

*Full Length Research Paper*

# **A critical analysis of the mechanisms and procedures that facilitate effective teacher appraisal in Botswana schools**

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Accepted 29 March, 2009

**This article critically analyses the mechanisms and procedures that facilitate the effectiveness of the current teacher appraisal system in Botswana secondary schools. Teachers in schools, in this case in Botswana secondary schools have to undergo appraisal every year for both accountability and developmental purposes. In this article, the author critically analyzes the extent to which the mechanisms and procedures are in place and adequate to facilitate the effectiveness of the current teacher appraisal in Botswana secondary schools. The article is based on an empirical study that was carried out in a sample of 607 secondary school teachers in two clusters of seventeen schools in the southern region of Botswana. The research design is a multi-methods approach of a survey questionnaire and a semi-structured interview. The results illustrate that there is a need for training, feedback and transparency if the appraisal process is to be effective.**

**Key words:** Teacher appraisal, Botswana, mechanisms, procedures, National Commission on Education.

## **BACKGROUND**

The importance of appraisal in any organization cannot be overemphasized. A lot of literature on staff appraisal covering a wide spectrum of fields such as commerce and industry, private and public sectors, including schools, has been produced and it generally identifies three main purposes of appraisal, namely to serve as a basis for modifying or changing behaviors towards more effective working habits; provide adequate feedback to each employee on his/her performance and provide data to managers with which they may judge future assignments and compensation (Chow et al., 2001; Hodgetts and Kuratko, 1991; Kermally, 1997; Monyatsi et al., 2006; Mullins 1996).

Mullins (1996) captures the essence of appraisal in managerial context when he declares a comprehensive appraisal system can provide the basis for key managerial decisions such as those related to the allocation of duties and responsibilities, pay, delegation, levels of supervision, promotions, training and development needs, and terminations.

Fink and Longenecker (1998) and Mathis and Jackson (1998) declare that typically, performance appraisals are employed to achieve five primary goals that include:

- i. Clarifying employee expectations.
- ii. Documenting employee performance.
- iii. Fostering employee development.
- iv. Creating a linkage between merit and pay.
- v. Monitoring workforce improvement.

Caruth and Humphreys (2008) and Hodgetts and Kuratko (1991) identify several characteristics of a well-designed appraisal system. Firstly, they point out that an effective appraisal system should be tied to the person's job and measure the individual's ability to successfully carry out the requirements of the position. Secondly, it is based on standards of desired performance that were explained to the personnel in advance. Thirdly, it is comprehensive, measuring all of the important aspects of the job rather than just one or two. Fourthly, is objective, measuring task performance rather than the interpersonal relationship of the rater and the ratee. Finally, it is designed to pinpoint the strong points and shortcomings of the personnel and provide a basis for explaining why these shortcomings exist and what can be done about them. In order to achieve effective teacher appraisal process, there should be clear mechanisms and procedures in

place as pointed out by Caruth and Humphreys (2008) and Latham and Wexley (1994) that successful performance appraisal consists of a system of rules, regulations, procedures and training necessary for conducting effective appraisals and progress designed to instill the desire for continuously improving one's performance.

Throughout the history of mankind, appraisal has always been there as people are always appraising situations, largely in unstructured and informal ways. It has served as an unstructured reflection on experiences in order to learn from and through those experiences. Whitaker (1998) maintains that if structured, the process of appraisal is an aid to professional development. Poster and Poster (1992) in their description of appraisal in organizations state that "it is a means of promoting, through the use of certain techniques and procedures, the organization's ability to accomplish its mission of maintaining and improving what it provides while at the same time seeking to maintain or enhance staff satisfaction and development". Sharing this sentiment is the definition offered by Fisher (1995) that it is "... a process of management which entails improving the organization's performance through the enhanced performance of individuals". Caruth and Humphreys (2008), Piggot-Irvine (2003) and Hodgetts and Kuratko (1991) maintain that it is one of the most common procedures used to control an organization's personnel.

It has been pointed out that during the process of appraisal data is gathered by systematic observations, not to only measure current performance, but also to reinforce strengths, identify deficiencies, give feedback and the necessary information for changes in future performance (Bartlett, 2000; Haynes and Wragg et al., 2003; Wanzare, 2002). For appraisal to be effective, it is argued that it should be treated as an ongoing cooperative intervention between supervisor and subordinate; a shared responsibility, not a once-a-year traumatic confrontation (Howard and McColskey, 2001). It should be a learning process as it involves behaviors and attitude change. Habangaan (1998) asserts that if it is treated as an event, it becomes judgemental, hence detrimental to individual growth and development.

### Context of the study

Botswana is a developing country which got its independence from Britain in September of 1966 after having been a protectorate since 1885. According to the report of the British economic survey mission, the general state of education in Botswana at independence in 1966 was very poor and this impacted negatively on the manpower requirements and the economic, social and cultural development of the country (Coles, 1986; Republic of Botswana, 1966). This poor state of education at independence has been attributed to the aims of education during the colonial era which focused on producing clerks, interpreters and low-level nursing and teaching staffs,

jobs that did not require standards above primary education at the time (Galetshoge, 1993). Due to this neglect of education, especially secondary education which could produce trainable people, one sector which suffered the most was the supply of enough and quality teachers. Since Botswana attained independence, the Government recognized the vital role that can be played by teachers in the ultimate goal of students' learning but was concerned with the caliber and supply of teachers at the time (Monyatsi, 2003). In 1975, the first National Commission on Education was appointed and among its concerns were the shortage of teachers and the low level of qualifications of those in the service (Khan, 1997). The shortage of qualified teachers was made worse by the rapid and massive expansion of secondary education which forced the Government to increase the number of untrained teachers and recruit more expatriate staff (Republic of Botswana, 1997). The rapid and massive expansion of secondary education was a response to recommendations from the National Commission on Education set up in 1975. Both untrained and expatriate teachers posed problems for the education system in that the former lacked skills and knowledge to effectively handle the teaching while the latter came from different education systems and had to adjust while some lacked teaching qualifications (Dadey and Harber, 1991; Vanqa, 1998).

The government adopted several strategies to solve these problems. Firstly, the government had to implement some of the recommendations of the first National Commission on Education, one of which called for:

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

The Government also required that the Director of Unified Teaching Service (now Teaching Service Management), a body which employed all teachers in Government schools, should be furnished with a confidential report on each teacher each year in the interest of the service, and this had to be prepared by the head teacher, supervisory officer or any authorized person (Republic of Botswana, 1976). Secondary school head teachers through their Headmasters Association are also said to have demanded for a system which could help them supervise the teachers effectively (Habangaan, 1998).

The introduction of the confidential reports should be viewed as a means of making teachers more accountable for their work to both the employers and the clients. The confidential reports among others addressed the following: the quality of contribution to the school organization and activities, teaching quality, relations with colleagues including administrative staff, serious faults or short-

comings and potential for promotion to a post of higher responsibility (Monyatsi, 2003; Republic of Botswana, 1983). Firstly, they should be viewed as a management mechanism of checking whether teachers were performing to expectations. Furthermore, the education system of Botswana, especially the management of teachers from Unified Teaching Service headquarters was highly centralized and there was a need for a mechanism to gather information on each teacher (Ramorogo et al., 1998). Secondly, the presence of many untrained and expatriate teachers in the education system called for a mechanism of inducting them into the profession. Thirdly, the Government was spending a lot of public funds on education and therefore the public had to be assured of value for money by making teachers accountable. Fourthly, there were many new recruits joining the service from training and head teachers needed a mechanism of controlling and disciplining them (Habangaan, 1998).

Another reform that has a bearing in the appraisal system in Botswana was the job Evaluation Exercise of 1988 which reviewed and defined job contents, levels of responsibility and determined a rational public pay and staff grading structure (Monyatsi, 2003; Republic of Botswana, 1991). As a result, the government white paper on job evaluation for teachers stressed the need to subject teachers to continuous assessment in order to determine whether they were eligible for annual increment, promotion from one salary bar to another along the extended scale to the maximum salary point, and to a higher post of responsibility (Bartlett, 1999; Habangaan, 1998 and Republic of Botswana, 1994). Prior to the job evaluation exercise of 1988, teachers' annual increment was automatic and the new dispensation called for a mechanism to assess teachers.

In 1991, as a response to the job evaluation for teachers, the current system of teacher appraisal in Botswana was born (Bartlett, 1999; Habangaan, 1998; Republic of Botswana, 1994). It is claimed that the following general points were observed when the scheme was introduced (Bartlett, 1999; Republic of Botswana, 1994a):

- (i) The appraisal scheme was extended to all teachers employed by the teaching service management.
- (ii) The appraisal scheme was not to be used as a way of disciplining teachers.
- (iii) The scheme was to be accurate, frank and above all, open to the appraised.
- (iv) The appraiser and appraisees were to receive training before they were involved in the appraisal process.
- (v) The scheme was to be piloted before being implemented.
- (vi) The appraisal scheme was to be a continuous process involving support or staff development.

An appraisal instrument, Form TSM  $\frac{3}{4}$  was designed and it gave the general guidelines to the supervisor as:

The purpose of this appraisal is to assess objectively the

performance of the teacher in his/her post. This should indicate whether the performance level justifies:

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

It is assumed that the reporting supervisor:

- a) Thoroughly knows the teacher being appraised.
- b) Has full understanding of the job content of the appraisee.
- c) Should have known and supervised the appraisee for a period of at least three months.

Form TSM  $\frac{3}{4}$  is divided into six sections: Section A seeks general information of the teacher and is completed by the Appraisee. It is a form of guided self appraisal requesting the teacher to give his/her views on the job situation and special needs. Section B is the merit assessment which is completed by the immediate supervisor who should give a summary of at least three classroom observations. There is also a sub section which requires the head teacher give feedback on the performance of the teacher outside the school. The teacher is then shown the assessment and is required to give his/her general observations of the assessment and the sign whether he agrees with the assessment or not. Sections C to F are confidential to the teacher. The teacher may only know about the outcomes after the action by the directorate of teaching service who may communicate to the teacher through the head teacher or in the case of salary increment the teacher will get the information from the salary advice slip. Feedback to the teacher after Section B is not mandatory.

This literature review has captured the international context of appraisal and the development of the current teacher appraisal system in the secondary schools in Botswana. It has illustrated the factors and context which influenced the development of the appraisal system in the education system of Botswana at secondary school level.

### **Purpose of the study**

The purpose of this study is to establish and then critically analyze the mechanisms and procedures for the management and implementation of the current system of appraisal in Botswana secondary schools. The main research question for this study is: How adequate are the mechanisms and procedures for the management and implementation of the current system of appraisal in schools? From this question the following guide the study:

- (i) What mechanisms are in place to facilitate effective teacher appraisal in Botswana?

- (ii) What procedures are in place to facilitate effective teacher appraisal in Botswana?  
 (iii) How effective are the mechanisms and procedures of the current teacher appraisal in facilitating effectiveness?

## RESEARCH DESIGN

Data for this study was collected by the use of a survey questionnaire and semi-structured interview. The use of multi-methods in a study secures in-depth understanding of the phenomenon in question as it adds vigour, breadth and depth to the investigation (Cresswell, 1994; Denzin and Lincoln, 1998; Johnson and Christensen, 2004; Salomon, 1991). Most quantitative data gathering techniques condense data in order to see the bigger picture. Qualitative data gathering techniques, by contrast, are best understood as data enhancers, because when data is enhanced it is possible to see key aspects of cases more clearly. In this study the perceptions of teachers regarding the appraisal system in secondary schools in Botswana were captured by applying both a quantitative and qualitative approach.

The quantitative approach involved a questionnaire survey, because it gathers data at a particular time with the intention of describing the nature of existing conditions (Cohen and Manion, 1995). The questionnaire consisted mainly of closed questions and three open-ended questions. For the closed questions the Likert scale was used. The open-ended questions were included in order to capture perspectives with a view of verifying qualitative data from the interviews. A piloting exercise was done in a few selected secondary schools in the Gaborone City.

## Sample

The sample contained a mix of teachers who were appraised and those who appraised others. The sample for the questionnaire was taken from two school clusters in the South Region of Botswana and consisted of 607 secondary school teachers (of whom 413 returned their questionnaires). The sample covered all the seventeen secondary schools in the Kanye and Lobatse clusters which comprises fifteen junior secondary (schools offering forms 1 to 3 immediately after primary school) and two senior secondary schools (schools offering forms 4 and 5).

This included all the trained teachers in the two clusters who have been in the field for more than three months. These were chosen because according to the requirements as stipulated in Form TSM ¾ all teachers who spend three months in the field should be subjected to the appraisal process. For the semi-structured interview purposive sampling was used to select optimally information-rich participants, namely two school heads, two deputy school heads, two heads of departments, two senior senior teachers, two teachers and two assistant teachers.

## Data collection procedures

As it is normal procedure in Botswana, permission to carry out the study was sought from the office of the president of the republic of Botswana and it was granted. The questionnaires together with a pre-stamped envelope were then posted to the school heads in the two clusters with a letter requesting for permission to carry out the study in their institutions. The letter also contained details of the purpose of the research and what was expected of the school head (distributing to/and collecting the questionnaires from the respondents). Attached to each questionnaire was a letter to the teacher (respondent) also explaining the purpose of the research and what was expected of him/her. It was emphasized that the school head should post the questionnaires using the enclosed envelope to the researcher as soon as possible.

For the semi-structured interviews, the researcher interviewed those who were targeted. In the exception of the selection of the school heads, all the other groups were selected with the assistance of the school heads that were in a position to identify those teachers (respondents) from whom one could learn a great deal about the appraisal system. The researcher took down notes during the interviews. Before the interviews with each respondent, the research requested for permission to use a tape recorder and in all cases it was granted.

## Data analysis

Data analysis for the questionnaire was done using a computer package for analysing data called the Statistical Package for the Social Sciences (SPSS). However, as the completed questionnaires were being returned, data cleaning took place, which is an attempt to eliminate some of the obvious errors that may have crept in. Some of the things done here for instance were to check the return rate, whether all questions has been answered. Decisions such as whether a questionnaire which was partly answered should be analyzed or not were to be made.

For the free-response questions the drawing up of a coding frame and verbatim reporting of responses were used (Bell, 1993; Oppenheim, 1992). For the analysis of qualitative data, tape recordings of the interviews were transcribed. Data were then coded by reading through the field notes and making comments. From the themes as identified initially, patterns and categories were identified and described.

## Trustworthiness

Trustworthiness was ensured through triangulation whereby survey data was verified by interview data. Respondents were representative of different post levels. Interviews were tape-recorded and transcribed verbatim. Field notes made during the interviews were used to verify the data collected during interviews.

**Table 1.** Teachers by level of operation, qualification and gender.

	Gender	Teaching Certificate	Diploma in Education	BA or BEd	MA or MEd	Others
Junior Secondary	Male	9	89	17		5
	Female	7	120	29		12
Senior Secondary	Male			54	14	10
	Female			31	16	
<b>Total</b>		<b>16</b>	<b>209</b>	<b>131</b>	<b>30</b>	<b>27</b>

**Table 2.** Distribution of respondents by teaching experience.

Teaching experience	Frequency	Percentage
2 years or less	75	18.2
3 - 5 years	95	23.0
6 - 9 years	119	28.8
10 - 20 years	89	21.5
21+ years	35	8.5
<b>Total</b>	<b>413</b>	<b>100.0</b>

## RESEARCH FINDINGS

### Return rate

From the 607 secondary school teachers in the two clusters under study, 413 responded and as well returned their questionnaires.

Table 1 clearly shows that there were 288 teachers (120 males and 168 females) who responded from the junior schools, while 125 teachers (78 males and 47 females) from the two senior secondary schools in the cluster.

In the survey the majority of the 413 respondents were female (215 - 52.1%). The fact that there were more women in the sample reflects the real situation, whereby there are more female teachers than male teachers in Botswana secondary schools. The majority (284 - 68.8%) of the respondents were 34 years old and less, indicating that the teaching force in Botswana secondary schools is relatively young. Half of the respondents (209 - 50.6%) had a diploma in secondary education (DSE), whilst 131 (31.7%) held a bachelors degree. The minority (16 - 3.9%) had merely a teaching certificate. This indicates that the Botswana government has made significant progress in the training of teachers since the first commission on education of 1977 lamented the poor qualifications of teachers in the schools.

Table 2 illustrates the teaching experience of the respondents, and 214 respondents (51.8%) fell within the bracket of three to nine years teaching experience while 124 (30%) were quite experienced with more than ten years in the field. Seventy-five respondents (18.2%) possessed very little experience, two years or less. This

number appears to be small, but it nevertheless calls for effective teacher appraisal since it can play a crucial role in aligning the newly recruited teachers' perceptions constructively towards the teaching profession.

This study set out to establish the extent to which the mechanisms and procedures that could facilitate the effective implementation of the current teacher appraisal system in Botswana secondary schools were in place. From the research findings of this study, it became apparent that although not adequate, some mechanisms such as Form TSM <sup>3</sup>/<sub>4</sub>, appeals structures, policy guidelines; and procedures such as classroom observation, provision of feedback, training of appraisers and appraisees, matching appraisers and appraisees are in place.

### Mechanisms for effective teacher appraisal

In this section, the mechanisms that are present in the current teacher appraisal system in Botswana include inter alia, Form TSM <sup>3</sup>/<sub>4</sub>, policy guidelines and appeals structures. Their effectiveness in facilitating teacher appraisal is discussed.

#### Form TSM <sup>3</sup>/<sub>4</sub> (Revised 1994)

In order to facilitate effectiveness in the teacher appraisal process, a new instrument, Teaching Service Management Teacher Performance Appraisal (CoR 110 and 111) Form TSM <sup>3</sup>/<sub>4</sub> was introduced and it laid the purposes of the appraisal scheme and the procedures of how to carry out the appraisal process. First it required that the reporting period should be stated. Because it is used by all government schools in the country for various purposes, the instrument is a mechanism that gives guidance to those who are involved with the appraisal process so that there is supposed to be uniformity in the assessments. It lays down the teacher's performance evaluation criteria which include the quantity and quality of work, interrelationships with colleagues, community involvement, work habits, and general school life.

For instance, from the empirical findings, three hundred and thirty five (73.6%) of the respondents believe that the current teacher appraisal monitor's the teachers' performance while seventy five (18.2%) disagreed and three (0.7%) were missing. The performance is monitored

against the set criteria in the instrument. A head of school interviewed also supported this by pointing out that:

The appraisal system monitors the twin processes of teaching and learning. It determines the teacher's strengths and weaknesses on his/ her performance both in class and outside; it also serves purposes of accountability, that is, is the teacher doing what he/she is supposed to do?

A head of department also posited that:

It makes teachers to know their professional progress. It also makes teachers to know whether they are doing well or not so that if they have any weaknesses they may be supported to improve for the better. It assists the appraisee to develop in order to provide quality service to customers and fit well into the community.

This has been succinctly supported by Hodgetts and Kuratko (1991) who declare that an effective appraisal scheme should measure the individual's ability to successfully carry out the requirements of the position and it should be designed to pinpoint the strong points and shortcomings of the personnel and provide a basis for explaining why these shortcomings exist and what can be done about them. This is so particularly when one considers that it is used for determining whether one can be promoted, get annual increment and whether one can go for training among others and there is only one employer who has to take decisions. Most respondents acknowledge the existence of Form TSM  $\frac{3}{4}$  but are not happy with the way it is used, and why it is confidential to the teacher in other sections.

### Policy guidelines

The policy guidelines for the implementation of the appraisal system in the form of Form TSM  $\frac{3}{4}$  as mechanism are in place. The instrument, TSM  $\frac{3}{4}$  also provides the purposes of the system and the procedures to be followed in the management and implementation. From the research findings of this study, it is apparent that although the mechanisms such as purposes, instructions among others are in place, there are some shortcomings which render the effective implementation problematic.

For it to be effective, the roles and responsibilities of all those who will be involved in the appraisal process should be laid down very clearly and everybody should know his/her roles and responsibilities to avoid confusion and conflict. The appraisal system obtaining in Botswana secondary schools follows a line management approach that is the immediate supervisor is the appraiser by virtue of his/her position. The school head has overall responsibility for the administration of the appraisal system in the school and should ensure the fairness and efficiency of its execution. However, the immediate supervisor of

the teacher is either the head of department or senior teacher grade 1 who is responsible for the subject of the teacher under his/her supervision. He/she should have among others continuously observed and evaluated the teacher's job performance. As indicated in the preamble of the instrument, Form TSM  $\frac{3}{4}$ : It is assumed that the reporting supervisor:

- a) Thoroughly knows the teacher being appraised.
- b) Has full understanding of the job content of the appraisee.
- c) Should have known and supervised the appraisee for a period of at least three months.

The role of the teacher is also stipulated, for instance completing section A of Form TSM  $\frac{3}{4}$ , while those of the immediate supervisor include observing the appraisee at least on three occasions when he/she was teaching in that year. The head of the school or institution completes sections B 3 and sections C and D and should have supervised the appraisee for at least three months. The chief education officer completes Section E by commenting on the school head's assessment. Finally, the director of teaching service management takes action by completing Section F. From this it would appear that the mechanisms and procedures are very clear and adequate.

### Appeals structures

Appraisal is a very sensitive and contentious process which can lead to conflicts if not properly handled. There is a need for the provision of appeal mechanisms and structures in case of misunderstandings or disagreements between the appraisee and appraisers if the process is to be effective in meeting what it is intended to. From the empirical findings of this study, respondents have shown many misgivings about the way the process is carried out but maybe due to the confidential nature of the system of appraisal in Botswana secondary schools, they have kept quiet about everything. Teachers have said that it is abused as a tool to axe those who are not favored by the authorities. A senior teacher grade 1 interviewed argued that teachers should know what recommendations are made and also they should be told about the outcomes so that they can improve in future. However, though not stated clearly, it is apparent that teachers are not happy with the appraisal system but there are no appeal mechanisms in place.

The reason why there are no appeal mechanisms in place may be due to the fact that the current teacher appraisal was founded on the administrative premises as school heads wanted a means to control and discipline teachers in the schools and it was also a response to the policy requirements of strengthening supervisory services. The schools in Botswana are run along the bureaucratic and hierarchical model, with those in authority being appraisers and therefore there is a need for an

appeals structure as an appeal to the school administrators may not be fair as they are the appraisers by virtue of their positions.

### **Procedures for effective teacher appraisal**

This section discusses the procedures that are in place in the current teacher appraisal in Botswana which include inter alia, training of appraisers and appraisees, matching appraisers and appraisees, monitoring procedures (classroom observation) and provision of feedback.

### **Training of appraisers and appraisees**

Training of both appraisees and appraisers is one of the most important procedures that facilitate effective appraisal. Although when the current system was introduced it was said that all those who will be involved in the appraisal process were to receive training before being involved in the process, the empirical findings illustrate that this is one of the most critical shortcoming of the current teacher appraisal system in Botswana secondary schools. For instance, asked whether they received any training in appraisal, three hundred and one (72.8%) of the respondents to the survey questionnaire pointed out that they received no training at all while only 101 (24.4%) said they had some training, and eleven (2.7%) were missing. Furthermore, when asked whether they think all those people who are to be involved in the appraisal process should receive training, three hundred and thirty six (81.3%) of the respondents agreed as opposed to only twenty nine (7%) who disagreed, and forty eight (11.6%) had no opinion. Of the two heads of departments out of a sample of ten who were interviewed, one of them lamented on the issue of training that:

There is no training in the appraisal process and this renders the whole exercise not effective. In my opinion, what is happening is not appraisal. We all need to be trained so as to understand appraisal in a more positive and meaningful way. Observing someone in class once and filling Form TSM  $\frac{3}{4}$  is not appraisal. There is really more to it than it is done now.

A teacher interviewed pointed out that:

I have been appraised (observed teaching in class) several times but I have never been trained on what appraisal is all about. My understanding of the system is not adequate, therefore to make a good analysis of the system needs deep information. I do not know the purposes of appraisal. We need to be trained on what appraisal are its purposes and benefits to us. As it is, it has been imposed on us. It is just routine duties of seniors.

The pivotal role that can be played by the training of both

appraisees and appraisers, and how it can be done, was emphasized by another teacher who was interviewed who declared that:

Training of appraisees and appraisers will equip teachers with the knowledge and skills of how to appraise or be appraised, and why appraisal has to be done in schools. The training can be done through school-based workshops which are less expensive, contextual and thus effective.

The importance of training appraisees and appraisers as a mechanism to facilitate the effectiveness of the appraisal process has been identified as being core not only in Botswana but globally. Latham and Wexley (1994) have pointed out that "successful performance appraisal consists of a system of rules, regulations and procedures and training necessary for conducting effective appraisals designed to instill the desire for continuously improving one's performance. On their part, Goddard and Emerson, (1995) have emphasized that:

Training is essential if teachers and head teachers are to be able to operate appraisal schemes in a manner which will help to improve the effectiveness of schools. If there is adequate training of appraisees and appraisers, there are a lot of benefits which flow from giving each an insight into the other's role.

That the architects of the current appraisal in Botswana and those in the international arena had realized the need of training all those involved in the appraisal process indicates the crucial role played by this mechanism in the success of the process. Training would help minimize some of the problems inherent in appraisal systems such as teacher resistance and abuse. If teachers, both appraisers and appraisees are trained and know the purposes of appraisal and how it has to be done, there may be little resistance and more cooperation. With the knowledge and skills from the training, the appraisal process may be implemented and managed more effectively.

### **Matching of appraisers and appraisees**

One of the procedures followed in the appraisal process to facilitate effectiveness is matching appraisers and appraisees. From the research findings, when asked whether in their school the matching of appraisers and appraisees was appropriate, seventy five (18.2%) of the respondents agreed that the matching was appropriate while three hundred and thirty five (80.1%) disagreed that it was appropriate, and only three (0.7%) had no opinion. Some of those interviewed revealed that in the Botswana situation, the management structure does not follow the rigidly defined curriculum areas, as one senior teacher grade 1 pointed out:

The appraisal process follows a line management approach whereby the immediate supervisor by virtue of his/her position becomes the appraiser. In Botswana secondary schools, subjects are grouped into (generic) areas such as Sciences (Mathematics, Physics, Biology, Chemistry and Agriculture), Humanities (History, Social Studies, Geography, Development Studies), Languages (English, French, Setswana) and Options (Religious Education, Moral Education, Design and Technology, Computer Awareness, Guidance and Counseling).

Corroborating the above sentiment is an assistant teacher who also declared that:

In our school, supervisors are imposed on us. If a person has been promoted to a higher position, he/she becomes a boss who is expected to know everything about management. Even if he/she does not teach your subject and in some cases the supervisor does not know you, he can appraise you and it is allowed. I think something should be done so that only those who are specialists in the subject appraise as they can give expert advice.

In such a situation whereby there is no appropriate or where it does not allow for appropriate matching of the appraisee and the appraiser, there is bound to be conflict. The advantage of appropriate matching is the creation of some good professional and collegial relationship between the two. This was illustrated by the responses to the survey questionnaire where two hundred and seventy nine (67.6%) of the respondents agreed that teacher appraisal enhances working relations between the teacher and the supervisor. An assistant teacher who was among those interviewed emphasized that:

When you are appraised by your real supervisor who you teach the same subject with, it is very helpful because you can learn from each other. It promotes professionalism in that it opens up both the appraiser and the appraisee to talk about the strong and weak points and forge a way forward. This is very healthy in the teaching profession.

Echoing the above point of view, one of the school heads interviewed further argued that:

When the relationship is cordial and professional, and when the weaknesses are identified and agreed upon, they are worked on and rectified with the help of the immediate supervisor who should be knowledgeable in the area and is credible in the eyes of the teacher. At departmental levels, the senior teachers have the responsibility of discussing certain aspects of the appraisal process that are related to the teaching profession, and this helps build good working relations.

It can therefore be argued that if the matching of the appraisees and appraisers is appropriately done, it can lead to collaboration and collegiality. The immediate supervisor should also give orientation to the appraisee on the appraisal process and the instrument used for assessment. This is succinctly explained by Murdock, (2000) when she posits that: "... it is vital for a progressive system of evaluation to build on collaborative relations whereby the supervisor actively makes efforts to understand the teacher's frame of reference on classroom events and engages in continuing dialogue with teachers". Mullins (1996) also emphasizes this when he points out that appraisal improves the quality of working life by increasing mutual understanding between managers and their staff. Horne and Pierce (1996) underscore the whole issue of good matching when they say: "... it is important for the success of the appraisal cycle that the appraisee and appraiser have a good professional relationship so that the appraisee feels confident about revealing possible areas of concern without being regarded as a poor teacher". If the pairing is inappropriate, there may be lack of confidence or respect which may hinder productivity.

The assumptions that guided the architects of the appraisal process along the line management approach become more problematic when one is faced with the situation in Botswana. It is not always possible for the immediate supervisor in this case to thoroughly know the Appraisee, has full understanding of all the subjects he/she oversees and effectively appraise a large number of teachers under him/her. In the Botswana situation, much as the mechanisms and procedures are laid down clearly in the policy documents, it becomes very difficult to effectively implement the process due to the nature of the composition of management where an immediate supervisor might not be knowledgeable in the subject of the supervisee.

### **Monitoring procedures (classroom observation)**

The school head together with other members of the school management team are responsible for monitoring the frequency and extent of appraisal in their areas of specialization. The school head is responsible for appraising the administrative aspects of the school. From the instructions on the appraisal instrument in Botswana, it is stated in Section B of TSM <sup>3/4</sup> that it has to be completed by the immediate supervisor, who should have observed the Appraisee on at least three occasions when he/she was teaching and this should be a summary of a number of observations. The empirical findings indicate that the appraisal of teachers is not done regularly according to the guidelines. When asked the number of times they were observed (appraised) the previous year by the immediate supervisor, eighty six (20.8%) were not appraised at all, two hundred and six (49.9%) were appraised once, seventy five (18.2%) were appraised twice, thirty (7.3%) thrice, three (0.7%) four times and more while

thirteen (3.1%) were missing. The results generally show that 76.1% of the respondents were observed while teaching. This indicates that although the mechanisms and procedures are in place, some teachers are not appraised at all while others are not adequately observed accordingly. This might also point to the fact that the management of the implementation is not adequate. One teacher who was interviewed pointed out that:

The appraisal process is not effective at all as some people are observed during lessons and appraised according to what was observed, while others are not observed while teaching but appraised at the same time as their forms are completed somewhere by the school authorities. Some are observed on only one incident which might be unpleasant and all the good things are disregarded.

The results may be reflecting that the monitoring mechanisms are not adequate because as a statutory requirement, it is mandatory that teachers must be observed at least three times when teaching by the immediate supervisor. Usually where there are no adequate monitoring mechanisms, there is bound to be conflict and a lot of mismanagement and abuse. When asked whether the appraisal process is used to serve the interests of the Senior Management Team (SMT) who are by virtue of their positions in schools appraisers, two hundred and eighty three (68.5%) of the respondents agreed that it served the interests of the SMT's while one hundred and twenty three (29.8%) disagreed and seven (1.7%) were missing. Furthermore, when asked whether the SMT abused the appraisal process, two hundred and eighty one (68.1%) agreed while one hundred and twenty eight (31%) disagreed and only four (1%) was missing.

The empirical results above reflect the inadequacies inherent in the procedures of the current teacher appraisal in Botswana secondary schools. For an intervention to be effective in meeting its intended purposes, it needs adequate monitoring procedures in place. The instrument was there in place including the procedures as stated in the instructions at each section, and who should do that. From those who were interviewed, it shows that teachers are far from happy with the current teacher appraisal as they view it negatively. Of the two heads of departments interviewed, they all agreed that it is abused by the SMT's. One of them pointed out that:

It helps the SMT to maintain a positive attitude as it makes teachers to be prepared all the time knowing that somebody is watching. It monitors the behaviors of teachers and helps supervisors with information on each teacher with regards to communication and relationships.

An assistant teacher interviewed painted a very bleak picture concerning the current teacher appraisal. He/she

declared that:

It is used to keep law and order in schools. It is used by SMT as an axe to chop junior teachers. It is a witch-hunting exercise because the appraiser concentrates much in the areas where one is weak instead of comparing one's weaknesses to strengths.

A Senior Teacher Grade 2 posited that:

It acts as a blockage for teachers' progression. Instead of developing teachers by showing them their weaknesses and strengths, it destroys them as the SMT will always give false information about someone who is not their favourite.

The following are some of the responses from the open-ended questions of the survey questionnaire regarding the appraisal system:

- i.) It is a tool used to oppress and suppress teachers. It promotes tendencies of boot-licking and "Yes Baas" which frustrates other teachers (assistant teacher).
- ii.) It serves as an intimidation tool to boss around teachers with the threat of not qualifying for that funny 5% increment (assistant teacher).
- iii.) It is used to oppress teachers, reprimand teachers and punish teachers (Teacher).
- iv.) It is a source of quarrels, punishment, ridicule, and victimization rather than supporting and developing individuals (senior teacher grade 2).
- v.) It is used to threaten teachers in order to make them loyal subordinates of the management system that is the regional education officers, director of secondary education, teaching service management, SMT and a fault-finding mission on teachers' performance (teacher).

That the appraisal process in Botswana secondary schools is being abused by the SMT's may not be surprising when one considers the fact that one of the reasons why it was introduced was to strengthen supervisory and in-service training services. Furthermore, the headmasters' association had called for its introduction to help them control and discipline teachers. It was therefore to some of the stakeholders an administrative tool to instill law and order in schools as the respondents have revealed. Some of the people who implement the process may still be guided by confidential reporting system that was in place before the current system. As illustrated earlier in this study, there is no adequate training of staff in the appraisal procedures and purposes and the abuse may not be intended but a result of lack of knowledge and skills on the part of the appraisers. In order for one to monitor, they need skills and knowledge on the issue at hand. This was emphasized by a teacher interviewed who suggested that: a permanent appraisal team from the department of secondary education should be established and should be well trained and move from school

to school monitoring the system of appraisal to ensure that it is done properly.

This section has also revealed the weaknesses of the monitoring procedures as it appears there are no people in place whose responsibilities cover monitoring the implementation and management of the appraisal process in schools. For instance, the SMT, which includes the school head and other senior personnel in the schools seem to be leading the abuse of the process. The procedures in place are also flouted with impunity as the numbers of times teachers are observed teaching are not respected.

### Provision of feedback

The provision of feedback in the appraisal process plays a very crucial role if the process is to be effective. This therefore, calls for mechanisms and procedures for providing feedback to be in place in our schools; and the structure can be presented diagrammatically showing which member of staff receives feedback and from whom for emphasis. Because the appraisal process in our schools follows a line management approach, this should make the provision of feedback to be in line with the approach used. The immediate supervisor should give the supervisor prompt feedback after classroom observations to avoid misgivings on the effectiveness of the process. However, from the research findings of this study, it becomes apparent that the current appraisal process in Botswana secondary schools is not very effective when it comes to the provision of feedback to the appraisees. For instance, a senior teacher grade 1 who was interviewed argued that:

The confidentiality of Form TSM ¾ is not appropriate because the teachers should know what transpired through a series of feedbacks, not only when observed teaching but for the entire job. Sometimes the feedback given is not true as sometimes one is told that the performance is good and therefore never corrected, but at the end one is not promoted, sent to school and so on and one wonders why. This makes teachers lose confidence and trust in their superiors, including the appraisal system itself.

Furthermore, another teacher interviewed rhetorically posited:

Why should it be confidential if you have recorded something that is true about the teacher? Is it lack of money to send one for further training? Or are there no posts of responsibility available, or are they not enough? Or is there need for experience? If one has not been attending lessons and has been told about that, why should it be confidential when it comes to TSM3/4? If one has been good and it has been

written that one has been doing fine in school, why shouldn't one see it?

As illustrated earlier on in this article, the appraisee is only allowed to view the comments made up to the end of Section B where he/she is allowed to sign as an acknowledgement of having seen the appraisal but not that he/she agrees with the assessment. Teachers as the recipients of the appraisal process have shown their displeasure on the confidentiality of the whole process saying that this makes appraisers to abuse the system knowing very well that teachers will not see their recommendations. An Assistant Teacher interviewed claims that:

The appraisal process is not effective because it is difficult for the teacher to see all the results from the process. Even if the head teacher recommends one for further studies it never happens but only those who are favoured ultimately go. Something needs to be done about this confidentiality of the current teacher appraisal. Teachers should be allowed to see the recommendations of the Head of School and then sign.

Some respondents have also suggested that feedback from regional education officers, directors of secondary education and teaching service management should give feedback promptly as this will go a long way in motivating teachers in the schools to do more. These sentiments from the empirical study are supported by Taylor (1998) who pointed out that: ... appraisal involves letting people know what is required and expected of them, assessing how they are doing, reviewing this with them regularly and agreeing with them what happens next. Transparency has been seen to build a very strong base of trust and confidence among members of the school community. Horne and Pierce (1996) have also said that: ... appraisal is a prime mechanism available for all involved in the school to celebrate success, receive and give accurate informed feedback and reinforce ways of forging ahead.

It is therefore imperative that mechanisms and procedures on how and who should provide feedback to whom are in place to make the current teacher appraisal system more effective.

### Conclusions and Recommendations

It is clear from the above expositions that some mechanisms and procedures for the effective management and implementation of the current teacher appraisal system are in place. There are guidelines that show the administration and appraisers what to do and how frequently it has to be done. The appraisal instrument, Form TSM ¾ is available for both the appraisees and appraisers to familiarize themselves with.

However, though the mechanisms and procedures are

in place, they are not adequate enough to facilitate effective management and implementation of the process. For instance, the appraisal process was crafted along the line management approach which is hierarchical and bureaucratic, with rules and regulations, allowing those in administrative positions to be in control of the appraisal process as appraisers. The administrative culture prevalent in Botswana secondary schools would favour a line management approach. However, the existing management structure in Botswana secondary schools become problematic because immediate supervisors may not necessarily be knowledgeable in the subject specialization of the supervisor. This makes the immediate supervisor be more inclined to the administrative chores of the teacher's job to the negligence of the professional one. As illustrated in the findings, this results in teachers not being happy with the appraisal's outcomes in most cases.

Another crucial factor that is missing in the current teacher appraisal system is adequate training of both appraisees and appraisers on the appraisal process including the appraisal instrument. The empirical findings paint a very bleak picture when it comes to the training aspect as most respondents have never been trained at all. Some even claim that they do not know the purpose of the appraisal process, which may be the reason why many are not happy with the system at all, and are therefore resisting. Although it can be said that some mechanisms are in place such as guidelines, there are inadequate monitoring mechanisms as some teachers are not appraised at all while some are appraised without being observed teaching in class. There is also rampant abuse of the system as illustrated in the empirical findings which may be attributed to lack of monitoring by those who are tasked to do so.

The teachers' case is made worse by the lack of appeal mechanisms and procedures in the appraisal system. The aggrieved teachers have to remain disgruntled as there are no structures in place to help them, and the only other option is that of appealing to higher authorities in the schools who are by virtue of their positions part of the appraiser cadre. Another inadequacy identified is the facts that the appraisal process is clouded in secrecy, especially from the time recommendations are made onwards. Most teachers do not know what happens after they have signed after the school head's assessment but before making recommendations. The other inadequacy is that it has been made clear that the signing by the teacher is just an acknowledgement that they have seen the assessment and not that they agree with it. Due to lack of appeal mechanisms and the confidential nature of the appraisal process, teachers remain vulnerable to the machinations of the appraisers who abuse the system to their advantages. Teachers are at the mercy of the appraisers for their professional development and progression.

In order to make the appraisal system to be more effective, the following mechanisms and procedures should be put in place and be adequate. The roles and responsibilities

of those involved in the appraisal process should be very clear and be known to all stakeholders. Adequately qualified people not based only on positions held should be made appraisers. As some respondents had suggested, there should be a panel of qualified appraisers stationed at the regional offices to help with the monitoring and evaluation of the whole system in the region. Furthermore, there should be appropriate matching of appraisees and appraisers in the schools if the process should be effective. Another very crucial mechanism is that the training of both appraisees and appraisers on the appraisal system and appraisal instrument must be mandatory as this will inform both parties on what is expected of them. Uniformity of carrying out appraisals in schools would be realized and when teacher transfers are affected, there would be no problems of fitting into the system. This will also help them with the procedures to follow so that conflict is minimized.

Monitoring mechanisms should be put in place and should be implemented. As a contentious issue, those aggrieved due to the appraisal system ought to be allowed to appeal and mechanisms and procedures of how to do this should be known and be part of the training process. Monitoring will also minimize abuse by those in authority of the appraisal system.

To ensure the credibility of the appraisal system there should be participation and ownership by the teachers. This may also reduce friction and conflicts. Finally, mechanisms for the evaluation of the appraisal system should be in place as education is always changing and all systems related to it should be able to adjust to the changes.

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