors and researchers on performance evaluation defined the IQMS. According to the “Education for all country report” (Department of Education, 2015:38), the IQMS is a crucial policy initiative by the Department of Education with an aim to increase the quality of education of entire South Africa. De Clercq (2008:12) however, referred to the IQMS as a system that was recognised by the Department of Education, the Education Labour Relations Council and unions and defined it as a performance management system with the main focus on monitoring of school education. The South African Democratic Teachers Union (SADTU, 2013:6) also referred to the IQMS as a performance management instrument for teachers and schools, created for the evaluation of the performance of schools’ and individuals with the aim to improve the schools’ performance. The IQMS combined the WSE, the Development Appraisal and Performance Measurement. The WSE focusses on the overall performance of the school while Development Appraisal and Performance Measurement are concerned with the teachers’ component (Biputh, 2008:22; De Clercq, 2008:12; Weber, 2005:64).

The IQMS aims to detect the needs of teachers and schools with the intention to enhance and support teachers’ and schools’ development and growth (Education Labour Relations Council, 2003:1). Furthermore, it aims to control teachers’ competence and evaluate their strengths (Department of Education, 2002b:2). This was required since the achievement of the learner, specifically in schools in poor, rural communities, were substandard and educational managers were not answering to the intensified expectations of stakeholders and communities (Bisschoff & Mathye, 2009:400).

The focus was also placed on the determination of teachers’ areas of strengths and weaknesses during the evaluation process. Hariparsad, Bisschoff, Conley, Du Plessis, Hlongwane, Loock, and Mestry (2006:2) further highlighted the importance of transparency during the evaluation process. The primary drive of evaluating teachers is accountability, professional development, and personal growth of teachers (Daley & Kim, 2010:5; Ovando & Ramirez, 2007:89; Middlewood, 2002:121).

For a performance evaluation system to work, Middlewood (2002:121) emphasised that a balance be needed between accountability and professional development. This might propose that summative and formative assessment enhance each other and that it can be used simultaneously. Naidu, Joubert, Mestry, Mosoge and Ngcobo, (2008:49) added that the IQMS is founded on a philosophy that the fundamental objective of quality assurance aimed to:

- establish competence;
- evaluate the strengths and areas of development;
- offer support and opportunities for development;
- guarantee growth;
- endorse accountability;
- observe the effectiveness of schools, and
- to develop ways to reduce the workloads of teachers.

Some additional purposes raised by Hariparsad *et al.* (2006:2) are the evaluation of teachers for salary progression, affirmation of appointments and incentives, and the evaluation of the overall effectiveness of the school. Therefore, it can be concluded that the purpose of the IQMS is to (i) assist teachers to perform their tasks by following guidelines as prescribed by the Department of Education, (ii) assist teachers and schools to identify their strengths and weaknesses, and (iii) to assist teachers and schools with their continued performance development.

2.8.3 Challenges with the Application of the IQMS

Even though the IQMS was aimed to improve the quality of teaching and learning, the employment was unsuccessful. Furthermore, the implementation was not done correctly in many public schools (Molefhi, 2015:36). Different authors concluded that there are multitude of challenges with the application of the IQMS and that it is insufficient and do not serve its purpose (Molefhi, 2015:36; Thobela & Oliver, 2014:12; Booyse, 2013:99; Mahlaela, 2011:2; Ntombela *et al.*, 2010:369; Dhlamini, 2009:194-195 & De Clercq, 2008:14). According to Thobela and Oliver (2014:13), the IQMS is an important instrument used by the DBE to observe the schools, but many obstacles hinder the effective use of the IQMS by schools as it do not provide for flexibility. Booyse (2013:101) also concluded that good performing schools usually implement

their own performance management system to improve their performance and productivity, although these systems are mostly not fully implemented and inadequate. This section highlights some challenges raised by researchers.

Weber (2005:70) identified that the IQMS focuses exclusively on schools as one of the major problems, instead of also describing procedures that will make the Department of Education accountable. This was confirmed by Dehaloo and Schulze (2013:228). This argument is furthermore strengthened by the Education and Labour Relations Council (2003:3) when it stated that the procedures do not describe the responsibilities of the Department of Education to provide resources that support the management of schools. There is no clarity on what would be provided, how it would be provided, and who would assess the appropriateness of the resources (Education and Labour Relations Council, 2003:3). Officials of the Department of Education do not provide support concerning the implementation and application of the IQMS in schools. Furthermore, schools' management, teachers and unions continuously complain about the absence of adequate support from the departmental officers (Mchunu, 2014:54).

Another problem identified by Bisschoff and Mathye (2009:400) is the lack of proper consultation in the design stage and the lack of adequate training before implementation. Many teachers are also of the opinion that the training of teachers concerning the IQMS is extremely limited and inadequate (Mchunu, 2014:54). According to Mahlaela (2011:5), teachers do not receive detailed practical training or support. Ntombela *et al.* (2010:367) concluded that schools' management and teachers do not receive adequate training to ensure the effective application of the IQMS.

School principals, SMTs, SDTs and Development Support Groups (DSGs) are unsure of the structures of the IQMS and their responsibilities (Mchunu, 2014:5). This, leads to the ineffective application of the system. Mchunu (2014:5) added that the principals were given once-off training, followed by the expectation for them to distribute the information to teachers, establish the structures and implement the IQMS. Ntombela *et al.* (2010:367) concurred that inadequate support and training on the IQMS generated problems with the application thereof.

School management is of the opinion that the DBE uses the IQMS and that the schools nearly never use the IQMS to support the management of the school (Booyse's,

2013:99). Mchunu (2014:55) added that personal development of teachers is at a critically low level and that the IQMS do not lead to the development of teachers and do not become visible in the improvement of teaching and learning in schools. One of the reasons for this is the relevance of the developmental programmes that are ineffective and limited to traditional approaches without follow-up programmes to constantly, monitor teachers' development (Mchunu, 2014:55).

The IQMS was also condemned for the weight put on salary progression leading to the emphasis on performance measurement and neglecting the Development Appraisal and WSE (Mahlaela 2011:2). According to Mchunu (2014:56), this results in teachers that are constantly under stress to meet deadlines for the DBE and give artificial scores. Mchunu (2014:56) further argued that in most schools the teachers' scores are not an accurate reflection of the performance of learners in those schools.

Echoing the previous argument is that the IQMS is regarded as an everyday "window dressing" activity, while schools' management and teachers do not link the IQMS as a tool for effective management and professional growth (Ntombela *et al.*, 2010:367). Performance measurement can motivate teachers to improve their personal development, but the attachment of remuneration on the IQMS has put it at risk (Mahlaela, 2011:2). This, according to Mchunu (2014:56) suggested that the assessment of teachers only focus on summative evaluation and overlook the ongoing and developmental formative evaluation and WSE.

The reliability of the outcome of the IQMS was questioned by Ntombela *et al.* (2010:367) when they stated that the improvement in the schools' management and performance is insignificant since the IQMS was introduced to schools. They (Ntombela *et al.*, 2010:370) explained that the outcome attained during the application of the IQMS do not relate to the performance of learners in the schools and that the schools do not satisfy the needs of the people since they do not improve to the predicted level of service delivery. This, according to Ntombela *et al.* (2010:367), is because schools' management and teachers view the IQMS as a performance measurement purely for remuneration purposes.

One of the main arguments against the IQMS highlighted by many researchers is the fact that it is time-consuming. Ntombela *et al.* (2010:369) condemned the work overload coupled with increased paperwork that comes with the application of the

IQMS. They also pointed out that no time is allocated for the implementation of the IQMS in the school timetable. According to Mchunu (2014:58), this results in peer assessment that are not done correctly and learners that are left unattended while evaluations are carried out. He further stated that the required pre and post evaluation discussions are not done correctly due to time constraint. Ntombela *et al.* (2010:369) added that everything is rushed to adhere to the requirements of the policy and to satisfy the DBE by meeting the target dates.

Many researchers also concluded that the IQMS is still viewed as being judgmental. Mchunu (2014:56) mentioned that the schools' management and teachers do not accept the IQMS because they do not believe that it is a fair assessment tool. According to Dehaloo and Schulze (2013:227), the IQMS do not prevent a fault-finding approach, and it is still regarded as subjective and judgmental. A final major concern of Dehaloo and Schulze (2013:228) was that the IQMS is implemented in self-managing schools but ignores the input of essential important stakeholders (learners, parents, and SGB members) during the whole performance management process.

2.9 THEORETICAL POSITION OF SCHOOLS, SELF-MANAGING SCHOOLS AND THE IQMS

Scholars widely connect the Institutional Theory to public schools. Scott (2013:10) described institutions as social structures with a great degree of flexibility, consisting of cultural-cognitive, normative, and regulative elements. Organisation sociologists researched education in the context of broader organisational and societal phenomena and already linked the Institutional Theory to schools in the early 1980s (Meyer, Scott & Deal, 1981:156). Scott (2013:13) referred to the theory as a broadly accepted theoretical stance that highlights rational isomorphism, myths, and legitimacy. Kraft and Scott (2017:390) added that the Institutional Theory is a policy-making tool and underlines the formal and legal aspects of government structures. Burch (2007:85) describes isomorphism as the overlapping in policies between organisations in a comparable environment. The notions of scholars to study the relationship between educational policies and school and classroom practices were also based on the link of schools with the Institutional Theory (Coburn, 2016:465; Burch & Spillane, 2004:53). The main idea is that external forces and cultural values shape schools and help to express what is expected from them (Coburn, 2016:468). The researcher, however,

argues that the influence of these external forces and cultural values result in schools with different needs. Coburn (2016:466) adds to this when highlighting the dependency of organisations on their environment, and refers to the lack of a link between the intentions of policymakers and policy practice. Burch (2007:85) also refers to the unavoidable inadequate relationship between the technical and institutional levels of management. This, together with the movement towards decentralisation of schools' management means that schools might need to have flexibility in their management approaches and therefore the study finds a better location for self-managing schools in the Participatory Democracy Theory.

The Participatory Democracy Theory refers to a method that is exploited to ensure the freedom of direct and active involvement of all the people in matters that affect them (Lemmer & Van Wyk, 2004:273; Carrim, 2001:100). As previously mentioned in this study, self-managing schools are managed by the SGBs while parents elect the SGBs. The researcher, therefore, argues that the participation of the community in the management of the school fits the description of the Participatory Democracy Theory as stated by Carrim (2001:100), Lemmer and Van Wyk (2004:273). Kim (2015:66) also links the principle of transparency, in the management of schools in South Africa, to the Participatory Democracy Theory. The researcher is of the opinion that the Participatory Democracy Theory attempts to call the schools' stakeholders to account in respect of their responsibility to manage the school and its resources.

While management of self-managing schools is responsible for the effective and efficient management of the schools' resources, the existing IQMS does not fit the Participatory Democracy Theory. Amongst the many challenges with the application of the IQMS, the neglecting of stakeholders' involvement in the IQMS process was also highlighted in the previous section. The previous section indicated that the IQMS was implemented based on a one-fits-all basis, ignoring the diverse culture and needs of schools and communities. It also revealed that the IQMS is compliant with no flexibility and therefore can be linked to Managerialism. Managerialism refers to confidence in the importance of expert managers and the concepts and approaches used by them (Locke & Spender, 2011:590). More recently, Klikauer (2013:2) defined Managerialism as a combination of management knowledge and dogma to found itself methodically in the organisation and community, while denying owners, employees and

communities the freedom of self-management and decision-making. Figure 2.9 synthesise this and demonstrates the theoretical gap identified for this study.

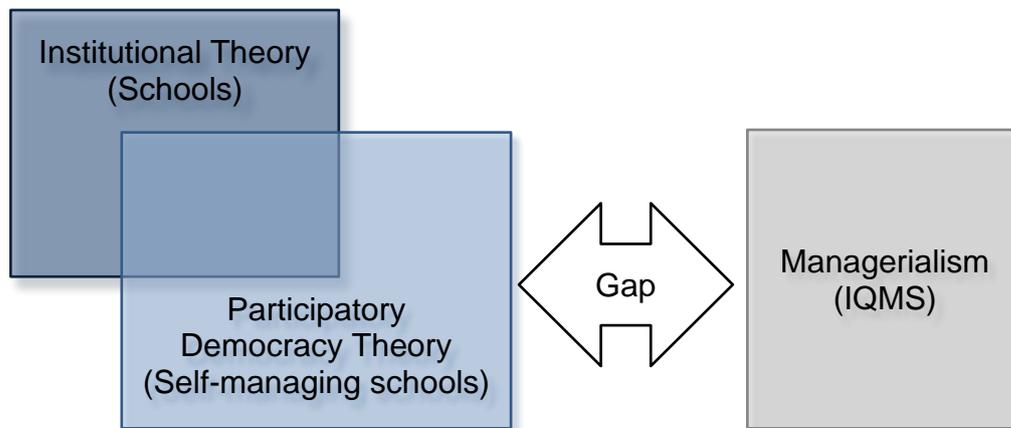


Figure 2.9: Theoretical position of schools, self-managing schools and the IQMS

Source: Own observation

Schools locate under the Institutional theory. The management of self-managing schools however also stands with one leg in the Participatory Democracy Theory involving communities in the management of their own, unique schools and allowing elected schools' management the freedom to manage and making their own decisions concerning the schools serving their community. On the other hand, the IQMS falls under Managerialism, ignores the freedom of self-management, assumes that all schools have the same needs, and objectives and therefore can use the same management system. The core of this study is to provide a combined system to narrow this gap illustrated in Figure 2.9.

2.10 SUMMARY

This chapter attempts to give a detailed description of the South African schooling system and performance management in public schools. The description starts with the trend towards self-managing schools in the world and background to school education in South Africa, revealing that the South African education system changed rapidly since the first democratic election in 1994. Despite the many challenges faced, a change to an equal and fair education system for all was unavoidable. The National Education Act (27/1996), the South African Schools Act (20/1997) and Provincial Legislation and policy documents direct South Africa's education to self-managing school-based education and provide a framework for the reconstruction of education.

This suggests that communities have the right to manage their own schools, within this framework.

For this study, the chapter focuses on Basic Education in South Africa and specifically on performance management in schools. A review of relevant literature revealed that the SGB elected by the parents of the school, manage the school, while the day-to-day management is laid upon the SMT. The status of the school depends on the functions assigned to the SGB by the DBE and can be No-fee schools, Section 20 schools or Section 21 schools. The review further exposed the existence of duality in the schooling system within some instances underperforming schools in the poor communities and good performing schools in the wealthy communities. This highlights the importance of a performance management tool that is flexible and can serve all schools, and assist the SGBs of poor performing schools with the responsibility to improve their schools' performance. The discussion on the challenges in the South African schooling system provides a better understanding of the pitfalls to be avoided and the problems that could be overcome with a proposed new instrument, incorporating, for example, the BSC.

The literature on the IQMS as the current performance management instrument states that the IQMS combines the WSE, Development Appraisal and Performance Measurement. The IQMS aims to support schools' management and teachers in performing their tasks, assist teachers and schools to recognise their strengths and weaknesses, and support schools with continued performance development. The chapter further reveals that the IQMS is unsuccessful in its aim.

Finally, the theoretical position of self-managing schools and the IQMS was covered. This section reveals the gap between self-management schools, linked to the Participatory Democracy Theory, and the IQMS linked to Managerialism. This study intends to narrow this gap by using the BSC and the WSE system as the basis for the development of a school-based performance management framework. This, therefore, requires the review of the BSC, the application thereof in the public sector and specifically in schools in the next chapter.

CHAPTER 3

PERFORMANCE MANAGEMENT

3.1 THE LAYOUT OF THE CHAPTER

Figure 3.1 illustrates the layout of Chapter 3.

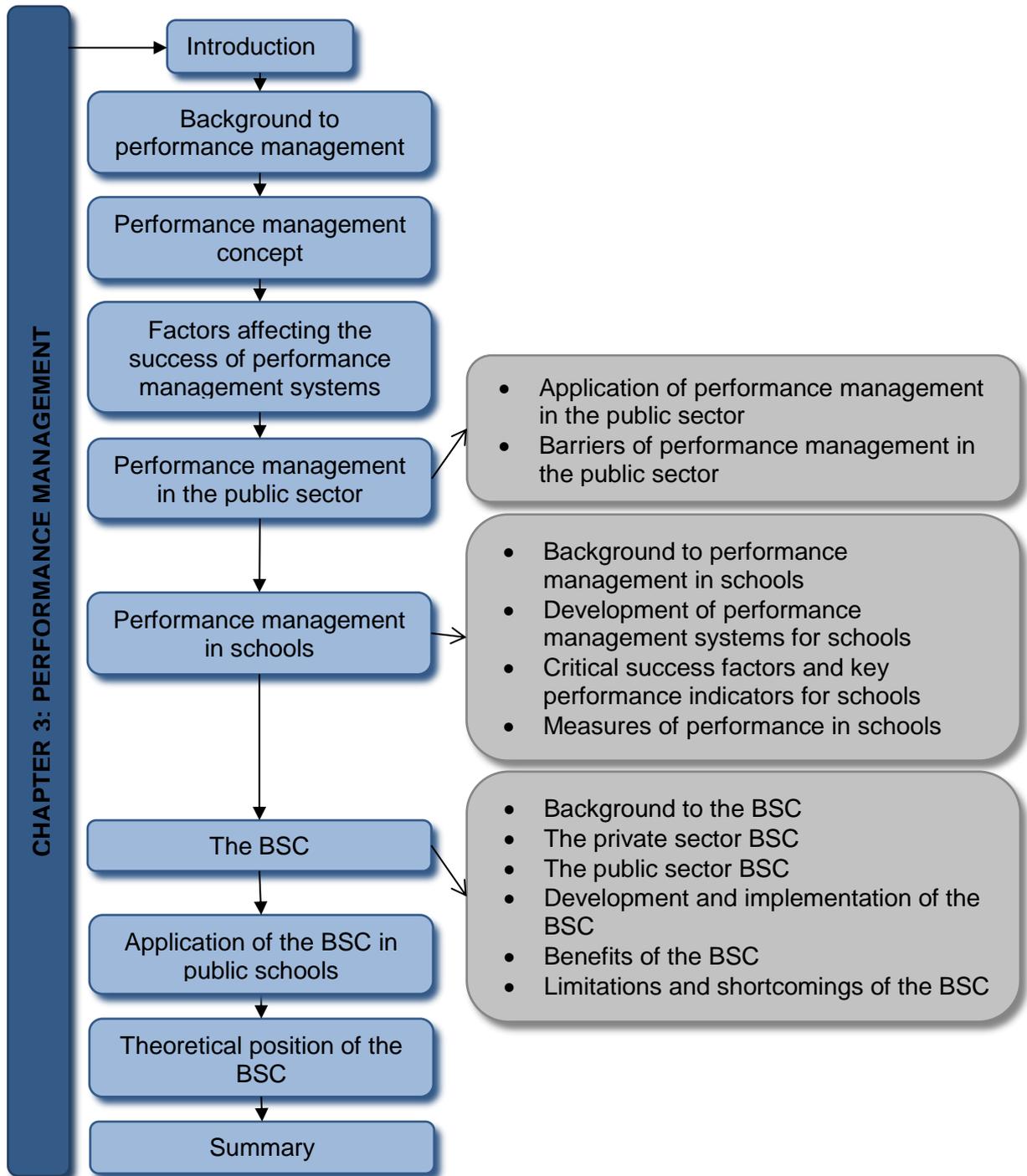


Figure 3.1: Layout of Chapter 3

Source: Own observation

3.2 INTRODUCTION

The previous chapter identified multiple challenges with the application of the IQMS and the gap between the IQMS as a performance management system for the management of self-managing schools with different characteristics and missions. Globalisation, a competitive environment, and the rapid development in technology have made it indispensable for all private and public sector organisations to deliver better services to their customers, and schools are not exempted from this. Schools are facing growing pressure from government, communities and other stakeholders to perform. They, therefore, need to depend on performance management systems to guide management in their decisions, monitoring and understanding of performance, to remain viable. Diverse concepts and methods of performance management are complex and have been used by numerous organisations for many years.

This chapter reviews the background and concept of performance management and the factors affecting the success of performance management systems. Specific attention is given to performance management in the public sector and schools. The chapter also demonstrates the usefulness of the BSC as a performance management system and concentrates on the background, development, benefits and limitations of the BSC. The BSC was initially developed for private sector organisations, and therefore, the structure and framework of the private sector BSC are briefly reviewed, and then the adoption of the BSC for public sector organisations is discussed. The framework of the BSC for the public sector, however, is given in Chapter 5 as it forms a vital part of the development of the school-based performance management framework for schools. This chapter concludes with a review of the application of the BSC as a performance management system in schools and an explanation of the theoretical position of this study.

3.3 BACKGROUND TO PERFORMANCE MANAGEMENT

Signs of performance evaluation date back many years. Literature shows that as early as 221 anno Domini, the Wei dynasty in China made use of an “Imperial Rater” who had the responsibility to assess the performance of the family, while later on, in 1648, officials were assessed by using a rating scale based on their personal abilities (Armstrong & Baron, 2005:38). The origin of the term “performance management” was preceded by a “formal civil service evaluation system”, introduced by the USA, New

York City just before World War I (Molefhi, 2015:29). According to Van der Westhuizen (1991:21), the importance to evaluate work performance became more general during the Industrial Revolution, between 1760 and 1840, while more critics of the “formal civil service evaluation system” also surfaced, searching for other performance management instruments. Authors highlighted Researcher, Frederick Taylor and his work in 1911 as one of the most significant contributors to the founding of performance management systems (Goetsch & Davis, 2006:8; Van der Westhuizen, 1991:21). Taylor founded the “Principles of Scientific Management”; describing how productivity will be improved by the application of scientific methods to the management of work (Goetsch & Davis, 2006:8). In 1914, W. D. Scott also contributed with two performance management ideas namely “merit rating” and “performance appraisal”, and his “man-to-man” assessment scale which was used to rate the US Army officers (Armstrong & Baron, 2005:7).

A trend to move from appraisal to analysis emerged in 1957 with the work of Douglas McGregor (Armstrong & Baron, 2005:53). Molefhi (2015:29) also highlighted this trend. The analyses instrument called for management to find alternatives for the judgment of employees and to devote the responsibility of creating goals and reaching them on the subordinates (Armstrong & Baron, 2005:53). The analysis instrument was a move from performance evaluation by supervisors to performance evaluation by supervisee, making the subordinate an essential contributor to the performance evaluation process (Armstrong & Baron, 2005:53). During the same decade, Peter Ducker’s “Management by Objectives” was founded. The focus of “Management by Objectives” was on improvement of individual and organisational strength by aligning the objectives of subordinates with organisational goals (Armstrong & Baron, 2005:7; Ducker, 1955:279). Beer and Ruh already used the term performance management in the 1970s, but only recognised it towards the end of the 1980s (Armstrong & Baron, 2005:7; Beer & Ruh, 1976).

3.4 THE PERFORMANCE MANAGEMENT CONCEPT

In short, performance management is actions to safeguard the continuous effective and efficient achievement of goals. Literature provides several definitions for performance management. Performance management is an ongoing communication process and involves the founding of strong expectations and an appreciation of the

essential functions that need be to fulfilled (Bascal, 1999:5). It is a calculated and cohesive approach to improve the effectiveness of the organisation through the development of the abilities of management and employees (Heathfield, 2018; Tshukudu, 2014:28). Amaratunga and Baldry (2002:218), and Bouckaert and Halligan (2008:15) referred to performance management as a process where performance information is used to initiate and enhance improvement in the organisation. Cheng *et al.* (2007:15) and Joubert and Noah (2000:18) are of the opinion that performance management is a combined process between the supervisor and employee, where performance is integrated with the strategies and objectives of the organisation to achieve organisational goals. Blackman *et al.* (2015:80) agreed, stating that it focuses on inspiring improved performance by identifying clear objectives and determining training and growth requirements.

The purpose of performance management is to gain improved results from employees, management and the organisation by managing performance through a formal, accepted and approved framework with planned objectives, criteria and competencies (Armstrong, 2012:323). Pioster, Aristigueta and Hall (2014:3) explained the scope of performance management by stating that it is concerned with the effectiveness and the ongoing development of employees and with the effectiveness of management and the organisation. Satisfaction of the needs and expectations of all stakeholders are also on the agenda of performance management. They (Pioster *et al.*, 2014:3) added various aspects that also form a central part of performance management, namely (i) communication, (ii) the involvement of all stakeholders, (iii) the encouragement of ongoing dialogue between stakeholders to define expectations, and (vi) share information of the organisation's mission, values and objectives According to Ross (2011:4), performance management is about an understanding of where stakeholders' efforts are being devoted and determining if the organisation is achieving its objectives. Ross (2011:4) added that the intelligent application of performance management instruments, to the specific circumstances of organisations, together with top-level leadership and commitment, is central to effective performance management.

Performance management instruments are tools containing procedures to achieve the organisation's strategic objectives (Hacker & Washington, 2009:51; Dzimbiri, 2008:47). It formally guides, directs, measures, evaluates and rewards management's

and employees' effort and capability to achieve the organisation's strategic objectives (Joubert & Noah. 2000:18).

According to Hacker and Washington (2009:51), it is vital that management have a clear appreciation of the development, implementation and management of a performance management instrument. The performance management instrument needs to fit the culture of the organisation, a reward system needs to be linked to the performance management instrument, bad performance needs to be handled within the framework of the Labour Relations legislation, and the instrument needs to be monitored and re-aligned regularly. As stated in Chapter 1 and based on the literature reviewed, this study defines performance management as a structured process of identifying quantifiable factors, collecting performance information, assessing available performance information and acting towards improvement. To contextualise, the next section describes the factors affecting the success of performance management systems.

3.5 FACTORS AFFECTING THE SUCCESS OF PERFORMANCE MANAGEMENT SYSTEMS

This section highlights the essential aspects that determine the successful development and implementation of a performance management system to enhance the development process of this study. Many authors (Dweba, 2017:411; Aquilani, Silvestri & Ruggieri, 2017:196; Pioster *et al.*, 2014:11; Tshukudu, 2014:29; Hacker & Washington, 2009:171) highlighted leadership as an aspect that plays a vital role in the performance management concept. Tshukudu (2014:29) and Dweba (2017:413) stated that to support performance, a positive organisational environment needs to be created at a senior level through strong leadership. According to Pioster *et al.* (2014:11), leaders need to develop and encourage a performance culture in the organisation. In turn, Hacker and Washington (2009:171) stated that performance management put a significant responsibility on management to lead the organisation towards performance. Aquilani *et al.* (2017:184) agreed that the actions of management play a significant role in the formation of a performance culture in the organisation.

Performance management links directly to the *culture* of the organisation since the culture had a direct influence on the actions of employees (Pioster *et al.*, 2014:9).

Dweba (2017:434) confirmed that organisations' culture and management styles play a fundamental role when implementing and using performance management systems. Organisational objectives can only be realised within an organisation with an object-oriented culture, focusing on excellence and achievement of goals (Dweba, 2017:434; Tshukudu, 2014:33).

It is vital to understand what is required to determine success and to understand the responsibilities to achieve the *objectives* throughout the organisation (Tshukudu, 2014:29). This was concurred by Hargreaves (2010:4) that stated that a conceptual understanding of what the organisation wants to accomplish is required when setting goals, objectives and targets. A clear strategy framework, including clear objectives and equal performance measures, should serve as the foundation for setting, for instance, employees' performance targets and assessing their performance (Dweba, 2017:429; Tshukudu, 2014:29). Authors also added that these predetermined targets need to be challenging and that cost saving is less central in strategy than output targets (Hargreaves, 2010:4; Manno, Crittenden, Arkin, Bryan & Hassel, 2007:22).

Factors threatening the achievement of targets should be recognised (Otley, 2008:38). To benchmark actual results with these predetermined targets, the performance management system needs to provide the required actual information and the development team needs to make sure the system is useful in this regard (BPP Learning-media, 2016:191). BPP Learning-media (2016:299) stressed that CSFs and KPIs are main factors to consider when developing a performance management instrument and that procedures to provide strategic outputs need to be determined with special care. CSFs and KPIs are reviewed in more detail in Section 3.7.3.

Open communication channels to improve productivity, motivation and coordination need to drive performance (Tshukudu, 2014:29). Procedures for feedback on performance, to all stakeholders, are an essential part of performance management and communication procedures should be included in the development process (BPP Learning-media, 2017:451). Several authors added that feedback to all stakeholders, on performance results, would ensure that they appreciate their involvement in reaching their targets (Bouckaert & Halligan, 2008:42; Manno *et al.*, 2007:22). Otley (2008:38) also highlighted the importance to align the objectives of employees, departments and the organisation and to align all performance measures with strategy. Tshukudu (2014:34) stressed that management and employees of good performing

organisations share the same goals and that the alignment of employees', departments' and management's goals enable organisational performance.

The involvement of all stakeholders during the development and implementation of performance management systems is highlighted and is an essential factor during the development stage (Aquilani *et al.*, 2017:197; Taticchi & Balachandran, 2008:149). This was attested by Pioster *et al.* (2014:5) stating that the designed system should result from the participation of managers, stakeholders and clients. It suggested that performance management systems should not follow a top-down approach, where management designs the system for the employees. O'Grady (2016:19) stated that the knowledge of employees at the level in which the performance management system will be implemented should guide the development and implementation of the system.

Finally, performance measures need to be reviewed through the eyes of managers and employees and attention should be paid to the motivation of managers and employees in the form of incentives and rewards (Otley, 2008:38). Financial and non-financial incentives need to link directly to performance and send a loud and explicit message that the predetermined objectives drive the rewards (Tshukudu, 2014:29).

Heathfield (2018) focussed on human capital, identifying some essential actions that might be considered as part of a performance management system, but argued that the whole performance management system determine success and not the individual components, namely:

- the development of clear job descriptions by using an employee recruitment plan and the recruitment of the best able and qualified applicants;
- use of proper interviews, multiple meetings and assignments, as needed and get to know the applicants before employing anyone;
- ensuring effective orientation, integration and ongoing training to new employees;
- ensuring that new employees understand and accept the performance management system of the organisation and arrange regular performance development discussions;
- ensuring that the performance management system provides for adequate compensation, recognition, and development and promotional opportunities;
- ensuring interviews with respected and valuable employees who resigned to understand the reasons for their resignation.

A successful performance management system should provide management with evidence that the organisation is heading in the right direction, in terms of its strategy (Johnson & Pongatichat, 2008:10). It is therefore clear that all these factors affecting the effectiveness of a performance management instrument should be considered during the development and implementation of a performance management instrument for self-managing schools.

3.6 PERFORMANCE MANAGEMENT IN THE PUBLIC SECTOR

Due to a greater need of accountability in the public sector and the appreciation of a lack of financial and non-financial productivity in this sector, governments globally adopted the performance management philosophy with enthusiasm in the late 1980s. This section reviews the employment of performance management in the public sector and the challenges thereof.

3.6.1 Application of Performance Management in the Public Sector

Substantial research has been undertaken on the use of performance management in the public sector. In the 1960s, the expectations that bureaucracies will provide the required civil services was already vanishing and a clear indication that it was failing started to emerge (Bourn, 2007:319). Distresses about efficiency and performance in the public sector have been underlined gradually during the 1970s and 1980s, resulting in the application of more appropriate and satisfactory performance management methods (Kerley, 2008:214).

The USA, in 1993, endorsed the Government Performance and Results in the act of 1993 with the objective to initiate projects with specific programme objectives, measuring the performance against those objectives and report the progress to the public (The White House, 1993:2.). This initiative, on the improvement of service delivery and productivity, in the USA, drew the attention of countries across the world to adopt performance management systems (Molefhi, 2015:32). In 2004, Martinez, Kennerley and Neely (2004: n.d) concluded that organisations in the USA, with integrated and balanced performance management systems, performed better than other organisations. They added that the performance management system, when applied as management control instruments, improved the organisations' financial

position, customer and employee satisfaction, and communication and co-operation in the organisation.

Some aspects that gave rise to the realisation of the importance of performance management in the public sector were the progressive prominence of quantifiable outcomes during the public sector reformation; the progressively request for public services; the importance of sustainability in the public sector and the useful employment of tax revenues (Ross, 2011:4). According to Dweba (2017:409), the implementation of performance management in the public sector is essential as it enables goal realisation and the identification of employees' development needs. The traditional use to measure input numbers for the control of resources was not adequate and began to make space for the much more effective measurement of outputs and outcomes (Ross, 2011:9). Management now has to understand that the world has become challenging with the move from the mechanistic worldview to the fact that the world is dynamic and unpredictable (Dweba, 2017:413). Performance management is crucial to ensure that management comprehend the influence of policies, combat corruption and improved academic accomplishment in the public sector (Ross, 2011:9). Although performance management is widely applied, it comes with challenges.

3.6.2 Challenges of Performance Management in the Public Sector

A review of challenges with the application of performance management in the public sector could provide awareness of some pitfalls that might apply to schools as well. Arnaboldi, Lapsley and Steccolini (2015:5) stated that human capital constitutes the most critical resource in all public sector organisations. They specifically referred to employed staff, their expertise, their problem-solving abilities and employment of policies as vital to public sector organisations. They also highlighted negativity under staff, which demoralises the motivation, morale and behaviour of these essential human resources as an important burden to performance in the public sector. The unwillingness of politicians and public servants to implement performance measurement instruments and to make value judgments is the main obstacle in the application of performance management in the public sector (Chaston, 2011:32; Ogilvie, 2009:11).

Reasons for this negative attitude in the public sector comprise a range of adverse psycho-sociological effects mentioned by various authors (Diefenbach, 2009:905; Butterfield, Edwards & Woodall, 2004:176). This includes a negative impact on stress, illness, absenteeism, morale, job satisfaction, motivation and fear (Blackman, 2015:95; Diefenbach, 2009:905; Kirkpatrick, Ackroyd & Walker, 2005:98). The literature also mentioned expensive audit procedures, over-bureaucratic, forms of symbolic violence, uncertainties and a weakening working environment (Blackman, 2015:984; Diefenbach, 2009:905; Kirkpatrick *et al.*, 2005:120).

The nature of performance information also hampers performance management in the public sector. High volumes of poor-quality performance information from the public sector are provided to management. This information, according to Van Dooren, Bouckaert and Halligan (2015:81) and Ross (2011:2) are sometimes unreliable and late, therefore leading to poor decision-making. Ross (2011:2) added that public sector organisations frequently apply too many performance indicators and focus on input information instead of output information and outcomes. According to Van Dooren *et al.* (2015:81), users of performance information frequently lack the time and ability to access reliable and quality information.

Measures in the public sector are often based on intangible services which complicate the performance management process. According to Ogilvie (2009:11), the paybacks from some of the investment programmes in the public sector are unquantifiable. Performance measurement in a service department is complex because services are intangible and there is no physical product. Therefore measures are frequently based on inputs (Blackman, 2015:93; BPP Learning-media, 2017:266; Ghobadian & Ashworth, 1994:36). These authors (Blackman, 2015:95; BPP Learning-media, 2017:257; Ghobadian & Ashworth, 1994:36) added that there is no direct link between the service provided and the input cost. This was concurred by Ogilvie (2009:11) stating that it is challenging to align the measures of intangible services to the organisational strategy, while Johnson and Pongatichat (2008:22) determined that it is challenging to assess strategy in public sector organisations because only limited KPIs link to the organisational strategy. The fact that consumers of the public services rarely pay a realistic price for the services is one of the main contributors to the complexity of measurements in the public sector (BPP Learning-media, 2017:235; Ghobadian & Ashworth, 1994:36).

Most public sector organisations are non-profit organisations, and this contributes to the lack of motivation to work towards a high performance. Performance management is not a priority for these organisations due to the lack of a risk to fail, while the absence of a profit motive makes the distribution of resources difficult (Blackman, 2015:82; Ghobadian & Ashworth, 1994:36). Ross (2011:2) concurred that most services offered by public sector organisations are essential but are not valued by customers, while the private sector organisations can quite effortlessly decide whether to deliver specific services based on the potential to make a profit.

The complicated structures and procedures in the public sector organisations also make the application of performance management procedures, a challenge. According to Oromo and Mwangangi (2017:43), and Ross (2011:2) the public sector has complex delivery chains and improvement requirements. In several situations, there are a lack of substitute suppliers and organisations in the public sector have no independence to make use of more competent suppliers (Oromo & Mwangangi, 2017:46; Ghobadian & Ashworth, 1994:36), while the use of incompetent suppliers jeopardises the organisations' performance (Ross, 2011:2). Other challenges that emerge from the literature are the involvement of unions in the workforce of public sector organisations, the relentless pressure from government, unclear goals and communication, and the delayed effect of numerous initiatives from the public sector (Blackman, 2015:93; Ghobadian & Ashworth, 1994:36; Ross, 2011:2).

The observations from the above review, demonstrate the possible adverse outcomes, which might lead to poor decision-making when organisations in the public sector apply inadequate performance management systems. The reluctance of public sector organisations' management generates an enormous problem with the implementation of performance management systems, resulting in several governments' failure to apply performance management systems effectively. These difficulties could also be challenges for self-managing schools, and therefore, full consideration of these aspects is required for the effective application of performance management systems in schools.

3.7 PERFORMANCE MANAGEMENT IN SCHOOLS

Education is a vital factor for developing economies, cultures and societies. As competition in schools became more intense, schools need to invest time and

resources in performance management to measure whether they have achieved their objectives and realised their goals (Yüksel & Coşkun, 2013:2451). This section reviews the background to the employment of performance management in schools, the development of performance systems for schools, the CSF for schools and performance measures used by schools.

3.7.1 Background to Performance Management in Schools

Almost three decades after the introduction of performance management in the public sector, the concept was also introduced in the school environment in various countries over the world. Due to increased emphasis on the upgrading of schools in England, performance management in schools emerged for the first time in 1991, in the form of performance appraisal (Molefhi, 2015:33; Bartlett, 2010:24). This was done to motivate and pressure teachers to improve the achievement of learners. According to Bartlett (2010:24), the aim was to support teachers in their career and professional development and to assist the schools' management with effective decision-making. The important priorities of the assessment system included the evaluating of teacher success in the classroom, learners' progress, teachers' professional development (Bartlett, 2010: 30). Teachers' performance was evaluated against predetermined targets, and this provided an improved linkage between salaries, responsibilities and performance (Molefhi, 2015:33). Bartlett (2010:26) identified this improved relationship as one of the strengths of the system as it was consistent with approaches used in the USA and the private sector. The appraisal system aligned performance management to schools' objectives and departmental mission statements. Furthermore, it provided for the assessment of performance against targets, and therefore authors identified the incorporation of accountability as another significant strength (Molefhi, 2015:33; Bartlett, 2010, 26; Down, Chadbourne & Hogan, 2006: 13). According to Bartlett (2010: 26), it is clear from statistics that the improvement of school education in the United Kingdom resulted from the implementation of the appraisal system.

In New Zealand, for the first time in 1995, the term performance management was referred to in an educational context when it was used in the Educational Review Office report of 1995 (Franke, 2013:22; Educational Review Office, 1995:4). About the same time, the salary increase of principals was linked to this performance management process (Franke, 2013:23). The Educational Review Office, however, failed to provide clear guidelines for the implementation of performance management in schools

(Franke, 2013:24). The system was reviewed and consulted extensively to develop a generalised performance management framework for all schools in New Zealand. This framework became mandatory in February 1997 (Franke, 2013:24). This system still applies but schools' boards are provided with the opportunity to develop their own systems suitable to their circumstances (Franke, 2013:24). This allows for flexibility, which lacks in the IQMS used in South Africa, as reviewed in Chapter 2.

Performance management systems were also implemented in African countries. According to Waal (2007:70), this was inspired by the successful implementation in the western countries. The literature referred to Burkina Faso, Egypt, Ethiopia, Kenya, Tanzania, Zimbabwe and South Africa as countries that implemented performance management systems in schools (Molefhi, 2015:53; Waal, 2007:70). Most of these performance management systems were implemented by authorities and not by schools (Molefhi, 2015; Waal, 2007; Bartlett, 2010; Franke, 2013). It is clear from the review that many authors criticised the measurement used to evaluate schools' performance and most of these systems lack the feasibility and adaptability for the implementation and use by schools that operate in varied environments. Therefore the next section pays specific attention to the development of performance management systems for schools.

3.7.2 Development of Performance Management Systems for Schools

Organisations for many years attempted to solve the problem of flexibility in performance management to provide for different environments and circumstances by designing performance management systems to improve the performance of organisations (Dobson, 2001:2). This was also one of the challenges with the IQMS, mentioned in Chapter 2 and one of the main reasons for the focus of this study.

Following the move to self-managing schools in the UK, the development of a self-improving school system followed. Hargreaves (2010:4) defined it as the procedures or actions to improve the performance of schools that are underperforming. During the development of a self-improving school system in the UK, Hargreaves (2010:5) identified the following five questions that need to be answered:

1. What would a self-improving school system look like and what would be its defining features?
2. In what ways would a self-improving system be an advance on our current system?
3. What would be the system's building blocks and to what extent is that architecture already in place?
4. How might the system move from where it is now to become a self-improving system? Do the current achievements contribute to such a system? What might additional action be needed?
5. What would make a fully-fledged self-improving system robust and self-sustaining?

Hargreaves (2010:9) added that it is crucial for schools to accept the following ways of thinking to assure the effective development and implementation of a performance management system:

1. Schools' management need to accept responsibility for the problems and discard the belief that the school cannot do anything because *it is somebody* else's responsibility to solve the problem.
2. Solutions need to be available within the school provided that everybody work together to resolve problems.

Developing an effective performance management system is a challenging process (Bulawa, 2014:2). According to Brown *et al.* (2008:397), the multivariate nature of schools need to be considered. Otley (2008:38) stated that an appreciation of the culture of schools is essential for the development of performance systems. Tshukudu (2014:30) argued that the application of effective performance management systems, however, might result in motivated management who look forward to performance meetings and their participation in the process. The chapter already revealed the importance of identifying effective CSFs and KPIs and therefore the next section reviews this.

3.7.3 Critical Success Factors (CSF) and Key Performance Indicators (KPI) for Schools

The concept of success factors was first mentioned by Daniel (1961:116) who stated that organisations should have between three and six factors that determine their success and that good performance in these areas are essential for the organisation to succeed. A small number of areas of performance, where good outputs will ensure a generally good performance of the organisation, need to be determined (BPP Learning-media, 2016:298). BPP Learning-media (2016:299) defined CSFs that are vital to ensure success as essentials of the organisation's activities. Engberg, Lam and Stankovic (2007:15) also referred to the development of CSFs as an important step in the implementation of performance management systems. The question "what is important for us to do to succeed as an organisation?" should be answered before the CSFs can be defined (Engberg *et al.*, 2007:15).

After the CSFs are identified, organisations should determine the KPIs. Engberg *et al.* (2007:15) identified the development of measures or KPIs as the fourth step in the implementation process of the BSC. Meyer (2011:192) stated that indicators refer to measures that provide information on specific conditions which cannot be measured or which can only be measured with enormous difficulty. According to Parmenter (2012:13), performance measures are failing because management is unaware of the unintended consequence of the KPIs they have decided on. Meyer (2011:218) further stated that an appropriate theoretical structure, which imitates the measurement criteria and concrete target values, is essential to develop appropriate KPIs. In agreement with Meyer (2011), Brown *et al.* (2008:395) identified two issues that need to be addressed for indicators to inform decision-making. Stakeholders should be part of the process to develop KPIs and stakeholders need to understand what exactly is being measured (Parmenter, 2012:13; Brown *et al.*, 2008:395). Brown *et al.* (2008:395) also emphasised that an explicit agreement on what should be assessed in schools is vital. BPP Learning-media (2016:53) furthermore stated that KPIs need to be unique to the organisation and need to imitate the character of the organisation. Storey (2002:334) also identified some possible success factors to apply performance management in education. Engberg *et al.* (2007:15) stated that the question whether the measures are relevant enough to give a full picture of the school's performance,

should always be asked. Storey (2002:336) added that performance management information and performance indicators would remain crucial issues for schools.

To synthesise, the CSFs serve as a map that shows the way for management to identify suitable KPIs. CSFs are small, precise areas that need to perform effectively in order for organisations to be successful. KPIs, on the other hand, are particular measures in these areas that will provide an understanding of the effectiveness of those areas. The identification of performance indicators, however, are complex. Therefore, the management of schools needs to consider the development of KPIs wisely to ensure the KPIs are in line with the organisation's strategy and that it measures what should be measured. Therefore the next section reviews measures of performance in schools.

3.7.4 Measures of Performance in Schools

Money spent used to be the main focus of the public sector to manage resources, but lately, there is a shift towards rather measuring outputs, for instance, the quality of service delivery. Management and academics are of the opinion that the measurement of inputs is no longer adequate and that outputs need to be measured (Ross, 2011:9; Kerley, 2008:214; Bourn, 2007:319). Although non-profit organisations often use the money spent as a performance measure, management in the public sector realises that the amount of money spent is not a measure of performance (Ross, 2011:9).

Research on ways to improve the use of performance measures in schools emphasised the importance of having a performance management system that most closely measures the variables associated with the organisations' goals (Brown *et al.*, 2008:395). It is crucial to measure outputs, outcomes or policy impact in the public sector (Ross, 2011:9). In agreement with Ross, Kerley (2008:214) mentioned that poor performance in the public sector has been highlighted progressively over the last two decades, and this has given rise to the use of more appropriate and adequate methods to manage performance. The schools under investigation in this study also form part of the public sector. Therefore, the measurement of outputs and outcomes needs to be considered.

Educational effectiveness studies, concerning the measurement of outputs, showed an excellent agreement on measures like the numbers of learners who graduate per

year, the passing rates and average test scores (De Witte & López-Torres, 2017:352). Although the measurement of schools' performance is not only about the academic performance of the learners, schools' management frequently only use academic performance as a measurement. Otley (2008:29) underlined that unsuitable or manipulative performance measures can easily be identified and he proposes a top-down method to develop performance measures. Sarrico *et al.* (2012:272) suggested that the performance of schools is repeatedly assessed by only using academic output measures like progression rates, completion rates and exam results. Maddocks *et al.* (2011:46) emphasised this when they stated that attempts to improve the efficiency of schools are frequently driven by attempts to improve the learners' performance and that the performance of schools is often linked to the learners' performance. De Witte and López-Torres (2017:352) also stated that none of these academic measures is adequate to measure the overall performance of schools and suggested a balanced approach that measures the whole spectrum of schools' management.

As already stated a performance-related salary system was implemented for teachers in England, at the end of the twentieth century. Forrester (2011:6) stated that it was based on the performance of learners and that inadequate progress with performance management was made due to the obstacle of identifying appropriate performance measures. Therefore, most schools' performance measurement systems are based on learners' performance, which is not effective when used alone. More performance indicators and measures need to be identified in order to provide results that are more reliable.

All stakeholders should be consulted when implementing a performance management system for them to positively, participate in the process. Taticchi and Balachandran (2008:149) included elements such as the alignment of targets with strategy, the perspectives and the involvement of different stakeholders in the design phase of performance measures. In accordance, Atamtürk, Aksal, Gazi and Atamtürk (2011:38) mentioned that the setting of goals always needs to be in consultation with teachers and other stakeholders. De Witte and López-Torres (2017:344) also stated that efficient performance management in schools need to be done with intense discussions among all stakeholders of the school.

Employees who are involved in setting goals and are aware of what is expected of them will have a positive attitude towards the achievement of such goals (Spruit &

Adriaana, 2018:66; Atamtürk *et al.*, 2011:38). Forrester (2011:7) provided evidence that several employees in the education sector of England regard performance management as a controlling measure since they were not consulted during the design and implementation processes. Haep, Behnke and Steins (2016:4) added that evaluation of performance would result in negativity due to uneasiness and stress in teachers and the feeling of being controlled. Ozga (2003:3) also concluded that the pressure on teachers to improve performance might result in a reduction of trust and reduce honest self-evaluation. Studies in Europe and Australia showed that performance management in schools often have negative consequences (Ozga, 2003:3). Evaluation of the performance of schools and teachers creates a feeling of unfair judgment. Therefore, the involvement of all stakeholders when determining measures and targets is vital (Haep *et al.*, 2016:3).

A study by Atamtürk *et al.* (2011:38) on performance management in state schools in North Cyprus, suggested that teachers need to be involved in the planning of performance goals for them to be positive towards the system. Other important factors that should be measured are teachers' competence and delivery methods, the school's infrastructure, and organisational support (Spruit & Adriaana, 2018:66). This highlights the importance of stakeholder involvement in formulating mission statements and setting targets.

Schools mostly give attention to the measurement of performance and never use this collected measurement information to improve performance (Bouckaert & Halligan, 2008:39). The framework of Taticchi and Balachandran's (2008:149) contained: (i) the measurement of performance and comparison thereof to targets, (ii) the action plans to improve performance and to reduce deviations, and (iii) the involvement and motivation of employees and management. Sarrico *et al.* (2012:274) explained that it might be because the performance management is not typically part of schools' systems and stakeholders are not used to self-evaluation. They furthermore stated that information gathered during performance measurement is almost never used for a strategy to improve schools' performance. Hoffmann (2016:17) argued that the effectiveness of a performance management system is determined by whether it is used to improve decision-making and performance and not by the number of objectives and measures. The difference between effective and poor performance management systems in schools is the level of integration and the use of the performance

measurement results (Bouckaert & Halligan, 2008:39). Studies indicated that there is little evidence of schools that recognise the importance for the use of performance information in decision-making and feedback (Sarrico *et al.*, 2012; Atamtürk *et al.*, 2011; Forrester, 2011). Therefore, it might be vital to develop a comprehensive school-based performance management framework for school-based management in order to ensure the effective use of information in decision-making and strategy development.

3.8 THE BALANCED SCORECARD

It was mentioned that the core mission of educational institutions is to create shared value for the community. As stated, educational institutions differ from businesses in the sense that their primary objectives are non-financial, while businesses focus on profit maximisation. Therefore, the focus of performance management for schools should be mainly from a non-financial performance perspective. Yüksel and Coşkun (2013:2454) however, stated that financial performance also plays a vital role to ensure stability in public sector organisations. The BSC is a comprehensive performance management system for private and public sector organisations and can be of great help with the motivation and assessment of performance, for schools. They (Yüksel & Coşkun, 2013:2454) added that the BSC provides for a balanced set of financial and non-financial measures that helps organisations to be strategically focused. The BSC, furthermore, (i) translates vision and strategy, (ii) outlines strategic relations to incorporate performance through the organisation, (iii) communicates objectives throughout the organisation, (iv) aligns all employees with the strategy, (v) helps all employees to understand what is expected from them, (vi) offers a foundation for incentives, and (vii) provides feedback on performance (Sharma, 209:8). This section reviews the background to the BSC, the development and implementation of the BSC, the BSC framework for the private sector, the adoption of the BSC for the public sector and the benefits and limitations of the BSC. The framework of the BSC for the public sector is reviewed in Chapter 5 because it forms a vital part, together with the IQMS, during the design phase of this study.

3.8.1 Background to the BSC

During the early 1990s, the underlying forces of business were changing globally and involuntarily affected the thinking around performance management and performance management systems. Customers' knowledge, globalisation and the emphasis on intangible assets were all joining forces to change the way business was conducted (Niven, 2008:11). During this time, Kaplan and Norton (1992:78) studied performance measurement systems in organisations whose intangible assets had an important effect on the creation of value in the organisation. Kaplan and Norton (1992:78) concluded that most of the performance measurement systems used did not change and were still the same as those developed at the end of the twentieth century. The performance measurement systems used by most organisations were unable to provide useful information required to stay competitive in this new changing business environment (Niven, 2008:12). Organisations should add the performance of intangible assets to their performance measurement system if they want to improve the management of their intangible assets (Brown *et al.*, 2008:396; Kaplan & Norton, 1992:78). Kaplan and Norton's approach focused on a balance between the historical accurateness and reliability of financial measures, and the drivers of future financial performance in order to implement strategy and view a broader spectrum of performance indicators (Niven, 2008:12).

In an article based on a multi-organisational research project, Kaplan and Norton (1992) first introduced the BSC. Brown *et al.* (2008:396) stated that the BSC is a balanced approach to performance management, using multiple perspectives. They also mentioned that this rose out of for-profit organisations' interest in trailing corporate performance by looking at various diverse operations that were deemed essential to realise long-term success. The focus of the BSC was more on the consideration of inputs and processes that leads to improvement than on outcomes only leading to hampering long-term progress (Niven, 2008:12; Archer, J. 2007:2).

The initial idea of the BSC was to act as a performance measurement tool, but it was progressively interrelated with strategy implementation. After the use of the BSC for a decade by numerous private and public organisations around the globe, Kaplan and Norton (2007) expanded the concept into a performance management tool to be used for describing, communicating and implementing the strategy. According to Murby and

Gould (2005:15), the BSC is a management framework with the capability to identify and maximise the organisation's main value drivers to exploit on their strategy.

Cooper, Ezzamel and Qu (2017:996) stated that the BSC is one of the most popular management tools globally that become part of services offered by professional management accounting bodies and forms part of management accounting teaching syllabuses over the world. Although the BSC was initially designed for the private sector organisations, it was frequently adjusted and used by non-profit and public sector organisations over the years (Niven, 2008:12; Kaplan & Norton, 2001a:88). However, for the BSC to be effective in the public sector, organisations need to adjust the perspectives according to the business setup of the public sector organisations (Kaplan & Norton, 2001a:88). While a detailed review of this is provided in Section 3.8.3, the following section will first delineate the use of the BSC in the private sector.

3.8.2 The Private Sector BSC

Although the domain of this study is in the public sector, it is essential to review the BSC framework initially developed for the private sector, as it formed the basis of the translated BSC for public sector organisations and will be helpful to understand the BSC process. This section on the compilation of the BSC briefly covers the framework, the mission, values, vision, strategy and objectives as well as the four perspectives from a private sector view.

3.8.2.1 *The BSC Framework for the Private Sector*

The BSC can be described as prudently identified measurements from an organisation's strategy, to be used as a tool for management to communicate the outcomes and performance drivers to employees and stakeholders (Niven, 2008:13). According to Kaplan and Norton (1996:15), the drive of the BSC framework is to find a balance between apparently conflicting KPIs. Nair (2004:13) also emphasised the importance of a balance between the KPIs, stating that without balance the organisation might be unsuccessful in realising its objectives. Financial data and non-financial data like customer service and product quality are combined by the BSC to keep an eye on performance and to align actions to support the mission of the

organisation (Davis, 2011:286). Kaplan & Norton (1996:9) provided a graphical demonstration of the BSC as shown in Figure 3.2.

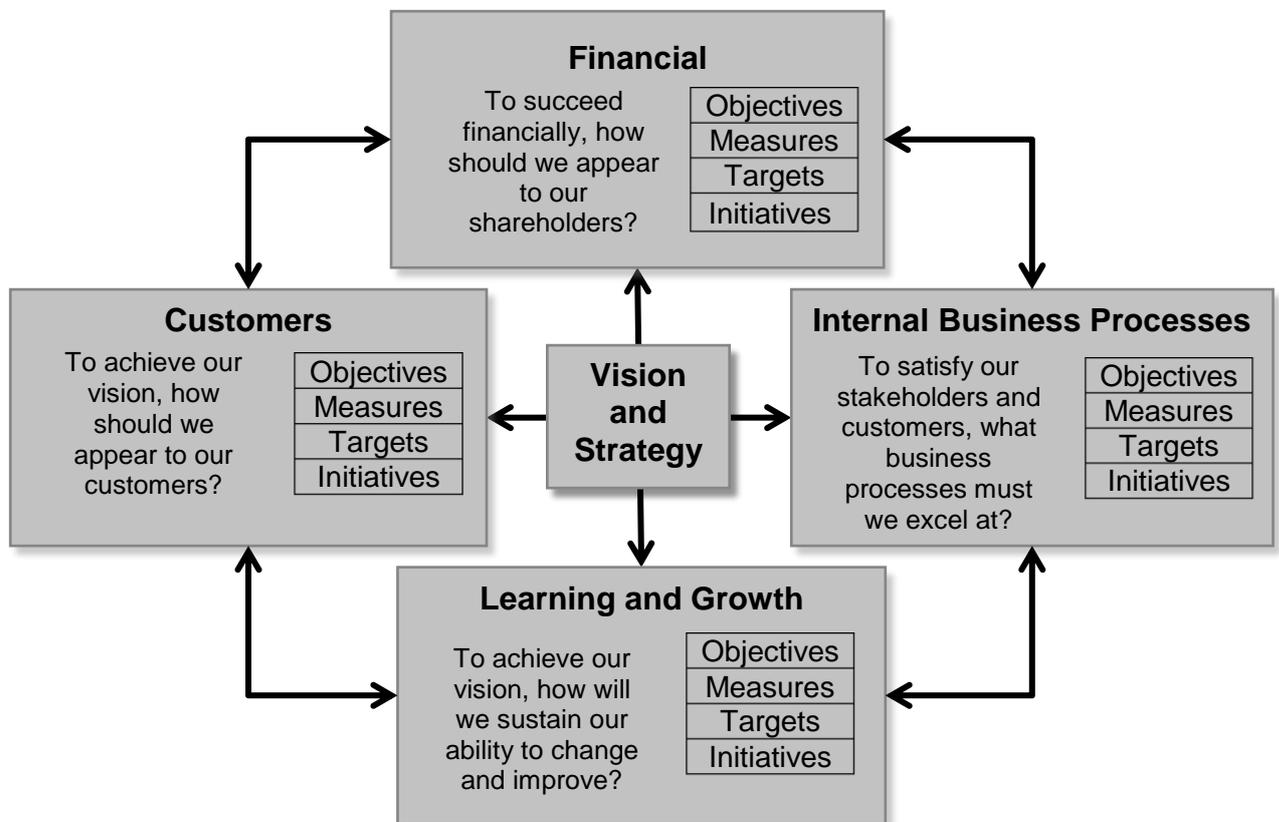


Figure 3.2: Illustration of the BSC for the private sector

Source: Kaplan & Norton (1996:9)

This graphical presentation of the BSC as depicted in Figure 3.2, illustrates that the organisation's vision and strategy are translated into strategic objectives from the view of four different perspectives, namely (i) the Financial perspective, (ii) Customers' perspective, (iii) Internal Business Processes perspective, and (vi) the Learning and Growth perspective (Kaplan & Norton 1996:10). These perspectives are reviewed later in this section.

Organisations need to identify their measures, targets and initiatives from the viewpoint of these four perspectives and represent a balance between external measures for stakeholders and customers, and internal measures for business processes and learning and growth (Kaplan & Norton 1996:10). These measures resulted from a top-down process, determined by the mission and strategy of the organisation (Kaplan & Norton 1996:10).

3.8.2.2 *The Mission, Values, Vision and Strategy*

To gain a better understanding of vision and strategy, at the centre of the BSC for the private sector, as illustrated in Figure 3.2, Figure 3.3 illustrates the relationship between mission, values, vision and strategy. The mission, values and vision form the core of the BSC but are also the basis for any activities an organisation will undertake (Valdez, Cortes, Castaneda, Vazquez, Medina & Haces, 2017:165; Nair, 2004:75).

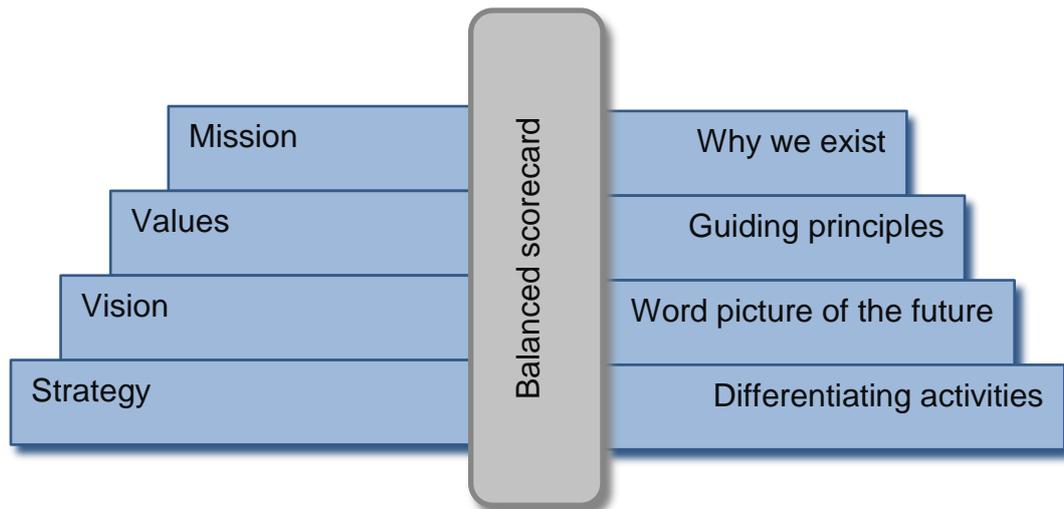


Figure 3.3: Illustration of the relationship between mission, values, vision and strategy

Source: Niven (2008:106)

The mission statement, as shown in Figure 3.3, should provide the answers to the following questions as identified by Niven (2008:105): Who are you as an organisation? Whom do you serve? Why do you exist? It refers to the core task or purpose of the organisation (Niven, 2008:106; Nair, 2004:68). Shibani and Gherbal (2018:10) highlighted that the mission statement should emphasise the organisations' values and objectives to ensure customer satisfaction. According to Nair (2004:68), the mission statement itself is not that important to the BSC for the private sector, however, it forms the centre of the public sector organisation. Niven (2008:106) stated that the mission statements of private and public sector organisations should explain the real obligation of an organisation and the way the organisation is serving the public interest. The BSC will be used to translate the mission statement into a working document that guides the daily actions and motivates the performance of organisations to realise their objectives (Niven 2008:106; Radtke, 1998:1). The mission statement also sets the direction and boundaries for all decisions and actions (Pearce & Robinson, 2008:78).

For a mission statement to be effective, it should be simple and clear, inspire change, be long-term, and easy to understand and it should be communicated (Niven, 2008:107).

The “why” organisations react to the mission is captured in its values (Nair, 2004:70) as seen in Figure 3.3, also referred to as guiding principles by Niven (2008:115). The values, as stated by Shibani and Gherbal (2018:3), guide the organisation in its process of setting objectives and deploying strategy. These principles signify the strong beliefs within the organisation, which are confirmed through the everyday actions of the employees and the exclusivity of the organisation (Niven, 2008:114). Although values are not explicitly mentioned in Figure 3.2, Nair (2004:71) revealed that it is vital for organisations to ensure that the BSC objectives meet the values and that the values should be used as a guide to deploy the BSC. Organisations should take care that standards and objective always refer back to the values and that values are not only set once and then overlooked (Shibani & Gherbal, 2018:3; Nair, 2004:71).

As stated in this section, the mission refers to the reason for existence, while the values are the guiding principles that form the framework in which the organisation should set up the strategy and objectives to go forward. Vision, however, refers to a word picture of where the organisation wants to be in the next five to fifteen years, explaining the mission statement coherently to all stakeholders (Shibani & Gherbal, 2018:11, Niven, 2008:121). The vision statement can inspire all internal stakeholders to devote their energy, time and expertise for reaching their destination (Niven, 2008:121; Nair, 2004:73; Kaplan & Norton, 1996:10). A shared vision in the organisation, which has been developed through consensus, will provide a definite plan to help management in leading the organisation in the direction it needs to go. According to Niven (2008:127), the vision should balance the interest of all stakeholders and be to the benefit of everyone, while the BSC will be the instrument to evaluate the achievement of this aim. Therefore, identifying the vision should be the starting point of the BSC (Shibani & Gherbal, 2018:11; Kaplan & Norton, 1996:10).

While the vision statement sketches a picture of where the organisation intends to go in future, the strategy is the expansive priorities accepted to get there and to chase the mission with the organisation’s environment in mind (Niven, 2008:133). Also agreed by Yüksel and Coşkun (2013:2452), the strategy is the development of procedures to achieve the intended future of the organisation. However, Kaplan and Norton (2007:76)

stated that words in the vision and strategy need to be expressed in a cohesive set of objectives and measures to enable people to respond to it. The BSC will ensure balance and alignment between the vision, strategy and objectives within the four perspectives as demonstrated in Figure 3.2.

3.8.2.3 The Four Perspectives of the BSC for the Private Sector

To explain the four perspectives as stated in Section 3.8.2.1, Niven (2008:12) added the following questions to the four perspectives:

- Financial perspective - what do our financial stakeholders expect or demand?
- Customers' perspective - who are our target customers, what are their expectations, and what is our value proposition in serving them?
- Learning and Growth perspective - how do we align our intangible assets to improve our ability to support our strategy?
- Internal Business Processes perspective - at which business processes must one excel to drive value for customers?

The main focus of the 'Financial perspective' is to determine the financial goals that need to be realised to reach the strategic themes and objectives (Nair 2005:21). For profit-seeking organisations, Kaplan and Norton (2001a:90) stated that the distinguishing factor is a significant increase in shareholders' value, typically done through revenue growth and productivity. Productivity-focuses on reducing costs and decreasing the working and fixed capital needed, while revenue growth focuses on new markets, new products and new customers (Kaplan & Norton, 2001a:90). Therefore, the Financial perspective was placed as the first and most important perspective of the BSC.

Ensuring a constant seeking of new markets, new product and new customers emphasise the importance of the 'Customers' perspective'. This perspective deals with customer satisfaction and helps management to articulate strategy on market share and customers by focusing on customer relationship, operational excellence and product leadership to ensure greater future financial returns (Kaplan & Norton, 2001a:93).

A clear picture on what needs to be done to realise the differentiated customer value proposition will lead the processes to determine the means to get there, which is the

focus of the 'Internal Business perspective' (Nair, 2004:23; Kaplan & Norton, 2001a:93). If an organisation can effectively identify the internal actions and retooling required, and enable it, the execution of these actions can lead to a breakthrough performance in market shares (Nair, 2004:23; Kaplan & Norton, 1996:96).

The organisation will strongly rely on the skills, commitment and alignment of employees to enable these identified actions (Niven, 2008:35). The 'Learning and Growth perspective' forms the basis for all the other perspectives as the outcomes of these perspectives are established in the learning and growth of the people that need to do the work (Nair, 2004:24).

The BSC senses that the learning and growing capacity of the organisation will improve internal processes, while the improved internal processes will result in improved customer satisfaction, leading to greater market share and shareholders' value. However, it is clear from Figure 3.2 that this is not a one-direction relationship, meaning that the Financial perspective also influences the other perspectives. To provide sense to these perspectives and to translate the mission to strategy, specific objectives need to be identified for each of these perspectives and plotted into a strategy map.

3.8.2.4 Objectives and a Strategy Map for the Private Sector

Objectives should be brief statements starting with a verb and unfolding into what needs to be done to implement the strategy (Niven, 2008:5). Organisations used strategic objectives as part of the BSC to place strategy at the centre of the organisational management rather than financial metrics (Murby & Gould, 2005:4). Mackay (2004:36) stated that it is vital for organisations to include all stakeholders in the process of identifying their objectives. According to Murby and Gould (2005:4), the objectives related to each of the perspectives as demonstrated in the strategy map (see Figure 3.4), emphasise the core of the strategy important to each of these perspectives. This was also concurred by Nair (2004:28) when he stressed that the strategy map demonstrates the relationships between the objectives and the perspectives, reminding the organisation of its crucial elements to work towards the fulfilment of the organisation's goals. Kaplan and Norton (2004: 5) also referred to the strategy map, stating that it helps to convert intangible assets into tangible outcomes. Niven (2008:198) advised that although there is no rule on the number of objectives, a guideline should be to remember that 'less is more', because each objective will have

an average of one-and-a-half measures and quickly expands to a changing number of measures.

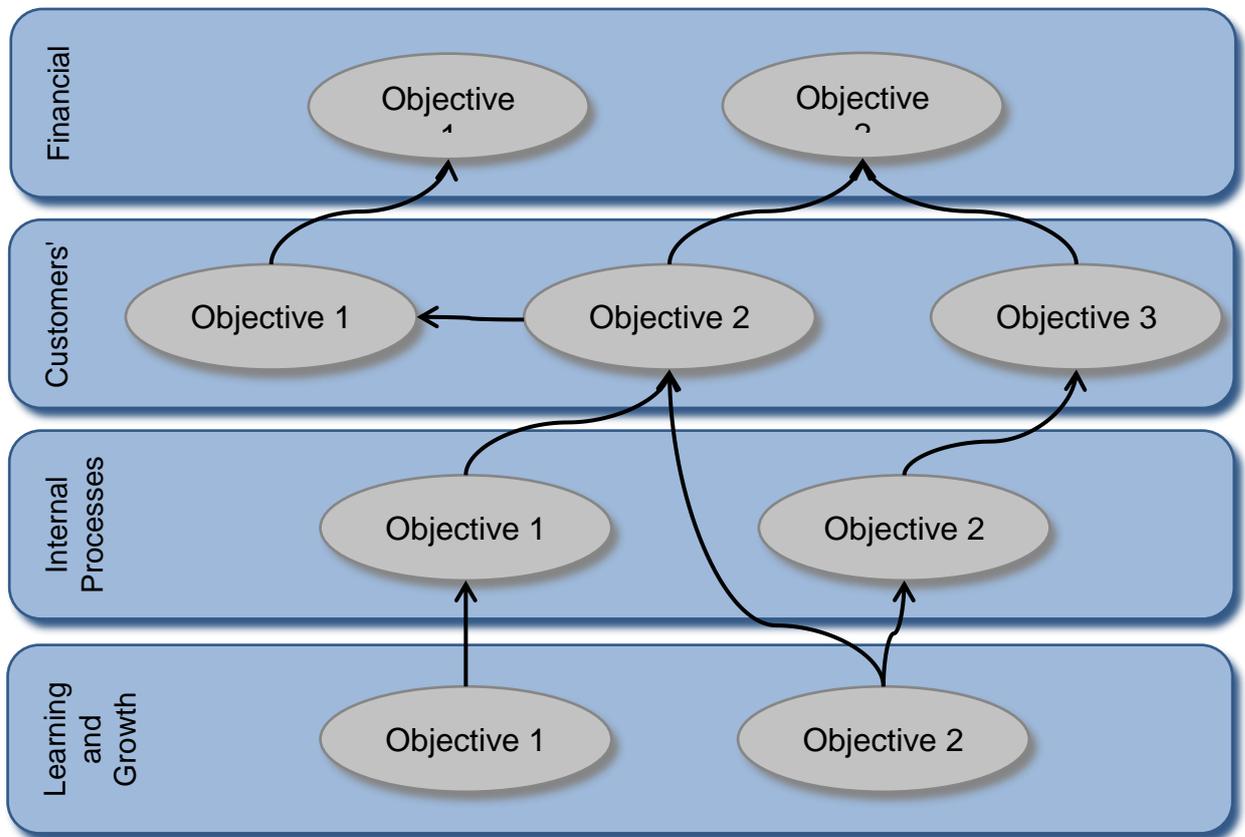


Figure 3.4: Illustration of a strategy map

Source: Adjusted from Nair (2004:28)

Figure 3.4 was adjusted by removing the specific example given by Nair (2004:28) to simplify and only provide a framework for a strategy map. In the next step specific measures, targets and initiatives need to be identified for each of these objectives.

3.8.2.5 Measures, Targets and Initiatives for the Private Sector

Measures, which reflect progress towards the realisation of these objectives, need to be selected (Murby & Gould, 2005:4). These measures refer to specific standards or calculable formulas which need to be monitored to reach a target and which are used by organisations to assess and communicate performance against anticipated results (Niven, 2008:210; Nair, 2004:43). Niven (2008:210) categorised it as quantitative, monetary values or percentages.

The BSC differentiate between input measures, output measures and outcome measures (Niven, 2008:210; Nair, 2004:43). Input measures are the least useful measures and offers limited information to management to assist them with decision-making, while output measures focus on measuring the number of people served or units produced and offer some useable information on the intended results (Niven, 2008:211; Nair, 2004:43). The authors (Niven, 2008:211; Nair, 2004:43), however stated that these measures are unsuccessful in exposing whether the real outcomes, as identified in the vision, were obtained. Outcome measures focus on the intended outcomes and measures the benefit received by the stakeholders rather than focus on the results of the specific programme or service (Niven, 2008:211). These measures can also be classified as lagging or leading measures. Niven (2008:215) explained that lagging measures are easy to identify and concentrate on results at the end of the period, while leading measures are difficult to recognise but predictive, and it leads the way to a performance by concentrating on intermediate actions.

For measures to be practical and useful, *targets* are needed for each measure to measure it against. In the background to the BSC, Niven (2008:240) defined targets as the anticipated results of the performance measures. Kaplan and Norton (1996:224) stated that targets should be ambitious and employees need to buy in on the set targets. The authors (Valdez *et al.*, 2017:165; Kaplan & Norton, 1996:227) also mentioned that the BSC has proven to be influential in gaining approval of challenging targets as it highlights the link between these targets and the anticipated outcomes.

These targets need to be translated into reality. Nair (2004:54) defined *initiatives* as the programmes and processes launched to meet the targets. Kaplan and Norton (1996:230) added that management needs to establish whether the current initiatives will lead to the realisation of the target, or whether new initiatives need to be deployed.

In summary, the BSC can ensure that the initiative, targets and measures support the objectives as well as the vision and strategy of the organisation that forms the core as demonstrated in Figure 3.2.

3.8.3 The Public Sector BSC

The previous section demonstrated the BSC in the private sector and mentioned that it was adopted for the public sector and non-profit organisations as concurred by

Kaplan and Norton (2001a:98) and Niven (2008:31). Since the BSC was already discussed in detail, this section shortly reviews amendments to the BSC for the public sector. A detailed review of the BSC framework for the public sector, however, is provided in Chapter 5 since it forms the basis for the development of the school-based performance management framework for this study.

The perspectives of the BSC for organisations in the public sector differ from the BSC for the private sector organisations as demonstrated in Figure 3.5.

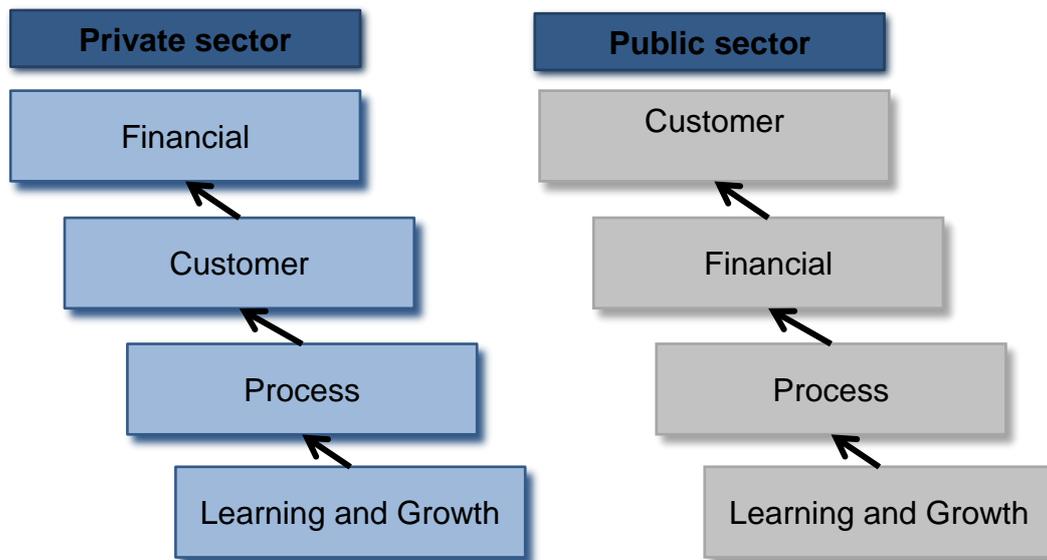


Figure 3.5: Illustration of the difference between the BSC for the private and public sectors

Source: Smith (2012)

The Customers' perspective takes the most important position while the Financial perspective moves down to a less important position. This is due to the fact, as already mentioned that the main focus of the public sector is service delivery to customers and not shareholders' value. The amendment of the order of the perspectives can also be seen in the demonstration of the BSC framework in Figure 3.6 below.

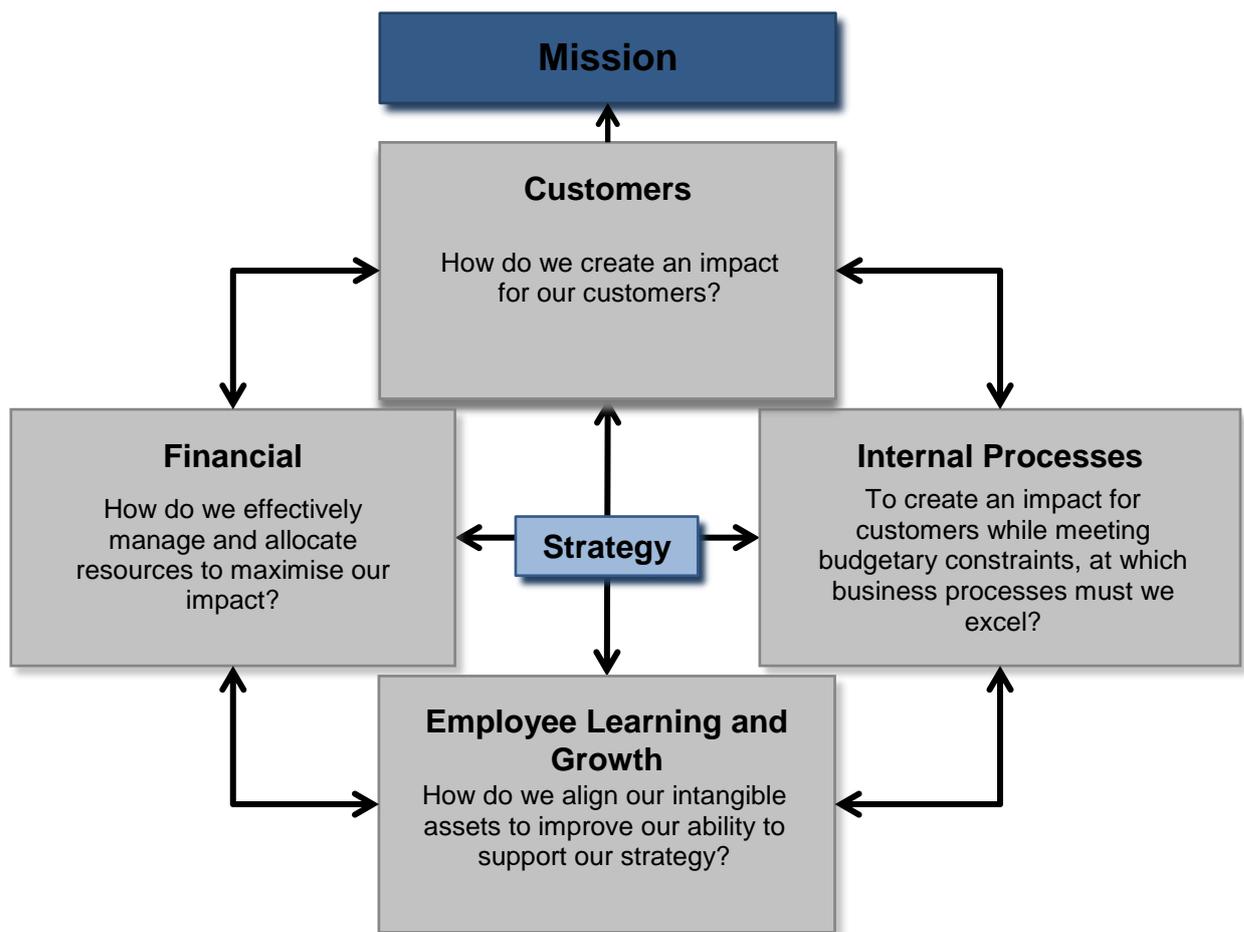


Figure 3.6: Illustration of the BSC for the public sector

Source: Niven (2008:32)

Also, clear from the demonstration in Figure 3.6 is the amendment of the questions for the different perspectives, made by Niven to fit public sector organisations. It should, however, be mentioned that according to Niven (2008:157), organisations may want to add an entirely new perspective and they should be permitted to adjust the perspectives of the BSC for their distinctive characteristics.

3.8.4 Development and Implementation of the BSC

This section reviews the development and implementation of the BSC in general because this applies to the BSC for private and public sector organisations. The intended outcome of a good strategy will not be achieved, and it will be of no benefit if it is not implemented (Kimeu & Maina, 2018:447). A commitment by management should ensure effectiveness by using the BSC to its full potential. Kaplan and Norton (2006:107) added that the BSC should become the central management system if

organisations want to grasp the full benefit of it. Furthermore, they highlighted the importance of managements' reliable devotion to the effective and efficient implementation of the BSC.

The literature identified some universal principles and steps to follow to successfully, implement the BSC. A review of these principles and steps might enhance the process to develop a school-based performance management framework.

3.8.4.1 Common Principles for the Successful Implementation of the BSC

For the successful implementation of the BSC, Kaplan and Norton (2001b:147) identified five universal principles from executives of organisations who successfully implemented the BSC. They referred to these principles as the five principles of a strategic-focused organisation, while Murby and Gould (2005:8) referred to it as guiding principles.

The first principle is the 'translation of the strategy *to operational* terms, meaning that the activities of each department or part of the organisation should be aligned, and jointly re-enforced through the organisational strategy (Murby & Gould, 2005:8). The strategy is translated into a strategy map, and the BSC stipulates in detail the vital fundamentals of their growth strategies (Kaplan & Norton 2001b:147). Murby and Gould (2005:8) further highlighted that strategic themes need to be part of the reporting structures of the organisation to ensure a constant communication network to all employees throughout the organisation. A disagreement amongst management to translate the organisation's vision and mission into action can be a significant threat to the success of the BSC (Kaplan & Norton, 2006:107).

'Alignment of the organisation to the strategy' was identified by Kaplan and Norton (2001b:147) as one of the causes why the BSC is sometimes unsuccessfully implemented, and therefore it became the second principle. One of the significant challenges with the implementation of the strategy is the failure to communicate to all stakeholders and to coordinate all communication and activities (Kaplan & Norton 2001b:149). This was also concurred by Murby and Gould (2005:8) who stated that the development and communication of two or three complementary strategic themes will result in balancing potentially inconsistent long and short-term priorities and realising the required focus.

The third principle, 'make strategy everyone's and every day's job', means that all internal stakeholders need to appreciate and understand the strategy, and to devote their actions in a way that it underwrites the mission and objectives. Furthermore, it ensure that the BSC will be effective (Murby & Gould, 2005:9; Kaplan & Norton, 2001b:151). In conjunction with this, De Lancer Julnes and Holzer (2001:697) stated that the involvement of all stakeholders in the process is vital and it will ensure they buy into it. Brown *et al.* (2008:398) also emphasised the participation of the potential users of the information to ensure information from the process will enhance decision-making. Important issues that need to be taken care of in this regard includes communication, education, development of personal and team objectives, and incentives and reward (Kaplan & Norton, 2001b:151).

Strategy is a continual process. Therefore Murby and Gould (2005:11) referred to it as the fourth principle and stated that all organisations which successfully deployed the BSC as a strategic management tool, made strategy a continual process. This is essential due to the constant change of the environment wherein the activities take place. The BSC needs to be based on the cause and effect linkage between individuals, departments and the organisation to make it a continual process (Murby & Gould, 2005:11). Kaplan and Norton (2001b:152) referred to a double-loop process, which incorporates the management of tactics with the management of strategy to ensure continual strategy management. They identified three processes, namely (i) linkage of strategy to the budgeting process, (ii) arrange management meetings to review strategy, and (iii) learn and adapt the strategy changes.

'The mobilisation of leadership' for change, the fifth principle, does not focus on the BSC and processes, but on ownership and active involvement. Kaplan and Norton (2001b:151) referred to this as the most significant condition required for the effective implementation of the strategy. Also concurred by Murby and Gould (2005:14), stating that the success of a BSC programme relies on the complete commitment of the most senior management in the organisation. Cooper *et al.* (2017:996) also argued that organisations' failure to commit to the BSC and strategy will result in insufficient outcomes.

Other principles, specifically related to schools, identified from the literature include that information should be presented in such a way that it is useful for schools to make sound strategic decisions. Brown *et al.* (2008:398) stated that the performance

management system and information should be useful to a miscellany of audiences, from policymakers and organisational stakeholders to schools' management. These users need to accurately appreciate what is being measured to interpret and use the information correctly. Therefore a balance between performance measures that are easy to understand, and measures that capture the complexity of organisations, is required (Wang, 2002:29). Complex and detailed performance measures may be a more exact reflection of schools' performance but might become incomprehensible to decision-makers and lose its motivational power (Brown *et al.*, 2008:395; Hurst Jr., 1980:47).

3.8.4.2 The BSC Development and Implementation Process

Throughout the review of the literature, communication and involvement of all stakeholders have been emphasised. Niven (2008:75) added that management consensus during the development of the BSC is critical. Therefore, it is vital to follow steps or checkpoints to ensure that everybody is on the same page. Figure 3.7 demonstrates these steps as observed from Niven (2008:75) and Sharma (2009:12). Although the whole process is depicted in Figure 3.7, the focus of this study will only be on the development of a framework and not on the identification of measures and measurement of the performance.

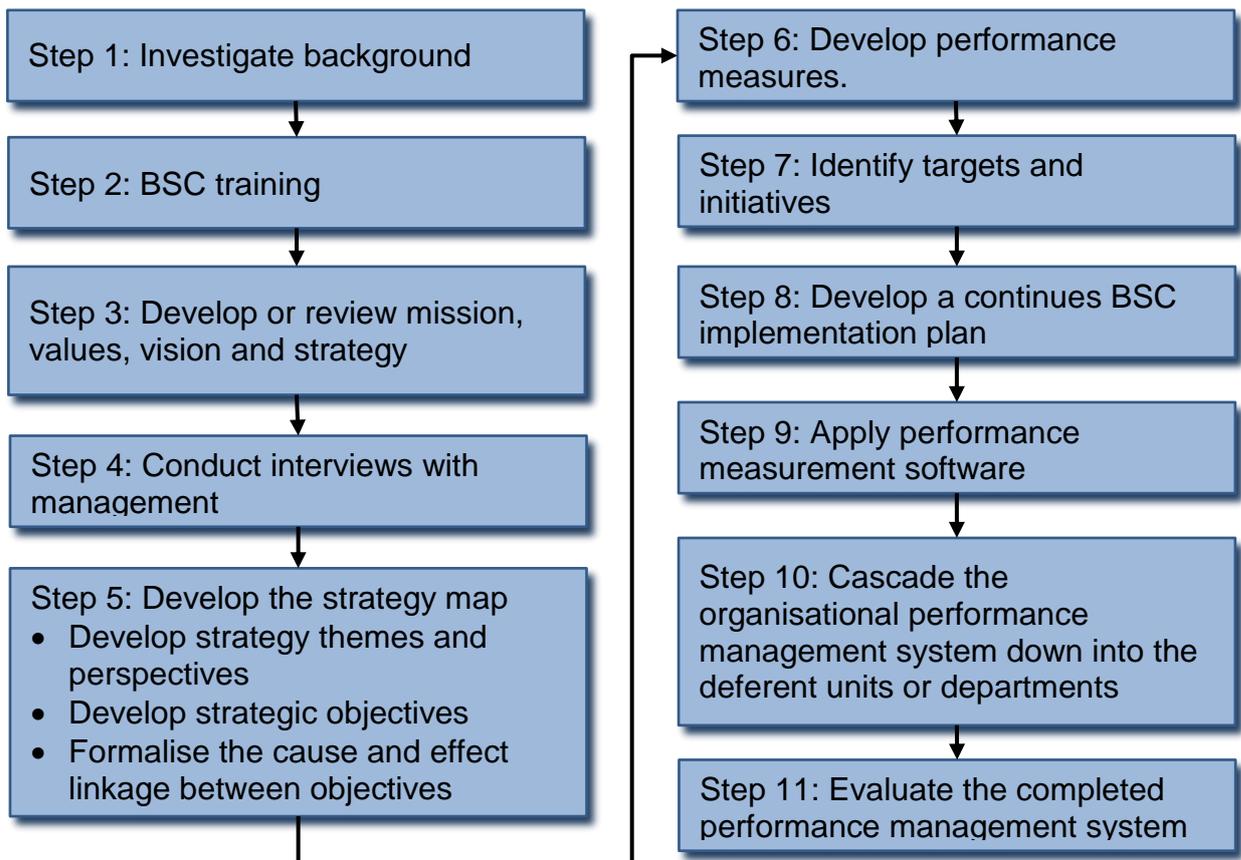


Figure 3.7: Development and implementation process of the BSC

Source: Own observation from literature

The steps of the development and implementation process, as shown in Figure 3.7 are explained as follow:

Step 1: Investigate the background

It is vital to develop an effective performance management instrument and a broad overview of the organisation and its character. According to Niven (2008:75), a full background to the organisation and its mission, values, vision, strategy, previous studies and previous performance results is required.

Step 2: BSC training

Before any development, training of every person that will be involved in the process need to be done. All characteristics of the BSC need to be fully understood by all participants to be effectively applied (Dimitropoulos, Kosmas & Douvis, 2017:368; Niven, 2008:75).

Step 3: Develop or review mission, values, vision and strategy

According to Sharma (2009:12), this is where the development of a performance management instrument start. Sharma added that it also comprises of a change management plan for the organisation. Dimitropoulos *et al.* (2017:368) argued that the details in this step determines the performance criteria and provide the raw material for the BSC. Niven (2008:75) referred to mission, values, vision and strategy as a building block and stated that if any of these blocks are lacking or vague, a decision needs to be taken whether to create it or continue without it. He argued that a complete strategy for success will differentiate an organisation from others and therefore, each building block is an essential component that should be considered carefully.

Step 4: Conduct interviews with management

Interviews with executives will enhance successful development, implementation and application of the tool as management's views and issues can be addressed (Dimitropoulos *et al.*, 2017:369; Niven, 2008:75).

Step 5: Develop the strategy map

Develop strategy themes and perspectives: In this step, the fundamentals of the strategy namely; strategic themes and perspectives, are developed to put the focus on the values of the organisation and the needs of customers (Sharma, 2009:12). Dimitropoulos *et al.* (2017:374) also referred to the importance of a strategy that directs the organisation towards performance. Niven (2008:75) stated that workshops need to be held to gain managements' agreement on the strategy.

Develop strategic objectives: The mission, vision, strategy, themes and perspectives from the previous steps are integrated into strategic objectives which will drive the initiatives of the organisation and strategy. According to Sharma (2009:12), the objectives are categorised by the identified perspectives and aligned with the mission and with each other in the strategy map for each theme.

Formalise the cause and effect linkage between strategic objectives: An organisational strategy map is created by formalising the cause and effect link between the organisation's objectives, and merging the strategy maps of the different themes into one strategy map for the whole organisation (Sharma, 2009:12). This will demonstrate how the organisation will create value for the customers and stakeholders.

These development procedures in steps 1–5 are described in detail in Chapter 5 when the structure of the BSC is reviewed.

Step 6: Develop performance measures

After the set of objectives for the whole organisation has been created, leading and lagging measures for each objective need to be identified (Sharma, 2009:12). These measures should give insight into the performance of the strategy and ensure accountability through the whole organisation (Niven, 2008:77).

Step 7: Identify targets and initiatives

According to Niven (2008:77), organisations are only practising if they do not have targets to aim at. Therefore, the projected targets need to be determined (Sharma, 2009:12). Initiatives to support the objectives and to achieve the targets need to be developed. Sharma (2009:12) added that initiatives leading to the achievement of objectives should be documented and assigned to employees to ensure accountability.

Step 8: Development of a continuous BSC implementation plan

Niven (2008:78) suggested that the created performance management system now needs to be taken further to reach its full potential. He referred to an implementation plan that outlines what needs to be done to ensure sustained momentum. Subsequently, the performance management system will concurrently be a powerful communication instrument throughout the organisation (Niven, 2008:78). Dimitropoulos *et al.* (2017:368) also mentioned the importance of continuously reviewing the system and continually connecting objectives with procedures and performance measures.

Step 9: Applying performance measurement software

Sharma (2009:12) added the next two steps. Performance measurement software should be used to get the right performance information to the right people at the right time. Sharma (2009:12) argued that computerisation improves structure and discipline and due to quick access to data, improves decision-making.

Step 10: Cascade the organisational performance management system down into the different units or departments

The BSC process should be integrated into all divisions of the organisation, but with the flexibility to modify the goals and objectives within the framework of the general strategic plan of the organisation (Dimitropoulos *et al.*, 2017:368). Also added by

Sharma (2009:13) was a step to translate the performance management system into the business and support units and then to teams and individuals. He also referred to his as the translation of high-level strategy to lower-level strategy. Although this forms an integral part of the development of a performance management system, it does not fall in the domain of this study as the focus of the study is on the development of a framework only.

Step 11: Evaluate the completed performance management system

Sharma (2009:13) concluded these steps with an assessment of the completed system. He referred to the following questions that need to be answered: -

- Are the developed strategies successful?
- Are the measures measuring what it should measure?
- Has the environment of the organisation changed?
- Can the budget be linked to the strategy?

Organisations should regularly revise the BSC to prevent wrong decision-making based on an out of date strategy (Dimitropoulos *et al.*, 2017:368; Cooper *et al.* (2017:998). This is also stated for completeness and does not form part of the focus of this study.

3.8.5 Benefits of the BSC

It is clear from the previous section that the BSC holds numerous advantages for organisations that carefully and thoroughly implement and use it. This section first reviews the benefits of the BSC in general and then engage with benefits that the BSC potentially holds specifically for schools.

One of the first advantages highlighted by Kaplan and Norton (1996:137) is the flexibility qualities of the BSC to be useful in different environments. This was concurred by Sheykholeslam and Vernekar (2015:383). This is also clear from the above background to the BSC, indicating that it was also adapted for use in public sector organisations.

The BSC is known as a very effective instrument to make the organisational strategy operational (Sheykholeslam & Vernekar 2015:382; Sharma, 2009:13). Sheykholeslam and Vernekar (2015:382) also argued that the most beneficial characteristic of the BSC

is its ability to translate long-term strategy into initiatives to improve organisational performance.

Another benefit of the BSC mentioned continuously by many authors is the clarity of objectives and the alignment of these (Sheykholeslam & Vernekar, 2015:383; Brown, 2010:29; Sharma (2009:11). Sheykholeslam and Vernekar (2015:382) referred to the linkage between strategic objectives. Sharma (2009:13) talked about the advantage of aligning the organisational vision with strategy and day-to-day operation, promoting positive employee actions. The BSC also helps to connect all, frequently detached initiatives, ensuring focus on the vision (Sharma, 2009:13).

The BSC can also be a communication tool and assists organisations to communicate its strategy throughout the organisation and enhance strategy execution, which might be a challenge for many organisations (Brown, 2010:29; Sharma, 2009:11). Pandey (2005:64) concurred stating that the BSC improves communication of the strategy from top management to lower levels. Sharma (2009:11) added that it improves internal and external communications. In conjunction with this, communication also ensures that organisations measures what matters, identifies more effective initiatives, improves prioritising of initiatives and promotes the involvement of all stakeholders (Brown, 2010:29; Sharma, 2009:11; Storey, 2002:331). This will result in a broad organisational focus on what needs to be done to ensure exceptional performance.

The BSC and improved communication will help all employees to understand the organisational focus and mission and to work towards it (Sharma, 2009:13; Pandey, 2005:64). The BSC further addresses the breakdown of organisational measures for lower level managers and employees to understand and know what needs to be done effectively to drive performance towards the objectives and mission of the organisation (Sharma, 2009:13).

Applying the BSC is also beneficial as it provides an opportunity to compare efforts made with the results obtained and improve on problem areas (Pandey, 2005:52). This performance information provides an excellent base for improved decision-making, putting the focus on the most vital initiative and advancement towards the anticipated outcomes (Sharma, 2009:14). Other benefits mentioned by Sharma (2009:13) are the basis to determine rewards to employees and the enhancement of linking the

organisational budget with its strategy. Sharma (2009:13) summarised this, stating that the BSC helps organisations to develop to its full potential.

The breakdown of objectives to measurable measures and the ability to accurately determine what need to be done to achieve the intended goals is also one of the main advantages for schools (Archer, 2007:8). Added to this is the ability to identify the impact of operational metrics on schools' financial performance (Hess & Fullerton, 2009:165).

The former superintendent of Monroe County Schools in Forsyth (USA), Cowart (2010:16) identified some advantages for schools, related to the BSC, namely

- improved trust amongst stakeholders and confidence in the new improvement plans, due to transparency;
- better coordination and management of schools' resources;
- improved consolidation of all unaligned initiatives into one focused strategy for the school;
- assist schools with the development of a school improvement plan, aligned with the BSC, delivering a powerful tool;
- a higher sense of urgency, decreased time spent on the required changes and the reduction of time, energy and efforts of management to improve performance.

3.8.6 Limitations and Shortcomings of the BSC

Despite all the mentioned benefits of the BSC, it also has some challenges. According to Sharma (2009:14), implementing the BSC is a complicated process because it encompasses a considerable share of bias. Adding to the complexity is the fact that performance measures need to consider the environment, industry and the organisation's culture (Sharma, 2009:14).

Another weakness of the BSC is its ability to accommodate all organisations and stakeholders in diverse environments (Nørreklit, 2000:81). Some critics specifically criticise the application of the BSC in the public sector, reasoning that it ignores vital environmental and social issues (Brignall, 2002:87). Furthermore, Voelpel, Leibold and Eckhoff (2006:50), and Bourguignon, Malleret and Nørreklit (2004:117) criticised the

adaptability of the BSS for African countries. They argued that the BSC is a tool developed for western countries with capitalist and mechanistic characteristics.

Schneiderman (1999:193), also criticised the technical flow in the BSC method and development. Papalexandris, Loannou, Prastacos and Soderquist (2005:225), and Nørreklit (2000:83) referred to the lack of documentation that supports the BSC, as critical. Chang (2006:775) and Jensen (2001:19) concurred that the BSC is just an information system, or a list of roughly tangled measures, that do not provide for standardised notches or combined interpretations with recommendations. As a limitation, Brown *et al.* (2008:30) stated that the BSC depends on the availability of data and that it is not useful if the data is not accessible.

Schalm (2008:9) and Chang (2006:779) concluded that organisations from the private and public sector have difficulty with the implementation of the BSC. Some authors mentioned the limitations of the BSC that explicitly relate to schools. Performance management systems are a reduced reflection of the complexity and scope of teachers' work (Brown *et al.*, 2008:31). Storey (2002:329) explained that teaching cannot be reduced to the categorisation implicated by performance management tools as it includes numerous diffused and unstated aids. Nørreklit (2000:82) added that, for the BSC to be a true reflection of performance, the correct balance of indicators is vital. Storey (2002:329) also referred to the distortion caused by the linkage between performance measurement and performance-related pay as a vital limitation. Teachers' time constraints to engage with the necessary procedures fully, hampers the process (Storey, 2002:329).

3.9 APPLICATION OF THE BSC IN PUBLIC SCHOOLS

This section intends to get clarity on the second sub-research question:

How can the BSC contribute to performance management in self-managing schools
in South Africa?

The application of the BSC in different sectors is regularly seen in the literature, while only a few investigations have been done regarding the use of the BSC in the education sector (Yüksel & Coşkun, 2013:2450). A study on the implementation of the BSC in the provision of educational services, however concluded that the BSC, as a strategic performance management system, might assist high schools to be strategically

focused and work better towards their missions (Yüksel & Coşkun, 2013:2459). In his study, *Determining the usability of a performance measuring system for schools, using the BSC*, Lee (2006:50) also concluded that the BSC could be suitable for schools.

The BSC was mostly used in schools in the USA when applied at the district level. The Fulton county district in 2001 first implemented the BSC (Kaplan & Miyake, 2010:11). Today it is used by almost all school districts in the USA. According to Kaplan and Miyake (2010:1), schools in the Atlanta school district have transformed from poor performance to strategically focused schools, concurrently focusing on short-term outcomes and ensuring the execution of its long-term strategic plan. For instance, Monroe Country Public School District, Aldine Independent School District and Montgomery Country Public School District were also identified as school districts where schools transformed their poor performance by implementing the BSC (Coward, 2010:17). In the research conducted by Brown (2010:200) on the effectiveness of the application of the BSC in urban secondary schools in the USA, he concluded that the BSC contributed significantly to the high success rate of these schools. The districts, however, did not follow the same approach and did not use the same BSC structure. Some of these structures are analysed in Chapter 5 as it forms part of the development stages of this study.

Although applied in different circumstances and a different environment, the BSC proves to be an effective instrument for the management of schools' performance. It, therefore, might also be of great value to use it in combination with the IQMS to develop a performance management instrument for the application in South African schools.

3.10 THEORETICAL POSITION OF THE BSC

In Section 2.9 schools were positioned in the Institutional theory with the management of self-managing schools also partly in the Democracy Theory where communities have the freedom to manage their own schools, taking their unique character and environment in consideration. The review of the BSC in this chapter reveals that the BSC might be the appropriate tool that allows for these diverse circumstances.

When the BSC was developed in the 1980s, it was located in the Strategic Control and the Agency Theories (Wegmann, 2008:2). The Strategic Control approach appeared during the 1970s (Schendel & Hofer, 1979:18; Horovitz, 1979:1) and since then the

literature showed continuous research on the topic (Bromwich, 1990; Shank & Govindarajan, 1989; Simmonds, 1982). According to Bromwich (1990:39), the Strategic Control Theory entails a study of the relations between the strategic and the operational procedures.

Before the development of integrated performance management systems, the crisis within the management domain was due to the overpowering volumes of information required by control tools. Jensen and Meckling (1992:270) stated that the Strategic Control Theory suggests the primary purpose of the BSC is to merge the control and strategic processes. However, the review on the BSC earlier in this chapter emphasised the purpose of the BSC is on strategy rather than control. Therefore, according to Wegmann, (2008:3), the BSC finds a better fit in the Knowledge Management Theories.

The most prominent Knowledge Management Theories are the Organisational Learning Theory, the Resource-based View (RBV) and the Core-competencies Approach (Prahalad & Hamel, 1999:80). According to Wegmann, (2008:3) Knowledge Management Theories assume that knowledge forms the core element for creating value in organisations and have a significant influence on all management areas. Scarbrough (2000:221) further stated that the RBV approach, as part of the Knowledge Management Theories, fits more specifically in the evolutionist theories. The RBV assumes that organisations' competitive advantage can be built by managing the development of technical and organisational processes (Wegmann, 2008:3).

The RBV theory refers to an approach that views resources as crucial to higher organisational performance (Rothaermel, 2012:5). Authors argued that the RBV involves organisations' application of their available tangible or intangible resources to gain competitive advantage (Rumelt, 1987:132; Wernerfelt, 1984:172; Penrose, 1959:168).

During the 1980s and 1990s, publications such as '*The Resource-Based View of the Firm*' by Wernerfelt (1984), '*The Core Competence of The Corporation*' by Prahalad and Hamel (1990), and '*Firm resources and sustained competitive advantage*' by Barney (1991), introduced the RBV. According to Kay (2005:108), it is grounded in the understanding of the organisation as a pool of capabilities. This RBV offers important and essential understandings of why organisations with valuable and well-controlled

resources usually perform better than other resources (Barney, 2001:43). The RBV uses the internal characteristics of organisations to describe its strategy and performance (Kipngetich, 2016:8).

According to Jurevicius (2013), the supporters of the RBV argue that it is more practical to use existing resources in a new way to achieve external opportunities, rather than attempting to obtain new skills for each diverse prospect. Wernerfelt's (2014:22) argument added to this, stating that the resources of organisations are central to their strategy. He (Wernerfelt, 2014:22) also stated that great performance can be determined by the way organisations obtain, develop and deploy resources and build competency. The two most important assumptions for the RBV are that resources are heterogeneous and immobile (Jurevicius, 2013). Heterogeneous means that the organisations' skills, competencies and other resources vary from each other, while immobile means that, at least on the short term, resources cannot be transferred between organisations (Jurevicius, 2013).

In synthesis, Figure 3.8 illustrates how the theoretical gap, as identified in Chapter 2, Figure 2.9, might be filled by using the BSC to develop a school-based performance management framework for schools in South Africa.

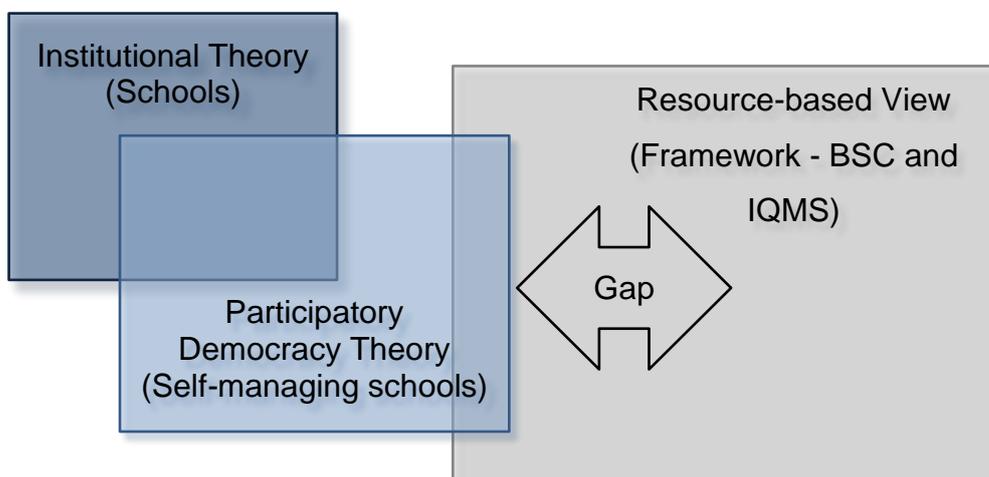


Figure 3.8: Theoretical position of the BSC narrowing the management gap

Source: Own observation

The RBV places resources as central to assisting organisations to realise higher performance. The supporters of RBV maintain that organisations should search for internal, unique resources to outperform competitors. The primary purpose of the BSC

is to translate the organisation's mission and objective to strategy and ensure the effective deployment of resources to achieve these objectives. The BSC also makes provision for the uniqueness of organisations and the involvement of all stakeholders. Therefore, developing a school-based performance management framework by using the IQMS and the BSC might locate the developed system in the RBV and help to fill the gap as identified in Figure 2.9.

3.11 SUMMARY

The purpose of this chapter was to review the literature to provide insight into the complex domain of performance management with the specific focus on performance management in schools, using the BSC. The review of the background to performance management and the performance management concept ensure an understanding of the origin, the complexity and importance of performance management. Although the development of effective performance management systems is not a natural process, it will motivate management and employees to improved performance. The chapter provides some critical aspects that need to be taken into consideration when developing a performance management framework for schools. During the development, CSFs are identified to provide direction for the complex process of identifying suitable KPIs. The application of performance management in schools is also reviewed, and it reveals that numerous authors criticised the measurements used to evaluate school's performance and that it usually lacks feasibility and adaptability when implemented in schools, operating in diverse environments.

The BSC was introduced by Kaplan and Norton, providing a balanced approach to performance management. It was also adjusted for non-profit and public sector organisations by mainly moving the Customers' perspective to the top position of the BSC. According to the literature, the BSC provides several advantages for organisations and specifically for schools. Although used in diverse situations and environments it proves to be an effective system for the management of schools' performance and is, therefore, the researcher's choice for this study.

The chapter concludes with the theoretical basis of the study. An explanation of the RBV and the use of the BSC to close the gap between the IQMS (Managerialism) and self-managing schools (Participatory Democracy Theory) by developing a school-

based performance management framework for schools is provided. The research process to achieve this will be provided in Chapter 4.

CHAPTER 4

RESEARCH DESIGN AND METHODOLOGY

4.1. LAYOUT OF THE CHAPTER

Figure 4.1 illustrates the layout of Chapter 4.

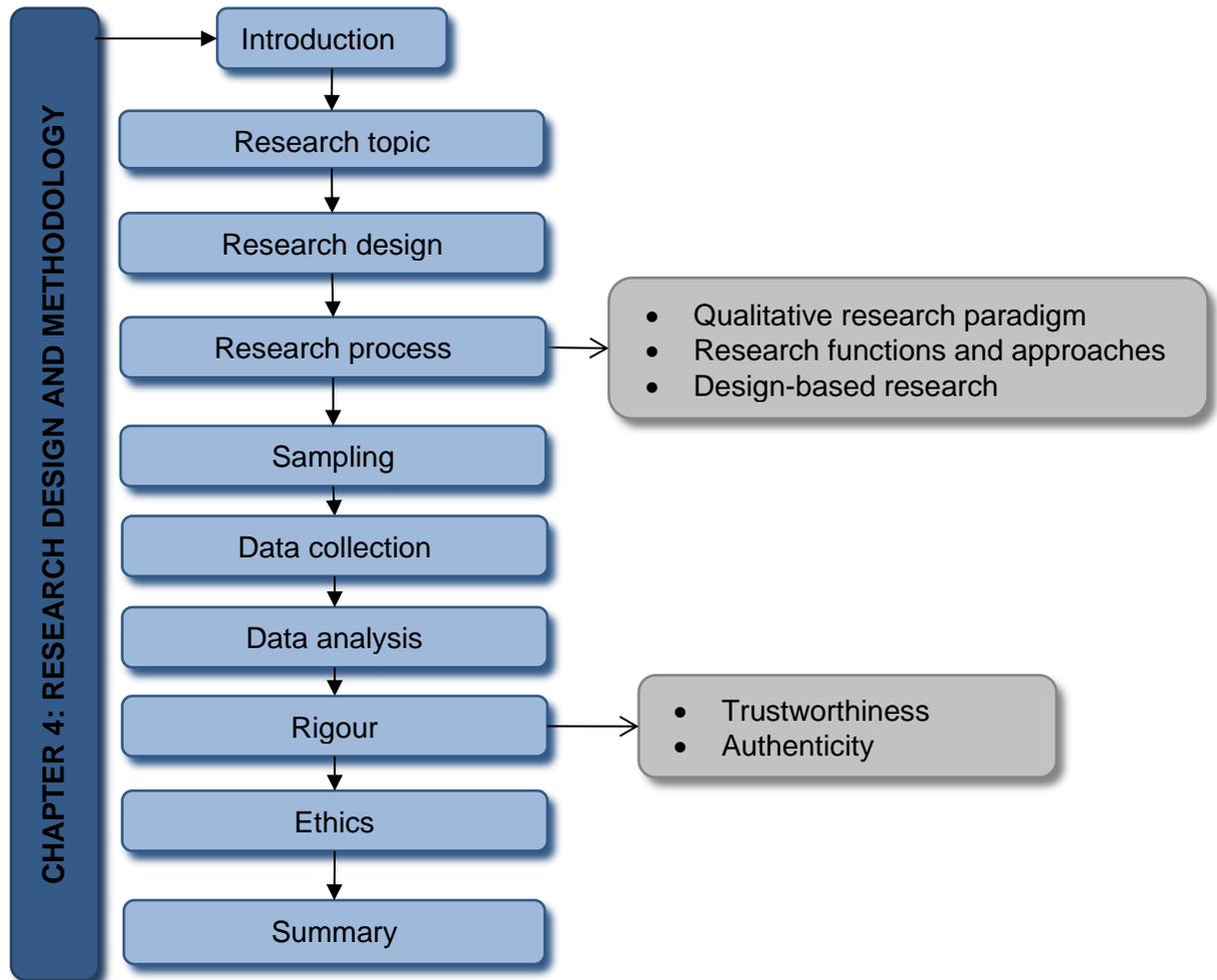


Figure 4.1: Layout of Chapter 4

Source: Own observation

4.2. INTRODUCTION

In Chapter 1, the thesis statement for this study was presented as follows:

Integrating the IQMS and the BSC into one framework offers a school-based performance management framework for self-managing schools in South Africa.

Therefore, the objective of this study was to integrate the IQMS and BSC to develop a school-based performance management framework for self-managing schools in South Africa. Also, it intended to:

1. Investigate to what extent the IQMS serves the purpose to manage performance in self-managing schools in South Africa.
2. Investigate how the BSC can contribute to performance management in self-managing schools in South Africa.
3. Investigate the practical limitations of the WSE system and the requirements for a school-based performance management framework for South African self-managing schools.

Guided by the thesis statement, this chapter provides this study's strategy to achieve the objectives as shown above. It, therefore, presents a comprehensive overview of the methods used to combine the literature and practitioners' experiences and views, using action research to develop solutions to practical problems and consequently develop new knowledge. As part of action research, this chapter focuses on the DBR process and describes the sampling method, data collection design and the methods followed to analyse the data. It further describes the rigour and ethics for the study.

4.3. RESEARCH TOPIC

The researcher's interest in the research topic developed from his interest in the Management Accounting field and his more than twenty years involvement in the school environment as a teacher, SMT member and SGB member during that time. The continuing ineffectiveness to increase the productivity and performance of South African schools, together with the failure to evaluate the schools and their performance effectively, has contributed to the researcher's curiosity to investigate the effectiveness

of the IQMS and whether it can be improved by applying management accounting principles.

4.4. RESEARCH DESIGN

A research design is the general, complete plan of the research or study (Blumberg *et al.*, 2008:195). It contains data collection, data measurement and data analysis, and forms the blueprint for the study (Blumberg *et al.*, 2008:195). Hofstee (2009:120) stresses that a description of the research design provides a theoretical background to the method used.

For research, a quantitative, qualitative or combined method can be followed. The design drives the researcher's choice of action in a quantitative study, while the researcher's actions and choices will drive the design in a qualitative study (De Vos, Strydom, Fouché & Delpont, 2011:269). A quantitative paradigm is embedded in the positivism philosophy and requires that the researcher emphasises quantification in the collection and analysis of data (Blumberg *et al.*, 2008:20). Qualitative research originated from the interpretivism philosophy, where interpretivists believe that the social world cannot be understood by applying principles from the natural sciences (Blumberg *et al.*, 2008:21). The researcher decided on the qualitative paradigm as the desired method of research because the study relied heavily on the views and interpretations of individuals.

4.4.1 Qualitative Research Paradigm

The qualitative research paradigm provides freedom for critical factors to emerge. Blumberg *et al.* (2008:200) mentioned that exploratory studies rely heavily on qualitative techniques. Maree (2010:258) added that the research questions for qualitative research strive to understand the participants' opinions of the phenomenon and therefore open-ended questions are asked. Authors furthermore stated that qualitative research has a loose structure, seeks to understand and suits exploratory studies best (Eisner, 2017:12; Maree, 2010:10; Blumberg *et al.*, 2008:195). Qualitative research concentrates on occurrences in ordinary situations and studies these occurrences in all their complexity by using interviews, observations and recordings

(Eisner, 2017:98; Cooper & Schindler, 2008:20). He (Eisner, 2017:33) summarised specific features, shared by all qualitative research studies, as follows:

- The ordinary incident is the data source.
- The researcher is the essential tool in the research.
- Words and pictures describe the data.
- The data is analysed inductively.
- The researcher is concerned with the 'way' people make sense of their lives.

Qualitative research contains numerous interpretive techniques to define, decode and interpret to gain an understanding of the phenomenon (Cooper & Schindler, 2008:162). Basic philosophies of interpretivism are that people subjectively give meaning to the social world while the researchers' interest motivates them. Also, the researchers play personally a role in what is observed (Blumberg *et al.*, 2008:20). This study, therefore, was underlined by the following assumptions of interpretivism (Maree, 2010:59; Blumberg *et al.*, 2008:20):

- the social world is observed by the search for the senses people give to it and interpreting these senses from the people's point of view;
- certainties are socially and not objectively shaped;
- observing the totality of the social phenomena is the only way to understand it;
- there are different, multiple certainties of phenomena and the behaviour of humans are affected by their knowledge of the social world;
- the social world and human knowledge are connected, and the researchers are affected by their knowledge and appreciation of the phenomena.

The aim is to provide a perspective of the phenomena and to analyse the phenomena to offer insight into the way specific people understand and interpret it (Maree, 2010:60). In this study, the understandings and needs of the stakeholders of public schools regarding performance were necessary to develop a school-based performance management framework for schools in South Africa. Therefore, a qualitative paradigm fits best. It is essential to locate the chosen research design within the context of other research designs, before discussing the chosen design.

4.4.2 Research Functions and Approaches

The motivation for the scientific research is a search for knowing or understanding the domain. It furthermore added to the body of knowledge or theory in the field of study (Plomp, 2010:10). According to Plomp (2010:10), research also aims to offer understanding and contribution to improve policy development, decision-making and practice.

Various research functions or purposes can be distinguished. Denscombe (2014:4) mentioned some functions namely (i) describe, (ii) compare, (iii) evaluate, (iv) explain, (v) design or develop solutions to practical problems, (vi) measure, (vii) predict and (viii) to explore or understand. Maree (2010:70) on the other hand, identified conceptual studies, historical research, action research, case study research, ethnography and grounded theory as qualitative research designs. The qualitative designs in Table 4.1 were slightly modified by Plomp (2010:11) when he added the functions that can be realised by each.

Table 4.1: Qualitative research designs and the possible research functions

Design	Functions
Survey	to describe, to compare, to evaluate, to measure
Case study	to describe, to explore or understand, to compare, to explain
Experiments	to explain, to compare, to measure, to predict
Action research	to design or develop solutions to practical problems
Ethnography	to describe, to explain, to explore or understand
Correlational research	to describe, to compare, to predict
Evaluation research	to evaluate

Source: Plomp (2010:12)

This study aims to develop a performance management framework for a practical problem in a real-world context. Therefore, as indicated in Table 4.1, action research was chosen. Coughlan and Coughlan (2002:220) explained that action research is research where the researcher is intimately involved in the activities of the organisation and evaluates a situation while it takes place. In the case of this study it refers to the design process of a performance management framework for public schools. Gummesson (2000:117) concurred that action research entails collaboration between the researcher and participants from the organisation under investigation. The

researcher decided to use action research and, more specifically, a DBR approach. DBR refers to a specific kind of action research with a purpose to develop knowledge that can be employed to solve real-world problems (Van Aken, 2007:68; Andriessen, 2004:5).

4.4.3 Design-Based Research (DBR)

Many traditional research methods, with a focus on description, usually do not provide useful solutions for design and development problems (Van den Akker, 1999:2). The need for a new research approach, which addresses the practical problem directly and that leads to the development of usable knowledge, emerge from the fact that research is frequently separated from the concerns and problems of daily practice (Design-Based Research Collective, 2003:5). Van den Akker (1999:2) argued that improvement frameworks or systems cannot be designed around office tables, but need research, backing the creation and application procedures.

DBR entails the development of an intervention (programmes, products or systems) with the intention to resolve complex problems and to improve knowledge of these interventions and the procedures of development (Plomp, 2010:12). According to Beukes (2013:29), DBR proposes an alternative technique that emphasises direct, available, and harmonised developments in research, theory, and practice but it does not substitute other methodologies. Plomp (2010:13) explained further that DBR is a systematic study aiming to design, develop and assess procedures, policies, frameworks and structures as solutions to complex problems in practice, which also intend to contribute to the knowledge of the development of these procedures, frameworks and structures.

Herrington *et al.* (2007:4089) added that DBR incorporates the design of solutions to real-world problems with the documentation of development principles. Wang and Hannafin (2005:06) referred to DBR as logical, but flexible. Amiel and Reeves (2008:34) highlighted that DBR also suggests iterative research procedures that assess innovative designs but also attempts to improve the design or framework methodically. Consequently, it creates development philosophies that might provide a basis for other related research (Amiel & Reeves, 2008:34).

DBR is a way to do action research to improve and evaluate designs or policies based on theoretical philosophies resulting from previous research (Beukes, 2013:30). Plomp (2010:13) agreed that researchers use prior research and related literature, in co-operation of practitioners, to create and develop a practical framework or interventions. Stam (2007:17) argued that the usefulness and soundness of the design are assessed by the users in the field of application.

Beukes (2013:30) further stated that the design is revised continuously until everything is working. DBR aims to carefully observe how the different components work together (Beukes, 2013:30). According to Van Aken (2007:3), the design may refer to actions, structures, processes or systems.

The DBR process is recurrent. Plomp (2010:13) explained that analysis, development, assessment and reconsideration activities are repeated until a sufficient balance between the planned ideals and the best possible solution has been realised. Figure 4.2 illustrates the DBR process.

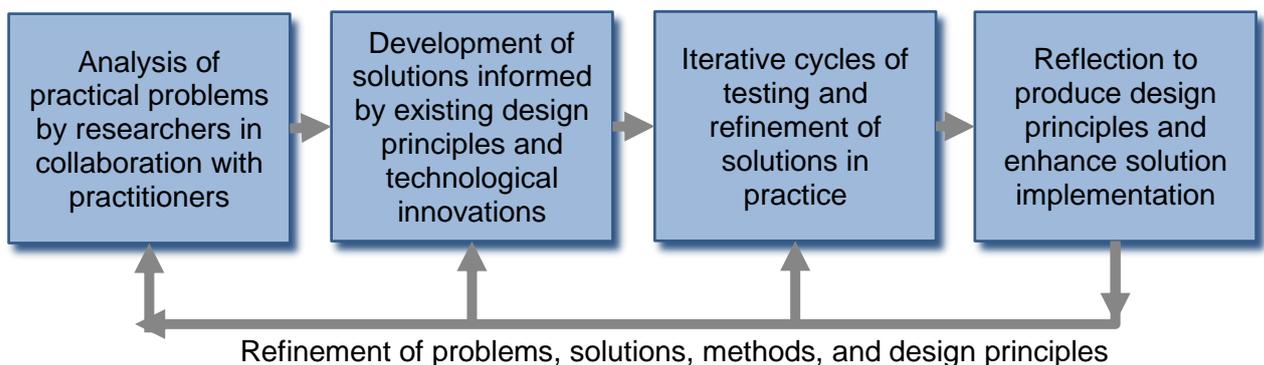


Figure 4.2: Design-based research process

Source: Amiel & Reeves (2008:34)

The following four phases reflect in Figure 4.2.

Problem identification phase: During this phase, the researchers in collaboration with the practitioners analyse the practical problem. According to Amiel and Reeves (2008:35), DBR views the practitioner as an essential contributor to the formulation of the problem.

Preliminary phase: This entails the development of solutions based on current design principles. Plomp (2010:15) referred to context analysis, review of current literature

and development of a preliminary framework or design as the core of this phase. Amiel and Reeves (2008:35) also stated that the preliminary design might result from research done on previously approved design principles or be entirely new, designed principles. They further highlighted the importance that the researcher is unpretentious by recognising that real-world environment interactions are complex and understand the contextual boundaries of the proposed design.

Prototyping phase: Refining and testing the design or framework using opinions, insight and experience of practitioners from real-world settings. This entails some micro-cycles aiming to improve and refine the design or framework (Plomp, 2010:15; Amiel & Reeves, 2008:35). A systematic data collection process is required to refine the design or framework (Amiel & Reeves, 2008:35).

Assessment phase: This final phase is a reflection on the development process and the design or framework to enhance solution implementation. Plomp (2010:15) added that an assessment is required to determine to what extent the new design or framework resolves the pre-determined problem.

DBR relates to five essential characteristics. Although the features are not limited to DBR, it is important to realise that other research methods are often extended into DBR. Wang and Hannafin (2005:8) summarised the features of DBR as depicted in Table 4.2.

Table 4.2: Characteristics of Design-based research

Characteristics	Explanations
Pragmatic	<ul style="list-style-type: none"> • DBR improves both theory and practice • The value of a theory is assessed by the degree to which philosophies enlighten and develop practice
Grounded	<ul style="list-style-type: none"> • The design is theory-driven and based on appropriate research, theory and practice • The design is conducted in real-world locations, and the design procedure is rooted in and studied through, DBR
Collaborative, iterative and flexible	<ul style="list-style-type: none"> • Designers are involved in the design processes and work together with partakers. • Procedures are an iterative cycle of examination, design, application, and redesign. • A preliminary proposal is typically inadequately detailed so that designers can make considered modifications when needed
Integrative	<ul style="list-style-type: none"> • Mixed research methods are used to make the most of the integrity of on-going research • Approaches differ throughout different stages as new requirements and problems arise, and the attention of the research grows • Rigour is decisively preserved, and self-control applied suitably to the development phase
Circumstantial	<ul style="list-style-type: none"> • The research procedure, research conclusions, and variations from the original design are documented • Research outcomes are linked with the design procedure and the location • The content and complexity of produced design philosophies differ • Assistance for applying produced philosophies is necessary

Source: Wang & Hannafin (2008:8)

This table, and the explanations provided in this section, helps to gain a better understanding of the research process followed, and the research process in the next section demonstrates that all these characteristics, as summarised in Table 4.2 also fits this study. The next section describes the research process for this study based on the four phases of DBR.

4.5. RESEARCH PROCESS

As already stated, DBR, based on qualitative data collection was used in this study, to develop a school-based performance management framework for self-managing schools in South Africa. The researcher used the four phases of DBR, as described in the previous section as basis but decided to start with the development of the preliminary framework, based on the exiting IQMS and BSC frameworks as Phase 1. This was decided because the literature review in Chapter 2 already provides a clear analysis of the practical problem. The problem, however, was confirmed and refined in the first cycle of interviews during the prototyping phase. Figure 4.3 illustrates the DBR process and the corresponding chapter layout that is followed for this study.

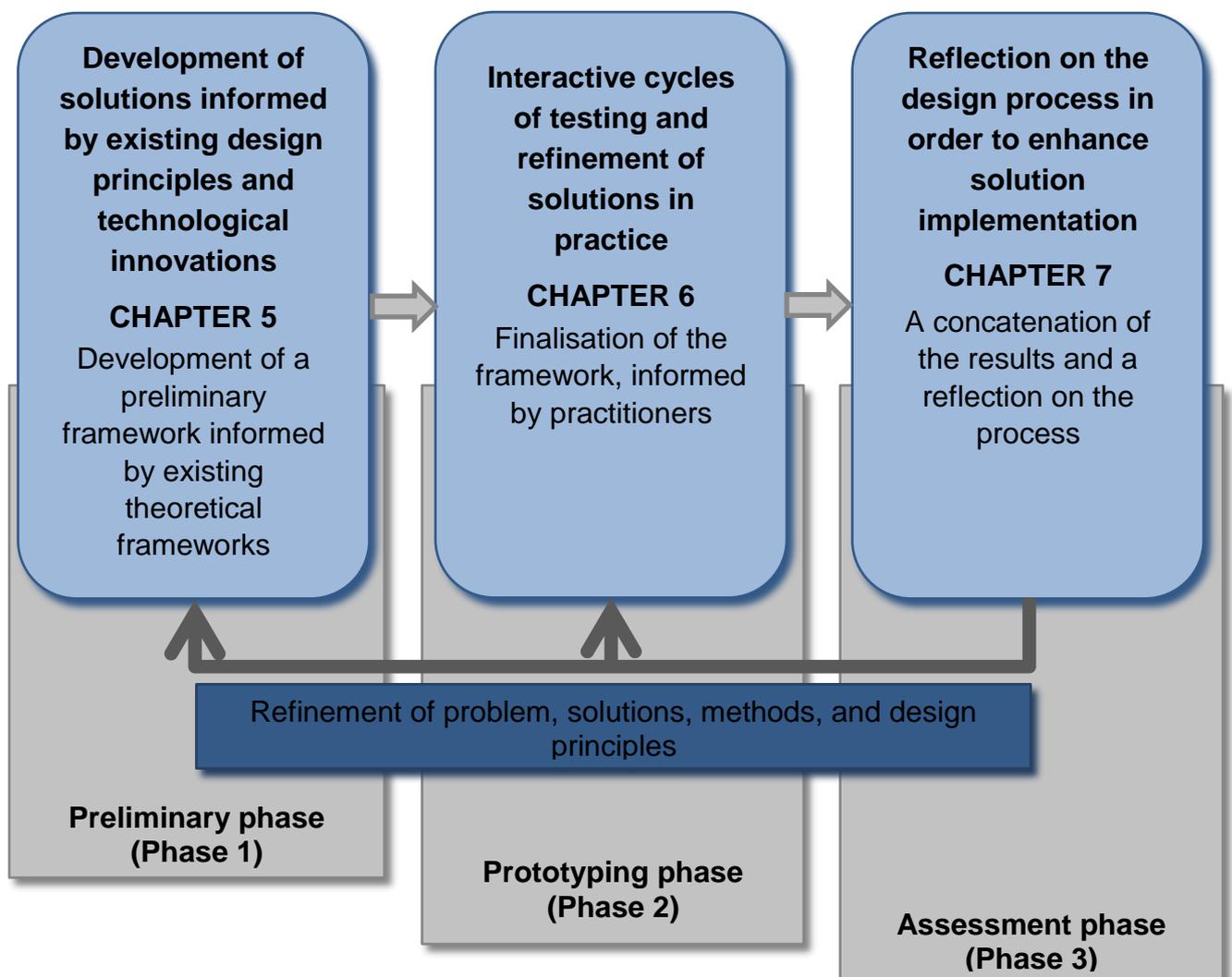


Figure 4.3: The Design-based research process for this study

Source: Own observation

Phase 1: Development of a preliminary framework using existing design principles and frameworks. This phase focused on the development of a performance management framework based on concepts identified from existing literature on performance management, such as the IQMS and BSC principles. The design and development of the framework kept the problems identified in Chapter 2, in mind, to make it a useful tool for internal management of performance by self-managing schools. The evaluation criteria from the IQMS were grouped together to identify differed categories and to minimise the number of criteria. The researcher then attempted to synchronise these categories with the BSC concept in the form of a strategy map. Chapter 5 reports on Phase 1.

Phase 2: Iterative cycles of testing and refinement of solutions in practice. Figure 4.4 illustrates the two interactive cycles of testing and refinement of a solution for this study.

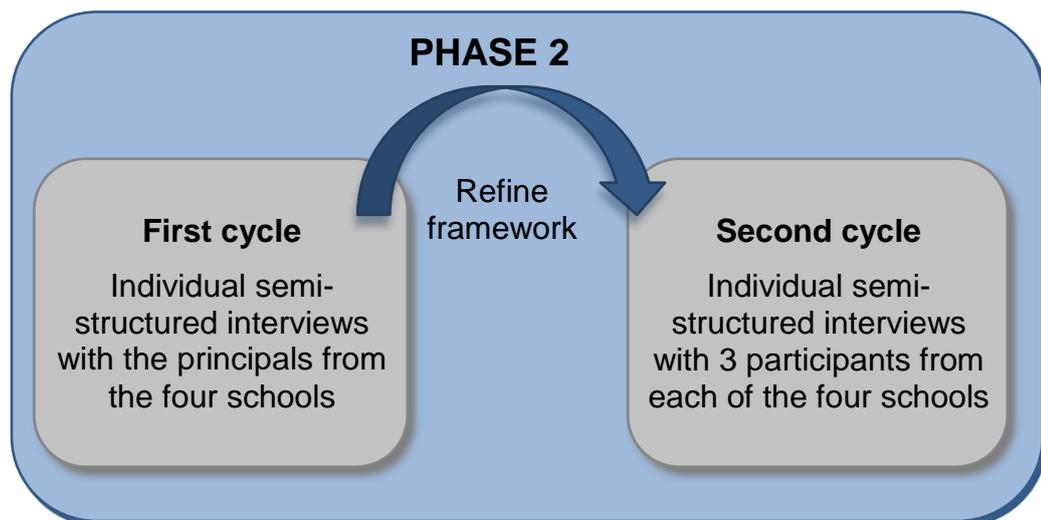


Figure 4.4: Phase 2 of the design-based research process for this study

Source: Own observation

During the first cycle of Phase 2, the researcher used purposive sampling to identify four self-managing schools in South Africa, two No-fee schools from a so-called previously disadvantaged community, and two Section 21 schools from a previously advantaged community. A qualitative data collection method was followed, and semi-structured interviews were used to confirm the usefulness and shortcomings of the IQMS. The preliminary framework was presented to principals to get their input on the framework. An interview guide, containing only open-ended questions was used to

guide the interviews. See Appendix D for the interview guide. This was done to refine the preliminary framework.

During the second cycle of Phase 2, the refined framework was again presented to not only the principals, but also to one SMT members and one SGB members from the four schools involved in the study. The framework was presented in the form of individual semi-structured interviews. A semi-structured interview guide, containing only open-ended questions based on the refined framework, was used to guide the interviews. See Appendix D for this interview guide. This was done to refine and test the framework using opinions, insight and experience of practitioners from the real-world setting. The participants were selected through purposive sampling. A detailed description of the sampling data collection and data analysis methods for all phases will be discussed in Sections 4.6, 4.7 and 4.8 respectively. As shown in Figure 4.3, Chapter 6 reports on Phase 2.

Phase 3: Reflection on the design process to enhance solution implementation. During this phase, all documented procedures and data from all phases were considered for a final remark on design principles and research outcomes. This was done to enhance the application of the framework in practice. Chapter 7 reports on Phase 3.

4.6. SAMPLING

This section describes the selection of the four schools for this study as referred to in Section 4.5 and the selection of the participants from these schools. The only complete sampling guide for qualitative studies is to ensure that the sample is just large enough to allow new knowledge and understanding to develop and therefore the sampling size is usually small (Cooper & Schindler, 2008:168). According to Blumberg *et al.* (2008:252), the significance of probability rest on the purpose of the study and the intended conclusions of the study. Cooper and Schindler (2008:168) added that qualitative research involves little exertion to come up with a representative sample as it involves non-probability sampling. Authors referred to common non-probability sampling types as purposive sampling, convenience sampling and snowball sampling (Hofstee, 2009:78; Blumberg *et al.*, 2008:251).

It was clear from the outset of this study that the population would be self-managing public schools in South Africa. The researcher, however, had a definite purpose in

mind. Maree (2010:178) stated that purposive sampling is useful in such cases. Cooper and Schindler (2008:167) referred to purposive sampling as the selection of participants based on their experiences or characteristics. Maree (2010:78) added that participants are carefully selected according to pre-set criteria. Pauwels and Matthyssens (2004:5) referred to theoretical sampling as to where the researcher deliberately selects typical, as well as non-typical cases. This also fits the selection of schools with a specific purpose in mind. Chapter 2 of this study revealed the difference in the performance of previously disadvantaged schools and previously advantaged schools. The criterion for this study, therefore, was four different secondary Section 21 schools in the Tshwane region based on their background. This ensured that an in-depth collection of the performance management data from different scenarios were collected.

The researcher decided on the Tshwane region because the region provides a good variety of self-managing schools and enough diversity to perform the proposed study. The Tshwane region is a metropolitan area in Gauteng, one of the nine provinces in South Africa, located in the northern region of the country (City of Tshwane, 2013). No-fee schools and Section 21 schools were selected because the preliminary literature review exposed that the management of all schools is authorised by law to manage their own performance and resources. Also revealed was that most schools in poor, disadvantaged communities are No-fee schools, while most Section 21 schools are in the former advantaged communities.

The review of the structure of South African schools exposed that their SGBs and SMTs have a joint responsibility to manage the schools. For the first cycle of Phase 2, the researcher decided to interview only the principals of each school as this provided adequate information on the extent of the problem that schools currently experience with the IQMS and some input on the designed preliminary framework. For the second cycle of Phase 2, the researcher decided to conduct semi-structured interviews, involving the principal, one parent representative of the SGB and one other member of the SMT from each school. It should be noted that in cases where the school's management felt that someone else is more experienced in performance management and had more information regarding the field of study, this criterion has been waived second cycle of Phase 2. Only eleven interviews were conducted because one school only provided two participants.

4.7. DATA COLLECTION

For *Phase 1*, non-empirical data was collected from the literature following a deductive approach. The development of the preliminary framework was informed by existing frameworks as described in the literature and explained in Section 4.5. This was based on document analyses, analysing the performance criteria in the WSE document. Document analysis is an organised process of reviewing printed or electronic documents (Bowen, 2009:32).

As stated in the previous section, the researcher used semi-structured interviews for the collection of the primary data during *Phase 2*. Cooper and Schindler (2008:92) define primary data as the opinions, beliefs and experience of participants and further refer to interviews as one of the data collection methods for qualitative research. An interview refers to a two-way conversation, controlled by the interviewer, to gain information from the participant (Blumberg *et al.*, 2008:280). Various authors (Maree 2010:87; Cooper & Schindler, 2008:171) identified three forms of interviews:

- Open-ended interviews: No order, predetermined questions or structure is used. The conversation allows freedom and space for new lines to develop.
- Semi-structured interviews: A few predetermined open-ended questions are asked to structure the interview, but allow enough freedom to discuss possible answers and opinions of the participants. Probing and discussions are used to provide comprehensive information.
- Structured interviews: A detailed interview guide is used to structure the interview, but this differs from questionnaires, as the questions are open-ended. In this case, probing is not allowed or needs to be minimised.

Interviews are appropriate for the collection of data in studies with small sample sizes because it allows the opportunity to collect data through observations that could improve the information gained from the interviews (Hofstee, 2009:135; Blumberg *et al.*, 2008:283). The researcher, however, should take note of potential disadvantages like interviewer bias and time consumption (Hofstee, 2009:136).

Therefore, for this study, semi-structured interviews provided freedom of discussions on performance management systems and requirements, to provide rich data and improve comprehensiveness as highlighted by Cooper and Schindler (2008:171). In agreement with Maree's (2010:89) statement, probes were used to guarantee that the

interviewer had a correct understanding of the participants' views and ideas. The researcher act as the interviewer and Cooper and Schindler (2008:171) define the interviewers' role as, asking questions by using the few predetermined questions and finding potential new aspects to debate. The researcher's participation in the collection of data, therefore, improved the dependability and completeness of the data. The interviews took place at an appropriate place, at the school because it suited the participants best.

Two interview guides, containing only open-ended questions were used for the two cycles of Phase 2. According to Cooper and Schindler (2008:339), open-ended questions refer to questions that allow the participants to provide their opinions in their own words. The questions for Cycle 1 of Phase 2 were informed by the literature reviewed, and the preliminary framework developed during Phase 1 of this study in Chapter 5. The questions for Cycle 2 of Phase 2 were informed by the refined framework in Chapter 6. Therefore, the detailed questions will be provided in Chapter 6, after the report on the preliminary framework in Chapter 5.

All the interviews for Phase 2 were audio recorded. Maree (2010:89) pointed out that audio or video recording of the interviews is much more convenient and less time-consuming than manual recordings. Recording the interviews provided a complete and rich detailed record of the data. Blumberg *et al.* (2008:288) warn that audio recording of the data might lead to disruption and stress for the participants, and hamper their responses, which might have a negative influence on the trustworthiness of data. Maree (2010:89) highlighted that the interviewer needs the consent of the participants before interviews can be recorded. Therefore, the participants were informed, and permission to record the discussions was obtained from them before the interviews commenced. Interviews were conducted with individual participants to ensure that each participant was able to contribute to the process. Concurrent with Maree's (2010:91) statement, the individual semi-structured interviews conducted provided the opportunity to hear the perspective of all participants on the issue and led to a more comprehensive insight.

For this study, all participants in the interviews were stakeholders from schools and the venues were on the school's premises. It, therefore, was less challenging to ensure that it is convenient for all participants. The researcher kept in mind that data gathered during the individual semi-structured interviews might be exposed to bias (Maree,

2010:91; Hofstee, 2009:136) and therefore constructively and deliberately attempted to avoid the influence of bias and to limit it to the minimum.

4.8. DATA ANALYSIS

The recorded interviews were transcribed directly after the interviews to ensure that all the essential information is captured. To conclude the analysis process, the researcher returned the transcribed interviews to the applicable participants for final validation to enhance the dependability of the collected data. To analyse the data, the researcher used content analysis and coded the data from the interviews. Coding refers to a process of reading the transcriptions and dividing the information into meaningful units (Maree, 2010:105). Data collected via interviews are not quantifiable and need to be analysed through human coding allowing categories to emerge from the initial investigation of the transcriptions (Cooper & Schindler, 2008:165). Coding involves the ascribing of numbers or codes to responses from the participants to group it in a small number of categories and to allow these categories to emerge during the process (Cooper & Schindler, 2008:416). Confirmation of coding was undertaken by a second coder, who independently coded one randomly selected transcript from Cycle 1 and three randomly selected transcripts from Cycle 2. According to Morse (2015:1218) to verify the reliability of the coding of data, a second coder can be used to recode some randomly selected data sets.

To analyse the data for Phase 2, Cycle 1 of this study, possible new categories were initially identified from the transcriptions and then all the data was categorised according to these categories. The outcome of the analysed data was used to confirm the practical problem and to inform the refinement of the preliminary framework. For Phase 2, Cycle 2, predetermined categories, based on the preliminary framework, were used. Data was analysed by sorting it into these categories, and they were used to refine and finalise the framework. Although the analysis of data gathered through open-ended questions, is challenging to interpret (Hofstee, 2009:132), the qualitative nature of the study with only eleven interviews made it possible. To improve the validity of the interpretation of the data from the interviews the researcher used peer experts to interpret at least one interview done in each of the cycles and compared it with his own interpretation.

4.9. RIGOUR

Rigour can be defined as a method to establish integrity, competency, legitimacy and trustworthiness of the research process (Tobin & Begley, 2004:390). This section describes the rigour of this study by using Guba's framework (Krefting, 1991:218).

4.9.1 Trustworthiness

In Guba's framework credibility, transferability, dependability and conformability are identified as processes to guarantee the trustworthiness in qualitative research (Krefting, 1991:218). According to Krefting (1991:219) and Visagie (2012:8), credibility can be improved when the research is carried out by acting in good practice and confirming accurate identification and explanation of the study's topic. *Credibility* in the study was improved by ensuring participants' anonymity and by gaining their trust. The semi-structured interview questions were based on the literature and information obtained from the experience of practitioners, to cover all possible situations. During interviews, researcher probing was used to improve credibility, and after the interviews, the researcher did member checking by asking the relevant participants to review their transcriptions for final clarification. Maree (2010:115) refers to this process as stakeholders' checks. Hadi and Closs (2016:643) use the term 'respondent validation' and state that it is the single most vital technique to ensure credibility.

Good *transferability*, in the context of qualitative research, is the freedom of the readers to draw their own independent conclusions and the information reported in the study has a direct influence on transferability (Visagie, 2012:8). A complete report of the findings was provided, and direct quotations were included when deemed necessary to ensure transferability for this study. Cooper and Schindler (2008:164) and Visagie (2012:8) agree that qualitative research can define the individuality of the situation and that generalisation is not relevant to qualitative research.

The outcome of a study will be *dependable* when independent researchers consider the same collected data and come to the same conclusions and findings (Visagie, 2012:8). It was already stated that dependability in this study was improved by using a second coder to verify the coding of the data (Morse, 2015:1218). Dependability was further enhanced by asking a colleague in the same field of study to peer-review the findings based on the interviews. Peer-review improves trustworthiness, as it to

guarantees that the conclusions emerged from the data are dependable (Hadi & Closs, 2016:643). Furthermore, detailed explanations of the methods of data collection and analysis were provided, and to supply an audit trail, the transcriptions of the Cycle 1 interviews and a summary of transcriptions of Cycle 2 interviews are included in Appendix G and H respectively.

Actions to ensure that bias is prevented refer to *conformability* (Visagie, 2012:8). The researcher acknowledged the possibility that the outcome of the research might be influenced by the researcher not being completely objective. In this regard, Hadi and Closs (2016:643) state that self-description and self-reflection are vital in qualitative research to recognise and minimise researcher bias, which is a crucial censure of qualitative research. Therefore, the researcher acted in good faith and ensured that personal opinions did not influence the conclusions of the research. Conformability was further improved by asking a colleague, in the same field of study, to peer-review the findings and ensure that bias is prevented.

4.9.2 Authenticity

Authenticity refers to fairness or objectivity in the demonstration of the different views of participants, and although it is not included in Guba's framework, it should be added to the procedures of rigour (Visagie (2012:10). To ensure comprehensiveness, the researcher, therefore, decided to add authenticity to the measures from this study. The principal, one parent member of the SGB and one other member of the SMT of each of the four schools, participated in interviews. Individual interviews were conducted to ensure that all participants will have an equal opportunity to share their views and everything possible was done to treat all participants' opinions equal and fair. This provided a balanced report on the findings.

4.10. ETHICS

The focus of ethical behaviour is the consciousness that the privacy and sensitivity of all the participants will be secure (Henning, Van Rensburg & Smit, 2004:74). The Belmont Report identified three internationally agreed upon ethical principles (Amdur, 2011:19) which were further demarcated by the American Psychological Association (Kivell *et al.*, 2017:471), namely respect for people, beneficence and justice and this

framework was used to define the ethics of this study. To enhance ethics, the researcher obtained ethical clearance (Ethical Review Committee reference number: 2017_CAS_060) from the University of South Africa by the policy of the university. See Appendix C.

Respect for people refers to participants' self-determination and autonomy (Amdur, 2011:20). This is the fundamental ethical principle of informed consent and states that people have a right to participate or opt out (Kivell *et al.*, 2017:471). The researcher was constantly conscious of the responsibility to honour the rights of all participants. To limit the influence of others, the researcher personally invited participants. Furthermore, letters of consent, stipulating their voluntary participation were delivered to them (Kivell *et al.*, 2017:472). At the beginning of each interview, the researcher emphasised the participants' freedom to end their participation in the study whenever they want to. The letter of consent sketched the background of the study, the need for the study and the process that will be followed.

The researcher furthermore obtained permission for the research study from the DBE in Gauteng. The involvement of other people was limited, and therefore the researcher personally transcribed the data. Codes substituted the names of participants and the audio records were safely stored in a locked cabinet after the data had been transcribed. Audio records will be destroyed after two years. It was already mentioned that the transcribed interviews were sent back to participants for final consideration.

Beneficence refers to the idea that one should do for others, as you want others to do to you (Amdur, 2011:24). This was defined by the American Psychological Association as attempting to ensure no harm to participants (Kivell *et al.*, 2017:473; American Psychological Association, 2003:3). The researcher constantly tried to identify and resolve any possible risk, discomfort and uncertainty for participants and their schools.

The *justice* principle emphasises access to risks and benefits when participating in research (Kivell *et al.*, 2017:473; American Psychological Association, 2003:3). According to Amdur (2011:26), it entails that participants should be selected without any bias regarding classes or types of individuals. For the selection of a variety of schools, the researcher made use of purposive or theoretical sampling, as it is believed that this would improve the study. The criteria to select participants were based on the participants' involvement in the schools' structures.

4.11. SUMMARY

The primary goal of this research is to develop a school-based performance management framework. This chapter demonstrated the researcher's approach to achieve this goal. The study is based on qualitative research principles from the interpretivism philosophy. Since the main aim of the study is on the development of a framework, an action research approach, namely DBR was followed. The four phases of DBR as identified by Amiel and Reeves were used to structure the research methodology for this study.

A deductive approach, in the form of a literature review and existing performance frameworks, was employed to collect the non-empirical data used for the development of the preliminary framework during Phase 1 of the research process. For the empirical data used in Phase 2 of the research process, an inductive approach was followed to collect primary data. In line with qualitative research, four schools were selected through purposive sampling.

To collect the data semi-structured interviews were conducted with the principals during Cycle 1 of Phase 2 and with the principals, SMT member and SGB members of the four schools during Cycle 2 of Phase 2. Interview guides, containing open-ended questions, guided the data collection procedures for Phase 2. The interviews were audio recorded to ensure comprehensiveness. The sampling methods, data collection methods and data analysis methods followed for this study were described in this chapter. These techniques were in line with the literature reviewed and are therefore deemed suitable for this study.

The chapter included a comprehensive description of the strategies used to guarantee trustworthiness and dealt with each of the measures in Guba's framework namely *credibility*, *transferability*, *dependability* and *conformability*. *Authenticity* is also discussed to improve the trustworthiness of the study. The researcher also strived to meet the international standards of ethics when following strategies grounded in the ethical principles of the Belmont Report. Therefore, the three main aspects namely, *respect for people*, *beneficence*, and *justice* were given high priority during the interaction with participants and the chapter provided a thorough description of the methods employed to prevent the dishonouring of these principles.

In line with DBR, the next two chapters will provide detailed documentation of the process followed to develop a preliminary performance management framework based on the existing IQMS and BSC frameworks.

CHAPTER 5

DEVELOPMENT OF A PRELIMINARY FRAMEWORK, INFORMED BY EXISTING THEORETICAL FRAMEWORKS

5.1 LAYOUT OF THE CHAPTER

Figure 5.1 illustrates the layout of Chapter 5.

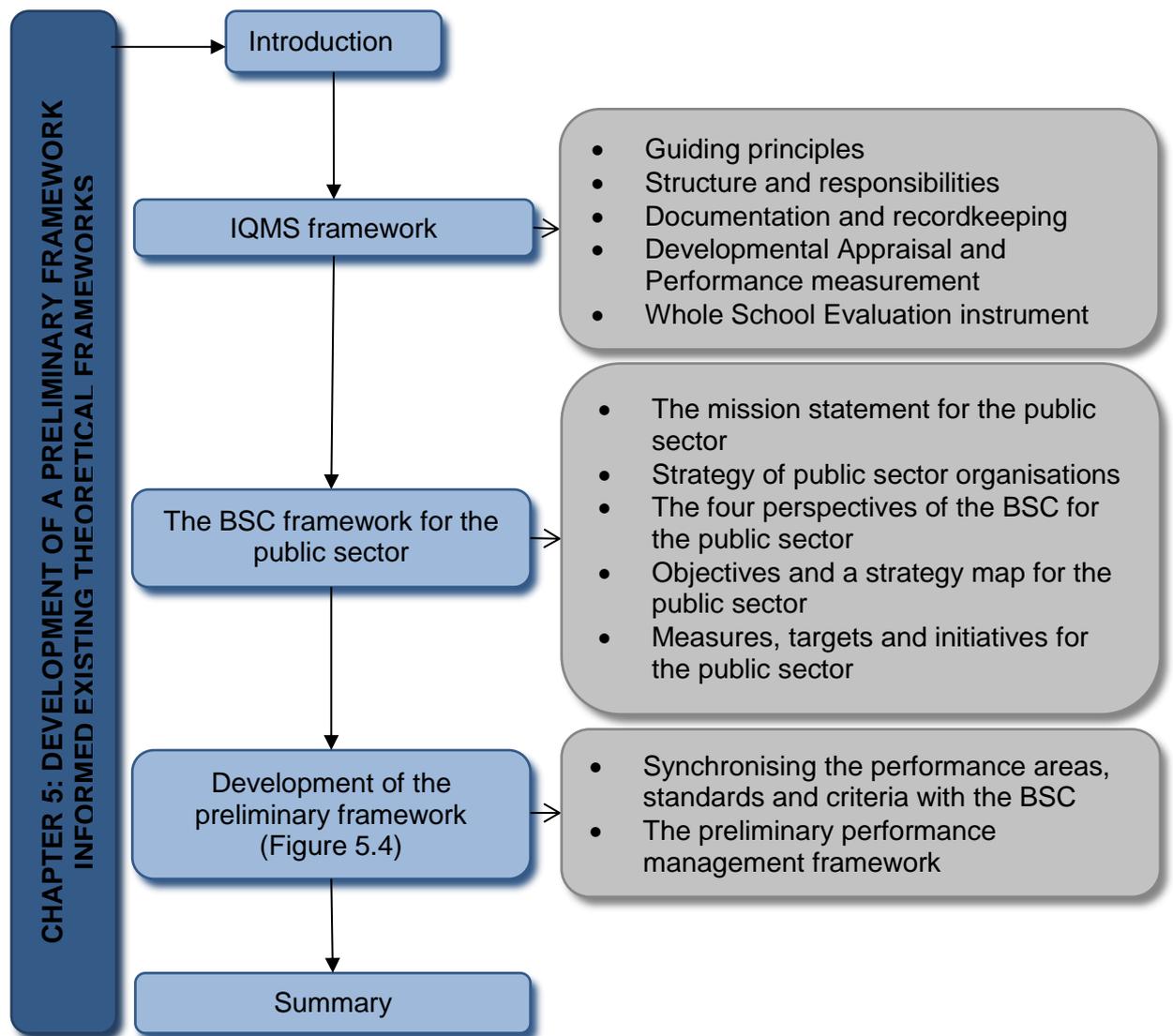


Figure 5.1: Layout of Chapter 5

Source: Own observation

5.2 INTRODUCTION

The characteristic and shortcomings with performance management systems in self-managing schools and with the IQMS were revealed in Chapter 2, while Chapter 3 identified the BSC as an existing framework that can be used together with the IQMS as the foundation for the development of the preliminary performance management framework. The first phase of the research process, as explained in Chapter 4 is the development of a solution informed by existing design principals. This chapter aims to report on the development of the preliminary performance management framework, using the IQMS and more specifically the WSE system and the BSC as a basis.

Therefore, the structure of the WSE and the BSC frameworks for public sector organisations are reviewed. The report on the review of the IQMS and BSC frameworks was explicitly done in this chapter because it forms the foundation for the development of the preliminary framework. A description of the development of the preliminary framework follows, and the chapter concludes with the preliminary performance management framework that will lead the way to the development of the final framework.

5.3 THE IQMS FRAMEWORK

The IQMS was introduced in Chapter 2. However, a detailed report is given in this section on the review of the guiding principles, the structure and responsibilities, the documentation and recording, and the instruments involved in the process. This report forms a vital part of the development of the framework.

5.3.1 Guiding Principles of the IQMS

The document “*Your integrated quality management system*” (Department of Education, 2002b:2) stipulated that the process must be fair and clear from any sanction against any stakeholder and that subjectivity needs to be minimised through transparency. SADTU (2013:5) stated that it should be recognised that schools are not the same and they function at different performance levels. Schools are exposed to different challenges, and the teachers’ performances are influenced by the infrastructure and socio-economic environment of the school (SADTU, 2013:5). Ntombela *et al.* (2010:365) highlighted the principles of professionalism, validity,

reliability and relevance that are essential for the successful application of the IQMS. A clear procedure needs to be available to govern the interaction of the stakeholders and the system needs to provide for and inspire diversity in teaching (Ntombela *et al.*, 2010:365). According to the Education Labour Relations Council (2003:1), open discussions and the professionally and consistently use of the IQMS is important to apply it effectively. Other important guiding principles identified from Collective Agreement number 8 of 2003 (Department of Education, 2003:12) are that the IQMS's focus should always be positive and constructive even where performance is not up to standard and that all schools need to find ways to improve continually. Mchunu (2014:42) emphasised the importance of these principles and stated that proper obedience to the protocol is essential for effective implementation. He added encouragement, training, the formation of structures and responsibilities, and documentation as essential components that need to be adhere to, to ensure the successful application of the IQMS. Therefore, the structure of the IQMS is unpacked in the following sections.

5.3.2 Structure and Responsibilities

Implementation of the IQMS is the overall responsibility of the school principal, supported by the SMT (Education Labour Relations Council, 2003:2). The Education Labour Relations Council (2003:3) also stated that the principal should facilitate the democratic election of the Staff Development Team (SDT). The principal, SMT and SDT further need to make sure that the internal self-evaluation of the school is conducted and that it complies with the WSE policy (Education Labour Relations Council, 2003:1). It is the responsibility of each teacher to identify their own DSG, do their own self-evaluation and ensure that their personal growth plan is completed in collaboration with their DSG (Department of Education, 2002b:4). Self-evaluation is essential for the teachers to become familiar with the evaluation instrument and to reflect on their own performance (SADTU, 2013:9).

5.3.2.1 The Staff Development Team

It was mentioned that the principal should ensure a fair and democratic election of the SDT. The Department of Education (2003:15), as well as Bisschoff and Mathye (2009:395), concurred that the democratically elected members in schools form the

SDT. This include both SMTs and educators. The principal and the WSE coordinator also form part of the SDT. The number of other members from the SMT and post level one teachers need to be determined by the school (Education Labour Relations Council, 2003:3). Collective Agreement number 8 of 2003 (Department of Education, 2003:12) added that the school should decide whether they will elect new members annually or if members will act for two or three years to ensure continuity.

The Role and Responsibilities of the SDT are clearly stated in the Collective Agreement number 8 of 2003 (Department of Education, 2003:11). Among others, the agreement states that the SDT needs to ensure that all teachers have trained on the procedures of the IQMS, coordinate staff development activities, and formulate and monitor the IQMS management plan. It is also the responsibility of the SDT to develop the School Improvement Plan, to link developmental assessment to the School Improvement Plan and to communicate the urgent needs of the school to implement the plan, with the DBE. The coordination and administration in respect of documentation for performance measurement, the School Improvement Plan and the WSE process are the duty of the SDT (Department of Education, 2003:11).

5.3.2.2 Development Support Group (DSG)

It was stated that teachers are responsible for the identification of their own DSG. The DSG should consist of the teacher's direct senior and one other peer, selected by the teacher. Teachers are entitled to assign additional members to their DSG (Department of Education, 2003:13). Mchunu (2014:44) summarised the responsibilities of the DSG as providing mentoring and support, assisting the teacher with the development of a personal growth plan and incorporating these plans in the school's' improvement plan.

5.3.3 Documentation and Recordkeeping

Each teacher should have a Personal Growth Plan, and these Personal Growth Plans should inform the School Improvement Plan, which will inform the Regional or District Improvement Plan and deployment of support staff (Department of Education, 2003:13). For this study, only the Personal Growth Plan and School Improvement Plan will be reviewed, because the district improvement plan does not fall within the domain of this study.

5.3.3.1 Personal Growth Plan

The DSG of each teacher, in consultation with the teacher, should develop the teacher's Personal Growth Plan (Mchunu, 2014:44; Department of Education, 2003:13). According to Mchunu (2014:44) the Personal Growth Plan, the teacher's self-evaluation, and the evaluation of DSG members form a vital record of the needs and growth of individual teachers. He adds that the Personal Growth Plan should report areas that require improvement. These areas should be addressed at four levels: - those which the teacher has full control off, those which the DSG or somebody at the school can help with, those which the DBE needs to provide guidance for and those which the teacher is not qualified for and needs support to improve his/her qualifications (Department of Education. 2002b:11). The SDT uses the teachers' Growth Plans for incorporation in the School Improvement Plan.

5.3.3.2 School Improvement Plan

The School Improvement Plan refers to a document containing the actions and procedures required to deliver school improvement, and that enables the school's management to measure its performance through continues self-assessment (Department of Education. 2003:13; Department of Education. 2002b:11). Collective Agreement number 8 of 2003 (Department of Education, 2003:11) stated that it must be based on and linked to the strategic plans of the relevant Department of Education and should be informed by the Personal Growth Plans of the teachers as well as the nine focus areas included in the WSE policy. The WSE process is reviewed in Section 5.3.5. Mchunu (2014:45) agreed and added that the School Improvement Plan should accommodate the completed instruments from DSGs and Personal Growth Plans of each teacher. The SMT and SDT must prioritise the developmental requirements of the teachers to develop strategies for change that will support the school's management and operation (Department of Education. 2002b:12).

It was already mentioned in Chapter 2 that the IQMS consists of three parts, namely Performance Measurement and Development Appraisal, concerned with the teachers' performance measurement and development, and WSE, concerned with the overall performance of the school. The following two sections reviewed these parts of the IQMS.

5.3.4 Development Appraisal and Performance Measurement Instrument

It was already stated in Chapter 2 that the WSE system is concerned with the overall performance of schools, while Development Appraisal and Performance Measurement only covers the teachers' component. This study also focus on the overall performance management of the schools and therefore used the WSE system as basis for the framework development. However, although the Development Appraisal and Performance Measurement instrument were not used as basis for the development of the preliminary framework, this section still provides a summary of the structure to ensure a comprehensive understanding of the whole IQMS process. The next section provides a detail explanation of the WSE component.

The Development Appraisal and Performance Measurement instrument are made up of 12 performance standards. Each performance standard contains some criteria with four descriptors which are derived from the four-point rating scale (SADTU, 2013:22). The performance standards, criteria and rating scale are reviewed in this section.

5.3.4.1 Performance Standards and Criteria

The performance standards are divided into two parts. The first part contains four performance standards that focus on the observation of the teacher in practice (Department of Education, 2003:37) also referred to as performance standards focusing on lesson observation (SADTU, 2013:10). These four performance standards (Performance Standards 1 to 4) apply to teachers on all post levels. The second part contains eight performance standards that focus on assessing aspects that fall outside of the classroom (Department of Education, 2003:37). Performance Standards 5 to 7 apply to teachers on all post levels, Performance Standards 8 to 10 only apply to Post Level 2 to 4 teachers and Performance Standards 11 and 12 only apply to Post levels 3 and 4 (Department of Education, 2003:37). Post level 1 refers to teachers, post level 2 to educational specialists, heads of departments or subject heads, while deputy principals are on post level 3 and principals on post level 4. A rating scale is used to rate the performance of teachers.

5.3.4.2 Rating Scale and Scoring

A maximum rating of 4 has been pegged to the preferred outcome of each criterion (SADTU, 2013:20). The Quality Management System for School-Based Educators document (SADTU, 2013:11) explained that a rating of one (1) to four (4) will be allocated to each criterion in the assessment instrument. A rating of 1 will be unacceptable and requires urgent interventions and support as it does not meet minimum requirements, while a rating of 2 will equal minimum requirements, but assistance towards improvement is still required (Department of Education, 2003:39). Teachers' performance is good if given a rating of 3 and they meet the requirements, however some areas still need to improve, while a rating of 4 refers to excellent performance in the area (Department of Education, 2003:39). Although the use of these scores is only for developmental purposes and total scores are not required, the teachers and the DSGs may want to use overall scores for comparison purposes to track progress (Department of Education, 2003:6). High scorers refer to strengths and low scores to weaknesses and these should be used to develop the teacher's Personal Growth Plan (Mchunu, 2014:44). For performance measurement related to pay progression and grade progression, the total scores are used and measured against predetermined targets.

The complete Development Appraisal and Performance Measurement document is provided in Appendix E. The detailed performance standards, criteria, application levels, targets as set in the Collective Agreement number 8 of 2003, and the rating guide for teachers on different post levels can be viewed in this appendix.

The assessment of the overall performance of the school regarding each of the performance standards is required to plan for correctional strategies in the weak areas identified. The WSE system, as part of the IQMS, is used to evaluate the overall performance of schools.

5.3.5 The Whole School Evaluation Instrument

It was already stated that WSE forms part of the IQMS implemented by the National Department of Education to improve the quality of education in South Africa. Rabichund (2011:70) concurs that the WSE system is implemented to re-establish supervision of schools' performance and to assist supervisors to reach conclusions on

the overall performance of schools. The WSE policy specifies methods in which good performing schools can be identified and ways in which under-performing schools can be supported (Department of Education 2002a:25). In the document, *Your integrated quality management system* (Department of Education 2002a:25) the WSE system is described as a vital step to help teachers to be more effective and to ensure that all learners get the best chance to succeed, leading towards improving school education in South Africa.

The benefit of the WSE system can be summarised as a system that empowers schools and supervisors to evaluate the extent to which schools meet the national education goals and encourage schools to improve management and quality of education (Rabichund, 2011:71; Department of Education, 2003:3). Rabichund (2011:71) however stated that the focus should be on identifying under-performing schools and ways to support them on all levels via national, provincial and district offices and not on judgemental punctuation. The review of the WSE system, done in Chapter 2 revealed a lack of flexibility, comprehensiveness and stakeholder involvement, which hampers the internal use of the system for the management of self-managing schools. Therefore, it is vital to review the WSE instrument and use this data to develop an improved framework.

5.3.5.1 The Whole School Evaluation Process

The researcher reviewed the WSE process and designed Figure 5.2 based on own observations to explain the process and to ensure a thorough understanding thereof.

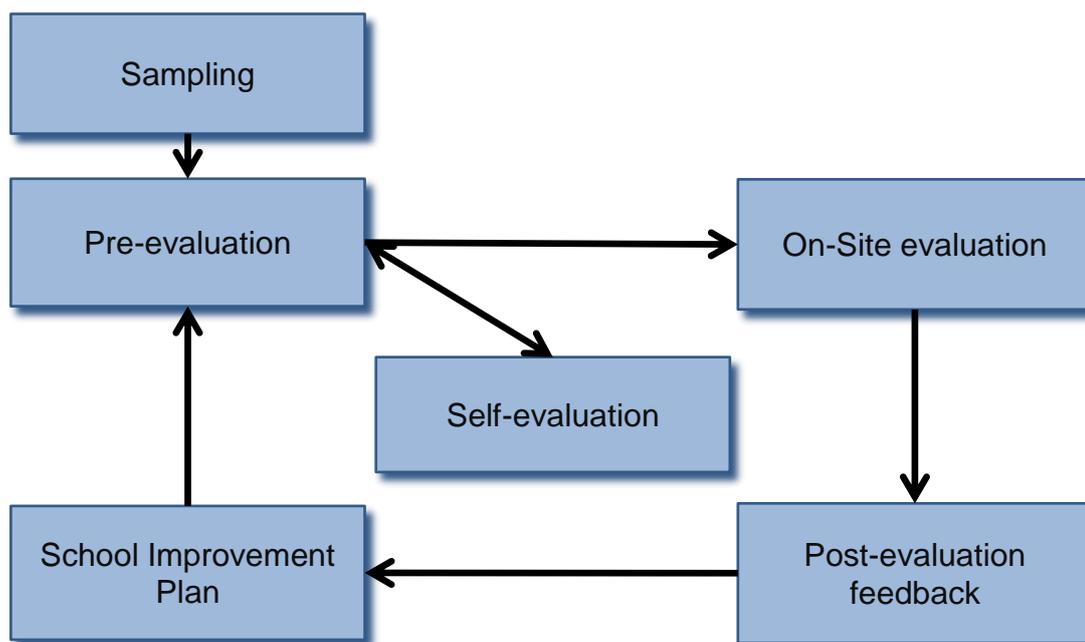


Figure 5.2: The Whole School Evaluation process

Source: Own observation

This WSE process (see Figure 5.2) can be summarised as follows:

Sampling refers to the once-off randomly selection of schools in a cycle by the DBE where the evaluation cycle for secondary schools was three years and for primary schools five years (Department of Education 2002c:1).

Before the on-site evaluation during the *Pre-evaluation stage*, the evaluation teams need to arrange with the school on dates for a pre-evaluation appointment for the collection of documents and feedback after evaluation (Department of Education 2002c:8). Support to schools with the preparation for the evaluation and with the completion of the self-evaluation document from district offices is vital during this stage (Rabichund, 2011:75).

The schools' management can use the *Self-evaluation stage* for a continuing evaluation of all the key performance areas and the establishment of an outline of the quality of teaching and learning provided by the schools. Rabichund (2011:75) concurred that schools should employ self-evaluation to assist them in finding improved alternatives on a continuous basis. This was to ensure improvement and development of the school and not for external evaluation purposes only. Self-evaluation implies that the schools' management evaluate their school's practice against the same criteria that will be used during the external evaluation (Department

of Education, 2003:27). Schools should use the self-evaluation to assess to what degree the school is achieving its aims and objectives while considering the priorities set and the available resources (Rabichund, 2011:76; Department of Education, 2003:4). As indicated in Figure 5.2, the self-evaluation document informs the pre-evaluation stage. Therefore, a copy of the self-evaluation document is provided to the evaluation team.

During the *On-site evaluation* stage, different techniques can be used for the collection of evidence, namely (i) interviews, (ii) analysis of documents, (iii) observation, and (iv) a questionnaire where Kapp (2002:13) referred explicitly to interviews with stakeholders like learners, teachers, parents and principals. Rabichund (2011:76) added that analysis of appropriate documents, district records, improvement plans, personal and school files, and Developmental Appraisal records of teachers should be used during the on-site evaluation process. The primary technique, however, is the observation of the practical operation of the school, particularly lesson observations as the main focus of the WSE system (Department of Education, 2002b:10).

Post-evaluation feedback is provided after the on-site evaluation in the form of a report in writing and orally to the school's principal, the SMT and if management so wishes, to the whole staff (Department of Education, 2002b:10). This report will, among others, include recommendations on how management and teachers can improve operations of the school. Individual teachers also receive feedback on the quality of their work and heads of subjects on the quality of work in their specific subject (Department of Education, 2002b:10).

The written report with a summary of recommendations will inform the School Improvement Plan (Department of Education, 2002b:10). According to Rabichund (2011:77), the main focus of the plan is to address the areas that need improvement within detailed time frames.

5.3.5.2 Performance Areas, Standards and Criteria

WSE criteria have been identified to ensure that supervisors make thorough judgements on the quality of teaching and learning, the performance of learners in a school, the basic functionality of the school, the school's infrastructure and financial management (Rabichund, 2011:69). The performance areas, standards and criteria,

as shown in Appendix F are used in the WSE instrument and implemented by the Department of Education (Department of Education 2001).

Nine performance areas were identified, namely (i) quality of teaching and teacher development; (ii) curriculum provisioning and resources; (iii) learner achievement; (iv) basic functionality of the school; (v) leadership, management and communication; (vi) governance and relationships; (vii) school safety, security and discipline; (viii) school infrastructure, and (ix) parents and stakeholder involvement (Department of Education, 2001). Each of these areas consists of some performance standards and each performance standard consist of some performance criteria (See Appendix F).

These performance standards and criteria formed the basis for the development of the preliminary performance management framework. The detail is therefore provided in Appendix F. The format of the table in Appendix F was adapted by including the performance areas, standards and criteria in one column to add numbers to each. This was done to enable the researcher to track the original position at a later stage, after the changes were done.

Rating these performance indicators show whether progress towards the achievement of goals was made and refer to statements with qualitative values that provide a picture of the state of affairs (Department of Education, 2003:5). The indicators also enhance the observation of changes over time to determine whether the improvement was made (Rabichund, 2011:70).

The rating scale to evaluate the indicators of the WSE system is set out in the policy as follows (Department of Education, 2002a:7):

- 5 Outstanding
- 4 Good
- 3 Acceptable
- 2 Needs improvement
- 1 Needs urgent support

5.4 THE BSC FRAMEWORK FOR THE PUBLIC SECTOR

As reviewed in Section 3.9, information on the application of the BSC in school education is limited. The researcher, therefore, chooses to use the original BSC

framework for public sector organisations because limited information was available on the BSCs developed explicitly for school-based management.

As demonstrated in Chapter 3, Section 3.8.3, the main focus of the public sector is service delivery, and therefore the Customers' perspective takes the most prominent position while the Financial perspective is less important. This section provides a detailed review of the BSC framework for public sector organisations because it forms a vital part of the development of the preliminary framework.

5.4.1 The Mission Statement for the Public Sector

The review of the BSC for private sector organisations revealed that all measures should lead to shareholders value, the main aim of profit-seeking organisations. This is, however not the case in non-profit and public sector organisations. As stated by Niven (2008:32), public sector organisations have a higher purpose, organisations do not have complete control over their mission, and the mission forms the main focus that drives the public sector organisation since that is where the purpose is defined. Most authors agreed that the success of public and non-profit organisations rest on the construction of a clear, distinctive mission statement (Bryson, 2018:122; Niven, 2008:106; Osborne & Gaebler, 1993:130). This explains why the mission statement moves to the top of the framework as demonstrated in Figure 3.6 in Chapter 3.

5.4.2 Strategy for Public Sector Organisations

Also clear from Figure 3.6 in Chapter 3, is that strategy remains at the core of the BSC for the public sector. Section 3.8.2, in Chapter 3 refers to strategy as the priority to achieve the intended future of the organisation, however, Niven (2008:33) stated that public and non-profit organisations struggle to break down strategy into the broad priorities they intend to pursue and frequently ends up with more than 50 pages detailed lists of initiatives and programmes. According to Mackay (2004:35), strategic priorities for public sector organisations are controlled by government policy and therefore, they need to take a more restricted approach to strategy development. Bryson, (2018:222) explained that strategy is the extension of the mission, connecting the organisation and its environment with each other. A strategy guides the energy of all employees towards the mission of the public sector organisation, ensures that

decisions do not only focus on the crucial actions but on the strategy and ensures that the entire organisation is concentrated on achieving the overall goal (Bryson, 2018:222; Niven, 2008:135).

The starting point of strategy formulation is to review the current strategic situation of the organisation (Valdez *et al.*, 2017:165) and to ensure that management is prepared to provide commitment, time and resources to embark on the task (Murby & Gould, 2005:14). The experience from the past successes and mistakes of the public sector organisation should be considered to help setting a strategy (Valdez *et al.*, 2017:165).

Once management committed, and the past planning processes were considered it is vital to do an environmental scan. Niven (2008:139) referred to the gathering and analysis of data on social trends, demographics, economy, technology, political situations, changing regulations and competition to help to develop a distinctive strategy. To clarify the stakeholder groups and their requirements a stakeholder's analysis needs to be done (Bryson, 2018:423; Niven, 2008:140).

Before the actual development of the strategy can start, public sector organisations also need to understand their current position in the market and their planned future position. Bryson (2018:147) stated that the SWOT (strength, weaknesses, opportunities and threats) analysis is an excellent tool for such an assessment. A SWOT analysis guarantees that all essentials of the organisation are incorporated into the strategic plan (Valdez *et al.*, 2017:165; Nair, 2004:6). Also important, is to identify all strategic issues such as policy matters, objectives and challenges that affect the values, mission and mandate of the organisation (Valdez *et al.*, 2017:166; Niven, 2008:144). With all the issues exposed, strategies that fit the four perspectives of the BSC can be developed to directly, address the issues and allows everybody to work towards the fulfilment of the organisation's mission. Niven (2008:146) however, mentioned that strategies should not be forced to fit the perspectives, but by keeping the perspectives in mind, organisations will ensure balance.

5.4.3 The Four Perspectives of the BSC for the Public Sector

The difference between the perspectives of the BSC for the private sector and the public sector was demonstrated in Chapter 3, clearly indicating that the Customers'

perspective moves to the top, directly below the mission. This section discusses the four perspectives of the BSC by focusing on the public sector.

5.4.3.1 Customers' Perspective

As mentioned, the BSC for public sector organisations places the mission on top of the scorecard. The mission of the public sector organisation according to Niven (2008:33) can be directly linked to the view of its customers and therefore putting the Customers' perspective in the first place is a sensible choice. Mackay (2004:136) motivated this choice because government policies prominently highlight the requirement for a customer focus and they emphasise stakeholder participation in the public sector.

It is difficult to identify the customers of public sector organisations because those benefiting from the services offered by public sector organisations are not usually directly paying for the services. Organisations need to get clarity on whether the customers are those paying for the service or those receiving the service (Kaplan & Norton, 2001:98). According to Niven (2008:167), the essence in identifying customers for the public sector is to ensure that they are those who directly benefit from the product or service. This means to eliminate those only paying for the service delivery and focuses on the customers who directly benefit from the service. For example, as revealed in Chapter 2, parents of Section 20 and 21 schools pay school fees, but the government is responsible for almost all salaries of teachers in these schools. Therefore, the focus should be on the parents and learners of self-managing schools as they are the ones benefiting from the service.

The mandate of the public sector is primarily to support the customer (Niven, 2008:33). Customer satisfaction can be measured through public sector ratings and customers' views (Kaplan & Norton, 2001a:98). However, to satisfy the need of customers, the public sector organisation needs resources (Niven, 2008:34). Therefore a Financial perspective is also needed.

5.4.3.2 Financial Perspective

While financial measures provide an accountability measure to the shareholders of profit-seeking organisations, they are not the appropriate indicators of whether a public sector organisation is achieving its mission (Kaplan & Norton, 2001a:98). Although

Kaplan and Norton (1992:71) stressed that financial measures tend to result in unbalanced circumstances about other perspectives, they believe that financial measures play an important role. Olve, Roy and Wetter (2001:154) suggested that alternative perspectives should replace the Financial perspective, but Mackay (2004:13) stated that public sector organisations do not operate in a financial vacuum and therefore need the Financial perspective. Niven (2008:34) stated that financial measures in the public sector can be regarded as enablers or constraints of customer successes. Mackay (2004:13) stressed that the modern public sector organisation has a treasure of financial measures that can be used to direct the organisation towards its strategy. According to him (Mackay, 2004:12), financial measures demonstrate that money has been spent as decided and according to procedures, that resources have been used effectively, and that the use of resources can be linked to the intended objectives.

5.4.3.3 Internal Processes Perspective

To create value for customers through service delivery improvement, improved community relationships and reporting to communities and government agencies, organisations need to identify the required business processes, while keeping the financial constraints in mind (Niven, 2008:35). Corrigan and Joyce (1997:425) added that working across boundaries through networking and benchmarking is vital for public sector organisations to improve service delivery to customers. Shibani and Gherbal (2018:9) mentioned that the BSC stimulates new processes that outshine the meeting of customer objectives rather than to review and improve existing processes. Niven (2008:35), however, emphasised the importance of identifying only those processes that will result in enhanced outcomes for customers and can be directly linked to the objectives and measures selected in the Customers' perspective. Schools therefore also need to identify the essential processes that link to the objective of the Customers' perspective to create value for their stakeholders. Mackay (2004:17) stated that the public sector organisations are expected to include measures linked to service delivery while Niven (2008:35) added that this perspective usually ends up with the most objectives of all the perspectives.

5.4.3.4 Employee Learning and Growth Perspective

Once schools identified the objectives for the Internal Processes perspective, they need to ensure that they have capable staff to make this happen. The success behind the deployment of the internal processes to result in improved and satisfied customer service is embedded in the ability of employees (Niven, 2008:35). Mackay (2004:18) stressed that training, in particular soft skills, is essential for the achievement of the public sector organisation's goals. Niven (2008:35) also confirmed this, when he referred to the motivation of employees and the right mix of soft skills and other skills to drive the processes. Mackay (2004:17) however stressed that the identification of the KPIs for schools is a challenge because it is difficult to recognise the soft skills needed. According to Niven (2008:35), vital intangible assets that need to be addressed in this perspective are human capital, information capital and organisational capital. Human capital represents the list of skills related to the mission and strategy of the school, while information capital refers to the flow of information, and the climate or culture of the school should be branded as organisational capital (Niven, 2008:35; Mackay, 2004:17).

In synthesis, investment in the intangible assets that can be directly linked to service delivery, combined with the internal processes that drive the organisation towards its mission could ensure success. The required financial resources available to enable these processes should be kept in mind throughout the process. These logical links between the objectives could guarantee that public sector organisations or schools might be in a better position in their quest to satisfy the customers and answer to their mandate.

5.4.4 Objectives and a Strategy Map for the Public Sector

As stated in Section 3.8.2, the BSC strategy map helps to illustrate the interactions between the objectives and the perspectives, highlighting the vital objectives and actions to achieve the organisation's goals. Figure 5.3, illustrates the strategy map for public sector organisations.

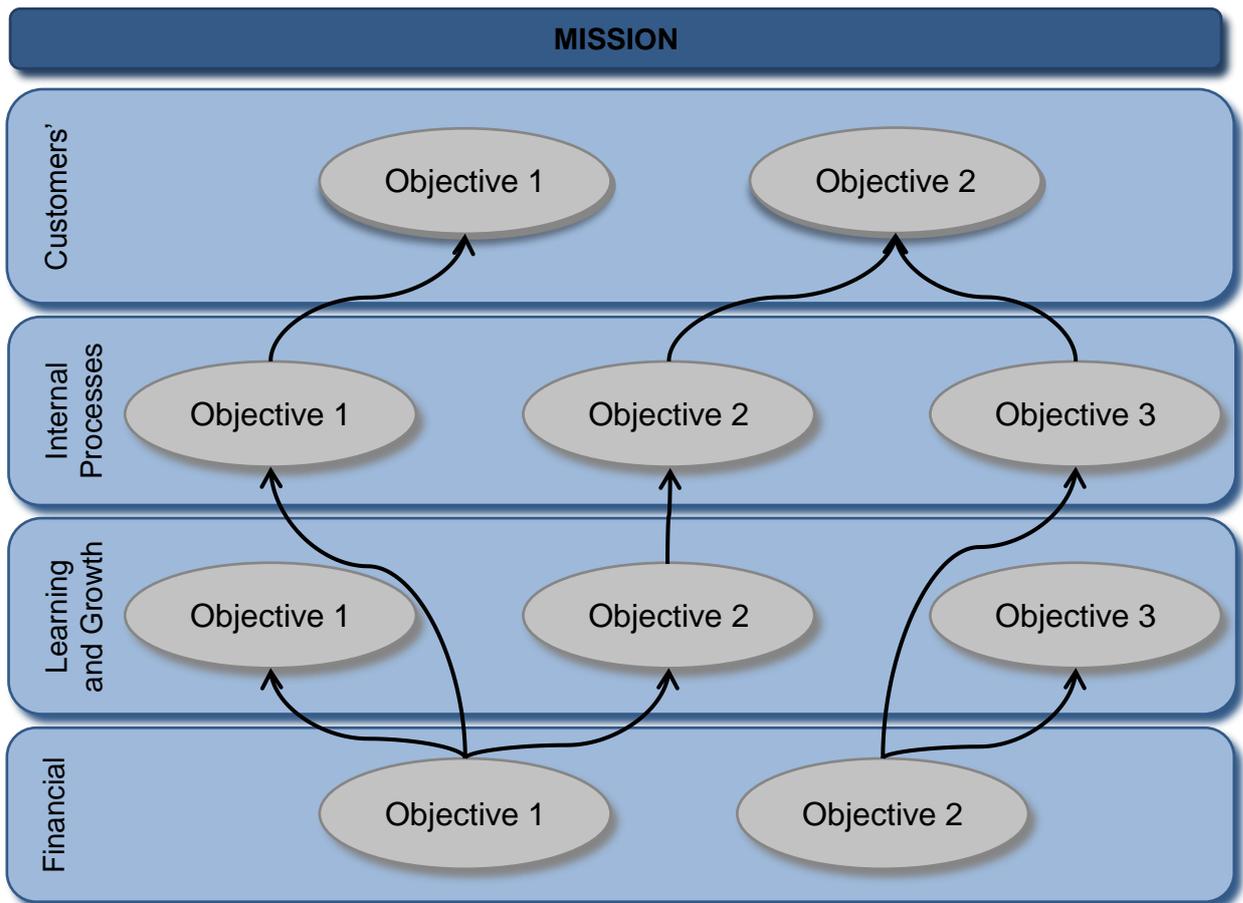


Figure 5.3: Illustration of a strategy map in the public sector

Source: Niven (2008:16) and Mackay (2004:36)

It is mentioned in Section 3.8.3 that organisations can amend or add perspectives. Niven (2008:157) also stated that organisations may add their mission on top of the strategy map (see Figure 5.3) as an additional perspective. Although the strategic map for the public sector organisation is very similar to the one for private sector organisations, it is clear from Figure 5.3 that the Financial perspective moved to the bottom of the strategy map. The argument earlier in the study that financial measures are input measures and that outcome measures need to drive strategy motivated the decision that the financial strategy is placed at the bottom of the strategy map (Schobel & Scholey, 2012:24). Niven (2008:157) however, warned that organisations should be vigilant not to create a stakeholders' strategy map, as this will overemphasise the stakeholders and in the end ignore all other perspectives of the scorecard. This might result in neglecting to identify objectives that will lead to how the stakeholders will be satisfied through financial resources, internal processes and employees' skills development (Niven, 2008:157). The discussion on the objectives for these

perspectives also follows this order because the objectives of the Financial perspective might need to feed all the other objectives.

The first step in creating objectives for the Customers' perspective is to compile a list of what customers expect from the organisation before limiting the objectives by considering each of them against the strategy and mission of the organisation (Niven, 2008:169). This suggests that schools' management need to ensure that they have a clear understanding of what the community, parents, learners, staff member and DBE want from the school. According to Mackay (2004:45) objectives for the Customers' perspective is dynamic and need to be cautiously identified. Niven (2008:169) concurred, stating that this will require a profound understanding of the needs and preferences of the customers.

Also important in the Customers' perspective is customer value propositions. Bryson, (2018:252) and Niven (2008:172) highlighted that this applies to all organisations; including public sector organisations and all organisations need to work towards good relationships with their customers. Selecting the most suitable objective for this perspective is to identify customer value propositions that will answer to the needs of customers (Mackay, 2004:45). Niven (2008:172) also added product leadership to the list for the public sector or non-profit organisations and refers to the identification of new ways to approach stakeholders, offering new services to meet organisations' needs and apply technology to the service delivery.

Organisations fail to achieve their goals due to the lack of the right methods and not due to the wrong strategy (Nair, 2004:23). Processes in the internal processes can be referred to as the service delivery systems or methods to achieve strategic goals (Mackay, 2004:39) or as background work, driven by objectives and goals (Nair, 2004:23). This perspective will enhance ongoing assessment of the various processes in schools and ensure timeous intervention and discussion on the viability of processes that come across challenges, and ensure effective hunting for the school's mission (Mackay, 2004:39).

Essential processes that are also applicable to public sector organisations and that need to be considered when identifying objectives for the Internal Processes perspective are as follows (Niven, 2008:173):

- Recognise and understand the customer.
- Innovate and modernise constantly.
- Market and brand products or services
- Provide quality products or services
- Work efficiently
- Partner for success.
- Raise funds efficiently.
- Continually evaluate the reputation of the organisation.
- Manage the organisations' risks

To ensure that these processes will lead to success, Nair (2004:23) stated that it will be necessary to “re-tool” the processes and this perspective will assist them to outline this retooling. Niven (2008:179) suggested a value chain approach, mapping the whole process from what needs to happen first, up to what will be the end, as this will form the basis to design the Internal Processes perspective.

As stated earlier in the study, the Employee Learning and Growth perspective is all about developing objectives for intangible assets. Niven (2008:179) indicated that more than 75% of the value of organisations, including schools, results from intangible assets, while Norton in his foreword to Becker, Huselid and Ulrich (2001: ix) stated that this most important asset is the less understood by management. Most public sector organisations and schools explicitly still need to realise that understanding the value of their intangible assets will distinguish them from other organisations (Niven, 2008:180). This study earlier referred to human capital, information capital and organisational capital as vital categories for intangible assets.

To identify objectives for the human capital category schools should keep in mind that any strategic discussions on human capital would link to productive behaviours of humans in the organisation (Becker *et al.*, 2001:20). A focus on behaviour needs to be integrated into the process of identifying objectives (Becker *et al.*, 2001:20). It might, however, help to consider the following examples of objectives related to human capital provided by Niven (2008:180): Closing the skills gap in strategic positions in the school,

training for success, recruiting the right people for the job and retraining the right people, and succession planning.

Information capital, according to Niven (2008:184), is critical for public sector organisations also to align information with strategy and consider objectives in this regard. Employees must be able to access information on customers and other stakeholders to make informed decisions. Mackay (2004:6) highlighted the problems of measuring intangible assets such as information capital, but he (Mackay, 2004:45) added that organisations, which relate intangible assets such as information capital to a value creation process, are more effective in creating performance measures. However, many public sector organisations and schools neglect this area and put performance and service delivery in danger (Niven, 2008:184)

Organisational capital also fulfils an important role in the creation of a climate for growth and change in the public sector organisation and management should consider it when creating objectives for the Employee Learning and Growth perspective (Niven, 2008:184; Kaplan & Norton, 2004:275). Kaplan and Norton (2004:275) stated that great organisational capital in an organisation signifies a common understanding of the mission and strategy and a performance culture ensuring that all employees work together, towards the mission. The essentials that need to be considered by public sector organisations and schools in this regard are culture, recognition and rewards, and alignment of actions with strategy and mission (Niven, 2008:185).

For the identification of objectives in the Financial perspective, public sector organisations need to demonstrate how service delivery is provided effectively and efficiently while keeping cost in mind (Niven, 2008:188). The significance of the availability of financial performance indicators in the public sector was highlighted by Al-Zwyalif (2012:114). Schobel and Scholey (2012:26) concurred that public sector organisations with a clearly defined strategy and focused on outcomes will succeed. Vital elements to consider when schools need to identify objectives for the Financial perspective are the cost of resources or services, improvement of schools' revenue and the financial system of the school (Niven, 2008:189). After the organisation's objectives are finalised and linked, measures need to be identified for these objectives.

5.4.5 Measures, Targets and Initiatives in the Public Sector

The strategy map is a valuable instrument for identifying effective strategy driven measures that need to be clear, linked to each other and supportive to each other, to enhance schools' management in achieving its goals (Mackay, 2004:36). According to Niven (2008:215), when identifying the measures for each objective, the following question needs to be answered every time: How will we know we are successful in achieving this objective? Although there is no right or wrong set of measures (Niven, 2008:217), this section refers to measures that are usually used in the private and public sector domain.

For the Customers' perspective, the importance of customer value proposition and customer satisfaction in the public sector was already mentioned. Among others, Niven (2008:216) and Al-Zwyalif (2012:114) identified the following possible measures for objectives in this perspective that might also be helpful in this study: product or service design, number of new products and services, the number of customers satisfied, average waiting time, number of customer complaints, first call resolutions and defect rates.

For schools this could refer to the following:

- The variety of subject combinations, cultural activities and sports activities offered.
- The satisfaction rate of parents, learners, communities and staff members.
- The waiting time to solve problems.
- The number of complaints or the passing rates for the different grades.

In the Internal Processes perspective, the focus is on effective methods inside the organisation to provide the service and products to the customers. Therefore, the following possible measures that might be on almost all BSCs for this perspective are turnaround time, new product launch, technological competency and order reaction time (Al-Zwyalif, 2012:114). Measures for the Internal Processes perspective for schools could include the turnaround time to implement new ideas or projects, new projects or initiatives, technological application and competency; and teachers and coaches' success rates.

The Employee Learning and Growth perspective, as mentioned in this study, focuses on the continuous improvement and employee learning with the new strategy and objectives in mind. Possible measures identified for this perspective are employee

skills, using business leadership, new patents, and organisational learning (Al-Zwyalif, 2012:114). Niven (2012:222) referred to some tools such as assessments, feedback, job descriptions, training hours or training courses attended, amounts spent on training, time to fill vacancies, retention rates, customer satisfaction surveys and the number of communication mediums. Therefore, this could refer to the assessment of teachers' feedback on training attended and job descriptions specifically for extracurricular activities. The number of hours spent on extra training, the time to appoint teachers for vacant positions and the percentage of the school's first-time learners that continue at that school the next year might also add value to measure performance. Objectives in the Employee Learning and Growth perspective for schools may also benefit from stakeholders' satisfaction surveys with learners, parents and communities and the measurement of the success of communication to teachers, parents and communities.

Finally, the Financial perspective needs to ensure adequate resources and effective and efficient use of resources. Measures in this perspective are very similar to those for the private sector. However, Niven (2008:227) warned that only measures that link directly to the objectives and strategy should be used. Measures for this perspective might include net income, gross revenue, net assets, budget variance, earned income, diversification of income stream, timelines of financial reports and income per employee (Al-Zwyalif, 2012:114; Niven, 2008:227). Schools' management, therefore, could also measure the performance by looking at income ratios, budget variance, expansion of revenue streams, and timeliness of financial reports.

As for the private sector, schools need to set targets and initiatives for all the identified measures. According to Niven (2008:243) long-term, mid-term and short-term targets need to be linked together to outline the future of the organisation, driving the organisation from its current position towards the desired position. He (Niven, 2008:241) added that this can be done for one month, three-months, six-months, one year or multi years. Based on the findings of the literature from this section, a preliminary framework was constructed in the following section.

5.5 DEVELOPMENT OF THE PRELIMINARY FRAMEWORK

The preliminary framework was developed by first synchronising the performance areas, standards and criteria of the WSE system with the perspectives of the BSC and

then plotting these newly identified objectives on a strategy map that forms the preliminary framework as shown in Figure 5.4. The strategy map was reviewed in Sections 3.8.2 and 5.4.4.

5.5.1 Synchronising the Performance Areas, Standards and Criteria with the BSC

The framework of the BSC for public sector organisations was used as a basis, and the four perspectives, as demonstrated in Section 5.4.3 were used as the first categories, allowing the researcher to group the evaluation criteria from the WSE system into these perspectives. The researcher attempted to synchronise these criteria with the four perspectives of the BSC for the public sector. During the synchronising process, a fifth category emerged for objectives specifically related to management, not fitting into any one of the four perspectives.

The following coding was used in the third column of Table 5.1 below:

Category A – Objective in the Customers' perspective

Category B – Objectives in the Internal Processes perspective

Category C – Objective in the Employee Learning and Growth perspective

Category D – Objective in the Financial perspective

Category E – Important objectives specifically related to management

The researcher used an 'S' and numbers to indicate possible sub-objectives, and an 'M' to indicate possible measures for the specific objectives before the criteria were rearranged according to these codes (see Table 5.1). The first column, however still shows the original position of the objectives and measures according to the WSE instrument. The numbers (1 to 9) in front of some of the objectives in the second column of Table 5.1, indicate the original 9 performance areas of the WSE system.

New wording for the main objectives was put in brackets to ensure that all objectives starts with a verb. This was done to align the objectives with the requirement as mentioned in Section 3.8.2. Only these main categories were then used to develop the preliminary framework to simplify the proses and to be in line with Niven (2008:198) stating, "less is more" as mentioned in Section 3.8.2. The possible sub-objectives were used in Chapter 6, together with the data collected during Phase 2, Cycle 2, to finalise the framework and provide some guidelines. For the development of the framework,

measures were not included in this study. This research focused on the development of a framework and did not include targets and the measurement thereof. The specific objectives, measures and targets depend on the uniqueness of each specific school and need to link to the school-specific mission. Therefore, schools will deal with this during the implementation phase and which do not form part of this study. The fourth column (The perceived link between objectives) was used to indicate possible links between the different objectives in the different perspectives. This was also done for the extra objectives under Category E.

Table 5.1: Synchronised performance areas, standards and criteria

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
80	3 Learner academic achievement (Ensure optimal learner academic achievement)	A1		1
81	Internal assessment (overall)	A1M		2
82	Annual National Assessment: Languages	A1M		3
83	Annual National Assessment: Mathematics	A1M		4
84	Grade 12 results (all subjects)	A1M		5
85	Learners read, speak, listen and write well in the Language of Learning and Teaching	A1S1		6
86	Learners read with understanding according to their developmental age	A1S1M		7
87	Learners communicate clearly according to their developmental age	A1S1M		8
88	Learners have good listening / receptive skills according to their developmental age	A1S1M		9
89	Learners write clearly and construct meaningful sentences	A1S1M		10
90	Learners can handle numbers with ease, calculate mentally and with electronic devices and apply these skills to solve problems in Mathematics	A1S2		11
91	The majority of learners can handle numbers	A1S2M		12
92	Most, learners can do mental mathematics	A1S2M		13

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
93	Learners can use electronic devices to solve mathematical problems	A1S2M		14
97	Learners participate and achieve well in extra-curricular activities as part of the school enrichment programme (Ensure optimal learner extra-curricular achievement)	A2		15
98	Majority of learners participate in the available sporting codes and cultural activities	A2M		16
99	Learners achieve in line with their potential in sports codes and cultural activities	A2M		17
233	9 Parents and stakeholder involvement (Optimise Stakeholders' satisfaction)	A3		18
104	The school has a positive organisational culture that supports the continuous growth and development of learners and educators	A3S1		19
105	Class Attendance Registers are available	A3S1M		20
106	The Summary Register is available	A3S1M		21
107	The Period Registers are available	A3S1M		22
94	Supporting learners with barriers to learning (Implement procedures to support learners with barriers to learn)	B1	A1	23
95	Diagnostic assessments are used to identify barriers to learning	B1M		24
96	Developmental support programmes are in place to support learners with barriers to learning	B1M		25
100	4 The basic functionality of the school (Implement procedures to ensure the basic functionality of the school)	B2	A1 A2 A3	26
101	The school has appropriate procedures to deal with absence, lateness and truancy	B2S1	A1 A2 A3	27
102	The Admission Register is available	B2S1M		28
108	The school has procedures to monitor and curb absence and late-coming amongst educators	B2S2	A1 A2 A3	29
109	The Time Register is available	B2S2M		30

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
110	The Leave Register is available	B2S2M		31
111	Internal school procedures to curb late-coming and early departure are available	B2S2M		32
112	The majority of educators attend school regularly (low absenteeism levels are recorded)	B2S2M		33
113	Code of Conduct for learners aims to establish a disciplined and purposeful school environment	B2S3	A1 A2 A3	34
114	School rules - regulating learner behaviour and discipline are documented	B2S3M		35
115	Disciplinary regulations and procedures are in place when learners transgress, and action is taken	B2S3M		36
234	The school communicates regularly and effectively with parents	B2S4	A3	37
235	Communication strategies are in place to ensure parents are informed about school activities	B2S4M		38
236	The school effectively interacts with and advises parents on curriculum matters and their children's progress	B2S4M		39
237	There is good parent attendance of meetings called by the school	B2S4M		40
238	Parents show involvement in schooling by signing and checking learners' work/diaries	B2S4M		41
239	Parents are notified and counselled regarding their children's behavioural problems	B2S4M		42
240	The school uses local services and institutions	B2S5	A3	43
241	School uses local services and institutions to benefit the school and learners	B2S5M		44
242	The school encourages learners to respect the local and global environment	B2S6	A3	45
243	School offers a quality environmental programme to enrich learning and teaching	B2S6M		46

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
244	Participation by learners and educators in environmental programmes	B2S6M		47
245	Support to and from the community in environmental programmes	B2S6M		48
64	The curriculum offered complies with the Curriculum Assessment Policy Statement	B2S7	A1	49
65	The subjects offered at the school are in line with Curriculum Assessment Policy Statement requirements	B2S7M		50
66	The correct notional / contact time is allocated for each subject on the timetable	B2S7M		51
246	The school has developed good links with other schools	B2S8	A2	52
247	Inter-school academic, sports and cultural activities are organised	B2S8M		53
248	There is participation in inter-school academic, sports and cultural activities	B2S8M		54
249	Parental involvement in the school (Implement procedures to optimise parental involvement)	B3	A3	55
250	A sufficient number of parents partake in school activities	B3M		56
251	Parents offer their skills to assist the school	B3M		57
252	Parents' suggestions and concerns are taken seriously	B3M		58
253	The school community plays a valuable role in supporting school activities	B3M		59
254	Where the parents do not contribute school fees, they support the school in other ways	B3M		60
255	Parents are involved in fundraising activities	B3M		61
180	7 School safety, security and discipline (Implement school safety, security and disciplinary procedures)	B4	A3	62
181	The school implements a Health, Safety and Security Policy to support, care and protect the learners, staff and others at school	B4S1	A3	63

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
182	An effective Health, Safety and Security Policy is in place and implemented appropriately	B4S1M		64
183	Procedures are in place to care, support and protect learners in need	B4S1M		65
184	The school has sufficient equipped and accessible First Aid kits	B4S1M		66
185	The school implements safety practices against potential hazards, unsafe or unhealthy structures and conditions at the school	B4S2	A3	67
186	The school property is safe, hazard free and hygienic (includes fencing, or a wall)	B4S2M		68
187	The school has an emergency plan and procedures in place (e.g. fire, natural disasters, etc.)	B4S2M		69
188	Staff members and learners know how to react in instances of emergency and disaster, including transport arrangements (e.g. emergency practice drills are held regularly)	B4S2M		70
189	Maintained fire extinguishers (and buckets of sand) are available at strategic places.	B4S2M		71
190	Classes and laboratories are safe and secure	B4S2M		72
191	The school has good relationships with local police, traffic department and fire brigade	B4S2M		73
192	The school implements security regulations that aim to ensure the safety of the learners, staff and visitors on the premises	B4S3	A3	74
193	Procedures are in place to regulate access to the school	B4S3M		75
194	Procedures are in place to regulate the early release of learners	B4S3M		76
195	The school implements regulations in compliance with legislation to keep the school violence and drug-free	B4S4	A3	77
196	Regulations for possession of dangerous objects and illegal drugs to the school premises are available	B4S4M		78

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
197	Regulations about search and confiscation of dangerous objects and illegal drugs at the school are available	B4S4M		79
198	Learner Discipline policy and procedures	B4S4M		80
205	Contribution towards the welfare of learners	B4S5	A3	81
206	The school has a record of all learners who are orphans and staying with guardians	B4S5M		82
207	An effective and sufficient feeding scheme is in place for learners	B4S5M		83
208	The school has strong links with the Social Welfare Department, NGOs and other relevant organisations in the area (e.g. Lifeline, FAMSA, Childline, etc.)	B4S5M		84
209	Appropriate structures, processes and procedures are in place in the school for counselling and referral of learners	B4S5M		85
210	Appropriate structures and programmes are in place to identify, mentor and support learners who are at risk	B4S5M		86
211	Records are kept and regularly updated by the school for learners who have been counselled and referred	B4S5M		87
199	The school has a positive discipline system that is in keeping with the South Africa constitution	B4S6	A3	88
200	The discipline system works from school to classroom level and is known and supported by all educators and learners	B4S6M		89
201	Up to date discipline records for learners and related minutes are maintained	B4S6M		90
202	Disciplinary interventions for learners presenting ongoing difficult behaviour are in place	B4S6M		91
203	Procedures are in place to effectively deal with learners' bullying or abuse of other learners	B4S6M		92
204	There is clear and constant communication with parents/guardians so that they can support discipline efforts	B4S6M		93

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
1	1 Quality of teaching and teacher development (Ensure quality teaching and teacher development)	C1	B1 B2	94
2	Effective time-management of teaching and learning	C1S1	B1 B2	95
59	Staff participation in Professional Development	C1S10	B1 B2	96
60	Educators willingly participate in phase, inter-phase, cluster and other planning/professional development meetings	C1S10M		97
61	Educators willingly participate in development opportunities linked to their Growth Plans	C1S10M		98
62	The SMT provides adequate monitoring, guidance and support	C1S10M		99
3	All lessons start on time	C1S1M		100
4	All lessons finish on time	C1S1M		101
5	All lessons progress uninterrupted	C1S1M		102
6	Lessons are presented according to a Lesson Plan	C1S1M		103
7	Creation of a positive learning environment	C1S2	B1 B2 B3 B4	104
8	Learning space: The learning space is clean, stimulating, age-appropriate and suitable for the subject	C1S2M		105
9	Learner involvement: Learners are actively engaged in the learning process	C1S2M		106
10	Discipline: Educators can effectively organise, manage and positively discipline learners	C1S2M		107
11	Managing diversity in the classroom: Different forms of diversity are acknowledged and catered for in the classroom	C1S2M		108
12	Knowledge and understanding of the curriculum	C1S3	B1 B2	109
13	Knowledge of subjects: Educators demonstrate a good understanding of their subject content and what the curriculum requires	C1S3M		110
14	Skills: Educators can apply suitable skills and methodologies to teach their subject	C1S3M		111

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
15	Goal setting (attainment of outcomes): Educators show evidence of goal setting and planning to cover their subject curriculum across the teaching year	C1S3M		112
16	Involvement in the subject: Educators participate in professional growth activities in the subjects they offer	C1S3M		113
17	Lesson planning, preparation and presentation	C1S4	B1 B2	114
18	Planning: There is evidence that educators plan for their subject on a daily, weekly, quarterly and annual basis	C1S4M		115
19	Presentation: Lessons are presented in an engaging and interactive manner	C1S4M		116
20	Recording: Educators keep a record of their planning and curriculum coverage	C1S4M		117
21	Management of work schedule: Educators can effectively manage and keep pace with their work schedule/annual teaching plan	C1S4M		118
22	Educators assess the strengths and weaknesses of their lessons	C1S4M		119
23	Learner assessment and achievement	C1S5	B1 B2	120
24	Feedback to learners: All learners receive regular and insightful feedback on their progress	C1S5M		121
25	Knowledge of assessment techniques: Educators show a good understanding of different assessment techniques relevant to the subject and learners ability	C1S5M		122
26	Application of techniques: Educators can competently apply relevant assessment techniques in a way that is valid, consistent and transparent	C1S5M		123
27	Record keeping of assessment, learner progress and achievement: Educators keep sound records of assessments, learner progress and learner achievement	C1S5M		124
28	The school conducts an appropriate assessment of learner competencies	C1S6	B1 B2	125
29	The correct number of assessments are done per term as required	C1S6M		126

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
30	The Programme of Assessment is filed in each Teacher's file	C1S6M		127
31	The Programme of Assessment is planned for in the Work Schedule	C1S6M		128
32	Assessment is included as part of all lesson plans	C1S6M		129
33	All Assessments are dated and signed off	C1S6M		130
34	Assessments are of good standard and correctly recorded	C1S7	B1 B2	131
35	Assessment results are regularly recorded	C1S7M		132
36	Recorded on correct mark sheets	C1S7M		133
37	Quarterly analysed	C1S7M		134
38	Leading to remedial instruction	C1S7M		135
39	Leading to corrections by learners	C1S7M		136
40	Covers all planned work per quarter	C1S7M		137
41	Covers core content per Grade	C1S7M		138
42	Includes a variety of assessment techniques	C1S7M		139
43	Is moderated by the Head of Department	C1S7M		140
44	Educators make use of sufficient and variety of informal assessment	C1S8	B1 B2	141
45	Informal assessment is conducted	C1S8M		142
46	Written class work	C1S8M		143
47	Written homework	C1S8M		144
48	Assignments	C1S8M		145
49	Projects	C1S8M		146
50	Oral	C1S8M		147
51	Reading with understanding and fluency	C1S8M		148
52	Other (example Practical, Demonstrations, etc.)	C1S8M		149
53	The school supports and encourages educator development through IQMS processes	C1S9	B1 B2	150
54	An SDT is established	C1S9M		151
55	A DSG for each educator is in place	C1S9M		152
56	A management plan for the implementation of the educator appraisal system is available	C1S9M		153
57	A Personal Growth Plan for each educator for the previous cycle is in place	C1S9M		154

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
58	A school improvement plan is linked to the professional needs of the educators as captured in their Growth Plans	C1S9M		155
159	Effective training of all SGB members has taken place (Implement effective training of all SGB members)	C2	B3 B4	156
63	2 Curriculum provisioning and resources (Provide sufficient curriculum related resources)	D1	B1 B2	157
67	The school provides curriculum resources to support teaching and learning	D1S1	B1 B2	158
68	There are appropriate and sufficient learning and teaching support material resources which are in line with Curriculum Assessment Policy Statement	D1S1M		159
69	There are relevant supporting resources in the library, laboratories and workshops	D1S1M		160
70	The school manages procurement, distribution and retrieval of sufficient learning and teaching support material effectively	D1S2	B1 B2	161
71	There are comprehensive inventory lists for sufficient learning and teaching support material	D1S2M		162
72	The appropriate retrieval system is in place for textbooks and other sufficient learning and teaching support material	D1S2M		163
73	The school enrichment programme provides for extra- and co-curricular activities (Provide sufficient extra-curricular related resources)	D2	B3 B4	164
74	Provision and support for learners in a variety of extra-curricular activities	D2M		165
75	Provision and support for learners in a variety of co-curricular activities	D2M		166
76	Sports coaches are skilled to provide high-quality coaching	D2M		167
77	Cultural activity coaches are skilled to provide high-quality cultural skill development	D2M		168

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
78	The school has a timetable of sporting and cultural activities that are held at the school	D2M		169
179	SGB appoints and reimburses staff of the school in compliance with legislation	D2S3M		170
212	8 School infrastructure (Provide for sufficient infrastructure and facilities)	D3	B1 B2 B3 B4	171
213	The school has reliable and sufficient functional services	D3S1	B1 B2 B3 B4	172
214	Electrical supply at the school is reliable and sufficient	D3S1M		173
215	There is a functional, clean water supply at the school	D3S1M		174
216	An inventory (list) of school buildings and facilities that need to be repaired is in place and regularly updated	D3S1M		175
217	The ablution facilities at the school are appropriate, sufficient and in working order	D3S2	B1 B2 B3 B4	176
218	Sufficient gender separated, functional ablution and hand washing facilities are available for learners	D3S2M		177
219	The learner ablution facilitates clean and hygienic	D3S2M		178
220	Sufficient gender separated, functional ablution and hand washing facilities are available for educators	D3S2M		179
221	The educator ablution facilitates clean and hygienic	D3S2M		180
222	Classrooms are sufficient, appropriately furnished, maintained and used for its intended purpose	D3S3	B1 B2	181
223	Sufficient, maintained ordinary classrooms are available	D3S3M		182
224	Classrooms are accessible for teachers and learners with a physical disability	D3S3M		183
225	School has non- educational rooms to support a positive teaching/learning environment	D3S4	B1 B2 B3 B4	184
226	Administrative block with a staff room is available	D3S4M		185
227	The school has appropriate school grounds, play areas and sport facilities	D3S5	B1 B2 B3 B4	186

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
228	The school ground is fenced, accessible and well maintained	D3S5M		187
229	The school has access to sporting facilities	D3S5M		188
230	The school has sufficient sporting equipment	D3S5M		189
231	The school has sufficient facilities to support cultural activities	D3S5M		190
232	The school has the required equipment to support cultural activities	D3S5M		191
121	The School Management Team gives clear direction to the school (The School Management Team gives clear direction to the school)	E1	B1 B2 B3 B4	192
116	To evaluate the effectiveness of the leadership and management of the school	E1M		193
117	The School Management Team gives clear direction to the school	E1M		194
118	The school has a clear vision and mission statement, shared and followed by all stakeholders	E1M		195
119	Vision and Mission statements; The school's improvement plans; School Self-evaluation Report; Staff establishment; Job descriptions; Minutes and agendas of Staff/SMT/School calendar, prospectus, school magazine, diaries, letters; management activity calendar, monthly plan, Plans of Head of Departments / Subject heads and Asset register, Maintenance plan	E1M		196
122	The school has a vision that is current and provides the school with a clear direction and motivation	E1M		197
123	The school has a clear set of values that are embedded in school documents and activities	E1M		198
124	The school has a clearly defined mission statement	E1M		199
125	The vision & mission statements are displayed for all to see in the school building	E1M		200

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
147	The principal ensures that a fair job allocation is distributed to all staff	E1S4M		220
148	The SMT promotes stakeholder involvement through communication strategies	E1S5	B3 B4	221
149	There is frequent and open communication with the District officials	E1S5M		222
150	The principal establishes and monitors structures and processes to promote both a top-down and bottom-up flow of information	E1S5M		223
151	Communication with stakeholders is timely, frequent and clear	E1S5M		224
152	Communication with Educators that notifies them of relevant decisions taken at an SGB and management level	E1S5M		225
153	Communication with learners takes place in such a manner that they can organise themselves accordingly	E1S5M		226
154	School policies and procedures	E1S6	B1 B2 B3 B4	227
155	All required school policies and related procedures are in place	E1S6M		228
156	The school community is familiar with the school policies and procedures	E1S6M		229
143	The SMT promotes quality teaching and learning through Physical Resource Management	E1S7	B1 B2	230
144	The SMT efficiently manage all files and information (electronic and hard copies) related to their roles and responsibilities	E1S7M		231
145	Asset registers & equipment are maintained	E1S7M		232
157	6 Governance and relationships (Guarantee effective and efficient governance by the SGB)	E2	B1 B2 B3 B4	233
158	SGB is duly established and functions effectively	E2M		234
160	The constitution of the SGB is in line with South African Schools Act requirements	E2M		235
161	The SGB has elected office bearers (chairperson, treasurer and secretary)	E2M		236

The original order of the IQMS	Objectives and measures	New preliminary position	The preserved link between objectives	The new order of the IQMS
162	The SGB has established all relevant committees (e.g. finance, fundraising, etc.)	E2M		237
163	The number of SGB meetings is in line with the South African Schools Act	E2M		238
164	The SGB keeps minutes of each meeting	E2M		239
166	SGB provides the school with a clear strategic direction	E2S1	B1 B2 B3 B4	241
167	SGB has formulated a Vision and Mission Statement through consultation	E2S1M		242
168	SGB is involved in developing and adopting policies for the school	E2S1M		243
169	The SGB assists with providing strategic leadership for the school without interfering in school management	E2S1M		244
170	SGB executes its function about the school's finances within its legal mandate	E2S2	B1 B2 B3 B4	245
171	The SGB has developed a Finance Policy to manage the school's finances	E2S2M		246
172	Financial principles are followed in line with Generally Accepted Accounting Principles	E2S2M		247
173	The SGB has adequate procurement and asset management procedures for consumable and non-consumable goods	E2S2M		248
174	Financial statements are prepared, audited and submitted to the Head of the Department of Education	E2S2M		249
175	An annual budget is prepared and presented at the annual general meeting	E2S2M		250
176	The SGB is actively involved in fundraising for the school	E2S2M		251
177	SGB executes its function about a human resource within its legal mandate	E2S3	B1 B2 B3 B4	252
178	SGB ensures due process in the interviewing and selection of all staff	E2S3M		253
79	3 Learner achievement	X		254
120	5 Leadership, management and communication	X		255

Source: Own observation

The following main objectives were identified from the analysis of the data in Table 5.1.

Category A to D were grouped in the BSC perspectives:

Customers' perspective:

- A1. Ensure optimal learner academic achievement
- A2. Ensure optimal learner extra-curricular achievement
- A3. Optimise stakeholders' satisfaction

These objectives were identified as the three main objectives to answer to the school's mission. Column 4 is empty because this is the top perspective and objectives should link to the school's mission and not to any other objectives.

Internal Processes perspective:

- B1. Implement procedures to support learners with learning disabilities
- B2. Implement procedures to ensure the basic functionality of the school
- B3. Implement procedures to optimise parental involvement
- B4. Implement school safety, security and disciplinary procedures

The objectives for the Internal Processes perspective, which are required to drive the objectives in the Customers' perspective, need to be determined here. Therefore, these objectives need to be linked to the objectives in the Customers' perspective. The links are indicated in Column 4. For example, *Implement procedures to support learners with learning disabilities* can be linked to A1 while, *Implement procedures to ensure the basic functionality of the school*, can be linked to A1, A2 and A3.

Employee Learning and Growth perspective:

- C1. Ensure quality teaching and teacher development
- C2. Implement effective training of all SGB members

This perspective looked at objectives related to the learning and training of staff, enabling the internal processes as identified in the previous perspective. Therefore, it should also be linked to the objectives above. For example, *Ensure quality teaching and teacher development* can be linked to B1 and B2, while *Implement effective training of all SGB members*, can be linked to B3 and B4.

Financial perspective.

- D1. Provide sufficient curriculum-related resources
- D2. Provide sufficient extra-curricular related resources
- D3. Provide for sufficient infrastructure and facilities

This perspective was put at the bottom as it will need to enable everything above. These objectives all relate to resources and facilities. Therefore, it can be linked to almost any of the objectives in the Internal processes and Employee Learning and Growth perspectives. For example, *Provide sufficient extra-curricular related resources* can be linked to B3, B4 and C1.

Two crucial objectives related explicitly to management were placed in Category E.

E1. The School Management Team gives clear direction to the school

E2. Guarantee effective and efficient governance by the SGB

The school's management needs to enable the Internal Processes perspective, the Employee Learning and Growth perspective and the Financial perspective. For example: *The School Management Team gives clear direction to the school*, can be linked to B1, B2, B3 and B4. However, it can also be linked to C1 and C2. Therefore, these objectives could not be ignored and formed part of the main objectives.

This grouping of the criteria enabled the researcher to minimise the objectives to meet the statement of "less is more" as mentioned in Section 5.4.4 (Niven, 2008:198). In the next section, these identified objectives and links were plotted on a strategy map to form the preliminary framework for this study.

5.5.2 The Preliminary Performance Management Framework

The preliminary framework was developed by plotting the main objectives, as identified in the previous section, on a strategy map in Figure 5.4. Sections 3.8.2 and 5.4.4 revealed that the strategy map forms an integral part of the BSC and helps to identify the links between the objectives in the different perspectives.

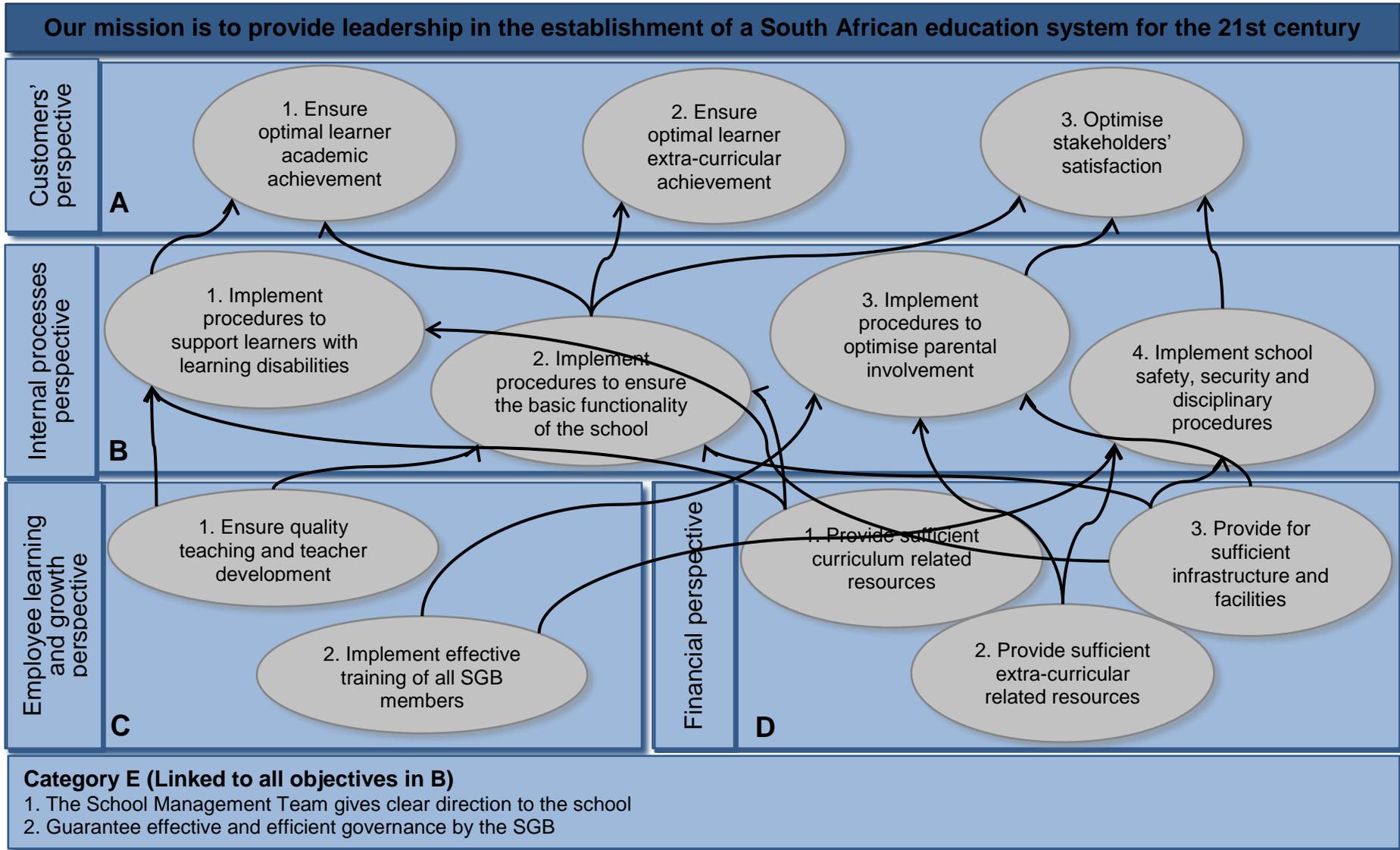


Figure 5.4: The preliminary framework

Source: Own observation

The researcher started with the mission statement of the DBE in Figure 5.4. However, to align with the literature in Section 5.4.1, it is essential that each school has its own distinctive mission statement that still supports the mission of the DBE. The new wording for the main objectives were also used in the framework. The various links between the objectives in the different perspectives, as identified in the previous section, were plotted on the strategy map. Figure 5.4 clearly shows that some of the objectives links to more than one other objective.

This preliminary framework was developed using only the WSE data. The objectives in Category E, related to management did not fit into the BSC strategy map. Therefore, further refinement was required for the consideration of these objectives and for the development of a flexible framework that will be beneficial to the self-management of all self-managing schools. It might have been necessary to adjust the wording of the objectives, using the insight and experience of participants as indicated in the interviews conducted during Phase 2. This, however, is reported on in Chapter 6, after the interviews were conducted and data was analysed.

5.6 SUMMARY

The objective of this chapter was to develop a preliminary performance management framework, which provided the starting point for the development of a performance management framework for self-managing schools. A detailed review of the structure of the WSE framework and BSC framework was conducted because the performance criteria of the WSE and the BSC frameworks formed the core of this development. The data from the WSE system were sorted according to the BSC perspectives, and main objectives were identified. The BSC strategy map was then used to demonstrate links between the objectives in the different BSC perspectives to form the preliminary framework. The researcher added Category E at the bottom of the framework to accommodate the two main objectives that did not fit into the traditional BSC perspectives.

After designing the preliminary framework, some questions remain. Are these areas and objectives the central aspects of performance management for self-managing schools? Are there other possible areas and objectives that might be vital to performance management of self-managing schools? Where does the Category E

objective fit into the framework? To what extent should the framework be flexible for schools, to suit the specific school and its mission best?

Thus, it was clear that the framework needed further refinement to be employed as a solution to the real-world performance management problems within self-managing schools. Therefore, Chapter 6 reports on the further development of the framework informed by the Phase 2 interviews conducted with practitioners in the real-world setting.

CHAPTER 6

FINALISATION OF THE FRAMEWORK, INFORMED BY PRACTITIONERS

6.1 LAYOUT OF THE CHAPTER

Figure 6.1 illustrates the layout of Chapter 6.

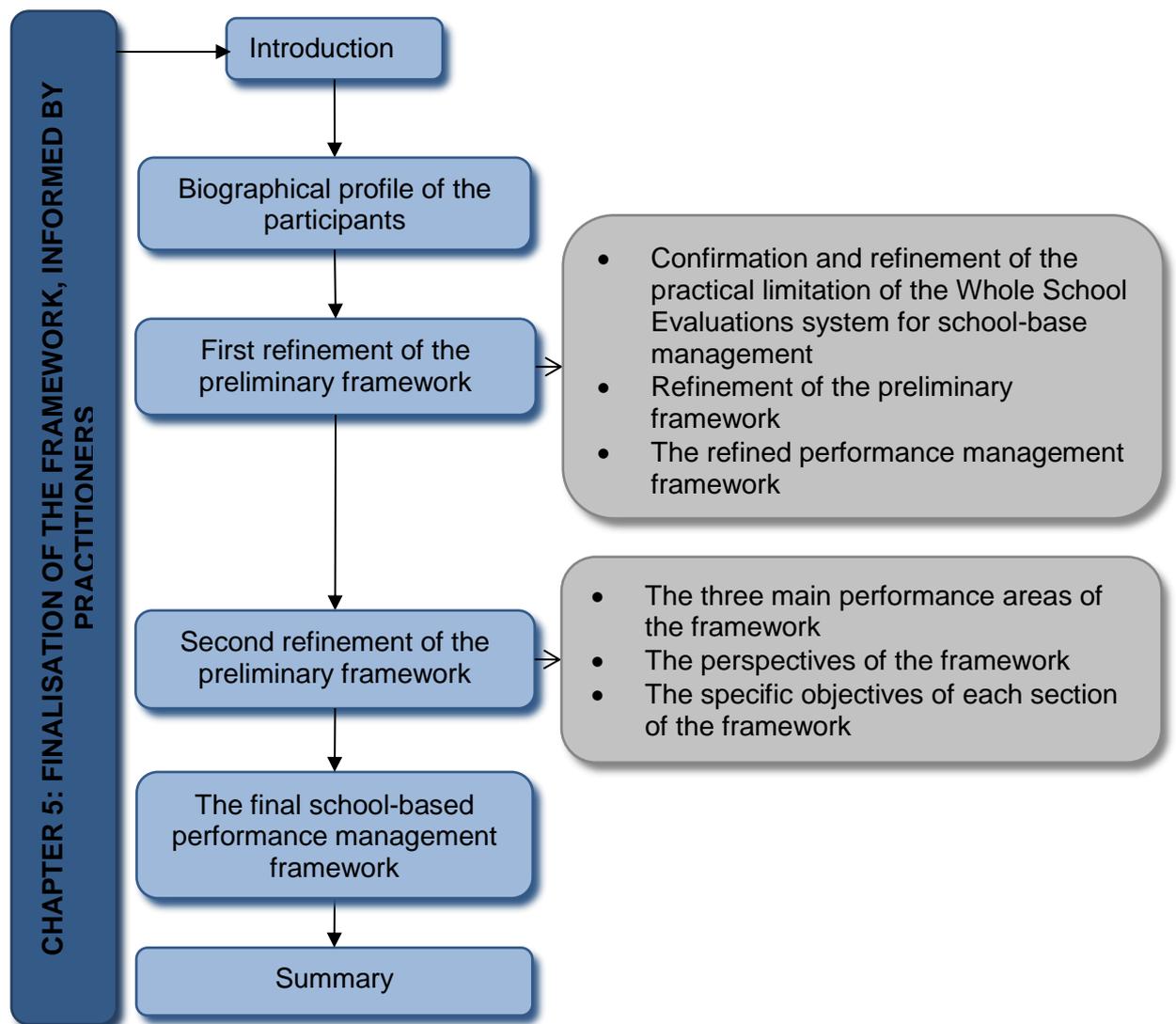


Figure 6.1: Layout of Chapter 6

Source: Own observation

6.2 INTRODUCTION

Chapter 5 deliberated on the design of the preliminary framework, Phase 1 of the DBR process. This chapter discusses the interactive cycles of testing and refining of the framework in practice, Phase 2 of the DBR process. Therefore, a detailed biographical profile of all participants is provided followed by the discussion of the analyses of the data for both rounds of interviews.

The questions for Phase 2, Cycle 1 were two-folded. The first set of questions aimed to confirm or refine the practical problem with the application of the IQMS for school-based management, as it emerged from the literature. Therefore, these questions were related to the use of the IQMS in schools. The aim of the second set of questions was to refine the preliminary framework. These questions were closely related to the preliminary framework and were ordered accordingly. A variety of questions were asked to ensure that all aspects of the preliminary framework were covered and participants were encouraged to comment on any aspect or to make changes on the framework itself if they want to.

After the framework was amended according to the data, Phase 2, Cycle 2 followed. The amended framework was presented to the participants of the second round of interviews. The analysed data and the refined framework from Cycle 1 informed the questions used during this second cycle. The chapter concludes with the final framework as presented in Figure 6.3.

6.3 BIOGRAPHICAL PROFILE OF THE PARTICIPANTS

The researcher identified four self-managing schools in South Africa, through purposive sampling. Two from the previously disadvantaged community and two from the previously advantaged community. The biographical profiles of the schools and participants of the semi-structured interviews are summarised in Table 6.1. The following question from both interview schedules was asked to draw a biographical profile of all participants:

1. *For the record, can you please confirm your current position and the number of years in this position?*
 - 1.1 *For how long are you involved in the South African schooling system?*
 - 1.2 *Is the school a Section 21 school where parents pay school fees?*
 - 1.3 *How many learners do your school have?*

Only the principals of each identified school participated in the interviews conducted during Cycle 1, and all the participants (the principal, one parent representative of the SGB and one other member of the SMT from each school) participated in the interviews conducted during Cycle 2. As stated in Chapter 4, the researcher gave each participant a code, for example, School 1, Participant 1 (S1P1), to protect their privacy and ensure their anonymity.

Table 6.1: Biographical profile of the schools and participants of the Phase 1 interviews

Participant	Current position	Years in current position	Years involved in the schooling system	School type	Number of learners
S1P1	School principal	22 years	38 years	Section 21	590
S1P2	SGB Chair	1 year	7 years		
S1P3	Head of department	4 years	21 years		
S2P1	School principal	1 year	21 years	No-fee school	916
S3P2	Head of department	10 years	23 years		
S2P3	Head of department	13 years	26 years		
S3P1	School principal	3 years	17 years	No-fee school	1 460
S3P2	Head of department	10 years	26 years		
S3P3	SGB member	5 years	5 years		
S4P1	School principal	4 years	20 years	Section 21	1 850
S4P3	Teacher	20 Years	20 Years		

It is clear from Table 6.1 that most of the principals had three or more years of experience in their current position while all of them have excessive experience in the South African schooling system. One principal, in particular, enhanced the study by contributing the extended practical experience of twenty-two years as principal. Regarding the participants who participated in the second round of interviews, nine had more than 15 years' experience in the South African schooling system while the

other two had five and seven years respectively. In agreement with DBR, all participants were also practitioners since they were all involved in schools in one or other capacity.

6.4 FIRST REFINEMENT OF THE PRELIMINARY FRAMEWORK

This section reports on Phase 2 Cycle 1, the first refinement cycle of the preliminary framework. The interviews were conducted with the principals of the four schools according to the semi-structured interview schedule. Question 1, with the three sub-questions, was asked to get insight into the biographical profile of the participants.

The first aim of the interviews was to confirm or refine the practical limitations of the IQMS for school-based management as identified from the literature review, in Chapter 2. The second aim was to refine the preliminary framework, developed during Phase 1 of the research process and reported on in Chapter 5. Therefore, Questions 2, 3 and 4 were based on the literature review done in Chapter 2 and 3 and intended to explore the opinion of participants on the usability of the WSE system for internal use and school-based management. Question 5 and 6 focused on possible modifications to the preliminary framework.

6.4.1 Confirmation and Refinement of the Practical Limitation of the Whole School Evaluations System for School-Based Management

This section refers to the third sub research question:

What are the practical limitations of the WSE system and the requirements for a school-based performance management framework for South African self-managing schools?

To answer the question above, the researcher analysed the problem in collaboration with practitioners. The data for this section was collected by the following main semi-structured interview questions (questions 2 to 4) according to the interview schedule:

2. *Do you think the Whole School Evaluation (WSE) system can be used internally for the management of the school's performance? Why do you think so?*
3. *What do you regard as the limitations of the current WSE system or IQMS?*

4. *How should the WSE system or IQMS change to assist the school's management to manage the school towards obtaining the school's distinctive mission statement?*

Four interviews were conducted with the principals of the four schools. To analyse the data gathered through these questions, the researcher acted as the first coder. All the transcriptions were firstly used to determine possible new categories and then all the data was categorised according to these categories. In agreement with Morse (2015:1217), a second coder was used to code the data from one transcript, following the same coding process before the information was compared with each other. The analysed data was then presented to a peer expert to verify the interpretation of the data (Visagie, 2012:8).

The following main categories emerged:

- Usability of the WSE system
- The flexibility of the WSE system
- Support from the DBE
- Involvement of the SGB
- Time constrain to implement and apply a performance management system

These categories are discussed in the above order.

Challenges with the application of the IQMS, which includes the WSE system, were reviewed in Chapter 2, concluding that these systems are insufficient and do not really add to the proper internal management of the schools (Molefhi, 2015:36; Thobela & Oliver, 2014:12; Booyse, 2013:99; Mahlaela, 2011:2; Ntombela *et al.*, 2010:369; Dhlamini, 2009:194-195 & De Clercq, 2008:14). It was further determined that good performing schools usually tend to implement their own systems for management and measurement purposes (Booyse, 2013:101).

The opinions of the participants mostly corresponded with what was found in the literature. See the verbatim quotations from the interviews in Table 6.2. The analysed data shows that participants believe that the WSE system is not suitable to manage and measure performance in their specific schools. This furthermore confirms the theoretical basis of the study as mentioned in Chapter 2, that the IQMS, including the WSE system, is located in the Managerialism theory. Authors argue that the IQMS should be classified under Managerialism because it disregards the freedom of self-

management and accepts that all the schools have the same focus, and needs, and therefore should use one performance management system (Klikauer, 2013:2; Locke & Spender, 2011:590).

Table 6.2: Supporting verbatim quotations regarding the usability of the WSE system

Participant	Quotations
S1P1	There are many systems in place, that look good on paper but with which one cannot do anything in practice.
S2P1	No, the WSE is a general evaluation of the school and does not explicitly focus on our school's mission.
S3P1	<p>No. There is nothing in the IQMS that supports the internal management of the schools' resources, and you know a budget is a budget.</p> <p>No, I think it is a compliance document because I think there are many things in that document that is not applicable, they are not easy to implement.</p> <p>The WSE have space to look at the extra activities and to measure it, but it is a problem to evaluate it if you do not have money and resources to drive the extra activities.</p>
S4P1	Yes, we included some of the aspects from the WSE system into our own system, but needed to adjust it to fit our school and to make sense of the links between objectives.

The quotations in Table 6.2 shows one participant specifically mentioned that the WSE system requires an evaluation of extra-curricular activities while the school does not have the resources and therefore cannot be assessed on this activity. This emphasis the reason why the performance management framework needs to change to rather locate in the Resource-based View (RBV) theory where it is assumed that resources are heterogeneous and immobile (Jurevicius, 2013). The RBV theory was reviewed in Chapter 3.

Another limitation of the WSE system identified was that it is a one-fits-all system and does not allow freedom for flexibility. See Table 6.3 for feedback on the participants' perceptions of the flexibility of the WSE system.

Table 6.3: Supporting verbatim quotations regarding the flexibility of a performance management framework

Participant	Quotations
S1P1	I do not doubt that it should be suitable for a specific school and not a one fits all system. However, I believe it should be possible to make changes to the system to suit our own needs
S2P1	No, it [the WSE] is a general evaluation of the school and does not explicitly focus on our school's mission.
S3P1	I would say it should allow the school freedom within a framework to determine its own performance standards.
S4P1and to make sense of the links between objectives. The performance standards of the WSE system do not link to each other and a specific focus.

Apart from the quotations shown in Table 6.3, participants further indicated that a performance management framework should be flexible to allow schools to adjust it according to their mission and specific needs. One participant specifically mentioned that the WSE system does not allow schools to develop a strategy that focusses on the school's distinctive mission, while another referred to the lack of visible links between the performance standards. The review of the BSC in Chapter 3 revealed that the BSC translates the mission into a workable and practical system that leads the activities in organisations to achieve the objectives (Niven 2008:106; Radtke, 1998:1). This highlights the value of the BSC framework for this study.

During the interviews, it was also revealed that the DBE does not provide adequate support to schools to ensure the successful implementation of the IQMS. See Table 6.4 for the comments of the participants in this regard.

Table 6.4: Supporting verbatim quotations regarding support by the DBE to schools

Participant	Quotations
S1P1	<p>The support for teachers and schools from the department do not take place.</p> <p>Training and extra paperwork do not necessarily correlate with the teachers' views and needs.</p> <p>The courses provided by the department do not aim at the shortcomings indicated by us.</p>
S4P1	<p>The department never provides the support they are responsible for.</p> <p>In my opinion, these documents are just filed and are only looked at next year when it needs to be submitted again.</p>

Two participants (See Table 6.4) stated that a lack of support from the DBE is an important reason why the WSE system does not add any benefits to the management of their school. This also surfaced in the literature, stating that the Department of Education does not support schools with the implementation and application of the IQMS (Mchunu, 2014:54).

The consultation with all stakeholders, to ensure their involvement, emerged from the literature review in Chapter 2. Table 6.5 contains quotations regarding this.

Table 6.5: Supporting verbatim quotations regarding the involvement of the SGB

Participant	Quotations
S1P1	<p>The School's governing body also needs to participate in the process of setting and developing the school's development plan. The involvement of the school's governing body is a challenge.</p> <p>The lack of the governing body's involvement naturally leads to many shortcomings, and it could not be used in the management process of the school.</p> <p>Determining the focus of the school will also be a process on its own, and you need to involve as many as possible stakeholders in the process.</p>
S2P1	<p>The role of management is vital and we specifically have a problem with the SGB. Their involvement in the management of the school is also not so good. They are only elected, but when it comes to performing their duties, they are not there.</p>

Participants indicated that the involvement of the SGB, in the application of the WSE system, is a containing issue. Bisschoff and Mathye (2009:400) indicated that the consultation with stakeholders is vital for the success of a performance management system to ensure the involvement of all, while the literature review in Chapter 2 revealed that the IQMS was developed in cast-and-stone, without the insight of the school-based stakeholders.

Chapter 2 identified the time factor as one of the main constraints of the WSE system, and everything is rushed for compliance only. This issue also emerged from the interviews as demonstrated in Table 6.6.

Table 6.6: Supporting verbatim quotations regarding time constraint to apply the WSE system

Participant	Quotations
S1P1	<p>Continuous new requirements and changes are killing staff, and it escalates annually.</p> <p>It should take less time and focus on the school's specific needs.</p> <p>The moment if you focus on more than three things it will not work.</p>
S2P1	<p>You will find that I am responsible for the implementation, but I also have a class to teach making this impossible. Those are the limitations.</p> <p>Yes, time is an issue.</p>
S4P1	<p>As I said, teachers usually experience the completion of these documents negatively because it is a very time-consuming exercise and teachers do not have the time to comply with these requirements.</p> <p>You know, they are busy in classrooms on a fulltime basis until two and most of them have to do extra-curricular activities in the afternoon.</p> <p>Another thing I can think of is that it should not add much admin to the workload of teachers.</p>

In correlation with the quotations in Table 6.6, Ntombela *et al.* (2010:369) stated that the increasing paperwork of teachers is further exacerbated by the application of the IQMS, while no time is allocated in the school timetable for the implementation of the system. As depicted in Table 6.6, participants of the interviews share this view, stating that teachers are exhausted by the requirements of the IQMS, because they do not

have the time to apply the systems properly due to their other academic duties. Two participants mentioned that it is vital for a performance management system not to be time-consuming, to focus on the specific needs of the school and to ensure the focus areas are limited to a maximum of three.

The problems with the WSE system experienced by practitioners, as shown above clearly indicate that although schools comply with the requirements of the DBE, they do not use the system for internal management of the schools' performance.

In synthesis, the practical limitations of the WSE system identified in this section led to the following essential principles that were used as basis for the development of the refined framework, later in this Chapter.

- A school-based performance management framework needs to be flexible, and schools should have the freedom to adjust the performance criteria or standards according to their needs.
- A school-based performance management framework should ensure links between objectives that can be translated into a strategy that focuses on the mission of the school.
- A school-based performance management framework should ensure the involvement of all stakeholders and specifically the SGB, who are primarily responsible for the schools' management.
- A school-based performance management framework should be simple and easy to manage, in order to ensure time efficiency.

Together with the data analysed in the next section, these considerations were used to refine the preliminary performance management framework.

6.4.2 Refinement of the Preliminary Framework

To refine the framework, the preliminary framework was presented to the participants. The following Questions 5 and 6, based on the preliminary framework, were asked in the interviews:

5. *When looking at the preliminary framework, in your opinion, should anything be added to the Customers' perspective as performance objectives for schools and*

how should the preliminary framework change to make it usable for school-based management?

6. *The Balanced Scorecard suggests the following four perspectives:*

- *Customers*
- *Internal Processes*
- *Employee learning and growth*
- *Financial*

Could these perspectives also work for your school, what could be included as perspectives to improve school-based management, and what should be included to accommodate the objectives in Category E?

For the data analysis, the researcher firstly used the transcriptions to categorise the suggested additions and changes. The data was then categorised according to these categories. The same process was also followed by the second coder, coding one randomly selected transcript to ensure the reliability of the coding of data. For this section, the following main categories emerged from the data:

- Three main areas in the Customers' perspective
- Links between the objectives
- Category E objective

The analyses of this section are presented according to these main categories.

6.4.2.1 Three Main Areas in the Customers' Perspective

The three objectives displayed in the Customers' perspective of the preliminary framework are as follows:

- Ensure optimal learner academic achievement
- Ensure optimal learner extra-curricular achievement
- Optimise stakeholders' satisfaction

Table 6.7 contains quotations from the participants. These quotations indicated that these objectives, as indicated above, were identified by all four participants as the three areas that accommodate all possible performance activities of their schools.

Table 6.7: Supporting verbatim quotations regarding the possible, main performance areas of schools

Participant	Quotations
S1P1	I would say no, academic achievement, extra-curricular achievement and stakeholders' satisfaction covers everything.
S2P1	Regarding the three top objectives, I think it covers all aspects of a school.
S3P1	I think the three objectives represent everything that is important in my school.
S4P1	We also measure academic performance, extra-curricular performance and satisfaction of learners and parents in our own system. As I said, we include academics, sports, cultural and satisfaction, but also some aspects of the governing body.

It is clear from Table 6.7 that learners' academic achievement, learner's extra-curricular achievement and stakeholders' satisfaction were identified as the three main performance areas of a school. The preliminary framework was altered to accommodate this.

6.4.2.2 Links Between the Objectives in the Different Perspectives

Chapter 3 highlighted that a strategy map helps to explain the connection between the objectives and the perspectives leading to the fulfilment of the goals (Nair, 2004:28). Table 6.8 contains quotations of the participants' opinions regarding these links.

Table 6.8: Supporting verbatim quotations regarding links between the objectives

Participant	Quotations
S2P1	This link seems a bit confusing. It might be better to separate the three main areas entirely to simplify the framework.
S3P1	The many links make it difficult to follow, but I think it should be fine if these Category E objectives can be included somewhere. You know you do not have any link between the Financial perspective and the Employee Learning and Growth perspective. Inevitably, finance also affects training and development.
S4P1	I would have like to have more time to look at the framework, but what I can see here is that there are no links between the Financial perspective and the Learning and Growth perspective. The two management objectives should also be liked in some way.

Two participants indicated that the many links make it difficult to clearly understand and follow it, while one participant suggested that the three areas should be separated entirely. The researcher altered the framework accordingly. The concerns of the two participants, regarding no link between some perspectives, were also addressed in the refined framework.

6.4.2.3 Category E Objective

It was reviewed in Chapter 3 that organisations might add new perspectives or alter the current BSC perspective to adjust it to their requirements (Niven, 2008:157). Table 6.9 provides quotations from the participants' suggestions about possible additions to the framework that might be required by their schools.

Table 6.9: Supporting verbatim quotations regarding possible additional aspects to add to the framework

Participant	Quotations
S1P1	<p>I think it will be a good idea to add a SGB or school management perspective as a extra perspective to the framework. We will also need to decide where discipline will fit in, as this might also be a focus for schools.</p> <p><i>I: Where do you think it will fit in?</i></p> <p>S1P1: Well the primary responsibility of the SGB is to manage the school's finance and resources. Therefore, maybe at the bottom to flow through to the Financial perspective. On the other hand, the SGB also have other management decisions and responsibilities together with the SMT. That might put it just above the Financial perspective. I am not sure about the framework.</p>
S2P1	<p><i>I: Will you add any perspectives to the framework?</i></p> <p>The role of management is vital and we specifically have a problem with the SGB. Therefore, it will be a good idea to measure their performance. It should be part of the framework. Further, as I said, late coming of learners, the discipline of learners and involvement of parents in their children's' school performance. Yes, I think that is it.</p>
S3P1	<p>The many links make it difficult to follow, but I think it should be fine if these Category E objectives can be included somewhere.</p>
S4P1	<p>They (Management) also look at what will be required to lift the school to the next level, so management does play an important role.</p>

Table 6.9 shows that all participant considered the possibility to add an SGB or management perspective to the framework because it might be a problem to plot the objectives and responsibilities of the SGB or SMT on the BSC. One participant added that the extra perspective might fit in at the bottom, but also mentioned its relationship with the other perspectives. The researcher decided to add a Management perspective between the Employee Learning and Growth perspective and the Financial perspective. This might be suitable to illustrate the flow from management to ensure the successful realisation of the strategic objectives above.

Two participants referred to discipline as a possible perspective, while late coming of learners and school facilities were mentioned. The researcher, however, argued that discipline and late coming are closely related, and might become part of all sectors of the framework. Therefore, it cannot be added as a separate objective.

The refinement of the preliminary framework, as provided in the next section, was based on these findings.

6.4.3 The Refined Performance Management Framework

As part of the answer to the main research question of this study, the findings from the previous section were applied to the preliminary framework from Chapter 5 to refine the framework for the first time. For comprehensiveness, the framework again starts with the mission of the DBE because it is vital that the missions of all schools should be linked to this primary mission. Section 5.4.1, however, emphasises the importance of a distinctive mission for a school and therefore the primary drive for the strategy or framework should be the school's distinctive mission statement. Figure 6.2 illustrates the first refined framework.

Concurrent with the participants' suggestions, the three main objectives in the Customers' perspective were used to identify three main performance areas. This, together with the idea to simplify the many overlapping links, led to the separation of the objectives into the three main areas.

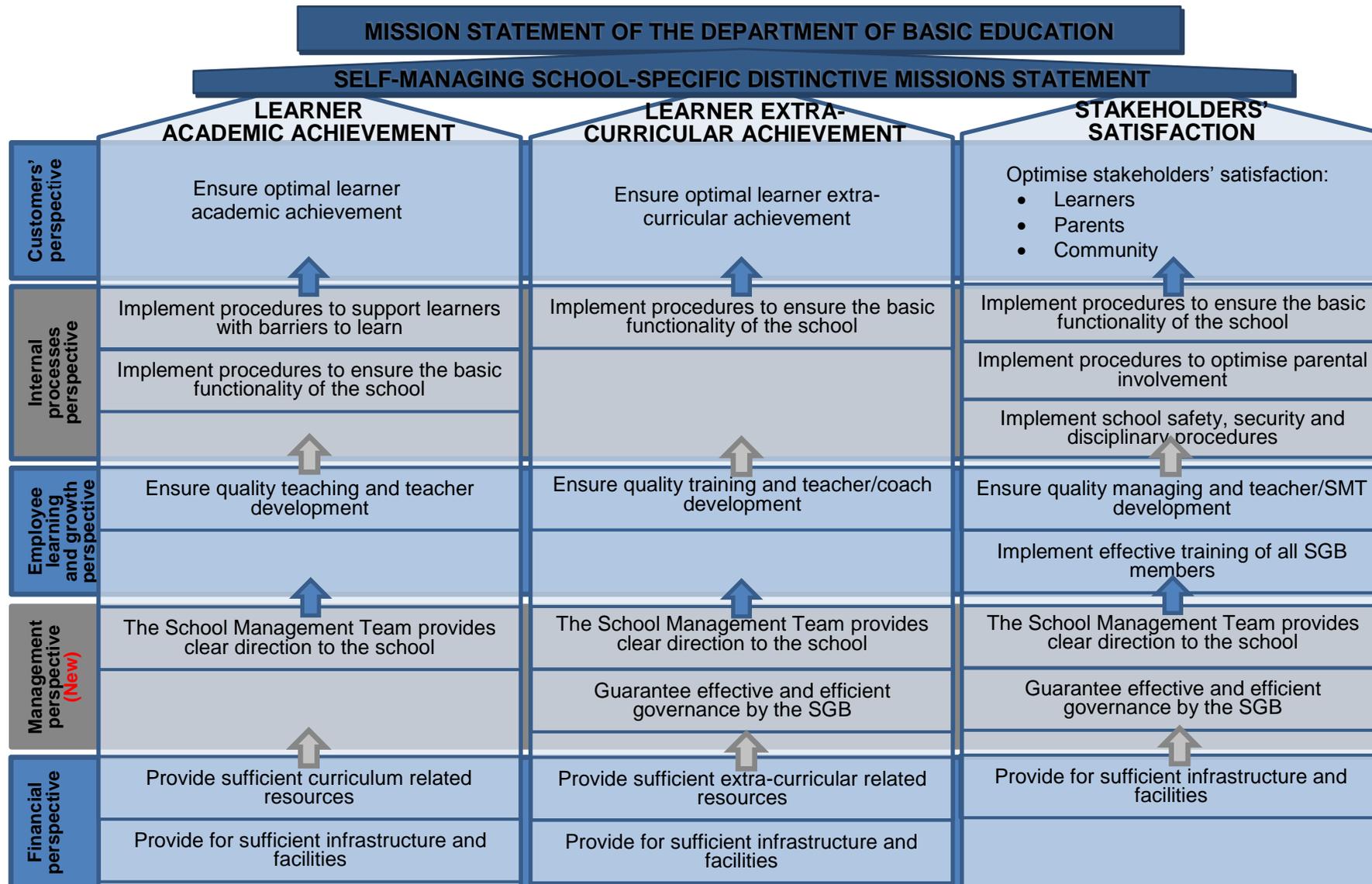


Figure 6.2: The refined performance management framework

Source: Own observation

To accommodate the additional, Category E objectives, that did not fit into any of the BSC perspectives, a Management perspective was added to the framework, after the Employee Learning and Growth perspective followed by the Financial perspective. This was done based on recommendations by participants to add a perspective that provides for the measurement of management's performance and on Niven's (2008:157) argument. Thereafter, the identified links from Figure 5.4 were used to plot the objectives in these areas. The overlapping objectives were repeated in the different main areas.

In agreement with the research process, the first refined framework was presented to the principals and two other participants of the schools to gain their opinions and to, further refine the framework for the second time. The next section reports on this.

6.5 SECOND REFINEMENT OF THE PRELIMINARY FRAMEWORK

This section reports on Phase 2 Cycle 2, the evaluation and further refinement of the performance management framework to develop the final framework. The researcher conducted a second round of semi-structured interviews. For this round, the principals, one SGB member and one SMT member of the four schools were invited. Two principals, however, indicated that their SGB would not be able to participate. Therefore, the principal, one head of department and one teacher participated in one case, while only the principal and one head of department participated in the other case. A total number of eleven interviews were conducted. To gather the biographical information, Question 1 from the first interview schedule was repeated. This information was included in Section 6.3.

Questions 2 to 4 were based on the first refined framework to test it and refine it again. The researcher used the following aspects from this framework to ensure a logic order of the questions and discussions:

- The three main performance areas
- The perspectives of the framework
- The specific objective areas of each section of the framework

6.5.1 The Three Main Performance Areas of the Framework

For the collection of data for this section, Question 2 asked the participants' opinion on the three main performance areas, identified in the first refined framework (Figure 6.2) through the following two questions:

2. *Three main performance areas were identified for the framework, namely: Learner academic achievement, Learner extra-curricular achievement and Stakeholders' satisfaction.*
 - 2.1 *Do you think these three areas should change or anything should be added to ensure that the framework would be flexible and comprehensive for all schools?*
 - 2.2 *Do you believe that the areas should be next to each other, or do you think one area might be influenced by the other area? Please explain how you see the relationship between these areas.*

Almost all the participants agreed that the three main areas should cover all performance aspects of their schools. Table 6.10 provides quotations from the interviews as proof of their agreement to the three main areas of the framework.

Table 6.10: Supporting verbatim quotations regarding the suitability of three main performance areas identified

Participant	Quotations
S1P1	Sufficient.
S1P2	Depending on the detail that is required, either the first two performance areas can be combined, or the second area can be divided into sport and culture.
S1P3	Teachers are not mentioned as stakeholders, while their “satisfaction” determines much about the other stakeholders’ satisfaction.
S2P1	No, I would not add anything.
S2P2	Very good but unfortunately it only works on paper and not in practice. Schools do not have the money to pay for all of this.
S2P3	No, it should be sufficient.
S3P1	I think policies need to be an additional section because the functionality of schools involves quite a lot of policies. In policies, the technology phase in education could be incorporated or added under the Learning and Growth perspective.
S3P2	The three areas are mainly the three parts that learners’ life is based on. In short - learning, sport and other circumstances, such as parents and communities.
S3P3	No, it looks fine.
S4P1	I think the three areas are sufficient.
S4P2	Yes. Quality trained teachers with constant updates. Leadership education as well.

Although almost all participants state that the three areas should be suitable, one participant mentioned training, and one mentioned policy and technology. Policies and technology, however, affects all aspects of the school and fits in under the three areas, while the training mentioned by one participant should fall under the Employee Learning and Growth perspective. The researcher, therefore, did not amend the three areas in this regard. Staff was added to stakeholders’ satisfaction as mentioned by one participant.

Feedback from participants regarding the relationship between the three main areas indicated that the areas are closely related to each other. See Table 6.11.

Table 6.11: Supporting verbatim quotations regarding the relationship between the three main performance areas identified

Participant	Quotations
S1P1	Excellent. Areas and they are closely related. Learners' performance in all areas affects satisfaction rates of stakeholders.
S1P2	It might be a challenge to decide what fits under stakeholders' satisfaction. Maybe the wording should change a bit to clarify.
S2P1	The three areas are integral to the framework as a whole and thus inseparable. There will inevitably be cross-pollination between the areas.
S2P2	I would say that learners' academic achievement and learners' extra-curricular achievement have a direct impact on the stakeholders' satisfaction. However, a school might have objectives that do not fit in with academic or extra-curricular achievements but do affect the stakeholders' satisfaction.
S3P1	The three areas are interactive, and the one area will be influenced by the next.
S3P3	They have a direct relationship.
S4P1	The one area is definitely affected by the other.

All participants agreed that there are close relationships between the three areas. Two participants specifically argue that the stakeholders' satisfaction is affected by the achievement of learners. Therefore, it was decided to move stakeholders' satisfaction to the centre and demonstrate the relationships in the framework, to limit the possibility of confusion, as mentioned by one participant. The researcher, therefore, decided to add the wording "other than academic and extra-curricular" to the first sector under stakeholders' satisfaction.

6.5.2 The Perspectives of the Framework

The following questions guided the interviews regarding the perspectives of the first refined framework to assess how the participants perceive it and to make possible changes.

3. *The Balanced Scorecard perspectives (on the left-hand side of the framework) were used and one new perspective was added. The following questions were asked:*

3.1 *Do you think these perspectives will be suitable for schools? If not, please give your reasons.*

3.2 *If you feel any changes should be made to the wording or anything should be deleted or added; please indicate accordingly.*

All participants concurred that the five perspectives used in the framework are suitable and there is no need to add or remove any. See Table 6.12 for supporting quotations.

Table 6.12: Supporting verbatim quotations in support of the five perspectives used in the framework

Participant	Quotations
S1P1	Absolutely.
S1P2	Yes
S1P3	Suitable.
S2P1	Definitely suitable.
S2P2	Yes, I think it should work.
S2P3	Yes.
S3P1	Yes, however, there are external factors influencing the perspectives, like socio-economic, political and emotional factors.
S3P2	The perspectives seem fine for schools
S3P3	Yes. It covers the school, learners, teachers and the community.
S4P1	I think that is suitable.
S4P2	Perspectives are adequate.

One participant, however, mentioned a few external factors that might influence the framework (see Table 6.12). In agreement with the opinions of the participants, the five perspectives were not changed. Concerning the external factors, schools might deem it necessary to include objectives regarding some external factors in their strategy.

Responding to Question 3.2 above, Table 6.13 depicts the changes suggested by some participants.

Table 6.13: Supporting verbatim quotations in support of the changes made to the perspectives used in the framework

Participant	Quotations
S1P1	Learning and growth might also be related to SGB members. Therefore, I would suggest that the Employee Learning and Growth perspective should change to Learning and Growth perspective to include SGB members.
S1P2	Maybe it will be better to use Stakeholders' perspective rather than Customer perspective. I also think that it would be better if the Financial perspective change to Financial and resources perspective. The SGB is also responsible for the management of the resources.
S2P2	Maybe the word customers can change to something more suitable for schools. Maybe the word resources can be added to the Financial perspective.
S3P3	Customer perspective might change to Learner perspective.
S1P1	The Learning and Growth perspective then also have an influence downwards to the management perspective.
S1P1	The SGB is responsible for the management of Finances and resources and should have a downwards influence.
S2P1	The management perspective has an influence upwards and downwards as its activities are influenced by the finance, but the SGB is also responsible for the management of the schools' budget and finance.

One participant indicated that training and growth in schools might in some cases affect the SGB members, who are not employees and therefore the Employee Learning and Growth perspective should change to Learning and Growth perspective. Three participants also indicated that they were not at ease with Customer perspective, while one indicated that resources should be added to the Financial perspective. The researcher, therefore, changed the Customers' perspective to Stakeholders' perspective and the Employee Learning and Growth perspective to Learning and Growth perspective.

It was further suggested that the framework should be amended to illustrate that the Learning and Growth perspective have an influence on the management perspective as well. Consequently, the Management perspective has an influence on the Financial

and Resources perspective. This was accepted, and the framework was altered accordingly.

6.5.3 The Specific Objective Areas of Each Section of the Framework

The study aimed to develop a school-based performance management framework that can be used by all schools. Question 4 was asked regarding specific possible objectives to ensure that as many as possible possibilities were included and the framework is flexible:

4. *The framework contains some objectives for each of the perspectives, under each of the three main areas. To ensure comprehensiveness and flexibility, please try to add 2 to 4 objectives to each of the following perspectives and areas. (Keep in mind that the objectives should link to each other to drive the strategy towards the mission on top.)*

- | | |
|--|--|
| 4.1 <i>Learner academic achievement:</i> | <i>Customers' perspective</i> |
| | <i>Internal Processes perspective</i> |
| | <i>Learning and Growth perspective</i> |
| | <i>Management perspective</i> |
| | <i>Financial perspective</i> |
| 4.2 <i>Learner extra-curricular achievement:</i> | <i>Customers' perspective</i> |
| | <i>Internal Processes perspective</i> |
| | <i>Learning and Growth perspective</i> |
| | <i>Management perspective</i> |
| | <i>Financial perspective</i> |
| 4.3 <i>Stakeholders' satisfaction:</i> | <i>Customers' perspective</i> |
| | <i>Internal Processes perspective</i> |
| | <i>Learning and Growth perspective</i> |
| | <i>Management perspective</i> |
| | <i>Financial perspective</i> |

To analyse the data gathered through Question 4, the main categories and possible sub-objectives from the WSE system, as demonstrated in Table 5.1, were added to the data. This was done to ensure comprehensiveness and to ensure that schools also included the requirements of the DBE. The data from each section of the refined

framework were coded separately to identify possible categories within each section. Three of the eleven transcripts were also coded by the second coder, and the categories were compared with each other to identify the final categories. This was done to group all similar opinions of the participant. Hereafter, the researcher identified suggested objectives from the coded data. These suggested objectives were verified by the second coder (Morse, 2015:1217) and presented to a peer expert for verification of the interpretation (Visagie, 2012:8). Table 6.14 presents the suggested objectives for each section of the final framework.

Table 6.14: The suggested objectives for the framework

STAKEHOLDERS' PERSPECTIVE		
LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Objectives related to learner academic achievement	Objectives, other than academic and extra-curricular, related to stakeholders' satisfaction (DBE, Teachers, Learners, Parents and Community)	Objectives related to learner extra-curricular achievement (Sport and Culture)
Development of learners' skills - Read/speak/listen/write (WSE)	Environment-friendly culture (WSE)	Development of learners' extra-curricular skills
Development of learners' skills - Technology/number/calculate (WSE)	Image of the school	Optimal participation
The market related curriculum offered	Innovative to stay competitive	Results per learner
Results per grade	Involvement of stakeholders (Learners/Staff/parents/Community/DBE)	Results per school (WSE)
Results per learner	Leadership development of learners	Results per team
Results per school (WSE)	Positive culture (WSE)	Variety of activities offered
Results per subject	Satisfaction of stakeholders (Learners/Staff/parents/Community/DBE) (WSE)	
Variety of subjects offered		

INTERNAL PROCESSES PERSPECTIVE		
LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Objectives related to internal processes, enabling, academic achievement objectives above	Objectives related to internal processes, enabling stakeholders' satisfaction objectives above	Objectives related to internal processes, enabling extra-curricular achievement objectives above
Communication to stakeholders (Learners/Staff/parents/Community/DBE) (WSE)	Communication to stakeholders (Learners/Staff/Parents/Community)	Communication to stakeholders (Learners/Staff/Parents/Community)
Curriculum planning	External factors	Headhunt for coaches
Headhunt for teachers	Headhunt for experts	Headhunt for experts
Processes to ensure adequate teaching time	Headhunt for staff	Processes to ensure security/safety related to extra-curricular activities
Processes to ensure optimal application of teachers	Linking with local services (WSE)	Processes to improve the discipline of coaches
Processes to ensure teaching standards (WSE)	Linking with other schools (WSE)	Processes to improve the discipline of learners
Processes to improve discipline in classrooms	Marketing processes	Processes to improve the discipline of parents
Processes to improve the discipline of learners related to their academy	Processes to create an environment-friendly culture (WSE)	Processes to improve the functionality of the school related to extra-curricular activities (WSE)
Processes to improve the discipline of parents related to learners' academy	Processes to ensure competitiveness	Processes to limit absence of coaches
Processes to improve the discipline of teachers related to academy	Processes to ensure legal complains	Processes to limit the absence of learners
Processes to improve external factors	Processes to ensure security/safety in general	Processes to look at the welfare of learners related to extra-curricular activities

INTERNAL PROCESSES PERSPECTIVE (continue)

LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Processes to improve results per grade	Processes to improve the functionality of the school (WSE)	Processes to motivation coaches
Processes to improve results per learners	Processes to improve the general discipline (WSE)	Processes to motivation learners
Processes to improve results per subject	Processes to improve the image of the school	Processes to motivation parents
Processes to improve the functionality of the school related to the academy (WSE)	Processes to improve the image of the school related to technology	Processes to motivation the school
Processes to limit the absence of learners (WSE)	Processes to improve the infrastructure of the school	Processes to reward coaches
Processes to limit absence of teachers (WSE)	Processes to improve the involvement of stakeholders (Learners/Staff/parents/Community/DBE) (WSE)	Processes to reward learners
Processes to look at the welfare of learners' academy	Processes to look at the welfare of learners and staff (WSE)	
Processes to the motivation of learners to perform well in the academy	The socialisation of stakeholders (Learners/Staff/parents/Community/DBE)	
Processes to the motivation of teachers to perform well in the academy	Support from DBE	
Processes to reward learners		
Processes to support gift learners and learners with barriers (WSE)		
Processes to support parent to guide learners		
Processes to support teachers		
Processes to support to learners (diversity in the class)		

EMPLOYEE LEARNING AND GROWTH PERSPECTIVE		
LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Objectives related to employment learning and growth, enabling the internal processes objectives above	Objectives related to employment learning and growth, enabling the internal processes objectives above	Objectives related to employment learning and growth, enabling the internal processes objectives above
Parent development to improve their involvement	Availability of study leave for staff	Coaches development related to coaching
SGB development related to fund and resource management	Development of parent/community	Coaches development related to conflict handling
Teacher development for beginner teachers	In-service development of staff	Coaches development related to relationships
Teachers development related to assessment	SGB development related to financial management	Coaches development related to mentor training
Teachers development related to discipline	SGB development related to leadership	Coaches development related to time management
Teachers development related to leadership and management	SGB development related to management (WSE)	Coaches development related to referee training
Teachers development related to mentor training	SGB development related to marketing	Managers development related to time management
Teachers development related to subject content (WSE)	SGB development related to time management (WSE)	Parent development related to the handling of their kids' extra-curricular activities
Teachers development related to time management (WSE)	SMT/Staff development related to leadership	
Teachers skills development (WSE)	SMT/Staff development related to management (WSE)	
	SMT/Staff development related to marketing	
	Teachers development related to general discipline in school	
	Teachers development related to an environment-friendly culture (WSE)	

MANAGEMENT PERSPECTIVE		
LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Objectives related to the school management team and the school governing body, supporting employment learning and growth above and financial and resources below	Objectives related to the school management team and the school governing body, supporting employment learning and growth above and financial and resources below	Objectives related to the school management team and the school governing body, supporting employment learning and growth above and financial and resources below
Curriculum control (WSE)	Employment of experts	Employment of coaches
Employment of teachers	Employment of staff	Employment of managers
Manage funds and resources related to the academy (WSE)	Ensure legal complaints	Ensure legal complains related to extra-curricular activities
Manage schools' time and program	Manage funds and resources (WSE)	Manage coaches and coaching
Manage teaching quality (WSE)	Manage infrastructure	Manage extra-curricular activities (WSE)
Manage vision and mission	Manage school's image	Manage funds and resources related to extra-curricular activities (WSE)
Motivation of teachers	Manage staff development	Motivation of coaches
Policy - Academy awards and bursaries	Performance management (WSE)	Planning of extra-curricular programme
Policy - Academy performance management (WSE)	Policies - Contracts	Policy - Communication related to extra-curricular activities
Policy - Communication related to academy	Policies - Financial management	Policy - Extra-curricular activities
Policy - Discipline	Policies - Management (WSE)	Policy - Infrastructure to support academy
Policy - Funds and resources to support the academy	Policies - Performance management	Policy - Marketing of extra-curricular activities
Policy - Infrastructure to support the academy	Policies - Safety (WSE)	Policy - Performance management (WSE)
Policy - Management roles to manage the academy	Policy - General communication to Stakeholders (Learners/Staff/parents/Community/DBE) (WSE)	SGB and SMT support to coaches

MANAGEMENT PERSPECTIVE (continue)		
LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Policy - Marketing of academy	Policy - Infrastructure to support the academy	
SGB and SMT support to teachers	Satisfied work environment - Stakeholders (Learners/Staff/parents/Community/DBE)	
	Support the community	
	Support staff	

FINANCIAL AND RESOURCE PERSPECTIVE		
LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Objectives related to financial and other resources, enabling all the objectives above	Objectives related to financial and other resources, enabling all the objectives above	Objectives related to financial and other resources, enabling all the objectives above
Fundraising	Budget management	Fundraising
Funds for academy awards and bursaries	Control funds and resources	Funds for activities
Funds for infrastructure to support academy (WSE)	Fundraising	Funds for compensation for coaches
Funds for marketing of academy	Funds for the employment of experts	Funds for compensation for referees
Funds for resources to support academy (WSE)	Funds for the employment of staff	Funds for employment of coaches
Funds for the employment of teachers	Funds for infrastructure (WSE)	Funds for employment of managers
Funds for the training of SMT	Funds for marketing of the school	Funds for equipment
Funds for the training of teachers	Funds for the training of staff	Funds for infrastructure (WSE)
Funds for welfare to support learners with the academy	Funds to build the school's image	Funds for marketing of extra-curricular activities
Management of funds and resources from DBE		Funds for resources (WSE)
		Funds for training coaches/managers/referees
		Funds for welfare to support learners with extra-curricular activities

All the suggested objectives were placed in Table 6.14 under each of the sections of the refined framework. In some cases, the researcher moved some of the objectives, provided by the participants, to other objective areas to make it more suitable. These items were marked “WSE” in brackets at the end of the item to highlight the items that also formed part of the WSE system.

These suggested objectives might be used together with the final performance management framework, as a guide for schools to identify their own suitable objectives for each section. Finally, the wording for the sections of the refined framework was changed to be inclusive and to accommodate all the possible suggested objectives. Furthermore, it ensured flexibility of the framework. This was placed at the top of each section and was used in the final performance management framework.

6.6 THE FINAL SCHOOL-BASED PERFORMANCE MANAGEMENT FRAMEWORK

The previous section discussed the analyses of the data collected during the second round of interviews (Phase 2, Cycle 2) to assess the refined framework and to use the feedback of participants to finalise the framework. This section presents the final school-based performance management framework developed for this study to provide the answer to the main research question:

How can the IQMS and the BSC be integrated to provide a school-based performance management framework for self-managing schools in South Africa?

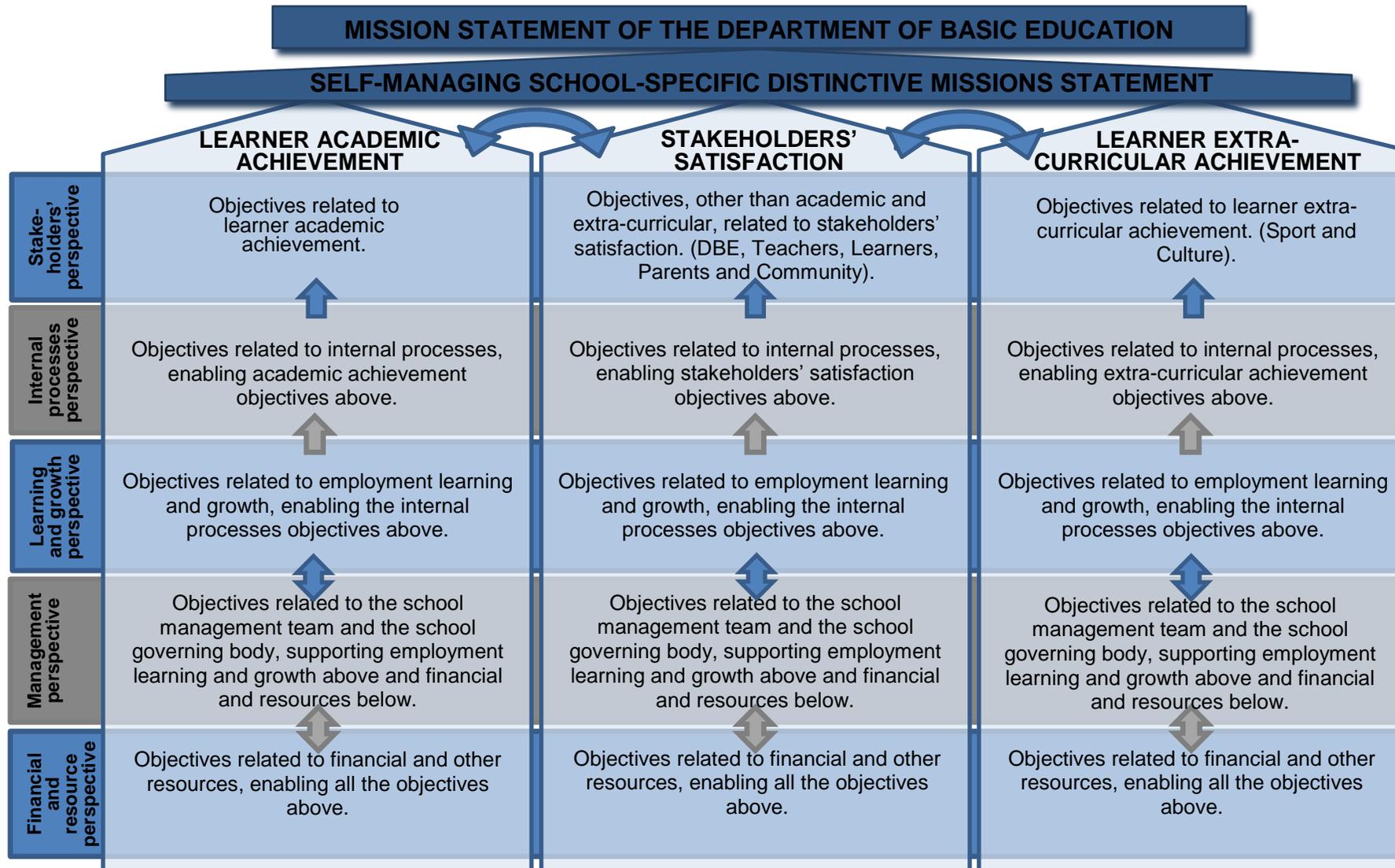


Figure 6.3: The final performance management framework

Source: Own observation

The starting point of the framework is the mission of the DBE followed by a specific, distinctive mission of the school. The framework was further divided into the three main areas of performance. These areas were identified through the analyses of the data from the WSE system and confirmed by the interviews conducted, namely (i) learner academic achievements, (ii) learner extra-curricular achievements, and (iii) stakeholders' satisfaction.

The researcher, however, decided to amend the framework by placing stakeholders' satisfaction in the centre. The framework indicates that learners' academic and extra-curricular achievements influence the satisfaction rate of stakeholders and that the satisfaction rate of stakeholders has an effect on learners, academic and extra-curricular achievements. The adjustments were based on the feedback from the participant.

Each of these areas is divided into the four BSC perspectives and the one added perspective. These perspectives include:

- Customers' perspective,
- Internal Processes perspective,
- Employee Learning and Growth perspective,
- Management perspective, and
- Financial and resource perspective.

However, some of the perspective names were changed to better compliment the school environment. Therefore, Stakeholders' perspective, Internal Processes perspective, Learning and Growth perspective, Management perspective, and Financial and resource perspective were used for the final framework.

Figure 6.3 also demonstrated the required links that are needed for an effective strategy. The links between the objectives of the Learning and Growth perspective, the Management perspective and the Financial and resources perspective point in both directions. This indicates that some objectives in the Learning and Growth perspective should be linked to the Internal Processes perspective, while some could be linked to the Management perspective. However, management also needs to manage learning and growth, and therefore objectives in the Management perspective should link to objectives in the Learning and Growth perspective. It further shows that Management

needs to manage finances and resources, while the objectives of the Financial and resources perspective need to be the enablers of the objectives above.

6.7 SUMMARY

This chapter provided an analysis of the challenges experienced by practitioners, with the IQMS as a school-based management tool. The first interviews revealed that flexibility, time efficiency and involvement of stakeholders should be considered when the preliminary framework is developed. It should also be ensured that the performance management framework could be translated into a strategy for the schools.

Three main areas of performance emerged from the data, namely (i) stakeholders' satisfaction, (ii) learner academic achievement, and (iii) extra-curricular achievement. This allowed the researcher to develop the framework within these areas. The framework also demonstrates the close relationship between the three performance areas. Practitioners further indicated that a Management perspective should be added to the BSC perspectives. This will allow schools to set specific objective directly related to the school's SMT and SGB. Amendments were made to some of the names of the perspectives and the links between objectives within the perspectives.

Table 6.14 provided examples of possible objectives that schools can use as guidelines together with the framework to set their own unique objectives and strategy. These suggested objectives also include the main performance areas that emerged from the WSE system. In conclusion, Figure 6.3 presented the final school-based performance management framework.

CHAPTER 7

A CONCATENATION OF THE RESULTS AND REFLECTION ON THE PROCESS

7.1 LAYOUT OF THE CHAPTER

Figure 7.1 illustrates the layout of Chapter 7.

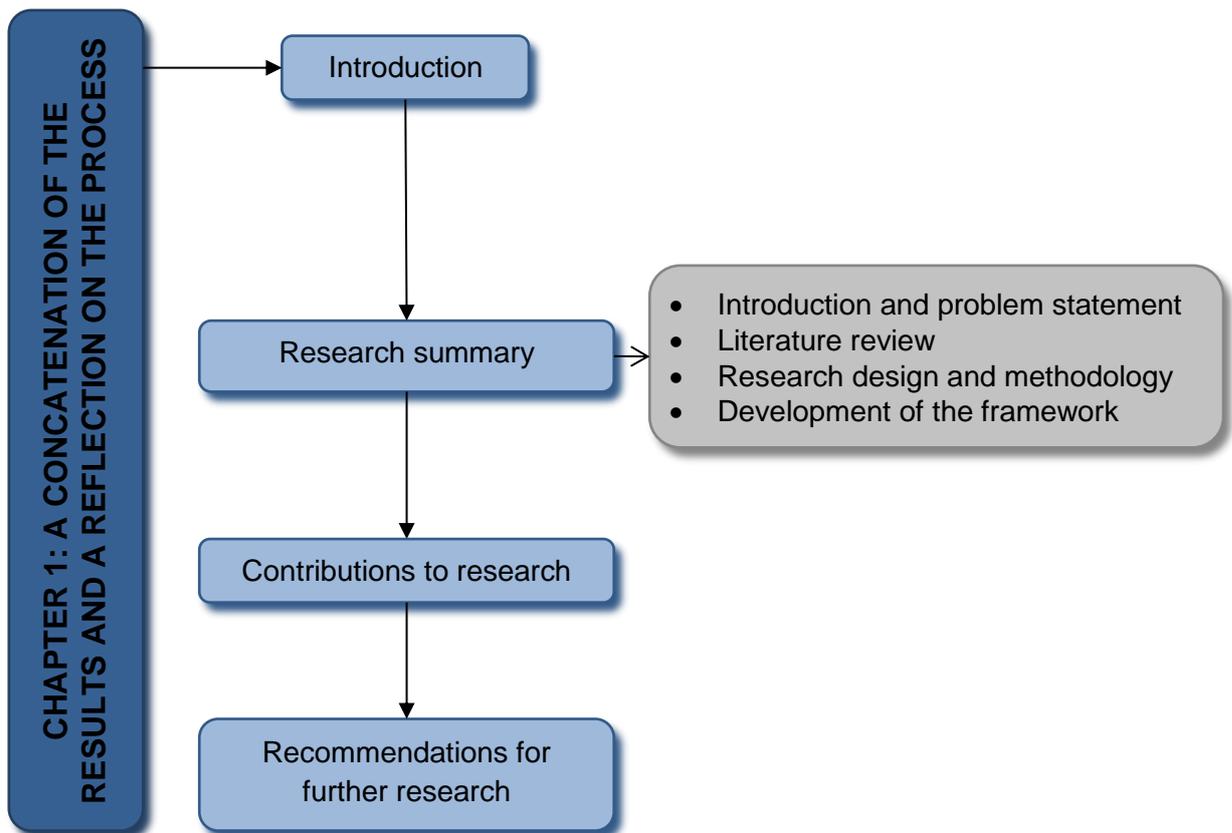


Figure 7.1: Layout of Chapter 7

Source: Own observation

7.2 INTRODUCTION

As discussed in Chapter 1, this study emanated from the National Development Plan of South Africa for 2030. The plan identified education as one of the top priorities and the move of the South African schooling system towards self-managing schools. This move placed public schools in the Participatory Democracy Theory where stakeholders have the freedom of involvement in decision-making regarding matters concerning them. The current performance management system implemented by the DBE, namely the IQMS, links to Managerialism. This allows for no flexibility. The researcher, therefore, demonstrated that the development of a school-based performance management framework, using the IQMS and the BSC might solve this problem.

The study aimed to integrate the IQMS and BSC to develop a school-based performance management framework for self-managing schools in South Africa.

The researcher further sought to:

1. Investigate to what extent the IQMS serves the purpose to manage performance in self-managing schools in South Africa.
2. Investigate how the BSC can contribute to performance management in self-managing schools in South Africa.
3. Investigate the practical limitations of the WSE system and the requirements for a school-based performance management framework for South African self-managing schools.

Chapter 7 summarises the findings and results of the study and reflects on the research process.

7.3 RESEARCH SUMMARY

Reporting on the study followed the timeline of the design-based research (DBR) process and included narratives describing the design and redesign of the framework. Each chapter described a different part of this research process. Chapter 1 provided the introduction and problem statement, while Chapter 2 and 3 contained the literature review reports. Chapter 4 explained the research method and processes followed to answer the main research question. Chapters 5 and 6 reported on Phase 1 and 2 of

the research process respectively. A brief description of each chapter follows to offer a condensed summary of the aspects uncovered.

7.3.1 Introduction and Problem Statement

Chapter 1 set the rationale for the study and outlined the real-world problem that underpinned the focus of this study. In this respect, a preliminary review of the schooling system in South Africa provided insight into the background, structure and performance of public schools.

The review revealed that public schools in South Africa are self-managing within a framework provided by the South African Schools Act (84/1996). The literature also showed a bleak performance picture of schools in South Africa, with specific reference to academic performance, infrastructure, finances and resources. The IQMS as the current performance management system used in schools do not support school-based management. Instead it offers a compliant system that enhances control by the DBE. The researcher, therefore, argued that schools need a school-based management framework to enhance the internal performance management of resources, finances and service delivery. This directed the researcher to the goal, research questions and objectives of the study.

A qualitative research methodology was followed to answer the main research question. DBR was selected for the development of a school-based performance management framework. The rigour and ethical considerations, related to qualitative studies, were also shortly discussed in Chapter 1.

7.3.2 Literature Review

The focus of this research was on performance management, while the application area was self-managing schools in South Africa. Therefore, a comprehensive literature review was conducted on education in the South African school system and performance management.

7.3.2.1 *Education in the South African School System*

Chapter 2 provided detail on a trend to decentralise the management of public schools in countries over the world and in South Africa. An overview of the structure of the

South African school system demonstrated that the management of the school and its finances and resources is vested in the SGB selected by parents and the SMT, responsible for the day-to-day management.

The core of the literature review in this chapter, however, analysed the performance of South African public schools and the IQMS, as the only current performance management system for public schools in South Africa. As found in the literature, the overall performance of South African public schools is unsatisfactory. A unique situation of underperformance of most of the schools in poor communities and the excellent performance of most of the schools in wealthy communities emerged from this review. The challenges with the IQMS that emanated from the literature were used to identify design principles that could be used to guide the development of the envisaged framework. These challenges included that the IQMS is insufficient, that its application is ineffective and that it does not serve as a performance management system for school-based management.

The IQMS was implemented by the DBE and stakeholders of schools were not involved in setting up a unique performance strategy for their schools. The reason for this was that a one-fits-all approach were followed. This did not allow flexibility to suit the differences of these schools. The literature branded the IQMS as a compliance system of the DBE and showed that schools do not use it for school-based management. According to various authors, the IQMS is a time consuming, window dressing exercise that does not improve the performance of South-African public schools. This answered the first sub-research question: To what extent does the IQMS serve the purpose to manage performance in self-managing schools in South Africa? It emphasised the need for a school-based performance management framework that allows flexibility and can suite the uniqueness of all schools. Chapter 2 concluded by demonstrating a theoretical gap. Self-managing schools are linked to the Participatory Democracy Theory that ensures freedom of involvement of stakeholders and the IQMS is linked to Managerialism that rejects stakeholders' independence of self-management and decision-making, on the other side.

7.3.2.2 Performance Management

The selection of the review for this chapter was based on the conceptual-theoretical framework of performance management and, more specifically, on performance management in schools.

The following important factors affecting the success of performance management systems emerged from the review:

- Leadership plays a vital role in the success of performance management systems.
- Performance management links directly to the culture of organisations and performance management systems should, therefore, be flexible.
- A clear strategy framework, with clear objectives and equal performance measures, should form the foundation of the performance management system.
- Open communication channels ensure that all stakeholders are informed and that everybody understands the strategy.
- Involvement of all stakeholders enhances successful implementation of the system.
- Incentives and rewards are required to ensure employees and management are motivated to achieve targets.
- The measurement of outputs rather than money spent on inputs to ensure performance.
- The measurement of more than an only academic performance like the effective use of resources, stakeholders' satisfaction and dropout rates is essential for schools' performance.
- Ensure that performance is not only measured but that measurement results are used to influence strategy and improve performance in the future.

Specific attention was given to a review of the BSC because of its flexibility to accommodate diverse organisations, including schools. The researcher argued that a combination of the IQMS and the BSC might close the theoretical and practical gap.

This also served as the answer to the second research question: How can the BSC contribute to performance management in self-managing schools in South Africa?

Reviews on the background of the BSC and the BSC for private and public sector organisations were provided for a comprehensive understanding of the BSC concept. A review of the advantages of the BSC highlighted the holistic and flexibility qualities as its main features. The BSC is an effective instrument to make organisations' strategies operational, to align organisations' objectives with their missions and to encourage the actions of employees. The communication features of the BSC were also highlighted. Limited evidence was found of the national application of the BSC for school-based management. However, the literature proved some evidence that the BSC was implemented on a regional level to manage the performance of schools and that it could be suitable for schools.

Chapter 3 concluded by placing the BSC in the evolutionist theories under the resource-based view (RBV) approach. It was referred to as the effective use of resources in organisations to improve performance. This approach focusses on the use of organisations' unique, available tangible or intangible resources and organisations' uniqueness. Therefore, the researcher argued that a framework, developed from the theoretical frameworks of the BSC and IQMS, would contribute to school-based performance management in South-African self-managing public schools.

7.3.3 Research Design and Methodology

Chapter 4 provided a detailed description of the research design of the study by describing the research paradigm and methods followed. A qualitative research paradigm guided this study, embedded in the interpretivism philosophy. Interpretivism assumes that researchers are affected by the knowledge of humans, that the sense people make of the social world are interpreted from their point of view and that certainties are socially formed. The qualitative research paradigm provided the researcher the best opportunity to investigate the phenomenon by allowing participants the freedom to express their opinions through answering open-ended questions.

The researcher decided to use the DBR method, guided by the following phases of DBR to answer the main research question:

- *Phase 1: Development of a preliminary framework using existing design principles and frameworks* (Chapter 5). The IQMS and BSC as existing theoretical frameworks were used to develop the preliminary framework. The problems identified in Chapter 2 directed this development. The data from the IQMS was categorised into the BSC strategy map to analyse and sort the data and to develop a preliminary framework.
- *Phase 2: Iterative cycles of testing and refinement of solutions in practice* (Chapter 6). This phase consisted of two cycles of refinement. For the first cycle, the problems with the use of the IQMS for school-based management were confirmed and the preliminary framework was presented to participants to refine the framework. The researcher conducted semi-structured interviews using open-ended questions with the principals of the four selected schools. For the second cycle, the refined framework was presented to participants to refine the framework. The researcher again conducted semi-structured interviews using open-ended questions. The preliminary framework guided these questions. Participants for these interviews were the principals of the four selected schools, one SGB member of each of the four schools and one SMT member of each of the four schools. For this cycle, eleven interviews were eventually conducted. All data was coded by the researcher and a second coder was used to confirm the coding to analyse the data.
- *Phase 3: Reflection on the design process to enhance solution implementation* (Chapter 7). All processes and data from all phases were documented and considered to conclude the study.

For rigour, attention was given to credibility, transferability, dependability, conformability and authenticity. The researcher obtained ethical clearance from the Ethical Review Committee of the University of South Africa and focused on respect for people, beneficence and justice principals.

7.3.4 Development of the Framework

The framework was developed in two phases based on DBR.

7.3.4.1 Development of the Preliminary Framework Informed by Existing Theoretical Frameworks

The development process commenced in Chapter 5. The development of the preliminary performance management framework was reported in this chapter (Phase 1). It was structured into two main sections, namely (i) a literature review on the structures of the theoretical frameworks used as basis, and (ii) the development of the preliminary framework.

Although the IQMS and BSC were introduced in Chapter 2 and 3 respectively, the structures of these frameworks were reviewed in Chapter 5. The review was to be used for the development of the preliminary framework. The review of the IQMS concentrated on the WSE framework, while the focus of the BSC framework was on the BSC for public sector organisations. For the development of the preliminary framework, the data from the WSE system was sorted according to the BSC perspectives and main objectives were identified. To create the preliminary framework, the BSC strategy map was used to demonstrate links between these objectives in the different BSC perspectives. The researcher added two objectives from the IQMS, which did not fit into the traditional BSC perspectives, at the bottom of the framework. The design principles, identified from the shortcomings of the IQMS in Chapter 2, were used to guide the process. Figure 5.4 contains the preliminary framework.

7.3.4.2 Finalisation of the Framework, Informed by Practitioners

Chapter 6 contains two core aspects. Firstly, confirmation and refinement of the practical limitations of the WSE system for school-based management. As mentioned earlier, data was collected from the principals of the four schools through conducting semi-structured interviews. The researcher coded the data.

Firstly, this section served as the answer to the third sub-research question: What are the practical limitations of the WSE system and the requirements for a school-based performance management framework for South African self-managing schools?

As a result, the following principles were considered during the refinement of the framework:

- A school-based performance management framework needs to be flexible. Schools should have the freedom to adjust the performance criteria or standards according to their needs.
- A school-based performance management framework should ensure links between objectives that can be translated into a strategy focusing on the mission of the school.
- A school-based performance management framework should ensure the involvement of all stakeholders, specifically the SGB, who are primarily responsible for the schools' management.
- A school-based performance management framework should be simple and easy to manage to ensure time efficiency.

Secondly, this section reported on the development of the final framework and answered the main research question: How can the IQMS and the BSC be integrated to provide a school-based performance management framework for self-managing schools in South Africa?

This development process took place in two Phases. For Phase 1 (the first refinement of the framework) data was collected through semi-structured interviews with the four school principals. The open-ended questions were based on the preliminary framework to gain their insight and opinion on the framework.

The following aspects were identified and the framework amended accordingly:

- The framework should consist of three primary performance areas, namely learners' academic achievement, learners' extra-curricular achievement, and stakeholders' satisfaction.
- The three main areas should be separated to simplify the links between the objectives of the BSC perspective.
- A management perspective should be added to allow for objectives directly related to management.

Figure 6.2 contained the refined framework.

Attention was given to the second refinement and finalisation of the framework during Phase 2. Data was collected through semi-structured interviews with three participants

from each of the four schools, including the principal, one SGB member and one SMT member. The open-ended questions were based on the three main aspects of the first refined framework, namely (i) the three main performance areas, (ii) the perspectives of the framework, and (iii) the specific objective areas of the framework. The following amendments, based on the data analyses, were made to finalise the framework:

- The stakeholders' satisfaction performance area was placed in the middle between learners' academic achievement and learners' extra-curricular achievement. The relationships between these areas were demonstrated of the framework.
- The names of the Customers' perspective changed to Stakeholders' perspective. Employee Learning and Growth perspective changed to Learning and Growth perspective.
- The links between the objectives of the Learning and Growth perspective, the Management perspective and the Financial and resources perspective changed to point in both directions.

The analysed data furthermore provided a set of suggested objectives that can be used in combination with the final performance management framework. However, this only serves as a guideline to ensure the flexibility of the framework and allow the freedom for schools' management to set their own unique objectives. These suggested objectives can be observed in Table 6.14. The final framework appears in Figure 6.3.

7.4 CONTRIBUTIONS TO RESEARCH

With education as one of the cornerstones of the South African government's National Development Plan for 2030, an effective schooling system is not negotiable. The literature review revealed severe shortcomings with the use of the IQMS for school-based performance management. These shortcomings were confirmed by empirical data from this study and were used to identify design principles, which led to the development of the framework.

As a practical solution, the integration of the IQMS and the BSC, combined with the expertise of practitioners, offers a school-based performance management framework for self-managing schools in South Africa that would contribute to the management of schools on several levels. The main contribution of the study is the improvement of school-based management, resulting in the enhancement of schools' performance and

productivity and improvement of the overall performance of education in South Africa. This improvement will contribute to the declarations in the National Development Plan for 2030 and the Medium-Term Strategic Framework for 2014-2019.

The study could influence the policies of schools in South Africa and ensure that schools be driven by performance towards its own mission and vision, to best serve its community. The use of the framework to develop a strategy for schools and to manage the resources of schools would empower schools' management to make informed decisions to improve the use of resources and service delivery. Also, they can use the information gathered from the performance measurements, to determine fair rewards for teachers and learners, which would ensure reliable incentives. The involving of all stakeholders when identifying a strategy and objectives, and setting targets, would positively influence schools' management and teachers' attitude towards performance management and measurement, while the participation of parents in the process would motivate them to become more involved in their schools.

This research could potentially influence the policies of education departments in South Africa, by facilitating the employment of performance management systems and strategies. The literature review referred to duality in the schooling system of South Africa, with underperforming schools in the poor communities and good performing schools in the wealthy communities and highlighted the need for a flexible system. This study might, therefore, contribute to the implementation of a revised fit-for-purpose performance management system, by the DBE, contributing to the uplifting of the performance of the schools in poor communities.

The BSC, with its flexibility features, proved to be an effective performance management system for public sector organisations with limited evidence of the use of the BSC for school-based management. The findings of this study contributed to clarify the effectiveness and limitations of the BSC for school-based management.

7.5 RECOMMENDATIONS FOR FURTHER RESEARCH

During the study, some areas that could be investigated through further research were identified to provide a conceptual understanding of the complex nature of school-based performance management.

The school-based performance management framework incorporated the performance areas of the IQMS with the perspectives of the BSC. Although the literature and empirical data from this study proposed that the IQMS is not suitable for school-based management and the BSC is an effective performance management tool, the combination of these theoretical frameworks were not tested in practice. Therefore, additional research can explore the effectiveness of the framework over a long period, when implemented.

One of the overall objectives of the study was to develop a flexible framework. This would provide the freedom for schools' management to develop their own objectives that will lead to the realisation of the mission and vision of the school and community. Measurements were not part of this development since measurements needed to link to the specific objectives closely. However, the identification of compelling, measurable measurements for all objectives for schools forms a vital part of performance management. It might be less challenging to identify input measurements, but the identification of outcome measurements for all aspects of the framework would be a complex task. The researcher realised that limited research exists and therefore suggests that more research can be conducted on this topic.

This study and the developed framework argued that school-based performance management is much broader than the academic performance of learners. Schools' management is also responsible for the effective management of the schools' finances and resources. This might have a considerable impact on the effectiveness of the school and its service delivery. Therefore, additional research focusing on the effective management and measurement of finances and resources might enhance the application of the framework.

Also, the school's finances and resources were identified as enablers, which makes the realisation of the schools' strategy possible. These enablers need to be managed by a budget that is closely linked to the school's strategy and the performance management framework. More research on the management of schools' budgets, measurement of variances and application of business principles could contribute to the effectiveness of schools.

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APPENDICES

APPENDIX A: LETTER OF CONSENT TO PARTICIPANTS



PARTICIPANT INFORMATION SHEET

DEVELOPMENT OF A SCHOOL-BASED PERFORMANCE MANAGEMENT FRAMEWORK FOR SELF-MANAGING SCHOOLS IN SOUTH AFRICA

Ethics clearance reference number: 2017_CAS_060

Research permission reference number: 8/4/4/1/2

2018-02-20

Dear Prospective Participant

My name is Nico Booysse. I am doing research towards a PhD in Management Accounting Sciences, in the College of Accounting Sciences at the University of South Africa (Unisa). My promotor is Prof C.C. Shuttleworth. I hereby invite you to participate in a study entitled:

Development of a comprehensive performance management framework for self-managing schools in South Africa.

WHAT IS THE PURPOSE OF THE STUDY?

I am conducting this research to develop a comprehensive performance management framework for self-managing schools in South Africa. The idea is to develop a framework that could enhance the internal management of self-managing schools.



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WHY AM I BEING INVITED TO PARTICIPATE?

You are being invited to participate in this study because you are involved in one of the selected schools and should be able to provide valuable information on performance management, performance measurement needs and performance measurement ideas. It is expected that approximately three participants from four different schools will participate in this study.

WHAT IS THE NATURE OF MY PARTICIPATION IN THIS STUDY?

The study involves participation in individual semi-structured interviews. It is expected that each interview will not take longer than 60 minutes.

CAN I WITHDRAW FROM THIS STUDY EVEN AFTER HAVING AGREED TO PARTICIPATE?

Participation in this study is voluntary, and you are under no obligation to consent to it. If you do decide to take part, you will be provided with the information sheet, and you will be requested to sign a written consent form. You are free to withdraw at any time and without giving a reason.

WHAT ARE THE POTENTIAL BENEFITS OF TAKING PART IN THIS STUDY?

By participating in this study, you will contribute to an understanding of what performance guidelines are required for South African self-management schools to be successful. A comprehensive performance management framework will be developed to enhance the internal management of self-managing schools. This might support schools' management in their responsibilities to manage schools effectively and also provide the Department of Basic Education with the required information to monitor the performance of schools. The main contribution of the study, however, is the improvement of school-based management, resulting in the enhancement of schools' performance and productivity and an improvement of the overall performance of education in South Africa. This improvement will add to the declarations in the National Development Plan and Medium-Term Strategic Framework for 2014-2019.



ARE THERE ANY NEGATIVE CONSEQUENCES FOR ME IF I PARTICIPATE IN THE RESEARCH PROJECT?

The only foreseeable risk is that of inconvenience and discomfort due to the time it will take to partake in the interviews. You are reminded that you may withdraw from the study at any time without any penalty.

WILL THE INFORMATION THAT I CONVEY TO THE RESEARCHER AND MY IDENTITY BE KEPT CONFIDENTIAL?

No one will know about your involvement in this research, and no one will be able to connect you to the comments you make during the interview. Only the researcher will have access to the audio records and transcripts of the interviews. Names of participants will be replaced by numbers during the transcription of the audio records to protect the identity of the participants and their schools. The anonymous data from your interviews may be used for other purposes, such as a research report, journal articles and conference proceedings. A report of the study may be submitted for publication, but individual participants will not be identified in such a report.

HOW WILL THE RESEARCHER PROTECT THE SECURITY OF DATA?

Hard copies of your interviews will be stored for five years in a locked cupboard in the researcher's office at Unisa for future research or academic purposes, and any electronic information will be stored on a password-protected computer. Future use of the stored data will be subject to further research ethics review and approval if applicable. Hard copies of information will be shredded and electronic copies will be permanently deleted from the hard drive of the computer using a relevant software program.

WILL I RECEIVE PAYMENT OR ANY INCENTIVES FOR PARTICIPATING IN THIS STUDY?

No incentives will be given for participation in the study.



HAS THE STUDY RECEIVED ETHICS APPROVAL?

This study has received written approval from the Research Ethics Review Committee of the College of Accounting Sciences, Unisa. A copy of the approval letter can be obtained from the researcher if you so wish.

HOW WILL I BE INFORMED OF THE FINDINGS/RESULTS OF THE RESEARCH?

If you would like to be informed of the final research findings, you are welcome to contact Nico Booysse at 012 429 8931 or booyssnj@unisa.ac.za. Should you require any further information or want to contact the researcher about any aspect of this study, please use the same contact details.

Should you have concerns about the way in which the research has been conducted, you may contact Prof C.C. Shuttleworth on shuttcc@unisa.ac.za.

Contact the research ethics chairperson of the Research Ethics Review Committee of the College of Accounting, Mrs Lindie Grebe on grebel@unisa.ac.za if you have any ethical concerns.

Thank you for taking the time to read this information sheet and for participating in this study.



Nico Booysse (Researcher)



CONSENT TO PARTICIPATE IN THIS STUDY

I, _____ (participant name), confirm that the person asking my consent to take part in this research has told me about the nature, procedure, potential benefits and anticipated inconvenience of participation.

I have read the information and understood the study as explained in the information sheet.

I have had sufficient opportunity to ask questions, and I am prepared to participate in the study.

I understand that my participation is voluntary and that I am free to withdraw at any time without penalty.

I am aware that the findings of this study will be processed into a research report, journal publications and conference proceedings, but that my participation will be kept confidential.

I have received a signed copy of the informed consent agreement.

Participant Name & Surname

Participant Signature Date

Researcher's Name & Surname

Researcher's signature Date



APPENDIX B: PERMISSION FROM GAUTENG'S DBE



GAUTENG PROVINCE

Department: Education
REPUBLIC OF SOUTH AFRICA

8/4/4/1/2

GDE RESEARCH APPROVAL LETTER

Date:	21 November 2017
Validity of Research Approval:	05 February 2018 – 28 September 2018 2017/328
Name of Researcher:	Booyse N.J
Address of Researcher:	961 Soekmekaar Street Faerie Glen Pretoria 0081
Telephone Number:	073 214 4883
Email address:	booyse@unisa.ac.za
Research Topic:	Development of a comprehensive performance management framework for self-managing schools in South Africa
Number and type of schools:	4 Secondary Schools
District/s/HO	Tshwane South

Re: Approval in Respect of Request to Conduct Research

This letter serves to indicate that approval is hereby granted to the above-mentioned researcher to proceed with research in respect of the study indicated above. The onus rests with the researcher to negotiate appropriate and relevant time schedules with the school/s and/or offices involved to conduct the research. A separate copy of this letter must be presented to both the School (both Principal and SGB) and the District/Head Office Senior Manager confirming that permission has been granted for the research to be conducted.

The following conditions apply to GDE research. The researcher may proceed with the above study subject to the conditions listed below being met. Approval may be withdrawn should any of the conditions listed below be flouted:

Faith Tshabalala 22/11/2017

1

Making education a societal priority

Office of the Director: Education Research and Knowledge Management

7th Floor, 17 Simmonds Street, Johannesburg, 2001

Tel: (011) 355 0488

Email: Faith.Tshabalala@gauteng.gov.za

Website: www.education.gqa.gov.za

1. *The District/Head Office Senior Manager/s concerned must be presented with a copy of this letter that would indicate that the said researcher/s has/have been granted permission from the Gauteng Department of Education to conduct the research study.*
2. *The District/Head Office Senior Manager/s must be approached separately, and in writing, for permission to involve District/Head Office Officials in the project.*
3. *A copy of this letter must be forwarded to the school principal and the chairperson of the School Governing Body (SGB) that would indicate that the researcher/s have been granted permission from the Gauteng Department of Education to conduct the research study.*
4. *A letter / document that outlines the purpose of the research and the anticipated outcomes of such research must be made available to the principals, SGBs and District/Head Office Senior Managers of the schools and districts/offices concerned, respectively.*
5. *The Researcher will make every effort obtain the goodwill and co-operation of all the GDE officials, principals, and chairpersons of the SGBs, teachers and learners involved. Persons who offer their co-operation will not receive additional remuneration from the Department while those that opt not to participate will not be penalised in any way.*
6. *Research may only be conducted after school hours so that the normal school programme is not interrupted. The Principal (if at a school) and/or Director (if at a district/head office) must be consulted about an appropriate time when the researcher/s may carry out their research at the sites that they manage.*
7. *Research may only commence from the second week of February and must be concluded before the beginning of the last quarter of the academic year. If incomplete, an amended Research Approval letter may be requested to conduct research in the following year.*
8. *Items 6 and 7 will not apply to any research effort being undertaken on behalf of the GDE. Such research will have been commissioned and be paid for by the Gauteng Department of Education.*
9. *It is the researcher's responsibility to obtain written parental consent of all learners that are expected to participate in the study.*
10. *The researcher is responsible for supplying and utilising his/her own research resources, such as stationery, photocopies, transport, faxes and telephones and should not depend on the goodwill of the institutions and/or the offices visited for supplying such resources.*
11. *The names of the GDE officials, schools, principals, parents, teachers and learners that participate in the study may not appear in the research report without the written consent of each of these individuals and/or organisations.*
12. *On completion of the study the researcher/s must supply the Director: Knowledge Management & Research with one Hard Cover bound and an electronic copy of the research.*
13. *The researcher may be expected to provide short presentations on the purpose, findings and recommendations of his/her research to both GDE officials and the schools concerned.*
14. *Should the researcher have been involved with research at a school and/or a district/head office level, the Director concerned must also be supplied with a brief summary of the purpose, findings and recommendations of the research study.*

The Gauteng Department of Education wishes you well in this important undertaking and looks forward to examining the findings of your research study.

Kind regards



Ms Faith Tshabalala
CES: Education Research and Knowledge Management

DATE: 22/11/2017

Office of the Director: Education Research and Knowledge Management

7th Floor, 17 Simmonds Street, Johannesburg, 2001

Tel: (011) 355 0488

Email: Faith.Tshabalala@gauteng.gov.za

Website: www.education.gpg.gov.za

APPENDIX C: ETHICAL CLEARANCE FROM THE UNIVERSITY OF SOUTH AFRICA



UNISA COLLEGE OF ACCOUNTING SCIENCES ETHICS REVIEW COMMITTEE

Date 2018-04-11

Dear Mr Booysse

ERC Reference:
2018_CAS_007
Name: Mr Booysse
Student/ Staff #: 6952569

**Decision: Ethics Approval from
2018-04-10 to 2023-04-09**

Researcher: Mr Booysse
booyesn@unisa.ac.za

Working title of research:

Development of a comprehensive performance management framework for self-management schools in South Africa

Qualification: Postgraduate research

Thank you for the application for research ethics clearance by the Unisa College of Accounting Sciences Research Ethics Review Committee for the above mentioned research. Ethics approval is granted for the period indicated above.

The application was reviewed by the College of Accounting Sciences Research Ethics Review Committee on 10 April 2018 in compliance with the Unisa Policy on Research Ethics and the Standard Operating Procedure on Research Ethics Risk Assessment, and approved.

The proposed research may now commence with the provisions that:

1. The researcher(s) will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.
2. Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study should be communicated in writing to the College of Accounting Sciences Research Ethics Review Committee.
3. The researcher(s) will conduct the study according to the methods and procedures set out in the approved application.



University of South Africa
Preller Street, Muckleneuk Ridge, City of Tshwane
PO Box 392 UNISA 0003 South Africa
Telephone: +27 12 429 3111 Facsimile: +27 12 429 4150
www.unisa.ac.za

4. Any changes that can affect the study-related risks for the research participants, particularly in terms of assurances made with regards to the protection of participants' privacy and the confidentiality of the data, should be reported to the Committee in writing, accompanied by a progress report.
5. The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study. Adherence to the following South African legislation is important, if applicable: Protection of Personal Information Act, no 4 of 2013; Children's act no 38 of 2005 and the National Health Act, no 61 of 2003.
6. Only de-identified research data may be used for secondary research purposes in future on condition that the research objectives are similar to those of the original research. Secondary use of identifiable human research data require additional ethics clearance.
7. No field work activities may continue after the expiry date of this certificate.

Note:

The reference number of this certificate should be clearly indicated on all forms of communication with the intended research participants, as well as with the Committee.

Yours sincerely,

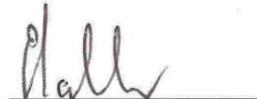


Ms L Grebe

Chair of CAS RERC

E-mail: grebel@unisa.ac.za

Tel: 012 429 4994



Prof E Sadler

Executive Dean CAS

APPENDIX D: SEMI-STRUCTURED INTERVIEW GUIDES

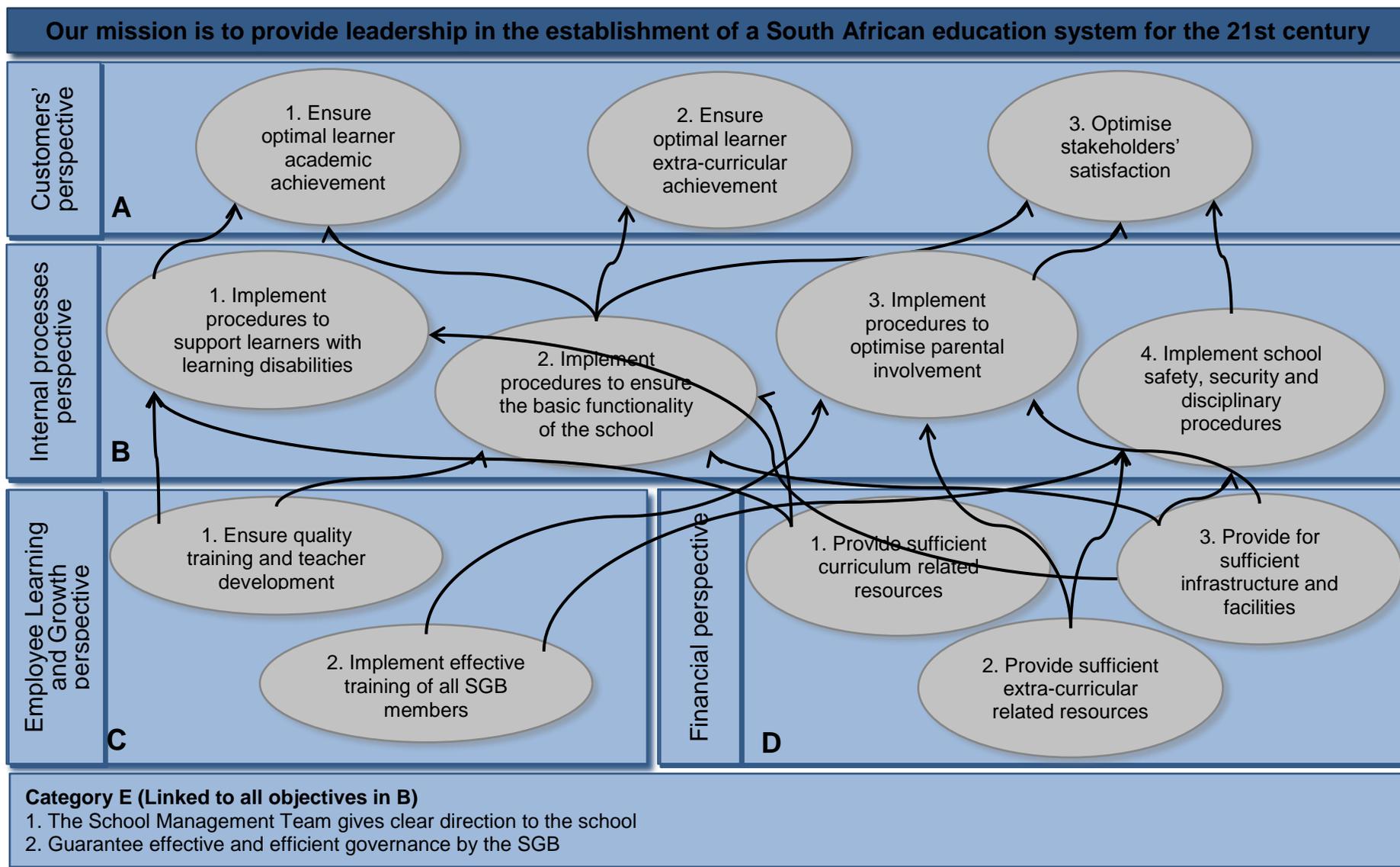
SEMI-STRUCTURED INTERVIEW GUIDE FOR PHASE 2 CYCLE 1

Development of a school-based performance management framework for self-managing schools in South Africa

1. For the record, can you please confirm your current position and the number of years in this position?
 - 1.1. For how long are you involved in the South African schooling system?
 - 1.2. Is the school a Section 21 school where parents pay school fees?
 - 1.3. How many learners do your school have?
2. Do you think the Whole School Evaluation (WSE) system can be used internally for the management of the school's performance? Why do you think so?
3. What do you regard as the limitations of the current WSE system or IQMS?
4. How should the WSE system or IQMS change to assist the school's management to manage the school towards obtaining the school's distinctive mission statement?
5. When looking at the preliminary framework, in your opinion, should anything be added to the Customers' perspective as performance objectives for schools and how should the preliminary framework change to make it usable for school-based management?
6. *The Balanced Scorecard suggests the following four perspectives:*
 - *Customers*
 - *Internal Processes*
 - *Employee learning and growth*
 - *Financial*

Could these perspectives also work for your school, what could be included as perspectives to improve school-based management, and what should be included to accommodate the objectives in Category E?

Preliminary framework



SEMI-STRUCTURED INTERVIEW GUIDE FOR PHASE 2 CYCLE 2

Development of a school-based performance management framework for self-managing schools in South Africa

The purpose of this interview is to incorporate the experience of practitioners into the development of the framework. Therefore, a preliminary framework, based on the performance criteria of the Whole School Evaluation system, is presented to you to test and evaluate the framework but subsequently add your experience to it.

You are, therefore requested to answer the questions with the framework in mind. Note that the objectives are supposed to link to each other and the mission at the top of the framework, forming a logic flow of objectives, leading to the school's mission.

If you wish, please feel free to use your creativity and experience to make some changes to the framework itself, concerning the structure and flow.

Question 1

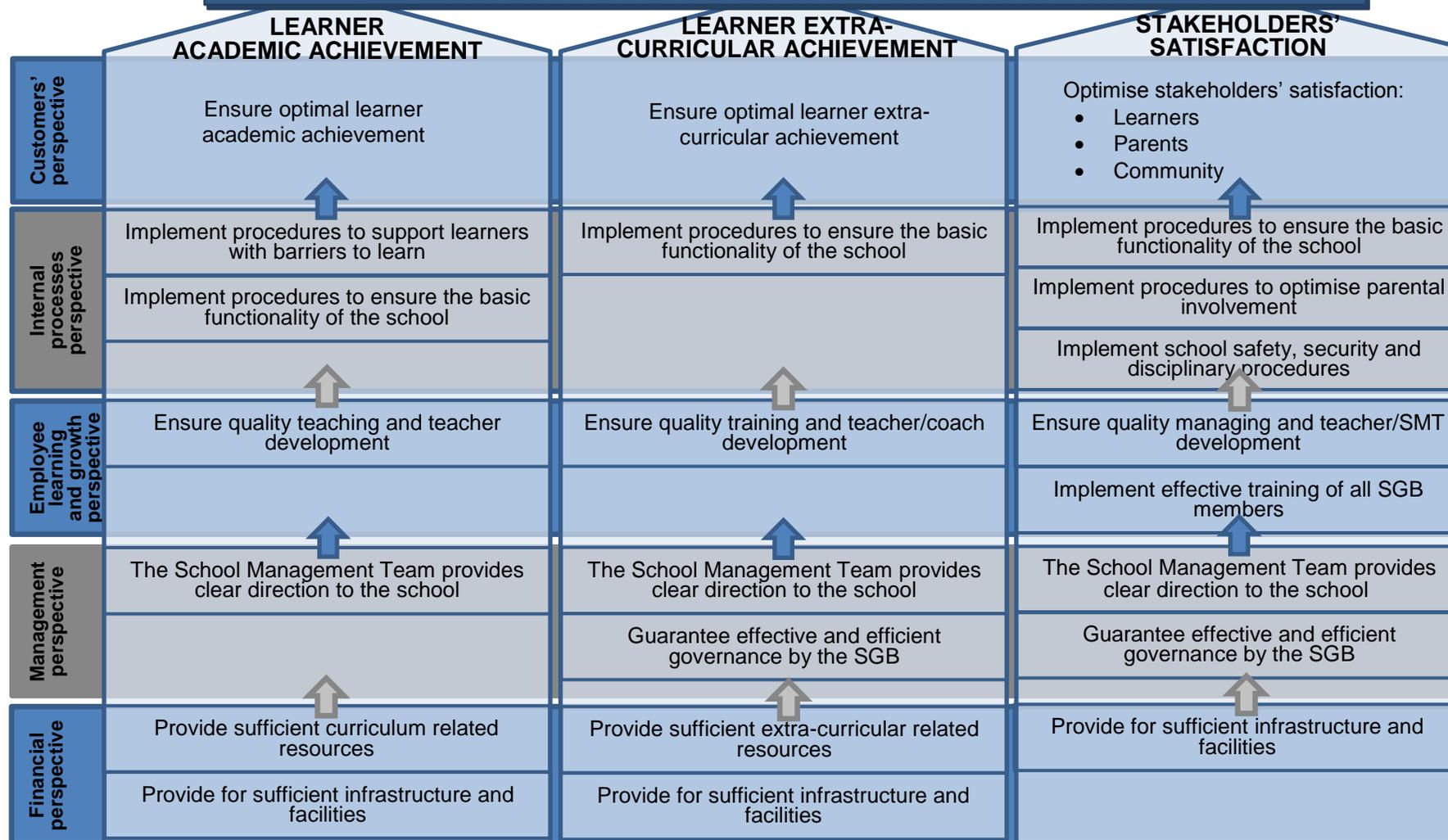
Please answer the following questions concerning you position and experience:

- 1.1 State your current position at the school and the number of years you are in this position.
- 1.2 For how long are you involved in the South African schooling system?

The refined framework follows on page 2 and questions regarding the framework follows on page 3.

MISSION STATEMENT OF THE DEPARTMENT OF BASIC EDUCATION

SELF-MANAGING SCHOOL-SPECIFIC DISTINCTIVE MISSIONS STATEMENT



Question 2

Three main performance areas were identified for the framework, namely: *Learner academic achievement, Learner extra-curricular achievement and Stakeholders' satisfaction.*

- 2.1 Do you think these three areas should change or anything should be added to ensure that the framework would be flexible and comprehensive for all schools?
- 2.2 Do you believe that the areas should be next to each other, or do you think one area might be influenced by the other area? Please explain how you see the relationship between these areas.

Question 3

The Balanced Scorecard perspectives (on the left-hand side of the framework) were used, and one new perspective was added.

- 3.1 Do you think these perspectives will be suitable for schools? If not, please give your reasons.
- 3.2 If you feel any changes should be made to the wording or anything should be deleted or added; please indicate accordingly.

Question 4

The framework contains some objectives for each of the perspectives, under each of the three main areas. To ensure comprehensiveness and flexibility, please try to add 2 to 4 objectives to each of the following perspectives and areas. (Keep in mind that the objectives should link to each other to drive the strategy towards the mission on top.)

4.1 Learner academic achievement:

- a) Customers' perspective
- b) Internal Processes perspective
- c) Learning and Growth perspective
- d) Management perspective
- e) Financial perspective

4.2 Learner extra-curricular achievement:

- a) Customers' perspective
- b) Internal Processes perspective
- c) Learning and Growth perspective
- d) Management perspective
- e) Financial perspective

4.3 Stakeholders' satisfaction:

- a) Customers' perspective
- b) Internal Processes perspective
- c) Learning and Growth perspective
- d) Management perspective
- e) Financial perspective

Thank you for agreeing to participate in my research project. I appreciate your input.

APPENDIX E: THE DEVELOPMENTAL APPRAISAL AND PERFORMANCE MEASUREMENT INSTRUMENT

Performance Standard	Criteria	Application Level
1. The creation of a positive learning environment	(a) Learning Space (b) Learner Involvement (c) Discipline (d) Diversity	1 to 4
2. Knowledge of curriculum and learning programmes	(a) Knowledge of learning area (b) Skills (c) Goal setting (d) Involvement in learning programmes	1 to 4
3. Lesson planning, preparation and presentation	(a) Planning (b) Presentation (c) Recording (d) Management of Learning Programmes	1 to 4
4. Learner assessment	(a) Feedback to learners (b) Knowledge of assessment techniques (c) Application of techniques (d) Record keeping	1 to 4
5. Professional development in the field of work/career and participation in professional bodies.	(a) Participation in professional development (b) Participation in professional bodies (c) Knowledge of education issues (d) Attitude to professional development	1 to 4
6. Human relations and contribution to school development	(a) Learner needs (b) Human Relations Skills (c) Interaction (d) Co-operation	1 to 4

Performance Standard	Criteria	Application Level
7. Extra-curricular and Co-curricular participation.	(a) Involvement (b) Holistic Development (c) Leadership and Coaching (d) Organisation and Administration	1 to 4
8. Administration of resources and records.	(a) Utilisation of resources (b) Instructions (c) Record keeping (d) Maintenance of infrastructure (e) Circulars	2 to 4
9. Personnel	(a) Pastoral Care (b) Staff Development (c) Provision of leadership (d) Building commitment and confidence	2 to 4
10. Decision-making and accountability.	(a) Stakeholder Involvement (b) Decision making (c) Accountability/responsibility (d) Motivation (e) Objectivity/Fairness	2 to 4
11. Leadership, communication and servicing the governing body.	(a) Leadership (b) Support (c) Communication (d) Systems (e) Commitment and confidence (f) Initiative, Creativity	3 to 4
12. Strategic planning, financial planning, and Education management and development.	(a) Strategic Planning (b) Financial Planning (c) Project Management (d) Communication	3 to 4

Source: SADTU (2013:46); Department of Education (2003:37)

APPENDIX F: THE WSE - PERFORMANCE AREAS, STANDARDS AND CRITERIA

Number	Performance areas, standards and criteria
1	1. Quality of teaching and teacher development
2	Effective time-management of teaching and learning
3	All lessons start on time
4	All lessons finish on time
5	All lessons progress uninterrupted
6	Lessons are presented according to a Lesson Plan
7	Creation of a positive learning environment
8	Learning space: The learning space is clean, stimulating, age appropriate and suitable for the purpose of the subject
9	Learner involvement: Learners are actively engaged in the learning process
10	Discipline: Educators are able to effectively organise, manage and positively discipline learners
11	Managing diversity in the classroom: Different forms of diversity are acknowledged and catered for in the classroom
12	Knowledge and understanding of the curriculum
13	Knowledge of subjects: Educators demonstrate a good understanding of their subject content and what the curriculum requires
14	Skills: Educators are able to apply suitable skills and methodologies to teach their subject
15	Goal setting (attainment of outcomes): Educators show evidence of goal setting and planning to cover their subject curriculum across the teaching year
16	Involvement in the subject: Educators participate in professional growth activities in the subjects they offer
17	Lesson planning, preparation and presentation
18	Planning: There is evidence that educators plan for their subject on a daily, weekly, quarterly and annual basis
19	Presentation: Lessons are presented in an engaging and interactive manner
20	Recording: Educators keep a record of their planning and curriculum coverage
21	Management of work schedule: Educators are able to effectively manage and keep pace with their work schedule/annual teaching plan
22	Educators assess the strengths and weaknesses of their lessons
23	Learner assessment and achievement
24	Feedback to learners: All learners receive regular and insightful feedback on their progress

Number	Performance areas, standards and criteria
25	Knowledge of assessment techniques: Educators show a good understanding of different assessment techniques relevant to the subject and learners' ability
26	Application of techniques: Educators are able to competently apply relevant assessment techniques in a way that is valid, consistent and transparent
27	Record keeping of assessment, learner progress and achievement: Educators keep sound records of assessments, learner progress and learner achievement
28	The school conducts an appropriate assessment of learner competencies
29	The correct number of assessments are done per term as required
30	The Programme of Assessment is filed in each Teacher's file
31	The Programme of Assessment is planned for in the Work Schedule
32	Assessment is included as part of all lesson plans
33	All Assessments are dated and signed off
34	Assessments are of good standard and correctly recorded
35	Assessment results are regularly recorded
36	Recorded on correct mark sheets
37	Quarterly analysed
38	Leading to remedial instruction
39	Leading to corrections by learners
40	Covers all planned work per quarter
41	Covers core content per Grade
42	Includes a variety of assessment techniques
43	Is moderated by the Head of Department
44	Educators make use of sufficient and variety of informal assessment
45	Informal assessment is conducted
46	Written class work
47	Written homework
48	Assignments
49	Projects
50	Oral
51	Reading with understanding and fluency
52	Other (example Practical, Demonstrations, etc.)
53	The school supports and encourages educator development through IQMS processes
54	An SDT is established
55	A DSG for each educator is in place
56	A management plan for the implementation of the educator appraisal system is available
57	A Personal Growth Plan for each educator for the previous cycle is in place

Number	Performance areas, standards and criteria
58	A school improvement plan is linked to the professional needs of the educators as captured in their Personal Growth Plans
59	Staff participation in Professional Development
60	Educators willingly participate in phase, inter-phase, cluster and other planning/professional development meetings
61	Educators willingly participate in development opportunities linked to their Personal Growth Plans
62	The SMT provides adequate monitoring, guidance and support
63	2. Curriculum provisioning and resources
64	The curriculum offered complies with the Curriculum Assessment Policy Statement
65	The subjects offered at the school are in line with Curriculum Assessment Policy Statement requirements
66	The correct notional / contact time is allocated for each subject on the timetable
67	The school provides curriculum resources to support teaching and learning
68	There are appropriate and sufficient learning and teaching support material resources, that are in line with Curriculum Assessment Policy Statement
69	There are relevant supporting resources in the library, laboratories and workshops
70	The school manages procurement, distribution and retrieval of sufficient learning and teaching support material effectively
71	There are comprehensive inventory lists for sufficient learning and teaching support material
72	The appropriate retrieval system is in place for textbooks and other sufficient learning and teaching support material
73	The school enrichment programme provides for extra- and co-curricular activities
74	Provision and support for learners in a variety of extra-curricular activities
75	Provision and support for learners in a variety of co-curricular activities
76	Sports coaches are skilled so as to provide high quality coaching
77	Cultural activity coaches are skilled so as to provide high quality cultural skill development
78	The school has a timetable of sporting and cultural activities that are held at the school
79	3. Learner achievement
80	Learner achievement
81	Internal assessment (overall)
82	Annual National Assessment: Languages
83	Annual National Assessment: Mathematics

Number	Performance areas, standards and criteria
84	Grade 12 results (all subjects)
85	Learners read, speak, listen and write well in the Language of Learning and Teaching
86	Learners read with understanding according to their developmental age
87	Learners communicate clearly according to their developmental age
88	Learners have good listening / receptive skills according to their developmental age
89	Learners write clearly and construct meaningful sentences
90	Learners can handle numbers with ease, calculate mentally and with electronic devices and apply these skills to solve problems in Mathematics
91	The majority of Learners can handle numbers
92	Most, learners can do mental mathematics
93	Learners can use electronic devices to solve mathematical problems
94	Supporting learners with learning disabilities
95	Diagnostic assessments are used to identify learning disabilities
96	Developmental support programmes are in place to support learners with learning disabilities
97	Learners participate and achieve well in extra-curricular activities as part of the school enrichment programme
98	Majority of learners participate in the available sporting codes and cultural activities
99	Learners achieve in line with their potential in sports codes and cultural activities
100	4. The basic functionality of the school
101	The school has appropriate procedures to deal with absence, lateness and truancy
102	The Admission Register is available
103	The school has sufficient teachers allocated per quota of learners
104	The school has a positive organisational culture that supports the continuous growth and development of learners and educators
105	Class Attendance Registers are available
106	The Summary Register is available
107	The Period Registers are available
108	The school has procedures to monitor and curb absence and late-coming amongst educators
109	The Time Register is available
110	The Leave Register is available
111	Internal school procedures to curb late-coming and early departure are available
112	The majority of educators attend school regularly (low absenteeism levels are recorded)

Number	Performance areas, standards and criteria
113	Code of Conduct for learners aims to establish a disciplined and purposeful school environment
114	School rules - regulating learner behaviour and discipline are documented
115	Disciplinary regulations and procedures are in place when learners transgress, and action is taken
116	To evaluate the effectiveness of the leadership and management of the school
117	The School Management Team gives clear direction to the school
118	The school has a clear vision and mission statement, shared and followed by all stakeholders
119	Vision and Mission statements; The school's improvement plans; School Self-evaluation Report; Staff establishment; Job descriptions; Minutes and agendas of Staff/SMT/School calendar, prospectus, school magazine, diaries, letters; management activity calendar, monthly plan, Plans of Head of Departments / Subject heads and Asset register, Maintenance plan
120	5. Leadership, management and communication
121	The School Management Team gives clear direction to the school
122	The school has a vision that is current and provides the school with a clear direction and motivation
123	The school has a clear set of values that are embedded in school documents and activities
124	The school has a clearly defined mission statement
125	The vision & mission statements are displayed for all to see in the school building
126	The vision & mission statements are well known to and supported by the school community
127	A School Self-evaluation takes place annually
128	An annual School Improvement Plan is developed
129	A school improvement process is integrated into the school calendar
130	Management actively liaises with the District Office and other agencies to obtain assistance as required
131	Management relates to staff in such a way that they feel valued as members of the school with an important contribution to make
132	Management sets a personal and a professional example to staff and learners
133	The school has a year and events calendar
134	All managers have clear roles and responsibilities, delegated in a fair and equitable manner
135	A job description is signed by all SMT members, and each member understands their roles and responsibilities
136	Responsibilities are delegated to other leaders in the school

Number	Performance areas, standards and criteria
137	The SMT promotes quality of teaching and learning in the school through appropriate curriculum management
138	Each Head of Department keeps current curriculum management files that show curriculum coverage
139	There is evidence of each Head of Department monitoring subject policies and keeping up to date with changes and new subject developments
140	There is evidence of each Head of Department monitoring teaching plans
141	Subject improvement plans are in place for each subject
142	The principal ensures that effective teaching takes place
143	The SMT promotes quality teaching and learning through Physical Resource Management
144	The SMT efficiently manage all files and information (electronic and hard copies) related to their roles and responsibilities
145	Asset registers & equipment are maintained
146	The SMT promotes quality teaching and learning through Human Resource Management
147	The Principal ensures that a fair job allocation is distributed to all staff
148	The SMT promotes stakeholder involvement through communication strategies
149	There is frequent and open communication with the District officials
150	The principal establishes and monitors structures and processes to promote both a top-down and bottom-up flow of information
151	Communication with stakeholders is timely, frequent and clear
152	Communication with Educators that notifies them of relevant decisions and changes taken at a SGB and management level
153	Communication with learners takes place in such a manner that they can organise themselves accordingly
154	School policies and procedures
155	All required school policies and related procedures are in place
156	The school community is familiar with the school policies and procedures
157	6. Governance and relationships
158	SGB is duly established and functions effectively
159	Effective training of all SGB members has taken place
160	The constitution of the SGB is in line with South African Schools Act requirements
161	The SGB has elected office bearers (chairperson, treasurer and secretary)
162	The SGB has established all relevant committees (e.g. finance, fundraising, etc.)
163	The number of SGB meetings is in line with the South African Schools Act
164	The SGB keeps minutes of each meeting
165	The SGB presents a report on its activities to the parents, learners, educators and other staff at least once a year
166	SGB provides the school with a clear strategic direction

Number	Performance areas, standards and criteria
167	SGB has formulated a Vision and Mission Statement through consultation
168	SGB is involved in developing and adopting policies of the school
169	The SGB assists with providing strategic leadership for the school without interfering in school management
170	SGB executes its function with regard to the school's finances within its legal mandate
171	The SGB has developed a Finance Policy to manage the school's finances
172	Financial principles are followed in line with Generally Accepted Accounting Principles
173	The SGB has adequate procurement and asset management procedures for consumable and non-consumable goods
174	Financial statements are prepared, audited and submitted to the Head of the Department of Education
175	An annual budget is prepared and presented at the annual general meeting
176	The SGB is actively involved in fundraising for the school
177	SGB executes its function with regard to human resource within its legal mandate
178	SGB ensures due process in the interviewing and selection of all staff
179	SGB appoints and reimburses staff of the school in compliance with legislation
180	7. School safety, security and discipline
181	The school implements a Health, Safety and Security Policy to support, care and protect the learners, staff and others at school
182	An effective Health, Safety and Security Policy is in place and implemented appropriately
183	Procedures are in place to care, support and protect learners in need
184	The school has sufficient equipped and accessible First Aid kits
185	The school implements safety practices against potential hazards, unsafe or unhealthy structures and conditions at the school
186	The school property is safe, hazard free and hygienic (includes fencing, or a wall)
187	The school has an emergency plan and procedures in place (e.g. fire, natural disasters, etc.)
188	Staff members and learners know how to react in instances of emergency and disaster, including transport arrangements (e.g. emergency practice drills are held regularly)
189	Maintained fire extinguishers (and/or buckets of sand) are available at strategic places.
190	Classes and laboratories are safe and secure
191	The school has good relationships with local police, traffic department and fire brigade

Number	Performance areas, standards and criteria
192	The school implements security regulations that aim to ensure the safety of the learners, staff and visitors on the premises
193	Procedures are in place to regulate access to the school
194	Procedures are in place to regulate the early release of learners
195	School implements regulations in compliance with legislation to keep the school violence and drug-free
196	Regulations for possession of dangerous objects and illegal drugs to the school premises are available
197	Regulations pertaining to search and confiscation of dangerous objects and illegal drugs at the school are available
198	Learner Discipline policy and procedures
199	The school has a positive discipline system that is in keeping with the South Africa constitution
200	The discipline system works from school to classroom level and is known and supported by all educators and learners
201	Up to date discipline records for learners and related minutes are maintained
202	Disciplinary interventions for learners presenting ongoing difficult behaviour are in place
203	Procedures are in place to effectively deal with learners' bullying or abuse of other learners
204	There is clear and constant communication with parents/guardians so that they can support discipline efforts
205	Contribution towards the welfare of learners
206	The school has a record of all learners who are orphans and staying with guardians
207	An effective and sufficient feeding scheme is in place for learners
208	The school has strong links with the Social Welfare Department, NGOs and other relevant organisations in the area (e.g. Lifeline, FAMSA, Childline, etc.)
209	Appropriate structures, processes and procedures are in place in the school for counselling and referral of learners
210	Appropriate structures and programmes are in place to identify, mentor and support learners who are at risk
211	Records are kept and regularly updated by the school for learners who have been counselled and referred
212	8. School infrastructure
213	The school has reliable and sufficient functional services
214	Electrical supply at the school is reliable and sufficient
215	There is a functional, clean water supply at the school
216	An inventory (list) of school buildings and facilities that need to be repaired is in place and regularly updated

Number	Performance areas, standards and criteria
217	The ablution facilities at the school are appropriate, sufficient and in working order
218	Sufficient gender separated, functional ablution and hand washing facilities are available for learners
219	The learner ablution facilitates clean and hygienic
220	Sufficient gender separated, functional ablution and hand washing facilities are available for educators
221	The educator ablution facilitates clean and hygienic
222	Classrooms are sufficient, appropriately furnished, maintained and used for its intended purpose
223	Sufficient, maintained ordinary classrooms are available
224	Classrooms are accessible for teachers and learners with a physical disability
225	School has non- educational rooms to support a positive teaching/learning environment
226	Administrative block with a staff room is available
227	The school has appropriate school grounds, play areas and sport facilities
228	The school ground is fenced, accessible and well maintained
229	The school has access to sporting facilities
230	The school has sufficient sporting equipment
231	The school has sufficient facilities to support cultural activities
232	The school has the required equipment to support cultural activities
233	9. Parents and stakeholder involvement
234	The school communicates regularly and effectively with parents
235	Communication strategies are in place to ensure parents are informed about school activities
236	The school effectively interacts with and advises parents on curriculum matters and their children's progress
237	There is good parent attendance of meetings called by the school
238	Parents show involvement in schooling by signing and checking learners' work/diaries
239	Parents are notified and counselled regarding their children's behavioural problems
240	School uses local services and institutions
241	School uses local services and institutions to benefit the school and learners
242	The school encourages learners to respect the local and global environment
243	School offers a quality environmental programme to enrich learning and teaching
244	Participation by learners and educators in environmental programmes
245	Support to and from the community in environmental programmes

Number	Performance areas, standards and criteria
246	The school has developed good links with other schools
247	Inter-school academic, sports and cultural activities are organised
248	There is participation in inter-school academic, sports and cultural activities
249	Parental involvement in the school
250	A sufficient number of parents partake in school activities
251	Parents offer their skills to assist the school
252	Parents' suggestions and concerns are taken seriously
253	The school community plays a valuable role in supporting school activities
254	Where the parents do not contribute school fees, they support the school in other ways
255	Parents are involved in fundraising activities

Source: Adapted from the Department of Education (2001)

APPENDIX G: TRANSCRIPTIONS FOR PHASE 1, CYCLE 1

Cycle 1, Interviews 1

Title of study: **Development of a school-based performance management framework for self-managing schools in South Africa**

Date: 22 February 2018

Time: 10:30

Venue: Principal's office

School 1, Participant 1 (S1P1); Interviewer (I)

Question 1

I:

For the record, can you please confirm your current position and the number of years in this position?

S1P1:

I have been principal since 1994.

I:

For how long are you involved in the South African schooling system?

S1P1:

I currently have 35 years' experience as a teacher.

I:

Is the school a Section 21 school where parents pay school fees?

S1P1:

Yes.

I:

How many learners do your school have?

S1P1:

590

Question 2*I:*

Do you think the Whole School Evaluation (WSE) system can be used internally for the management of the school's performance? Why do you think so?

S1P1:

The WSE refers to the nine criteria that are required by the state. Also included is a management analysis that also forms part of it. To evaluate the school, you need to do a management analysis. That makes sense. The school development plan then also needs to correlate with the WSE. For many schools, it is only a theoretical exercise to meet the requirements. The School's governing body also needs to participate in the process of setting and developing the school's development plan. The involvement of the school's governing body is a challenge. The new governing body this year, for example, did not want to get involved at all. I, from the side of the school, needed to keep up with it. The lack of the governing body's involvement naturally leads to many shortcomings, and it could not be used in the management process of the school. Although it was a meaningful document. This means we moved it to a new phase and needed to ensure that the partnership with the governing body, staff and WSE and the department must correlate. The IQMS, the Personal development plan that leads to the school's development plan that needs to be reported to the department also needs to correlate. You, however, send these documents to the department and never hear anything about it again. The courses provided by the department do not aim at the shortcomings indicated by us.

I:

Is it possible that the department focuses its courses on the shortcomings, identified by the majority of the schools and therefore cannot develop courses for the needs of individual schools?

S1P1:

Yes, that might be the case. I, however, indicated a need for my development plan, two years ago and the department nominated me for a course. That was the first time it worked as I suppose it should work.

All these things are integrated, but it results in paperwork and is of no use if it cannot be implemented correctly in the school. There are many systems in place, that look good on paper but with which one cannot do anything in practice.

The measurement capability is in my opinion painful. We, for example, put a development plan in place in 2012 to ensure that we will have enough learners to remain an Afrikaans school. We addressed specific criteria different from the WSE criteria in many cases. I annually report on these criteria, to parents at the annual general meeting. This is based for example on the number of interviews with learners and parents and the number of extra classes for learners. If I do not measure it, how will I know if I have achieved the goal? When the new SGB was elected, they were not interested at all. The SGB feels merely that the plan did not work previously, why would it work now? This then starts to become a constant control burden when you struggle to get the information in time, from a staff member and that irritates people. However, if you do not control it, you cannot measure it, as you will get incomplete information. The circumstances are that teachers only survive every day. They are not bothered about this paperwork. They need to be in class and ensure the academic work with learners is done in time. They do extra-curricular activities in the afternoon. Therefore, when they arrive at home tonight, they are drained, while they have athletics every Friday as well. Training and extra paperwork do not necessarily correlate with the teachers' views and needs. I, therefore, think I am in many cases an irritation to staff members, with these measurable goals.

Question 3

I:

What do you regard as the limitations of the current WSE system or IQMS?

S1P1:

Concerning the teachers' evaluation, they only complete it for the 1% salary progression, and they do not think about it again. The support for teachers and schools from the department do not take place. Staff is supposed to be supported by the department if they have a problem. Those documents have

been dormant for four years now. The department does not provide the requested support. Continuous new requirements and changes are killing staff, and it escalates annually. Therefore, I think it is a good paper exercise for the 1%.

Concerning WSE is the same. Nothing is happening with it. It is paperwork and when completed and submitted it is done. However, it differs from school to school. Who is supposed to pay attention to it? It is the SGB. If you have a governing body that is, just not interested, this becomes the principal's responsibility exclusively. Therefore, there is no plan from the policymakers of the school for this year. I, as the principal, with the previous governing body drove the plan, but now it changed.

I will provide the documents of the plan set in 2012 to you. Please keep in mind that it is confidential documents. We did a management analysis with nine or ten components. Strong and weak points. Learners, parents, staff members, management team and the governing body, were involved. We compared this with their needs. We identified five aspects for each, which appeared the most. We then developed a plan of action for those aspects and integrated it into our weekly programme through the year. We did all of this to change the perception of the community to get more learners.

I:

Would you, therefore, say that the schools need their own performance management system?

S1P1:

Yes. Something unique to the school's needs. That is why we developed something in 2012.

Question 4

I:

How should the WSE system or IQMS change to assist the school's management to manage the school towards obtaining the school's distinctive mission statement?

S1P1:

Once again, I would like to state that it is a useful document with ethical standards and criteria, but currently, it is a complaints document and not of any value for the internal management of the school. However, I believe it should be possible to make changes to the system to suit our own needs. Although, at this stage, I do not know what kind of changes would be required. It should take less time and focus on the school's specific needs.

Question 5

I:

When looking at the preliminary framework, in your opinion, should anything be added to the Customers' perspective as performance objectives for schools and how should the preliminary framework change to make it usable for school-based management?

S1P1:

I would have preferred to prepare for a question like this as I it has been quite a while since I worked with the WSE documents. I would say no, academic achievement, extra-curricular achievement and stakeholders' satisfaction covers everything. I further do not doubt that a management system should be suitable for a specific school and not a one fits all system.

The process that we started back in 2012 was never completed due to a new SGB that was not interested and the time constrains for teachers.

I:

Does it mean that you feel a management system should not put more stress on the teachers concerning time and that all stakeholders should buy into the strategy?

S1P1:

Yes. Determining the focus of the school will also be a process on its own, and you need to involve as many as possible stakeholders in the process. The moment if you focus on more than three things it will not work.

I:

Would you say that it is important to ensure that performance management should be an ongoing process?

S1P1:

Yes. It should be a continuing process, which is difficult with the overloaded day-to-day work of teachers and the fact that the SGB members all have their own careers/jobs as well. The selection of a new SGB every three years might also hamper the strategy.

Question 6

I:

The Balanced Scorecard suggests the following four perspectives:

- ***Customers***
- ***Internal business process***
- ***Employee learning and growth***
- ***Financial***

Could these perspectives also work for your school, what could be included as perspectives to improve school-based management, and what should be included to accommodate the objectives in Category E?

S1P1:

I think it will be a good idea to add a SGB or school management perspective as a extra perspective to the framework. We will also need to decide where discipline will fit in, as this might also be a focus for schools. However, if I could have a look at your framework, I might be able to add more things.

I:

Where do you think it will fit in?

S1P1:

Well the primary responsibility of the SGB is to manage the school's finance and resources. Therefore, maybe at the bottom to flow through to the Financial perspective. On the other hand, the SGB also have other management decisions and responsibilities together with the SMT. That might put it just above the Financial perspective. I am not sure about the framework.

I:

Thank you for agreeing to give up a time to participate in my research project. I appreciate your input.

Cycle 1, Interviews 2

Title of study: **Development of a school-based performance management framework for self-managing schools in South Africa**

Date: 27 February 2018

Time: 10:00

Venue: Principal's office

School 2, Participant 1 (S2P1); Interviewer (I)

Question 1

I:

For the record, can you please confirm your current position and the number of years in this position?

S2P1:

Yes, I am the principal of the school. I became principal last year, January.

I:

For how long are you involved in the South African schooling system?

S1P1:

I am a teacher for the past 21 years.

I:

Is the school a Section 21 school where parents pay school fees?

S2P1:

No. It is a no-fee school. The parents are not paying school fees at all, at all. They are only making donations that we are asking them. We are asking them to donate R180 with registration. Once off, not every month.

I:

However, you do have an SGB that assists with the management of the school and the finance and the SGB is in charge of those finances?

S2P1:

Yes, yes.

I:

How many learners do your school have?

S2P1:

916. Just over 900.

Question 2*I:*

Do you think the Whole School Evaluation (WSE) system can be used internally for the management of the school's performance? Why do you think so?

S2P1:

Yes. When you implement the WSE system, you ensure that all the systems are in place. You check that all the systems are in place. If you do the WSE, you need to make sure that the policies are available. The WSE talks about nine focus areas. You see the nine focus areas, like basic functionality. Leadership, management and communication. Governance and relationships, that is a function of the SGB. Quality of teaching and learning is where the SGB needs to ensure that all resources are available as well as School safety, security and discipline. All aspects are evaluated to ensure learner achievement. So, this is an instrument to measure the quality of teaching. Like checking the results to see if teaching is of high quality or not. The infrastructure of the school is about the school grounds.

I:

Yes, I understand. Maybe I should ask this. Does your school have a mission statement that differentiates it from other schools and do you think the WSE system contributes to the achievement of that mission?

S2P1:

Yes, you are right. We do have a mission statement that differentiates us from other schools.

I:

That means that you have a specific focus for your school stated in your mission statement.

S2P1:

Yes, yes.

I:

So, what I want to know is, do you believe that the WSE is helping you specifically to chase that specific mission?

S2P1:

O. I understand. No, the WSE is a general evaluation of the school and does not explicitly focus on our school's mission.

Question 3

I:

What do you regard as the limitations of the current WSE system or IQMS?

S2P1:

The shortcoming is to find the resources. Yes. The resources. You will find that we do not have the necessary resources to address the issues. You will find that I am responsible for the implementation, but I also have a class to teach making this impossible. Those are the limitations.

I:

So, you are saying that time, to implement the system, is an issue?

S2P1:

Yes, time is an issue. We want to ensure that all learners are involved and that all pupils develop to their maximum. We want to ensure that the school itself is the best in the township. I would say our focus is on academic achievement. We have strategies in place, and we also teach in the afternoons. We do extra-curricular activities, but the school grounds are not in good condition and as I said money is a problem. We do not ask school fees. We only get a donation from parents, and we do not get it from all parents.

Question 4

I:

How should the WSE system or IQMS change to assist the school's management to manage the school towards obtaining the school's distinctive mission statement?

S2P1:

I think it will be fine. We are not so keen on the other things. We focus on academic achievement. We have programmes to improve the mathematical performance of the school.

I:

Would you like to add specific criteria to manage the mathematical performance of the learners?

S2P1:

No, that can work for us. Mathematics is a problem because by the time they get to Grade 11 you will find that they do not want to carry on with Mathematics. So, it becomes a problem. For us to achieve our primary objective is to ensure that the performance of learners is good and the performance of mathematics itself is good. We also find that learners are not standard when coming from the primary schools.

Further, as I said, late coming of learners, the discipline of learners and involvement of parents in their children's' school performance. Yes, I think that is it.

I:

Is there anything else you would like to add?

S2P1:

No, I think that is it. I cannot think of anything else right now.

Question 5

I:

When looking at the preliminary framework, in your opinion, should anything be added to the Customers' perspective as performance objectives for schools and how should the preliminary framework change to make it usable for school-based management?

S2P1:

Regarding the three top objectives, I think it covers all aspects of a school. Late coming of learners is a huge problem. Learners arrive at ten past eight. If the parents can become involved. If they can assist and ensure learners can get to school on time. The parents are not involved to ensure their kids are on

time and they are not attending meetings. Another problem adding to this is a discipline of learners.

Question 6

I:

The Balanced Scorecard suggests the following four perspectives:

- ***Customers***
- ***Internal business process***
- ***Employee learning and growth***
- ***Financial***

Could these perspectives also work for your school, what could be included as perspectives to improve school-based management, and what should be included to accommodate the objectives in Category E?

S2P1:

Yes, I think this will be fine.

I:

Will you add any perspectives to the framework?

S2P1:

The role of management is vital and we specifically have a problem with the SGB. Their involvement in the management of the school is also not so good. They are only elected, but when it comes to performing their duties, they are not there. When it comes to the completion of the WSE documents, you will find that the chairperson is a little bit involved, but the teachers and myself do most. Therefore, it will be a good idea to measure their performance. It should be part of the framework.

This link seems a bit confusing. It might be better to separate the three main areas entirely to simplify the framework.

I:

Thank you for agreeing to give up a time to participate in my research project. I appreciate your input.

Cycle 1, Interviews 3

Title of study: **Development of a school-based performance management framework for self-managing schools in South Africa**

Date: 27 February 2018

Time: 12:00

Venue: Principal's office

School 3, Participant 1 (S3P1); Interviewer (I)

Question 1

I:

For the record, can you please confirm your current position and the number of years in this position?

S3P1:

I have been principal of the school for two years now, but I started acting in 2015.

I:

For how long are you involved in the South African schooling system? How many years are you teaching?

S1P1:

Let's see. I started teaching in 2000. That gives me 17 years.

I:

Is the school a Section 21 school where parents pay school fees?

S3P1:

No. It is a no-fee school. Parents do not pay school fees. The only thing they are paying is a voluntary contribution. The department has given us an amount of money while the SGB is responsible for managing those fees. The fees, however, are very limited, and it is almost impossible to develop the school with it.

I:

However, you do have an SGB that assists with management of the school and the finances?

S3P1:

Yes, we do, and they are the ones managing the finances.

I:

How many learners do your school have?

S3P1:

1460 something

Question 2

I:

Do you think the Whole School Evaluation (WSE) system can be used internally for the management of the school's performance? Why do you think so?

S3P1:

No, I think it is a compliance document because I think there are many things in that document that is not applicable, they are not easy to implement. Yes, I think they are not helping. It is only for compliance and salary purposes.

I:

Does your school have a mission statement that differentiates it from other schools and do you think the WSE system contributes to the achievement of that mission?

S3P1:

Yes, we do have a mission statement that is unique to us, but we do not use the WSE systems internally to manage the strategy. Many things are not applicable. Maybe if the department can help us formulate a system, not using the same measurements for all schools.

Question 3

I:

What do you regard as the limitations of the current WSE system or IQMS?

S3P1:

I think at the end of the day it is not corrected us because there are performance standards that are probably.... for example, classroom management is one of them whereby... If you look at classroom management the scores that are given, a one that is unacceptable and a two which means

the teacher needs help. We need to develop the teachers' development plans, and it becomes challenging for a school to develop the teacher's development plan. For example, the issue of classroom discipline. Whereby a teacher who has been teaching for the past ten years cannot manage learners in a classroom. Now we have so many limitations. What is it that we can do to help this particular teacher to manage learners in a classroom? Whatever measurements that were given, seem not to be adequate for that particular teacher to be able to cope. Then at the same time, we cannot take that teacher out of the system. It is tough to take that teacher out of the system. I mean, in a normal situation if an employee does not perform, that employee will be taken out of the system. However, with the IQMS it is challenging.

I:

Would you say that the WSE system helps the SGB to manage the school's finances and resources?

S3P1:

No. There is nothing in the IQMS that supports the internal management of the school's resources, and you know a budget is a budget. You do not draw a budget because you have money as far as the school is concerned. You draw a budget thinking you have money, but only to find that you do not have that money to develop the school or teachers.

Question 4

I:

How should the WSE system or IQMS change to assist the school's management to manage the school towards obtaining the school's distinctive mission statement?

S3P1:

I do not know, but as I said, if the Department can be more involved in helping us to develop our own system that can support us in managing the school, it will help a lot.

I:

Do you think the school has an active SGB that will be able to use an effective management system?

S3P1:

Yes, they are very involved. I think they are a group of people who are very, very supportive. They help us a lot to change the image of the school, and we are fortunate that there are companies that gave us paving bricks. All to lift the image of the school. The SGB has a plan for the next three years, saying what is it that they want to achieve. I think with some support it can only be better.

Question 5

I:

When looking at the preliminary framework, in your opinion, should anything be added to the Customers' perspective as performance objectives for schools and how should the preliminary framework change to make it usable for school-based management?

S3P1:

This is difficult to say. I think this should be a process that the school's management will have to follow if they want to get an answer to this question. I would say it should allow the school freedom within a framework to determine its own performance standards. I think the three objectives represent everything that is important in my school.

I:

Your school's mission statement, what would you say is it focusing on?

S3P1:

It focusses on the total development of the learner, which includes academic performance but also sporting activities and others. It all forms part of developing a learner so that the learner will be a responsible person. Unfortunately, it may just be a wish because we do not have the facilities. Our school specifically was built with no aim that there will be activities. The school is not that big.

I:

Do you mean the premises, that you do not have space?

S3P1:

Yes, the premises. Some activities are happening but not to my satisfaction. The WSE have space to look at the extra activities and to measure it, but it is

a problem to evaluate it if you do not have money and resources to drive the extra activities. How do schools measure those teachers who are not involved in extra-curricular activities?

Question 6

I:

The Balanced Scorecard suggests the following four perspectives:

- ***Customers***
- ***Internal business process***
- ***Employee learning and growth***
- ***Financial***

Could these perspectives also work for your school, what could be included as perspectives to improve school-based management, and what should be included to accommodate the objectives in Category E?

S3P1:

The many links make it difficult to follow, but I think it should be fine if these Category E objectives can be included somewhere. Maybe the school's facilities can be included as a perspective as well.

You know you do not have any link between the Financial perspective and the Employee Learning and Growth perspective. Inevitably, finance also affects training and development.

I:

Thank you for agreeing to give up a time to participate in my research project. I appreciate your input.

Cycle 1, Interviews 4

Title of study: **Development of a school-based performance management framework for self-managing schools in South Africa**

Date: 19 March 2018

Time: 14:00

Venue: Principals' office

School 4, Participant 1 (S4P1); Interviewer (I)

Question 1

I:

For the record, can you please confirm your current position and the number of years in this position?

S4P1:

I have been the principal of the school for the past four years.

I:

For how long have you been involved in the South African schooling system?

S4P1:

I have been a teacher since 1997.

I:

I need to confirm that the school is a Section 21 school.

S4P1:

Yes, it is.

I:

How many learners do your school have?

S4P1:

We are currently plus minus 1 850 learners

Question 2

I:

Do you think the Whole School Evaluation (WSE) system can be used internally for the management of the school's performance? Why do you think so?

S4P1:

We use the IQMS system to evaluate the performance of teachers, and we believe it works fine. IQMS has motivated regular class visits on a more structured basis and the fact that peer post level staff visit others classes resulted in them learning from each other. We have also implemented our own Step-Up plan a few years ago, where we required all staff and SGB members, responsible for specific areas in the school, to prepare a "Step-up" plan for that area, and to develop and implement the plan. This contained academics, social, sports and cultural, and even involved the governing body as well. We also need to do the WSE of the Department of Education. This usually is a simple exercise because we have implemented our own systems. Therefore, we only need to transfer the data to the WSE documents.

I:

Does that mean that you do not use the WSE system for the internal management of the school's performance?

S4P1:

Yes, we included some of the aspects from the WSE system into our own system, but needed to adjust it to fit our school and to make sense of the links between objectives. The performance standards of the WSE system do not link to each other and a specific focus. For the assessment of teachers' performance, we use the IQMS system as suggested by the department. However, we sometimes see much negativity from the teachers' side. The main complaint with this is because it is time-consuming and they ready do not have time for completing the documents and doing class visits.

Question 3

I:

What do you regard as the limitations of the current WSE system or IQMS?

S4P1:

As I said, teachers usually experience the completion of these documents negatively because it is a very time-consuming exercise and teachers do not have the time to comply with these requirements. You know, they are busy in

classrooms on a fulltime basis until two and most of them have to do extra-curricular activities in the afternoon.

The IQMS is not only wrong. It definitely forced teachers to do class visits more often and add structure to the schooling system. I, however, do not believe that the teachers' staff development plan and the school's development plan add any benefit to the school's management. In my opinion, these documents are just filed and are only looked at next year when it needs to be submitted again. The department never provides the support they are responsible for.

I:

Are you saying that your school only completes the IQMS and WSE documents for the department and that you needed to implement your own system to manage the school's performance?

S4P1:

Yes.

Question 4

I:

How should the WSE system or IQMS change to assist the school's management to manage the school towards obtaining the school's distinctive mission statement?

S4P1:

We did a lot concerning the school's sports facilities during the last few years. This was done to ensure that the school could stay in one of the top schools in South Africa. At this stage, we focus on keeping and improving the school's image. We already have enough learners and cannot take more. So, we need to ensure that we keep our competitive advantage in our area.

I:

How involved do you think the school's SGB is in this management and strategy of the school?

S4P1:

They are very involved. It is mostly their initiative.

Question 5

I:

When looking at the preliminary framework, in your opinion, should anything be added to the Customers' perspective as performance objectives for schools and how should the preliminary framework change to make it usable for school-based management?

S4P1:

We also measure academic performance, extra-curricular performance and satisfaction of learners and parents in our own system. I believe that our own system undoubtedly adds some ability to measure the school's successes. This works well because people believe in the system and are positive about it. I also think they are positive because the SGB and principal implemented it. Therefore, they put more effort into this system than into the WSE system or development plans of the IQMS. Another thing I can think of is that it should not add much admin to the workload of teachers. As I said, we include academics, sports, cultural and satisfaction, but also some aspects of the governing body.

I would have like to have more time to look at the framework, but what I can see here is that there are no links between the Financial perspective and the Learning and Growth perspective. The two management objectives should also be liked in some way.

If I understand correctly, I will have another opportunity where I can look at your framework and make some suggestions. I think it will then be easier to see if I can add anything.

I:

Yes, that will be fine.

Question 6***I:******The Balanced Scorecard suggests the following four perspectives:***

- ***Customers***
- ***Internal business process***
- ***Employee learning and growth***
- ***Financial***

Could these perspectives also work for your school, what could be included as perspectives to improve school-based management, and what should be included to accommodate the objectives in Category E?

S4P1:

For our Step-Up plans, management holds an annual meeting on the general management of the school for a whole weekend. This involves the setting of goals and targets. They also look at what will be required to lift the school to the next level, so management does play an important role.

I think for now that will be all. As far as I know, our system does not have a specific perspective, but maybe if we can look into it during the next visit. As I said, I will have more time then to look at your framework and think about it.

I:***Does management also involve the other teachers in developing the system and setting goals and targets?***

S2P1:

No, only management. Only the SGB and the SMT of the school usually are involved.

I:

Thank you for agreeing to give up a time to participate in my research project. I appreciate your input.

APPENDIX H: TRANSCRIPTIONS SUMMARY FOR PHASE 1, CYCLE 2

Question 1:

Nr	Participants	Position	Experience in position	Total experience
1	S1P1	Principal	22	38
2	S1P2	SGB Chair	1	7
3	S1P3	HOD	4	21
4	S2P1	Principal	1	21
5	S2P2	HOD	10	23
6	S2P3	Teacher	13	26
7	S3P1	Principal	3	17
8	S3P2	HOD	10	26
9	S3P3	SGB Member	5	5
10	S4P1	Principal	4	20
11	S4P2	HOD	20	20

Questions 2 and 3:

Nr	Participants	Question 2.1	Question 2.2	Question 3.1	Question 3.2
		Quote	Quote	Quote	Quote
1	S1P1	Sufficient.	Excellent. Areas and they are closely related. Learners' performance in all areas affects satisfaction rates of stakeholders.	Absolutely.	Employee Learning and Growth perspective might also include SGB members, and therefore it should only be a Learning and Growth perspective to include SGB members. The Learning and Growth perspective then also have an influence downwards to the management perspective. The SGB is responsible for the management of Finances and should have a downwards influence.
2	S1P2	Depending on the detail that is required, the first two performance areas can either be combined, or the second area can be divided into sport and culture.	All areas are inter-connected – learners are stakeholders, other stakeholders are supportive of achieving learner goals. It might be a challenge to decide what fits under Stakeholders' satisfaction. Maybe the wording should change a bit to clarify.	Yes	Maybe it will be better to use Stakeholders' perspective rather than Customer perspective. I also think that it would be better if the Financial perspective change to Financial and resources perspective. The SGB is also responsible for the management of the resources.

Nr	Participants	Question 2.1	Question 2.2	Question 3.1	Question 3.2
		Quote	Quote	Quote	Quote
3	S1P3	Teachers are not mentioned as stakeholders, while their “satisfaction” determines much about the other stakeholders’ satisfaction.	The first column should be predominant, as the academic result of learners are the main focus of education.	Suitable.	What could be added to “management perspective” is the DBE, as they are the real managers and management scopes are directed from there.
4	S2P1	No.	The three areas are integral to the framework as a whole and thus inseparable. There will inevitably be cross-pollination between the areas, as long as it is clearly stated and understood that academics is the core business of a school.	Definitely suitable.	The management perspective has an influence upwards and downwards as its activities are influenced by the finance, but the SGB is also responsible for the management of the school’s budget and finance.
5	S2P2	Very good but unfortunately it only works on paper and not in practice. Schools do not have the money to pay for all of this.	I would say that learners’ academic achievement and learners’ extra-curricular achievement have a direct impact on the stakeholders’ satisfaction. However, a school might have objectives that do not fit in under the academic or extra-curricular achievements but do affect the stakeholders’ satisfaction.	Yes, I think it should work.	Maybe the word customers can change to something more suitable for schools. Maybe the word resources can be added to the Financial perspective.

Nr	Participants	Question 2.1	Question 2.2	Question 3.1	Question 3.2
		Quote	Quote	Quote	Quote
6	S2P3	No.	Interactive.	Yes.	Customer perspective might be confusing.
7	S3P1	I think policies need to be an additional section because the functionality of schools involves quite a lot of policies. In policies, the technology phase in education could be incorporated or added under the Learning and Growth perspective.	The three areas are interactive, and the one area will be influenced by the next. The involvement of stakeholders for instance influence the learner growth as well as the extra-curricular and vice versa.	Yes, however, factors are influencing the perspectives, factors like socio-economic, political and emotional factors. External factors like the lack of proper jobs, parents losing their income, single or child-headed households, availability of transport, departmental policies, support and or technology etc. has a direct influence on all these perspectives. These perspectives will also be different in rural and suburban school as well as private, government, school fee-paying or total dependent schools. Schools today are run like businesses and those principles like marketing, learner-teacher ratio, language policies, etc. will also influence the suitability of these perspectives in schools	Added: Influence of departmental policies as well as accountability as well as reporting, recording and systems in schools need to be addressed in one of the principles.

Nr	Participants	Question 2.1	Question 2.2	Question 3.1	Question 3.2
		Quote	Quote	Quote	Quote
8	S3P2	The three areas are mainly the three parts that learners' life is based on. In short - learning, sport and other circumstances, such as parents and communities.	The areas are definitely influenced by each other because if a learner experiences problem at home, for example, strikes and marches in their residential area (Area 3), such a learner cannot concentrate on schoolwork or struggle to even, come to school (Area 1). If a student participates in any outside school activities, extra arrangements must be made such as transportation etc. Taxi strikes etc. will prevent the learner from attending extra-curricular activity practice or being unable to pay the cost for team tours (Area 2). The achievement of learners surely influences the stakeholders' satisfaction.	The perspectives seem fine for schools	Not applicable
9	S3P3	No.	They have a direct relationship. Supportive.	Yes. It covers the school, learners, teachers and the community.	Customer perspective might change to Learner perspective.

Nr	Participants	Question 2.1	Question 2.2	Question 3.1	Question 3.2
		Quote	Quote	Quote	Quote
10	S4P1	I think the three areas are sufficient.	The one area is definitely affected by the other. Without sufficient infrastructure, academic performance is not always possible.	I think that is suitable. The department uses thousand LAIP APIP QLTC etc. I like the nine areas for the WSE as a starting point for planning.	I do not know.
11	S4P2	Yes. Quality trained teachers with constant updates. Leadership education as well.	Academics should have performance. Sport and culture etc. development is selective. Each learner develops in his or her area.	Perspectives are adequate. Realise each learner's potential in all areas.	It looks fine.

Questions 4:

STAKEHOLDERS' PERSPECTIVE		
LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Objectives related to learner academic achievement	Objectives, other than academic and extra-curricular, related to stakeholders' satisfaction (DBE, Teachers, Learners, Parents and Community)	Objectives related to learner extra-curricular achievement (Sport and Culture)
Development of learners' skills - Read/speak/listen/write (WSE)	Environment-friendly culture (WSE)	Development of learner's extra-curricular skills
Development of learner's skills - Technology/number/calculate (WSE)	Image of the school	Optimal participation
The market related curriculum offered	Innovative to stay competitive	Results per learner
Results per grade	Involvement of stakeholders (Learners/Staff/parents/Community/DBE)	Results per school (WSE)
Results per learner	Leadership development of learners	Results per team
Results per school (WSE)	Positive culture (WSE)	Variety of activities offered
Results per subject	Satisfaction of stakeholders (Learners/Staff/parents/Community/DBE) (WSE)	
Variety of subjects offered		
INTERNAL PROCESSES PERSPECTIVE		
LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Objectives related to internal processes, enabling, academic achievement objectives above	Objectives related to internal processes, enabling stakeholders' satisfaction objectives above	Objectives related to internal processes, enabling extra-curricular achievement objectives above
Communication to stakeholders (Learners/Staff/parents/Community/DBE) (WSE)	Communication to stakeholders (Learners/Staff/Parents/Community)	Communication to stakeholders (Learners/Staff/Parents/Community)
Curriculum planning	External factors	Headhunt for coaches
Headhunt for teachers	Headhunt for experts	Headhunt for experts

LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Processes to ensure adequate teaching time	Headhunt for staff	Processes to ensure security/safety related to extra-curricular activities
Processes to ensure optimal application of teachers	Linking with local services (WSE)	Processes to improve the discipline of coaches
Processes to ensure teaching standards (WSE)	Linking with other schools (WSE)	Processes to improve the discipline of learners
Processes to improve discipline in classrooms	Marketing processes	Processes to improve the discipline of parents
Processes to improve the discipline of learners related to their academy	Processes to create an environment-friendly culture (WSE)	Processes to improve the functionality of the school related to extra-curricular activities (WSE)
Processes to improve the discipline of parents related to learners' Academy	Processes to ensure competitiveness	Processes to limit absence of coaches
Processes to improve the discipline of teachers related to academy	Processes to ensure legal complains	Processes to limit the absence of learners
Processes to improve external factors	Processes to ensure security/safety in general	Processes to look at the welfare of learners related to extra-curricular activities
Processes to improve results per grade	Processes to improve the functionality of the school (WSE)	Processes to motivation coaches
Processes to improve results per learners	Processes to improve the general discipline (WSE)	Processes to motivation learners
Processes to improve results per subject	Processes to improve the image of the school	Processes to motivation parents
Processes to improve the functionality of the school related to the academy (WSE)	Processes to improve the image of the school related to technology	Processes to motivation the school
Processes to limit the absence of learners (WSE)	Processes to improve the infrastructure of the school	Processes to reward coaches
Processes to limit absence of teachers (WSE)	Processes to improve the involvement of stakeholders (Learners/Staff/parents/Community/DBE) (WSE)	Processes to reward learners

LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Processes to look at the welfare of learner's academy	Processes to look at the welfare of learners and staff (WSE)	
Processes to the motivation of learners to perform well in the academy	The socialisation of stakeholders (Learners/Staff/parents/Community/DBE)	
Processes to the motivation of teachers to perform well in the academy	Support from DBE	
Processes to reward learners		
Processes to support gift learners		
Processes to support learners with barriers (WSE)		
Processes to support parent to guide learners		
Processes to support teachers		
Processes to support to learners (diversity in the class)		

EMPLOYEE LEARNING AND GROWTH PERSPECTIVE		
LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Objectives related to employment learning and growth, enabling the internal processes objectives above	Objectives related to employment learning and growth, enabling the internal processes objectives above	Objectives related to employment learning and growth, enabling the internal processes objectives above
Parent development to improve their involvement	Availability of study leave for staff	Coaches development related to coaching
SGB development related to fund and resource management	Development of parent/community In-service development of staff	Coaches development related to conflict handling
Teacher development for beginner teachers	SGB development related to financial management	Coaches development related to relationships
Teachers development related to assessment	SGB development related to leadership	Coaches development related to mentor training
Teachers development related to discipline	SGB development related to management (WSE)	Coaches development related to time management
Teachers development related to leadership and management	SGB development related to marketing	Coaches development related to referee training
Teachers development related to mentor training	SGB development related to time management (WSE)	Managers development related to time management
Teachers development related to subject content (WSE)	SMT/Staff development related to leadership	Parent development related to the handling of their kids' extra-curricular activities
Teachers development related to time management (WSE)	SMT/Staff development related to management (WSE)	
Teachers skills development (WSE)	SMT/Staff development related to marketing	
	Teachers development related to general discipline in school	
	Teachers development related to an environment-friendly culture (WSE)	

MANAGEMENT PERSPECTIVE		
LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Objectives related to the school management team and the school governing body, supporting employment learning and growth above and financial and resources below	Objectives related to the school management team and the school governing body, supporting employment learning and growth above and financial and resources below	Objectives related to the school management team and the school governing body, supporting employment learning and growth above and financial and resources below
Curriculum control (WSE)	Employment of experts	Employment of coaches
Employment of teachers	Employment of staff	Employment of managers
Manage funds and resources related to the academy (WSE)	Ensure legal complaints	Ensure legal complains related to extra-curricular activities
Manage schools' time and program	Manage funds and resources (WSE)	Manage coaches and coaching
Manage teaching quality (WSE)	Manage infrastructure	Manage extra-curricular activities (WSE)
Manage vision and mission	Manage school's image	Manage funds and resources related to extra-curricular activities (WSE)
Motivation of teachers	Manage staff development	Motivation of coaches
Policy - Academy awards and bursaries	Performance management (WSE)	Planning of extra-curricular programme
Policy - Academy performance management (WSE)	Policies - Contracts	Policy - Communication related to extra-curricular activities
Policy - Communication related to academy	Policies - Financial management	Policy - Extra-curricular activities
Policy - Discipline	Policies - Management (WSE)	Policy - Infrastructure to support academy
Policy - Funds and resources to support the academy	Policies - Performance management	Policy - Marketing of extra-curricular activities
Policy - Infrastructure to support the academy	Policies - Safety (WSE)	Policy - Performance management (WSE)

LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Policy - Management roles to manage the academy	Policy - General communication to Stakeholders (Learners/Staff/parents/Community/DBE) (WSE)	SGB and SMT support to coaches
Policy - Marketing of academy	Policy - Infrastructure to support the academy	
SGB and SMT support to teachers	Satisfied work environment - Stakeholders (Learners/Staff/parents/Community/DBE)	
	Support the community	
	Support staff	

FINANCIAL AND RESOURCE PERSPECTIVE		
LEARNER ACADEMIC ACHIEVEMENT	STAKEHOLDERS' SATISFACTION	LEARNER EXTRA-CURRICULAR ACHIEVEMENT
Objectives related to financial and other resources, enabling all the objectives above	Objectives related to financial and other resources, enabling all the objectives above	Objectives related to financial and other resources, enabling all the objectives above
Fundraising	Budget management	Fundraising
Funds for academy awards and bursaries	Control funds and resources	Funds for activities
Funds for infrastructure to support academy (WSE)	Fundraising	Funds for compensation for coaches
Funds for marketing of academy	Funds for the employment of experts	Funds for compensation for referees
Funds for resources to support academy (WSE)	Funds for the employment of staff	Funds for employment of coaches
Funds for the employment of teachers	Funds for infrastructure (WSE)	Funds for the employment of managers
Funds for the training of SMT	Funds for marketing of the school	Funds for equipment
Funds for the training of teachers	Funds for the training of staff	Funds for infrastructure (WSE)
Funds for welfare to support learners with the academy	Funds to build the school's image	Funds for marketing of extra-curricular activities
Management of funds and resources from DBE		Funds for resources (WSE)
		Funds for training coaches/managers/referees
		Funds for welfare to support learners with extra-curricular activities